

GRADUATE COUNCIL Annual Report, 2009-2010

To the Academic Senate, Santa Cruz Division:

Graduate Council Organization

Generally the Graduate Council (GC) met bi-weekly during the academic year, with a total of 17 regularly scheduled meetings over the course of the year. An additional ad hoc meeting with Social Sciences Dean Kamieniecki took place on October 27th. The voting membership of the Council comprised: Scott Brandt, Weixin Cheng, Robert Fairlie (S), Patricia Gallagher, (F, S), Jorge Hankamer, Robert Johnson, Athanasios Kottas, Catherine Ramirez, Craig Reinerman (F, W), Ted Warburton, with Sue Carter (Chair), and Vice Provost and Dean of Graduate Studies Tyrus Miller sitting *ex officio*. Meetings were also attended by Stephanie Casher of the Academic Senate, and Jim Moore of the Graduate Division; Graduate Student Association Representative Scott Medling; and LAUC Representative Paul Machlis. Guests included Social Sciences Dean Sheldon Kamieniecki, SOE Dean Art Ramirez, PBSci Dean Stephen Thorsett, Humanities Dean Georges Van Den Abbeele, Arts Dean David Yager, History of Consciousness Chair Barbara Epstein, Ocean Sciences Chair Andrew Moore, METOX Chair Karen Ottemann, COC Chair Diane Gifford-Gonzalez, and Andre Knoesen (GC Chair, UCD) and Jeff Gibeling, (Dean of Graduate Studies, UCD) via teleconference.

In her capacity as Chair, Sue Carter served as representative to the systemwide Coordinating Council on Graduate Affairs (CCGA), and the Senate Executive Committee (SEC). Jorge Hankamer, serving as Vice-Chair, occasionally attended SEC meetings in Chair Carter's place, when SEC meetings conflicted with CCGA meetings, and chaired the December 3rd meeting.

Several subcommittees met separately, both throughout and at particular moments in the year. The standing Subcommittee on Course Approvals included Scott Brandt, Patricia Gallagher (F, S), Robert Johnson (W), and Ted Warburton (W). During winter quarter, Sue Carter and Athanasios Kottas evaluated applications for the Cota-Robles Fellowship. In the spring, Weixin Cheng and Ted Warburton reviewed the President's and Chancellor's Dissertation Year Fellowship candidates, and Patricia Gallagher and Athanasios Kottas were central to the Outstanding Teaching Assistant competition.

Graduate Council also formed a subcommittee on Nonresident Tuition (Jorge Hankamer, Robert Johnson, and Tyrus Miller), a subcommittee on the Humanities Reconstitution (Craig Reinerman, Jorge Hankamer, Catherine Ramirez, Sue Carter) and a subcommittee examining Interdisciplinary Degree Program/Graduate Group policies and procedures (Sue Carter, Catherine Ramirez, and Ted Warburton).

Committee analyst Stephanie Casher provided invaluable support to the Council. She drafted all the agendas, minutes, annual report, routine reports, and provided valuable edits on all of the other documents coming out of GC. She also provided important background research and documentation on topics ranging from graduate groups to

designated emphasis policies, which greatly improved GC's ability to make sound decisions. Finally, she was invaluable in assuring that GC completed all its business in a timely manner.

1. New program proposals

The Council reviewed and provided feedback on a revised proposal for a Feminist Studies Ph.D. program. While most support the intellectual thrust of the proposal, GC felt the proposal needed to be updated to reflect the changes in available resources and FTE.

Chair Carter also met with the LALS Chair to discuss a possible pre-proposal for a Ph.D. program in Latino and Latin American Studies.

In June 2010, Graduate Council approved a proposal from Linguistics to offer a 3/2 pathway enabling students to complete the existing Linguistics B.A. and M.A. degrees within five years.

2. Graduate program review

As a result of a series of budget retreats conducted last summer, workgroups were formed to examine ways to create efficiencies in the various areas of campus, in response to the dwindling of resources. Graduate Council was charged with looking at the ways we evaluate program effectiveness, and recommending how to make our graduate programs stronger.

To conduct this review, GC divided itself into five 2-person teams. Each team was responsible for reviewing the graduate programs in their assigned division, and presenting their findings to the group. Graduate Council also invited all five divisional deans to meet with the committee during fall quarter, to get their views on the state of various graduate programs in their divisions. In addition, Chair Carter also met independently with the Department Chairs in the Social Sciences Division, the History of Consciousness faculty, and faculty in the Math Department.

Graduate Council prepared a report on their initial findings (See Appendix A), which will be circulated to the EVC, VPAA, Divisional Deans, and Senate Leadership. The report touched on the following issues:

- An overview of the strengths and weaknesses of programs in each Division, and suggestions for admissions deferrals until certain programs are stabilized.
- A set of proposed metrics to guide internal evaluations of "trouble programs," as well as criteria that would trigger such an internal evaluation outside of the 6-8 year external review timetable.
- Outlining a pathway to get to 15% graduate growth, and making the case for why it is important/critical to do this, even in the midst of a financial contraction.
- Next steps for the graduate programs that have been identified as being in trouble, which will include consultations with Department Chairs and Graduate Directors.

Graduate Council also participated in the external reviews of several graduate programs. External Reviews conducted during 2009-10 included Education, Feminist Studies, Film and Digital Media, and History. GC also responded to the draft charges for upcoming External Reviews in Applied Math and Statistics, Biomolecular Engineering, Chemistry and Biochemistry, Digital Arts and New Media, Earth & Planetary Sciences, Education, and Linguistics. GC also approved a one-year deferral of the American Studies External Review.

3. Designated Emphasis Policy

At the close of the 2008-09 academic year, Graduate Council drafted a new Designated Emphasis (DE) policy (see Appendix B), to replace the existing policy pertaining to Parenthetical Notations. Under the new policy, all programs wishing to offer a Designated Emphasis will establish a *single set of requirements for all students* regardless of their primary program of study. Any student who can satisfy the requirements is eligible to obtain a Designated Emphasis from any program.

The new Designated Emphasis policy was finalized and circulated to departments in December 2009. By the end of the 2009-10 academic year, all departments with existing parenthetical notations (with the exception of Anthropology and Sociology) had transitioned over to the new system. In addition, Graduate Council approved two new proposals for a Designated Emphasis:

- Politics (approved 1/28/10)
- Robotics and Control (offered by Computer Engineering; approved 2/25/10)

For a complete list of programs offering a Designated Emphasis, see Appendix C.

4. Graduate Program Changes

- In November 2009, CCGA approved the request from Biomolecular Engineering (endorsed by Graduate Council) to change the Bioinformatics program name to "Biomolecular Engineering and Bioinformatics."
- In January 2010, GC approved the request from Bioinformatics to change the capstone requirement for the MS degree from a thesis to a one-quarter research project (with a required written report).
- In March 2010, Graduate Council approved the request from the Education Department to 1) revise degree requirements to incorporate the inclusion of 10 additional units to receive an emphasis/concentration 2) reduce the number of credits required for Ed.D. degree and 3) revise the Teaching Assistant requirement.
- In April 2010, GC approved the request from Chemistry and Biochemistry to reduce the number of required courses from six to five.
- In May 2010, GC approved a request from Film and Digital Media to revise their program statement to add reference to their newest sequence of courses in documentary production, and add language to describe the new Ph.D. in Film & Digital Media.
- In May 2010, GC approved a request from Digital Arts and New Media to adjust their curriculum to reflect 1) the move of DANM's MFA thesis exhibition to the first week

of spring quarter 2) the start of the three-quarter long Collaborative Research Project group courses in winter quarter of the first year, and 3) admissions policy changes.

- In May 2010, GC approved a request from the Visual Studies Ph.D. program to add language allowing students to petition for exceptions to certain requirements if there is “reasonable cause,” and a reduction in the minimum number of graduate seminars required from 15 to 12.
- In May 2010, GC approved a request from METOX to change their grad degree requirements to include the addition of METX 205 (Scientific Skills, Ethics and Writing) as a required course (increasing the number of required courses from four to five), and the addition of documentation formalizing a departmental TA requirement for doctoral students of at least one quarter of TA work.
- In May 2010, GC approved a request from the Music Department to clarify their existing degree requirements.

6. Humanities Reconstitution

In January 2010, the Dean of Humanities released the report from the Humanities Advisory Task Force on Reconstitution, and solicited feedback from various constituencies, including all Senate Committees. Graduate Council appointed a subcommittee to provide deeper analysis of the recommendations in the report, and to address the critical situation in the History of Consciousness department (which will soon be down to 3 FTE).

The subcommittee outlined two primary tasks for Graduate Council: 1) Decide on an optimal configuration of the departments in the Humanities, and 2) Figure out how to most effectively implement recommendations. After hosting Humanities Dean Van Den Abbeele for an hour-long consultation, the subcommittee prepared a “Report on Interdisciplinary Graduate Programs in the Humanities” (see Appendix D), which was forwarded to the Humanities Dean.

7. Graduate Groups

In discussing the Humanities Reconstitution, Graduate Council wondered if a Graduate Group model would be an appropriate solution to some of the problems in the Division. Since the UC Santa Cruz campus does not really utilize the Graduate Group model (the only Graduate Group in existence is the fairly new Digital Arts and New Media program), to obtain more information about the benefits and challenges of the Graduate Group model, GC hosted a teleconference with UC Davis Graduate Dean Jeff Gibeling and GC Chair Andre Knoesen about their experiences with Graduate Groups at UC Davis.

After meeting with various campus stakeholders, Graduate Council decided that guidelines were needed if Graduate Groups, or Interdisciplinary Graduate Programs, were going to be effectively deployed on the UCSC campus. GC drafted guidelines for Interdisciplinary Graduate Programs (IGPs), i.e. Graduate Groups, and made edits based on initial comments provided by the then VPAA Galloway. A final draft of those guidelines are now available for circulation and further comment.

8. Narrative Evaluations and Grades for Graduate Students

Graduate Council began a discussion of possible modifications to the current policies governing graduate student grades and evaluations. Currently, graduate students do not receive grades (unless a student opts-in for a grade). Some departments, however, would like the power to mandate letter grades, or the S/U option, on a per course basis. In fact, some departments required their first year graduate students to take grades, even though this is not written into current policy. Some committee members also expressed frustration about the inability to append a + or - to any given grade, especially for graduate courses where a big difference exists in a students getting an A+ and A-, as one example. Also, some students, particularly at the master's levels, are disadvantaged for receiving fellowships due to lack of GPA. As one example, GC approved a request from Education to self-compute GPA's for their master's students so they could apply for fellowships. Finally, new professional master's programs will likely need to be able to require grades for some courses in order to be competitive with other programs.

As discussion unfolded, there was also strong support for a transition to an optional narrative, in line with the recent change in undergraduate policy. Instructors should be encouraged to take student needs into consideration when deciding whether or not to submit a narrative evaluation. There was also some discussion about what would happen if a student wanted to opt-in for a grade, in a non-grade required course.

Graduate Council settled on legislative changes that would 1) allow instructors to assign letter grades a "+" or "-" sign 2) grant graduate programs the option of *requiring* letter or S/U grades for any course they offer, 3) provide a method for computing GPA for graduate students, and 4) make the completion of a written narrative evaluation *optional*.

Chair Carter plans to submit revised legislation to Regulations 13.1 and 13.2 for consideration at the Fall 2010 Senate Meeting.

9. Graduate Student Support

Graduate Council discussed the USAP return to aid changes proposed by UCOP, which would alter the formula used to calculate how graduate student support is divided among the campuses. The current formula already disadvantages smaller campuses like UCSC, Riverside, and Merced, and GC is concerned that the reworked formula may only increase inequities. Chair Carter and Graduate Dean Miller co-authored a letter to the EVC, outlining Graduate Council and the Graduate Division's concerns about the proposal.

10. Other business

Graduate Council also discussed and commented on several systemwide policies and discussed a number of other local issues, among them:

- Draft Academic Programs and Units Policies and Procedures (10/29/09)
- Report on Remote and Online Instruction and Residency (12/10/09)
- UCPB Paper on Differential Fees and Nonresident Tuition (4/8/10): The Nonresident Tuition subcommittee discussed this issue, and submitted a response stating that 1)

NRT should stay on individual campuses to provide incentive for departments/programs to actively recruit and support nonresident students, and 2) NRT should be returned to graduate students and used to support Graduate Education.

- Commission on the Future Recommendations (4/8/10): Graduate Council's feedback was incorporated into CCGA's response.
- Final Report of the Joint Senate-Administrative Task Force on the Compendium: (5/20/10)

Graduate Council also approved the proposal for accepting the International English Language Testing System (IELTS) as an alternative to the TOEFL for international applicants.

11. Issues Carrying Over to 2010-11

The Council identified the following issues carrying over into the next academic year:

- Finalize revisions to Graduate Narrative Evaluations and Grading policy.
- Finalize guidelines for Interdepartmental Graduate Programs (IGPs), i.e. Graduate Groups.
- Monitor graduate programs on the GC "watch list."
- Professional Schools and graduate education at SVI
- Nonresident Tuition
- Capital Campaign for Graduate Education

Respectfully submitted,

GRADUATE COUNCIL

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October 22, 2010

APPENDIX A

**Graduate Programs at the
University of California, Santa Cruz:**

*June, 2010
Graduate Council*

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Executive Summary

During the 2009-2010 academic year, Graduate Council engaged in a review of all the graduate programs on campus to understand how to improve the quality of graduate programs in the context of decreasing budgets. The last such review took place in 1995, at a time when the budget was not such an overwhelming factor. This document is a work in progress, and is intended to provide some background for GC's discussions with the administration and other SEC committees on how to move forward on a short and long-term plan that combines faculty and administrative input. Critical to this process is an open line of communication while assuring confidentiality. In this draft, we have strived to achieve such a balance; however, we acknowledge that the urgency of this process and potential repercussions for the entire campus may require more openness. Section I of this document contains preliminary short-term suggestions, some of which will not make it into the final recommendations. However, we hope these ideas stimulate the administration and faculty to come up with other creative options for improving graduate education while cutting costs.

An overriding view of GC is that the budget cannot be balanced at the cost of graduate programs. Any decisions we make now must be made in consideration of the longer-term implications for our campus. In Section I, we discuss suggestions for financial savings based on FTE cuts that will minimize impact on graduate program quality, enrollments, and retention. Furthermore, GC's view is that the future of our campus requires that we now engage in planning that increases graduate student enrollment and retention. We recognize that this view may be in contrast to many views of the faculty and administration, especially with the immediate need to cut budgets. Consequently, Section II of this document focuses on GC's reasons for why increasing graduate student enrollment and retention are critical to UCSC's long-term future, and puts forth a tentative plan for how such growth could be reached given our resources and programs in the planning process. We further note that the sustainability of UCSC's Silicon Valley campus will require substantial professional graduate student growth.

In our initial investigations, we also noted that almost all of the departments that are of primary concern are those that are undergraduate-only or graduate-only. Fundamental structure flaws exist in such departments; it is difficult to retain and attract excellent faculty in undergraduate-only departments, and it is difficult to cost-effectively teach courses and/or provide sufficient funding/research opportunities for graduate students in many graduate-only departments. Consequently, we recommend that the university move towards a future where all undergraduate-only departments become engaged in graduate programs, and where all graduate departments either offer undergraduate degrees and/or are closely aligned with other departments that can offer such degrees. We also need to recognize that eliminating existing graduate programs in departments is tantamount to dramatically reducing the department's ability to engage in scholarly and research activity, the core mission of the UC system versus its CSU counterpart, and could ultimately lead to the disestablishment of the department.

I. Short Term Considerations

a. Size and Shape of UCSC departments & graduate programs

A recurring theme in our review of graduate programs was the impact of the overall cuts in FTE, current and planned, on the ability of a department to mount a successful graduate program. In addition, the graduate program also feeds into the quality of the undergraduate program for departments that teach large service courses. To put this into context, we need to consider the current size and shape of departments with respect to their undergraduate programs. We plot the budgeted (BJ) and payroll (PR) total FTE faculty and permanent FTE faculty by division in Figures 1. All data is taken from the UCSC planning and budget web site.

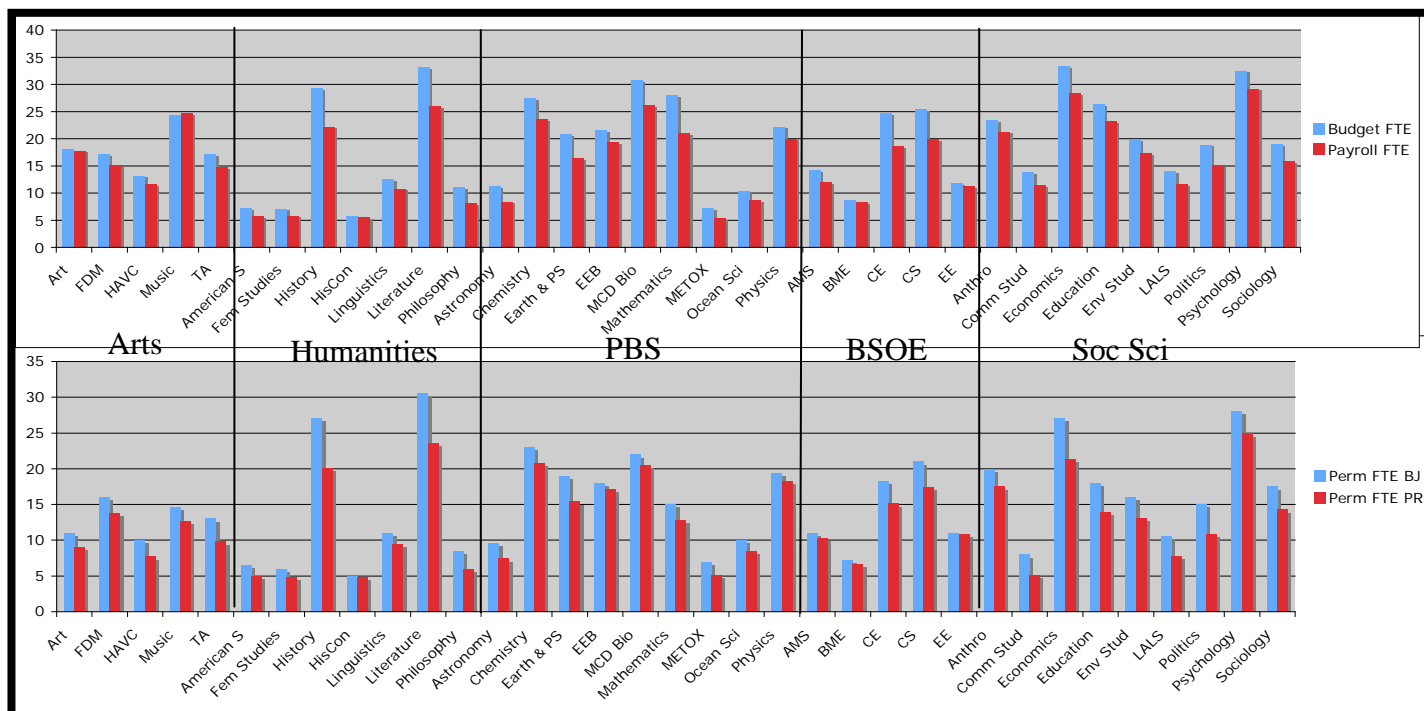


Figure 1: The total number and permanent number of budgeted (BJ) and payroll (PR) FTE for 2008-2009 academic year, sorted by division.

This graph pinpoints the greatest problem areas. Most notable is the Humanities division, which is dominated by two of the largest departments on campus (namely Literature and History) and four of the smallest departments on campus (American Studies, Feminist Studies, HistCon, and Philosophy). The challenges facing the smaller departments are the focus of the Humanities reconstitution. In contrast, the departments in the Arts division are relatively balanced, and GC did not identify any specific issues here outside of structural problems with the DANM graduate group. BSOE also has some small department sizes, but benefits from the strength of the faculty in the newer departments and the reduced size of its undergraduate service classes compared to other divisions. Outside of TIM (not represented on this graph), we did not identify any major concerns in BSOE. The smallest departments in PBS (namely METOX and Ocean Sciences) also face

potential challenges. Astronomy & Astrophysics is an exception here because it benefits greatly from Lick faculty who are not accounted for on this chart. We note that the relative size in permanent versus total FTE faculty are similar, with the notable exception of Music, Mathematics, and Community Studies who have large undergraduate FTE enrollments in comparison to the size of their permanent FTE. This suggests that problems could arise for all three departments if temporary FTE are cut substantially as part of the budget cutting process.

In Figure 2, we sort the departments by FTE size.

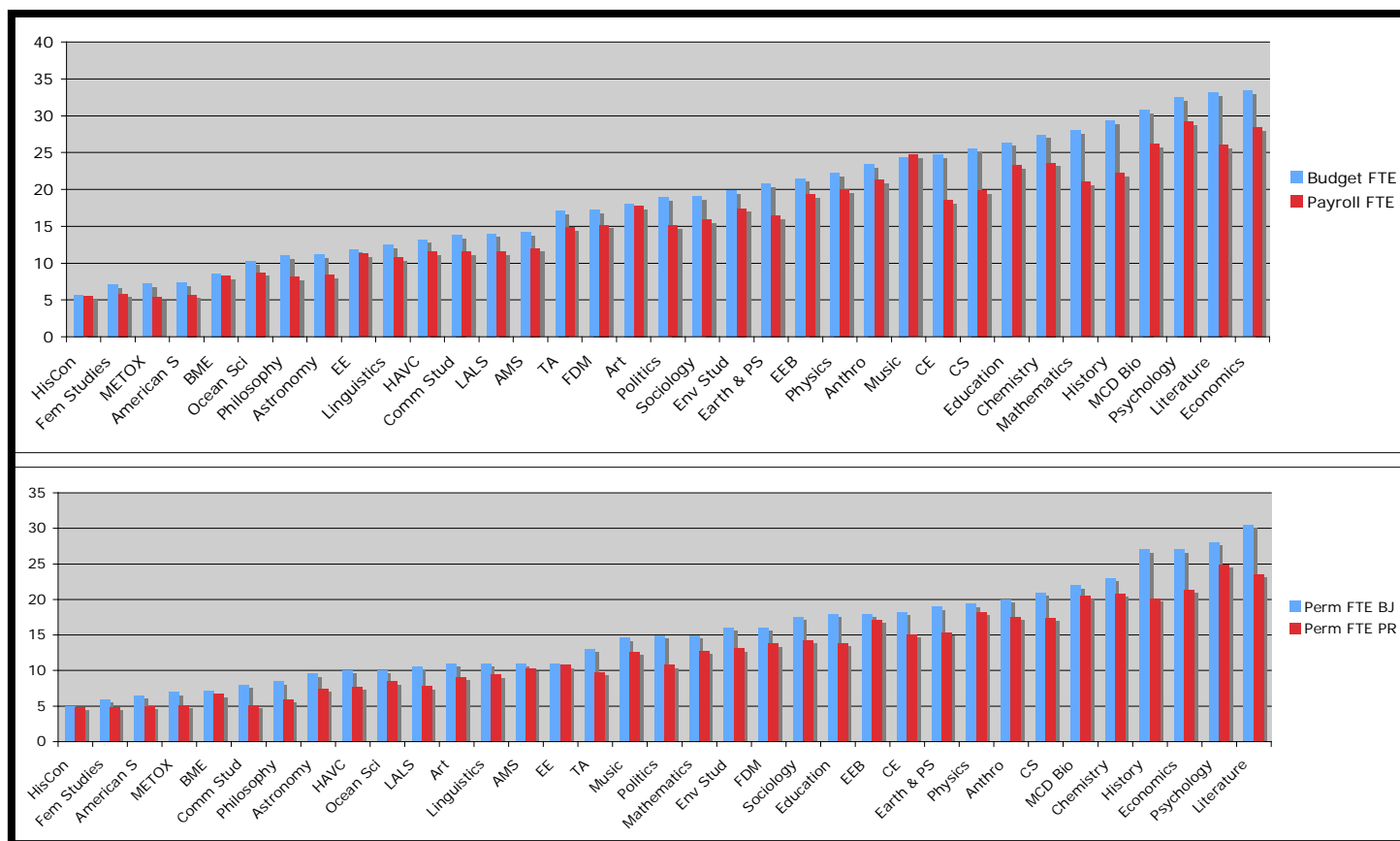


Figure 2: The total number and permanent number of budgeted (BJ) and payroll (PR) FTE for 2008-2009 academic year, sorted budgeted FTE size.

This graph reemphasizes what was already pointed out above that, with the exceptions of Biomolecular Engineering and Astronomy and Astrophysics, the smallest departments (Histcon, Feminist Studies, American Studies, METOX, Community Studies and Philosophy) are the ones facing some of the largest challenges. We note that Ocean Sciences faculty FTE is lower than reported here due to recent losses, putting it into an area of concern. However, we also note that the departments with some of the highest national rankings, namely Astronomy & Astrophysics and Linguistics, are also some of the smallest departments in terms of FTE size. Moreover, the campus has several relatively small departments in the Engineering School that are some of the campus' strongest new graduate programs. This comparison suggests that the size of FTE faculty, past a minimum

threshold, is not the most important determinant for the reputation and quality of our graduate programs.

To understand the impact of FTE size on graduate and undergraduate program size, we compare these graphs to the total number of undergraduate FTE and majors, total number of graduate majors, and finally to graduate Ph.D.'s awarded in 1 year. For these graphs, we took a two year average of the 2007-2008 and 2008-2009 data. For the undergraduate enrollment, we sorted by the total number of budgeted FTE, since the temporary faculty have the greatest impact on undergraduate students. For the graduate enrollment, we sorted by the number of permanent FTE, as these faculty typically interact more with graduate students.

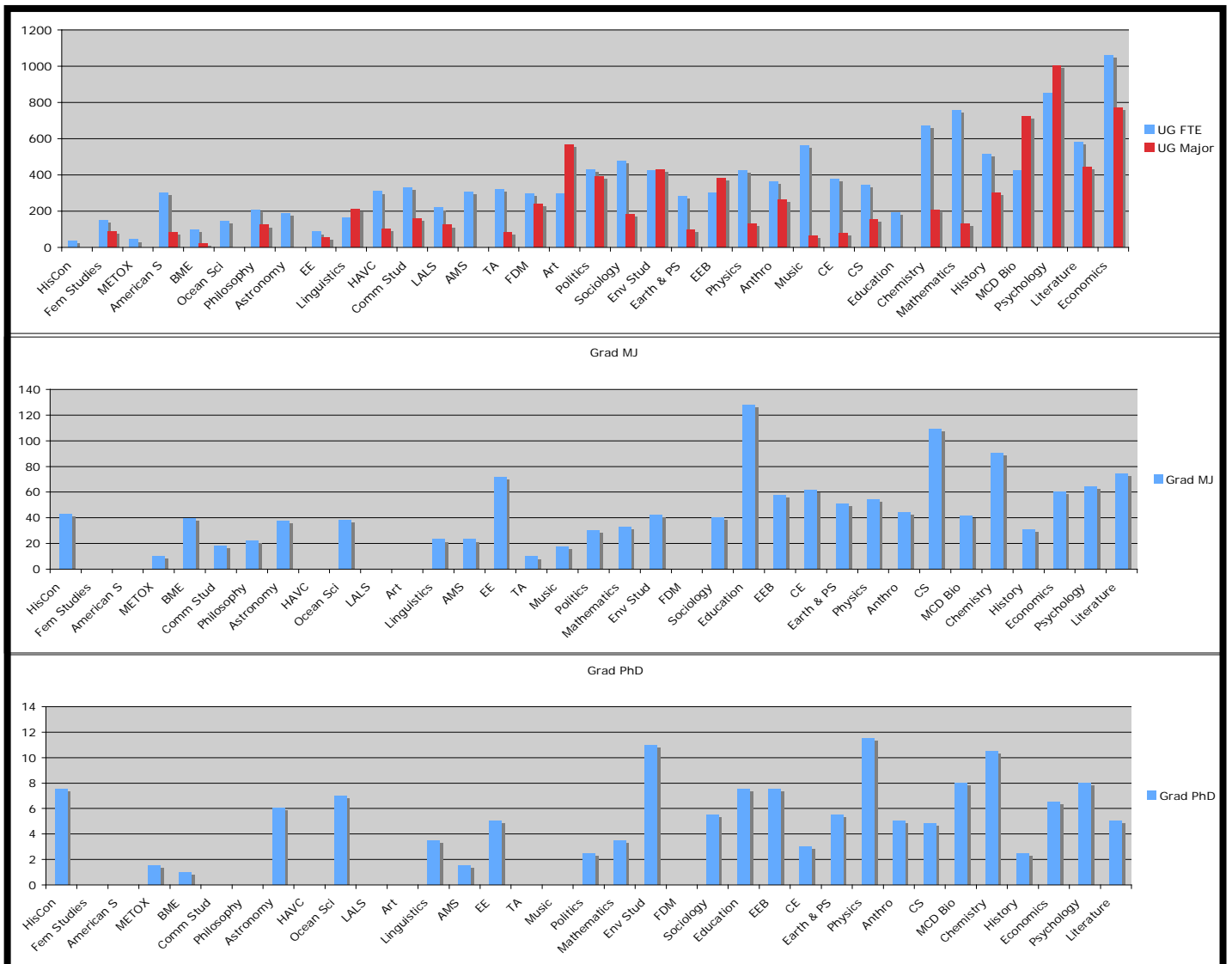


Figure 3: Top: The total number of undergraduate (UG) FTE and Majors, averaged between 2007-2008 and 2008-2009, sorted by the total number of budgeted FTEs in 2008-2009. Middle and Bottom: The total number of Graduate majors and graduate PhD degrees granted per year, averaged between 2007-2008 and 2008-2009, sorted by the total number of budgeted FTEs in 2008-2009.

We note that the newest graduate programs, such as BME, AMS, and Music, are underrepresented on these graphs due to large growth in the last year. This graph further emphasizes that the size, as well as the quality, of the graduate program is not necessarily directly related to permanent FTE size. In contrast, a clear correlation exists between department size and undergraduate FTE if we ignore graduate-only departments. This correlation reflects that the growth of FTE's was largely linked to undergraduate enrollment in the past. To fairly reflect how faculty FTE growth occurred, any cuts in FTE's should be linked to cuts in undergraduate, not graduate enrollments.

b. Repercussions of Suspending and/or Discontinuing Graduate Programs

While GC believes that any short-term changes need to be strongly linked to longer-term impacts, we recognize that the immediate need to cut costs may override such planning. However, we strongly assert that balancing the budget by suspending graduate programs may not result in the cost savings envisioned over the long term, and will lead to a decrease in UCSC's overall quality. If the suspension of a graduate program is done primarily for budget reasons and/or lack of FTE faculty growth, with no plans put forth for the restart of admissions, we need to recognize that such suspension will likely lead to the best faculty leaving the department and the eventual discontinuance of the graduate program. Arguments have been made for eliminating weaker graduate programs in order to strengthen stronger graduate programs, leaving the university with fewer, but hopefully better, graduate programs. The cost savings from eliminating graduate programs is mainly derived from cutting FTEs through slow attrition. While on the surface this may seem like the best option, other options exist to adjust for the decline in FTEs, as we discuss below. Several pitfalls exist in eliminating graduate programs, including:

1) Decrease in Graduate student enrollment and retention: "Stronger" departments are unlikely to be able to increase their graduate enrollments sufficiently to account for the loss of graduate students due to the closure of other programs. Several strong departments have already indicated the inability to find good positions for graduating students as a reason for not increasing graduate student enrollment. The lack of sufficient job prospects is likely to lead to retention issues. Furthermore, increasing graduate student enrollment in strong programs will lead to accepting weaker students who are less likely to be retained in the program. Departments are also already challenged to find the funding needed to support their existing graduate students. TAs could be shifted from graduate students in the weaker (discontinued) program to students in the strong program to encourage greater graduate enrollments; however, such a shift could easily lead to reduction in quality of undergraduate education which relies on TAs trained in the area. While one can also envision a shift in block funds, the overall block grants will decrease if graduate enrollment decreases. Therefore, cutting graduate programs will almost certainly lead to lower graduate student enrollment and graduation rates. It should be noted that UC schools that have greater graduate student enrollment and graduate program diversity than UCSC generally rely on less state support and have a greater overall ranking.

2) Potential disestablishment of the department: Disestablishing a department's graduate program will severely degrade the scholarly activity of the department as it will

lead to the loss of our best and most productive faculty who are able to find positions in departments that offer graduate programs. This departure of our best scholars will greatly weaken the department's research activities, and could lead to the department's disestablishment. Supporting faculty at UC salaries and UC teaching loads to primarily teach undergraduate courses is financially unviable.

3) Quality of undergraduate enrollments and research: The opportunities for undergraduate students to work directly with graduate students in a research environment sets us apart from other universities, a distinction that will be sacrificed by cutting graduate programs. The lack of viable graduate-level research opportunities for undergraduates in some departments will certainly decrease the quality of undergraduate student enrollments in the major, and the quality of undergraduate research.

4) Reputation of UCSC as a graduate institution: Cutting graduate programs will also degrade our overall reputation as a graduate school, something that UCSC is already struggling with. The overall quality of graduate student enrollment and retention is likely to decrease as many students apply to graduate programs largely based on the university's graduate reputation as a whole, rather than based on the reputation of one department. Moreover, graduate students frequently decide to attend universities that are better known for graduate education overall.

5) Decreased diversity of graduate programs: Cutting graduate programs in some areas will decrease the diversity of our offerings and hamper our ability to launch new interdepartmental graduate programs. In the changing employment environment, graduate programs will need to evolve to offer training in a more diverse set of areas, arguing against a model that relies on decreasing the diversity of graduate programs.

6) Moral and legal repercussions: It is clearly morally reprehensible to recruit and/or retain faculty into a department that offers a graduate program, and then later cancel the graduate program. Faculty may have turned down other positions in order to come to UCSC with the understanding that they would be involved in research activities with graduate students. Cutting their access to graduate students will have damaging impacts on their careers and will, at the very least, open up the university to substantial criticism that will impact future recruitment of faculty. Such a move may also open the university up to legal challenges.

GC recognizes that some of these pitfalls can be overcome with proper planning that focuses on ensuring that all faculty have access to graduate students and graduate-level research. Clearly, reorganization or restructuring of departments and/or divisions are promising means by which to achieve this, and GC is open to working with the administration to make sure such restructuring serves the needs of the graduate students, faculty, and the campus. To be successful, such changes must be facilitated at the EVC level, and must involve encouragement for departments and divisions to work together to instigate these changes.

c. Suggestions for Cutting Costs

GC believes other methods exist to support high quality graduate programs with fewer resources. Given that many of the UCSC graduate programs involve active participation by 10 or fewer faculty, we see no reason why successful undergraduate and graduate programs cannot be maintained in departments with fewer FTE if the undergraduate load can be properly balanced. While one can use statistics on the size of competitive departments at other universities as a reason for why a small graduate program at UCSC will never reach excellence, we find such arguments lack creative input into how we can offer a higher quality experience with fewer faculty. The ability to maintain such small graduate programs highly depends on the ability of the FTE to support both the undergraduate and graduate course curriculum. The budget is not normally within the purview of GC, so we hesitate to make any recommendations in this regard. Nonetheless, we make a few recommendations that could directly affect graduate education and which could be considered as a way to offer high quality graduate and undergraduate education while cutting costs.

1) Modification of Graduate Course structure and Cross-listing of Courses: One of the fundamental problems with small graduate programs is the inability to offer enough graduate courses with sufficient diversity of topics. Graduate courses are often offered with fewer than 6 students enrolled, a significant waste of FTE resources. A solution to this would be to set guidelines that would suggest limiting 5-unit graduate courses for specialty topics (i.e. those courses that are not required for all the graduate students in the program) that typically have fewer than 6 graduate students enrolled. While such courses could be offered as independent studies and/or tutorials on a volunteer basis, we recommend that the option of offering 2-unit seminar courses (one 80 minute seminar/week) or a 3-unit lecture course (one 120 minute lecture/week) that instructors would still get teaching credit for as a possible solution to this problem. A professor would therefore teach two graduate courses (a 2-unit seminar and 3-unit lecture) in replacement of a single 5-unit graduate course. These smaller, more focused, graduate courses could also enable a more diverse graduate curriculum for departments with small graduate student enrollments. We note that GC's role would be to provide guidelines only; the department chairs should be given the flexibility to assign faculty to courses as best meets the needs of the department and university. Cross-listing of graduate courses across departments and divisions could also be used to improve the efficiency and quality of graduate courses, while promoting interdisciplinary collaborations.

2) Offering graduate courses through UC Extension: Some of the more popular graduate courses could possibly be co-offered through UC extension as a method to bring in additional funding to the department through partial return on fees. To ensure these students get some direct faculty interaction and face-time, a faculty member could teach 2 of the 3 lectures/week on the main campus and 1 lecture/week at our Silicon Valley Initiative (SVI) campus (with remote instruction to the alternate location) *on a volunteer basis only*. This approach would also increase faculty engagement with UCSC's SVI campus, a necessity if SVI is going to be a successful enterprise. We note that this approach would

likely be most successful if the courses were tied to fulfilling the requirements of a professional master's degree.

3) Different teaching requirements for professors actively engaged in graduate and undergraduate research: The campus already engages partially in this practice by having faculty teach 3 or 4 classes depending on which department or division they are in. However, this practice does not work as well as it could because it does not distinguish faculty actively involved in graduate or undergraduate research *within* a department. This practice means that there is little incentive for faculty in departments to work with graduate students or raise external funds to support research and/or new educational initiatives. This practice also severely hampers the ability of professors that teach four classes to support their grant activities. While it may be too difficult to develop fair guidelines governing the number of courses taught, GC encourages the department chairs to exercise more authority in assigning courses that recognize the responsibilities of their individual faculty. Faculty who agree to teach more courses should have this weighed positively in any personnel action to offset deficiencies in research and/or service.

4) Postdoctoral Researchers and Graduate Students teaching Undergraduate Courses: Using lectureship funds to support postdoctoral and advanced graduate students to teach undergraduate core course would provide valuable teaching experience for postdoctoral researchers and graduate students who may desire future teaching positions. An additional benefit is that it would provide increased support for graduate programs since postdoctoral researchers and graduate students typically contribute more to graduate program quality than lecturers. For this practice to be effective, a mentorship and training network would need to be established between the faculty and the postdoctoral researchers and student lecturers to assure that the quality of undergraduate education is not impacted. Also, potential implications of the union contracts would have to be taken into consideration.

While GC has not engaged in a cost analysis with regards to the savings in FTE salary that could result from adopting some or all of the changes suggested above, we believe that such savings could be substantial over time through savings of FTE salaries, increased support for TAs and postdocs, and increased collection of fees, all while providing the time and incentive needed for faculty to successfully engage in graduate education. Such changes would not require cutting graduate programs on campus, although we anticipate the restructuring of departments and/or divisions is still needed to improve the overall quality and efficiency of our graduate programs. GC would be willing to work with the SEC committees and the administration to investigate the academic and budget implications of any of the above suggestions.

d. Graduate Program Evaluation

Graduate Council did not spend a lot of time during fall quarter discussing how graduate programs can be most effectively evaluated; however, considerable time was spent in spring quarter, 2009, and we refer to the recommendations made by GC at the time to improve the external review process so that graduate programs can be better

evaluated. Implicit in these recommendations is the introduction of a more formal internal review process.

1) External Evaluation: The external review process has been the best method that we currently have for evaluating graduate programs, as it involves looking at the program on the whole as it fits within the unique Santa Cruz environment and our overall smaller graduate programs, rather than comparing dissimilar programs as the NRC rankings do. However, we are concerned that the movement of most external reviews to an 8-year cycle may not provide enough evaluation for a small subset of graduate programs to adjust to changes. We suggest that an internal review, led by GC, may be needed in the intervening years between external reviews.

2) Internal Evaluation: A set of metrics needs to be established to determine whether an internal review of a graduate program is required. We recommend the following set of criteria:

- 1) A significant multi-year decrease in graduate student retention rate.
- 2) A significant loss of faculty that work with graduate students.
- 3) Low graduate student satisfaction or morale, identified on a biannual survey.
- 4) Graduate student admission issues, such as low selectivity and acceptance rate.
- 5) Upon request of Chair, Dean or GSA Representative.

GC will work with the Graduate Division to obtain and evaluate the required data on an annual basis. GC will lead the internal evaluation based largely on input from faculty and administrators on campus, but may call on external experts to consult on the best pathway forward for the graduate program.

e. Suspensions and Deferrals:

GC reviewed all the external reviews and met with all divisional Deans in order to assess whether graduate programs should be suspended or deferred.

1) TIM graduate program: Early on in the fall quarter, the admission of new graduate students into the TIM transfer program was deferred. GC supported the deferral of new admissions into the TIM program, and also supported transfer of graduate students already at UCSC into the program. Later in the quarter, the TIM program decided to proceed with new graduate admissions; however, we cautioned them to limit new graduate student enrollment until further planning takes place. GC will be carefully monitoring the TIM program and will take action if the department does not have a viable plan that will enable them to successfully launch a graduate program with its current FTE resources. The TIM program faces many challenges, both due to the size of its faculty and the need to bridge efforts across Santa Cruz's main and Silicon Valley campuses. More interaction with the Economics department would strengthen the TIM program and enable them to launch a business graduate program in Silicon Valley. However, the TIM faculty numbers are too small to successfully undertake many of the challenges ahead of them, and substantial numbers of new FTE are unlikely in the near term. GC suggests that the TIM program take this year for further planning on how to overcome this issue, and to focus their priorities.

GC is encouraged that the assignment of Marc Mangel as the Director of the TIM program will provide greater longer term security needed for the results of this planning process to be effectively implemented.

2) Arts Ph.D. programs: GC considered the deferral of the two new graduate programs in the Arts, namely Film and Digital Media and Visual Studies; however, Dean Yager made a persuasive argument with regards to the benefits of launching these programs now, the ability of these programs to be top notch graduate programs, and the potential availability of funds. We are also very encouraged that the Arts division is growing their doctoral programs. The Arts division has a strong cohort of faculty that could establish leading research programs that would strongly benefit from more access to graduate students. Also, the realignment of Shakespeare Santa Cruz to the Arts academic program strengthens the case for attracting excellent graduate students. Some uncertainty exists with regards to the potential interactions/convergences of the Ph.D. in Film and Digital Media, the DANM M.F.A., the Visual Studies Ph.D, and the Social Documentation Masters. Working out the best method to coordinate these programs to make UCSC one of the top universities for pursuing graduate studies in film should be a high priority. While a case could be made for suspension of graduate admissions while these details are worked out, such action could squander an opportunity to build leading doctoral programs in FDM and VS.

3) History of Consciousness Ph.D. program: HisCon has decided to suspend its admissions due to a substantial reduction in faculty, a decision GC supported. The anticipated number of faculty in HisCon, with no prospect for new faculty hires, leaves HisCon unable to sustain its graduate program in its current form. Two solutions exist to this issue. The first would be to reconfigure HisCon as an Interdepartmental Graduate Program (IGP) which would enable it to draw in faculty from departments across campus. The second solution involves transferring faculty directly into the HisCon department. GC supports the first option since it is unclear that a sufficient number of faculty could be transferred and, even if this was possible, whether such transfers would detrimentally impact the graduate programs in departments from which these faculty are transferring. Our understanding is that the HisCon faculty members largely support the 2nd option for several reasons, not the least of which is that it would require the least amount of time to implement, and GC respects their view on this. A third possible solution is a hybrid model between the two options. GC will continue working with HisCon and the division to find a solution in the coming months. We note that GC does NOT support any solution that would lead to the discontinuance of the HisCon graduate program.

4) History – European Track: History has decided to suspend admissions into the European track only due to a substantial reduction in faculty. GC supports this decision and hopes to work with History and the division to find a solution for modifying the European History focus with diminished faculty in that area.

5) Mathematics: The Mathematics department's reliance on TAs and lecturers makes it especially vulnerable to budget cuts made in the PBS division. After consulting

with Dean Thorsett and the Mathematics faculty, GC decided not to recommend suspension of the Mathematics' graduate admissions. At face value, such a suspension looks like a prelude to disestablishment of the program, and will certainly hurt the department in the shorter term by encouraging their most productive faculty to leave. The Mathematics faculty made initial arguments for how to continue their graduate program in light of reduced FTE growth and TA funding. GC has made recommendations for the Mathematics department to put together a new plan for their graduate program that can be successful with fewer FTE and financial resources. We will continue to monitor and work with Mathematics towards a long-term plan that will improve the overall quality of their graduate programs.

6) Philosophy: Graduate Council has already suspended Philosophy's graduate program for the upcoming academic year. While we have not received a plan or report from the current Philosophy chair that would prompt us to lift this suspension, we are encouraged by the appointment of Jorge Hankamer as Chair of the Philosophy department next academic year. GC is looking forward to working with the Philosophy department to develop a plan that would enable Philosophy to strengthen its graduate program and restart admissions next year.

f. Graduate Programs of Immediate Concern

The ability to grow graduate programs on campus, without the need of substantial university-funded FTE's, requires improving the existing graduate programs that are in jeopardy, as well as making structural changes that will enable all faculty to work with graduate students. The graduate programs that are of immediate concern are HisCon, Philosophy and Mathematics (due to lack of FTE growth) as have already been discussed above. Other areas of concern include Politics (due to low numbers of FTE), Ocean Sciences (due to low number of FTE), METOX (due to low number of FTE), and DANM (due to structural issues). The new Ph.D. programs TIM, Film and Digital Media, and Visual Studies also need to be carefully monitored by GC over the next two years.

1) METOX: Microbiology and Environmental Toxicology is a graduate-only department with exceptional faculty that are involved in many of the new graduate program proposals on campus; however, they have had issues attracting quality graduate students, which has threatened the viability and growth of their graduate program. METOX has largely solved this issue in the short term by the addition of "Microbiology" to their title; however, the ETOX portion may be below critical mass soon, leaving a department that is largely focused on microbiology. The division between microbiology and ETOX may be widened by the upcoming movement of some of their faculty into different buildings. GC has discussed this with the METOX Chair, and they are committed to staying as a graduate-only department as opposed to moving to an Interdisciplinary graduate program structure. We encourage the METOX faculty to continue to investigate the best model for their graduate program moving forward, taking into consideration the impact on their department if no FTE growth and retirements are realized.

2) DANM: DANM has had structural problems due to its operation as a graduate group. Several solutions have been proposed to solve this structural program. The report from the external review committee, and continued discussions among faculty, will be important for determining whether these issues are best solved by moving to an FTE-holding graduate group structure, or by offering the program through the Film and Digital Media department. DANM's experience has been helpful in Graduate Council's development of guidelines for interdisciplinary graduate programs (i.e. graduate groups), which include the ability for established programs to be FTE-holding. We note that DANM's relationship with the new Ph.D. program in Film and Digital Media, and with Social Documentation's MA graduate program, also needs to be worked out, a process that GC is willing to participate in as needed. A collaborative interdivisional structure for the film-based programs on campus is needed to assure that these graduate programs benefit from interactions with each other, rather than competing for resources and students, which could potentially hurt graduate program growth and quality.

3) Politics: The Politics department has a relatively young graduate program that has suffered from its inability to retain key faculty and hire new faculty (due to budget cuts), leaving them as one of the smallest department in terms of FTE that offers both an undergraduate and graduate degree. Nonetheless, Politics has done an admirable job of maintaining the quality of its graduate (and its relatively large undergraduate) program, despite its small size. Politics' ability to maintain this level of quality is something that should be rewarded, not penalized, as it is a model that other departments may be forced to adopt if the overall quality of UCSC is to be improved with fewer FTE resources. Furthermore, Politics is on an upward trajectory, with several successful young faculty hires that are coming up for tenure. They have also been successful in raising gift funds to support their graduate students. Limited FTE transfers from other departments should be considered as a means to strengthen the Politics graduate program. If cuts need to occur in Politics, we suggest that careful thought be put into the elimination of the Legal Studies major as a means to accomplish this. GC is open to working with Politics to understand how to maintain and improve its graduate program.

4) Ocean Sciences: The Ocean Sciences graduate program has the potential to be a flagship program on our campus, largely due to the excellence of its faculty and the resources at its disposal because of its proximity to the Monterey Bay. Nonetheless, it has lost several senior faculty to retirements or administrative positions in recent years, and is rapidly approaching an unsustainable size as one of the smallest departments on campus. Faculty exist in other PBS departments, such as EEB and EPS, as well as ENVIS, that have substantial overlap with the Ocean Sciences graduate program and could provide UCSC with a very strong overall program in ocean sciences. The question that arose was whether the Oceans Sciences graduate program was most effective as a department-based program or an interdisciplinary graduate program. GC met with the Ocean Sciences Chair who presented a convincing argument that their department could be successful with the 7 FTE being projected. GC supported their desire to remain a department-based graduate program, and also supports their efforts to look into developing other programs (professional masters or undergraduate degree) that may enable future FTE growth.

g. Undergraduate Programs launching Graduate Programs

Several undergraduate programs—including Feminist Studies, American Studies, and LALS—want to launch graduate programs, but may not have the critical FTE needed to do so. In addition, one department, namely Community Studies, is in jeopardy of losing their graduate program. As the campus restructures, focus needs to be placed on these departments and programs.

- 1) LALS, American Studies, and Feminist Studies:** All faculty on campus should have the opportunity to engage in scholarly activities with graduate students. GC is therefore committed to faculty in undergraduate programs becoming involved in graduate education, either through interdisciplinary graduate programs or within their own department. Feminist Studies has a proposal for a Ph.D. program that is of high academic quality, but lacks the FTE resources to undertake. LALS is preparing to propose a new Ph.D. program in Latin American and Latino Studies, the first of its kind in the country, which could immediately have strong impact. They may need one or two additional faculty members (through transfers and/or hires) to make such a new program viable. If such transfers aren't pending, we encourage LALS to look at the interdisciplinary graduate program (i.e. graduate group) structure as a means of moving their proposal forward. Lastly, American Studies has had long-term discussions regarding the launch of a graduate program that would likely be accomplished through collaboration with other departments. This proposal was derailed due to changes in faculty focus, but needs to be revisited and encouraged to proceed. A focus of the reconstitution plan for the Humanities division should be to enable American Studies and Feminist Studies to have the ability to engage more fully in graduate education.

- 2) Community Studies:** Graduate Council has been following the developments in the Community Studies department with some concern. While the Social Documentation graduate program is likely to continue and possibly improve with the changes being proposed, it would do so at the demise of the Community Studies undergraduate program. GC finds it difficult to believe that this is the best solution for the campus moving forward, as it would effectively kill a valuable and popular campus undergraduate program. Instead, we suggest that a plan be put forth that will engage the Community Studies undergraduate program more actively with the rest of the campus as well as with graduate education. As one example, we note a great need for training undergraduate and Masters students in the area of community (or public) health. Such an interdisciplinary undergraduate program, formed primarily between MCD Biology and Community Studies with participation from other departments, would likely be of interest to health science and community studies majors interested in pursuing a career option in community or public health. The internship program and courses that Community Studies have already developed will be very valuable in making such a program effective. Such a program would also form the seeds of a graduate program in Public Health. Another potential area of campus growth where Community Studies could possibly

collaborate with other department includes community-led efforts in energy and resource sustainability. GC recommends that a committee be put together with representatives from each division that can work with Community Studies to put together a plan for stronger engagement with the other divisions on campus that may lead to new or expanded community-based programs with faculty engagement across divisions.

h. General Recommendations for Improving Graduate Program Quality

Several factors are common to all departments with regards to improving graduate programs. These include more effective and efficient graduate course instruction, time-support for faculty that are most involved in graduate education, better advertisement of graduate programs, support for nonresident students, narrative evaluations for graduate students, and improving graduate student retention.

1) More efficient and effective Graduate Course Instruction

As the number of lecturers and FTE are reduced, a solution needs to be found for more efficiently teaching graduate level courses. Several possibilities exist, including changing from a 5-unit to 3 or 2-unit offering for specialty courses, more cross-listing of courses, increased teaching requirements for faculty less involved in research or other scholarly activities, and training postdoctoral researchers and/or advanced graduate students to teach graduate courses. Some of these options are discussed above in Section Ib. Graduate Council plans on exploring these options and providing a report on the best alternatives.

2) Time-support for faculty to be more involved in graduate education

The current system is not set up to encourage faculty to be engaged in graduate education. Those faculty who are most engaged in graduate education can spend tens of hours per week writing grants to support students, mentoring graduate students, and helping students prepare papers and talks. In many cases, this work takes up the majority of the faculty member's time; however, they are still required to teach the same quality and quantity of classes and engage in as much service as faculty that are not actively involved in graduate education. If graduate program quality is to improve, we need to recognize and encourage faculty to participate in graduate education. A stronger enforcement of current policy and potential new policies need to be considered as methods for providing incentives.

3) Better advertisement of Graduate Programs

Many of our graduate programs appear to suffer from lack of sufficient advertisement, a problem that is likely to get bigger as new graduate programs are launched. While several methods exist to improve advertising, such as sending faculty to other schools to give talks and advertise the graduate program, participating in national graduate program meetings and workshops, and mailing graduate program announcements to colleagues, they mostly rely on faculty and/or department chair and graduate staff time, which is already stretched thin and can also vary widely on a yearly basis. A more centralized approach to program advertisement at the divisional level, coordinated through the graduate division, may be more effective at advertising not only the individual programs, but the strength of the

graduate programs in the division as a whole. Related programs could be advertised in a single graduate brochure sent to contacts identified by the departments involved, which would clearly increase the advertisement pool and also emphasize the opportunities across disciplines. Such clustered advertising may make the individual programs more attractive to those concerned about applying to the relatively small graduate programs characteristic of UCSC. Methods for how to most effectively advertise graduate programs needs to be an area of consideration moving forward.

4) Nonresident tuition

The high cost of nonresident tuition has long been discussed as a source of problems with regards to graduate student quality and diversity at UCSC. Some programs, such as International Economics and Engineering, rely heavily on foreign students for the quality of the program. GC's understanding is that nonresident tuition is completely returned to each of the campuses; therefore, each campus has control over the use of nonresident funds. The question that needs to be addressed is whether the current use of nonresident funds really promotes quality graduate education, or whether such funds are better used to offset departmental costs of accepting nonresident students into graduate programs. The use of funds in the latter case would almost certainly increase the number of nonresident graduate students on campus, increasing graduate program quality and diversity. Movement on this issue requires the decoupling of undergraduate and graduate nonresident tuition in the campus and UCOP accounting, and the direct use of graduate nonresident tuition to increase support for nonresident graduate students and the departments that support them.

5) Narrative Evaluations for Graduate Programs

While of less critical importance than the previous topics, the effectiveness of narrative evaluations for graduate courses has been a topic of discussion for some time. These discussions have focused on balancing demands on faculty time versus improving the graduate program quality. GC has legislation proposed that would make Narrative Evaluations optional for graduate students, in alignment with the recent changes in undergraduate Narrative Evaluations.

6) Grades for Graduate Courses

With the increase in number of Masters students on campus, the inability of graduate programs to require letter grades for some of these students impedes the student's ability to get fellowships and also impacts their job placement and acceptance into doctoral programs that require GPAs. In some cases, this policy also makes it more difficult for programs to access student progress. In contrast, instructors are forced to assign letter grades to students that request them, even though a letter grade may be entirely inappropriate for the course being offered. Consequently, GC has legislation proposed that would allow graduate program faculty to require letter grades or the S/U option for courses offered by their program. This legislation also adds +/- to option the grades of A and B to offer faculty more flexibility in grading.

7) Graduation rates for graduate students

While some focus has been placed on increasing graduate student enrollment, such an approach would be a failure without increasing graduation rates for graduate students at an equivalent, or even greater, rate. GC plans to work with the Graduate Division to understand the factors that impact graduate student retention and time-to-degree, and identify practices that may be implemented to increase the graduate student graduation rate.

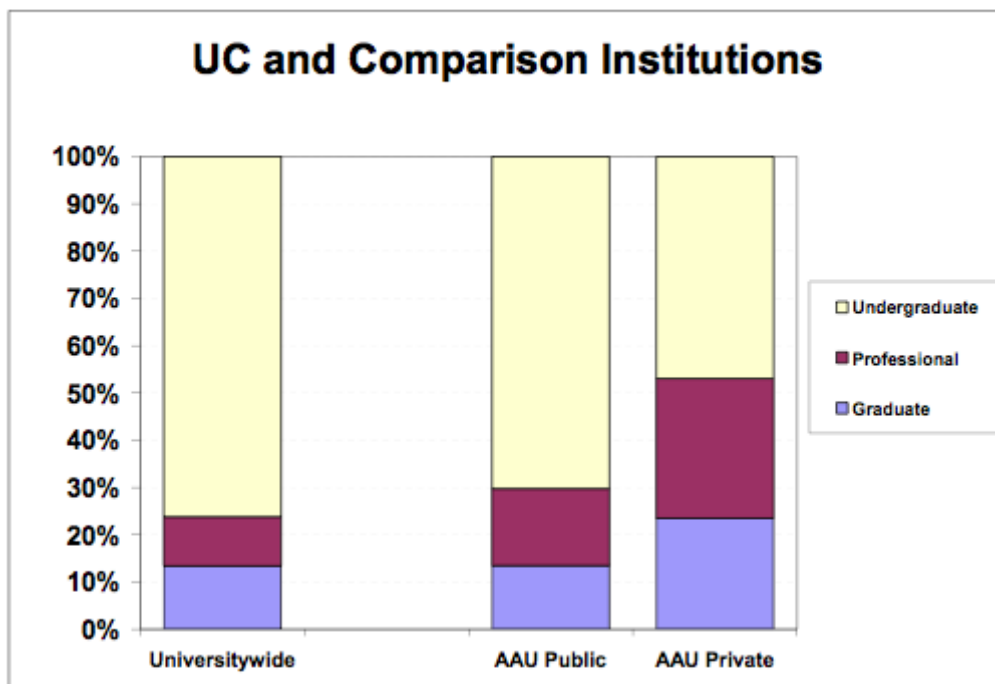
II. Long-term Vision for Graduate Programs

While undergraduate enrollments will flatten or possibly decline, the UC system is planning to increase graduate enrollment, and has funding allocated to achieve graduate enrollment growth. For UCSC to be part of this growth, we need to present a viable plan for how such growth will increase the overall quality and reputation of our university. We also need to understand where such growth can take place that is consistent with FTE resources.

a. Current status of Graduate Programs

The University of California Annual Accountability Report provides a wide range of data to assess the status of graduate programs (UC-wide and campus-specific) compared to representative public and private AAU institutions. Since the 1960s, undergraduate enrollment has increased 3x faster than graduate education, resulting in the decrease of graduate and professional students from roughly a third of all enrollments to 22% in Fall, 2008.

Indicator 6.8
Graduate, Professional and Undergraduate Degrees Awarded – UC and Comparison Institutions, 2006-07



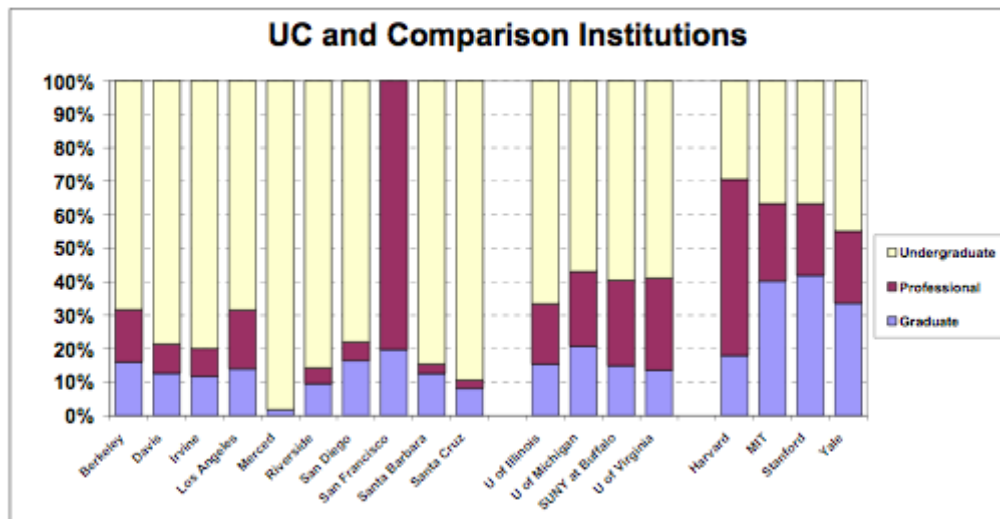
Source: IPEDS Completions Survey.

This effect has resulted in the UC's graduate and professional student body being a lower percentage of overall enrollment compared to competing institutions. If the comparison is limited to AAU Public institutions, the graduate student population is very similar, but UC still lags significantly behind in Professional degrees. This effect may be

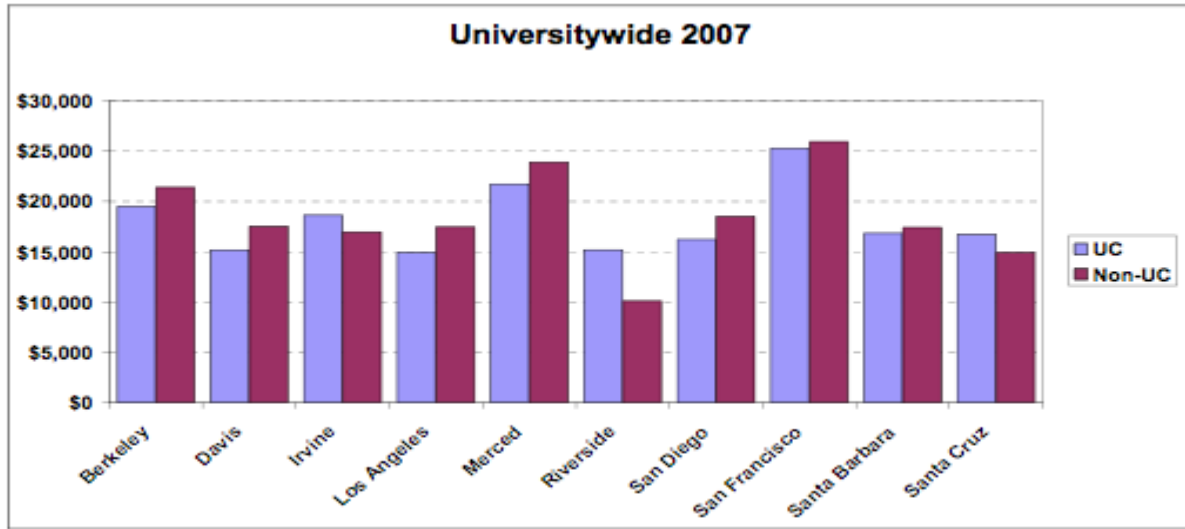
partly due to the fact that the CSU's offer many of the professional degrees in California's higher education system.

To highlight what these numbers mean for UCSC, the breakdown of graduate and professional programs per campus is shown below. With the exception of Merced, UCSC has the smallest percentage of overall graduate student enrollment of any UC campus, and lags behind all UC's in offering professional degrees. Moreover, with the exception of UCSB and UCR, UCSC has a 50% lower percentage of graduate and professional student enrollment compared to other campuses. We note that UCSB appears to have very similar graduate program composition as UCSC, and may be a useful campus for further study to understand how UCSC can change its overall rankings and size without dramatic changes in overall graduate program structure. Nonetheless, these statistics perpetuate the image that UCSC is largely an undergraduate institution.

6.8 (continued) Graduate, Professional and Undergraduate Degrees Awarded – UC and Comparison Institutions, 2006-07



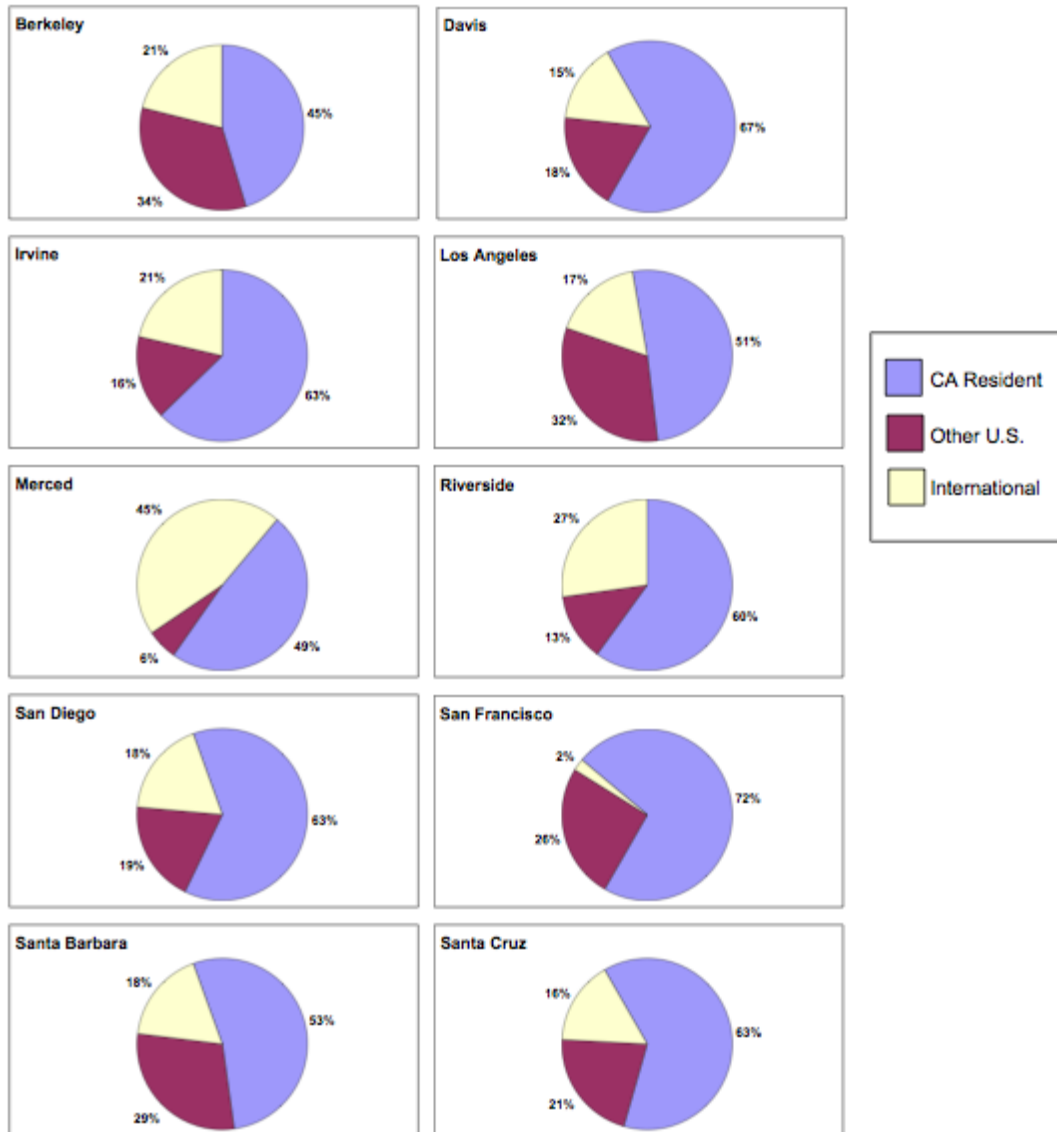
UCSC faculty have long used the size of the graduate student stipends as a reason for why graduate students turn down our offers. We show below the average graduate student stipends offered by UC campuses system wide, compared to the offers provided by non-UC institutions. With the exception of the universities that have large professional schools, UCSC's offer is comparable to other UC schools, and greater than competing offers at non-UCs. Nonetheless, this large stipend is offset by the higher cost of living at UCSC.



Discussions have also focused on needing to attract more international students. As shown below, the ratio between CA resident, UC non-residents, and international students is relatively balanced across campuses, with exceptions being UCB, UCLA, and UCM. Therefore, neither the size of stipend nor the ability to attract non-resident students are reasons for why UCSC's programs are smaller than the rest of the UC institutions. The most noticeable difference is the number of academic FTE at UCSC, the lowest in the UC system outside of Merced.

The size of the graduate student body, relative to undergraduate body, has been decreasing as a percentage for many years. If this trend continues, we risk the chance of becoming known almost solely as an undergraduate institution (in the UC system) which is sure to impact our ability to attract excellent graduate students, as well as potential longer term repercussions. Moreover, UCSC may start becoming indistinguishable from a very expensive CSU in the public perception. While considerable discussion is needed with regards to the size and shape of UCSC (in addition to the entire UC system), **GC recommends that we construct a plan to reach the 15% graduate student body that has served as a goal for nearly a decade.** If we don't do this, then we should abandon this goal and understand the consequences of such abandonment. While we could question the wisdom of the 15% number, it provides a place to start for planning purposes and would put us at least comparable to UCSB and UCR, although well behind the other UC schools and UC's comparative AAU institutions.

6.7 (continued) Geographic Origin of New Graduate and Professional Degree Students, Fall 2008



b. Growth Plans based on Projected Enrollments of 17,000 student-body enrollment

Our enrollment (Fall 2009) is 16,763 students, including 348 off-campus students. Of these, 1,504 are graduate students (or 9% of the student body). If we assume limited campus growth to 17,000, a graduate student body of over 2500 students would be required to reach 15%. Since this involves adding 1000 graduate students, undergraduate enrollments would have to be reduced by nearly 800 students to obtain these numbers. Reducing our undergraduate enrollments to state-funded undergraduate students only while decreasing time-to-degree would provide a means to reach this reduction. Given the limited growth of FTE expected, the graduate student growth may have to be comprised by some of the professional graduate programs that could support FTE positions through return on graduate student fees. Such programs could constitute a majority of the planning

for graduate programs/schools in Silicon Valley. We also anticipate some graduate student growth by enabling primarily undergraduate programs (i.e. LALS, American Studies, Feminist Studies) to launch new graduate programs. Finally, we anticipate that the Engineering and Art division's newest graduate programs that are just now getting off the ground may be a source for significant graduate program growth.

To start the planning process, GC has generated a very rough Table outlining what would be needed to add an additional 1,000 graduate students. We note that these numbers are purely guesses based on proposals currently in the pipeline, and will clearly change with time. The point of this exercise is to determine whether the addition of 1000 graduate students is a reasonable goal for UCSC to be pursuing.

Growth in graduate student body	PBS	BSOE	Soc. Sciences	Humanities	Arts
Doctoral Programs	+60	+100	+50	+60	+120
Professional Masters & Other masters/certificates	+110	+250	+150	+20	+80
Total	170	350	200	80	200

Physical and Biological Sciences:

Doctoral: The PBS division's doctoral student body is the largest of all the divisions; however, at best, it has been at a steady state for the last decade. Therefore, GC does not anticipate much growth except in programs that are already relatively small. In particular, the stabilization of the METOX graduate program could result in a substantial increase in graduate students in that program. If graduate student placement warrants it, the potential exists for more limited growth in the other two graduate-only departments, namely Ocean Sciences and Astronomy, due to the high quality of these programs and their relatively small size compared to other PBS programs that also offer undergraduate degrees. Finally, we anticipate some small growth in Earth Sciences and MCD Biology, and the new PBSE (Biomedical Sciences and Engineering) Ph.D. program. All together, an increase in 60 doctoral students (i.e. 12 graduate students/year assuming 5 years) is reasonable across these 5 programs given that METOX and PBSE have both grown substantially over the last year. New interdisciplinary graduate programs in Public Health and/or Environmental Sciences may also lead to growth in Ph.D. programs.

Masters: The PBS division has great potential for launching academic or Professional Master's programs. Potential programs include Public Health, Ocean Sciences, Applied/Engineering Physics, and Energy/Environmental Science, as well as participation in Science Education. We caution that any effort to launch a master's program in environmental areas must coordinate strongly with ENVIS to avoid duplicating that program's efforts and weakening the ENVIS graduate programs. We anticipate that these master's degrees could result in an additional 120 PBS graduate students (i.e. 50 masters students/year at an average time to degree of 2.5 years). We note that many of these programs could be offered in Silicon Valley, and designed to be "self-supporting," which would enable some new FTE appointments supported by fee remissions.

Baskin School of Engineering:

Doctoral: The BSOE doctoral student body is on a strong upward projection due to the new graduate programs in BME, AMS, TIM, and EE. We anticipate that both BME and AMS could reach a steady-state doctoral student body of 40 to 50 doctoral students. Electrical Engineering could also increase their doctoral student body if ideas to move into Power, Environmental and/or Water Engineering develop. In addition, the new TIM program has yet to take in its first graduate student body, and could eventually grow to a steady state of 40 doctoral students. All together, we anticipate a potential increase in doctoral students in the School of Engineering of 100 students.

Masters: The BSOE has been leading campus efforts to establish Professional Master's programs. They have several such programs in the works, including programs lead by CE, TIM, EE and AMS. The Silicon Valley Center will require a substantial graduate student body that is likely to be mostly professional master's due to both financial and location considerations. Consequently, a goal of 250 additional master's students (mostly professional) is not only possible, but also a necessity if UCSC's efforts in Silicon Valley are going to be sustainable. We note that the planned Graduate School of Business/Management could also increase these numbers, but this is discussed under the Social Sciences Division.

Social Sciences:

Doctoral: The Social Sciences doctoral student body has seen the most growth of any division, largely due to the launching of several excellent programs in the late 1990's; however, most of these programs have now reached a steady state. An exception is the new Education Ph.D. program. LALS is also poised to propose a very strong graduate program that could reach a steady-state of 30 doctoral students. Together, these two doctoral programs, combined with small increases in other departments, could lead to an increase in the Social Sciences doctoral student body of 50 (~ 8 graduate students/year at ~6 years time-to-degree).

Masters: The Social Sciences has opportunities to expand into offering Professional Master's, lead by its Economics department. While the proposed School of Management has been proposed as the major vehicle for this, the current budget is not conducive to launch such a program without a substantial private donation. However, GC does not believe this should hinder the Economics department from moving forward with plans, in collaboration with TIM, to launch a professional business degree, primarily in Silicon Valley. An MBA-like program would also enable the hiring of more FTEs (supported on return of fees). The Economics department also offers an Applied Economics and Finance master's program that has issues with viability, but may be substantially strengthened by moving it to Silicon Valley. The Education department also has plans to expand its program offerings in Silicon Valley by offering training to students who may want advanced training to teach in the STEM field. This program could attract a substantial number of recently graduated STEM BS students, as well as current teachers who wish to expand their education. Together, all of these master's programs could result in an increase in master's students of 150 (i.e. ~50 students/year assuming ~3 years to degree).

Humanities:

Doctoral: The Humanities division has been hit hard by the financial crisis, giving up a large number of FTE positions and putting several of their departments at risk. This has severely hurt HisCon, which has been historically one of the largest graduate programs on the UCSC campus. Having said this, Humanities has the potential for increasing their doctoral body due to the desire of two of their primarily undergraduate programs—American Studies and Feminist Studies—to launch graduate efforts. Feminist Studies has a long standing Ph.D. proposal that has received high marks on academic excellence, but also relies on new FTE's that are unlikely to be forthcoming. However, a large number of affiliated faculty could form an interdisciplinary graduate program (i.e. graduate group) with Feminist Studies faculty to launch the doctoral program without new FTE. In addition, American Studies has had interests in the past for being more involved in and/or launching a new graduate program which could be facilitated by working with faculty across the division. Together, these doctoral programs have the potential to increase the overall doctoral body in the Humanities by 60 doctoral students (i.e. 10 students/year with a 6 year time-to-degree). The ability of these departments to do this will largely be based on the outcome of the reconstitution of the Humanities division.

Masters: The potential of the Humanities division to launch professional master's programs may not be as significant as some other divisions; however, we encourage the Humanities to think creatively on this endeavor, particularly involving programs that could benefit from interactions with Silicon Valley. We are aware of a proposal by Linguistics to offer a 5-year BA/MA, as one example. Here, we set a modest goal of 20 additional master's students, but that estimate may be overly conservative.

Arts:

Doctoral: The Arts division will likely see the largest increase in new doctoral programs of any division due to their lack of doctoral programs in the past. The Arts doctoral programs include the recently approved Film and Digital Media and Visual Studies Ph.D. programs, as well as the relatively new Music Ph.D. program. In addition, Theater Arts has long-term ambitions to launch a Ph.D. program. These programs all have the potential to be excellent and highly popular graduate programs, and we anticipate that growth of doctoral programs in the Arts could reach 120 doctoral students (i.e. 20 graduate students/year with a time-to-degree of 6 years).

Masters: The Arts already has active masters and certificate programs, but there is potential for significant growth. In particular, Theater Arts is planning a new M.A. and the DANM program is doing an excellent job at placing students, and could expand its master's program in collaboration with other divisions and departments. Professional master's opportunities may also be envisioned in collaboration with Engineering that would take advantage of opportunities in Silicon Valley. Overall, we encourage Arts to consider a growth in master's programs to 80 additional students (i.e. 30 students/year at ~2.5 years time-to-degree).

c. Financial Considerations

Examples in the UC system suggest that increasing graduate enrollments, particularly in professional areas, will increase overall funding for UCSC. This is a necessity if UCSC is to survive funding cuts that may occur in the future due to poor state finances. UC schools that have large graduate programs are the ones that also have the least amount of state support. Consequently, they are able to absorb budget cuts better than UCSC. Larger graduate student enrollment increases scholarly activity, and therefore leads to awarding of more external grants. UC schools that have higher graduate student populations also receive greater return-on-fees. Graduate students also tend to consist of a larger fraction of nonresidents whose fees are returned at a much higher rate (nearly 100%) to the university, as are fees collected through professional master's programs. As UC tuition increases, the only thing that warrants an undergraduate or master's student to spend more money to attend UCSC, rather than a CSU, is our reputation as a research and graduate institution. As a consequence, UC schools that have large enrollment of graduate students in professional and academic programs have a greater ability to raise funding from non-state sources and adjust to budget cuts.

The UC system is already planning for growth in graduate education and has some funds set aside for this growth, although it isn't sufficient for the full growth projections. Clearly, these extra costs need to be carefully considered in growing the graduate program. We note that half of this growth is due to programs already approved (TIM, BME/Bioinformatics, ASM, EE, VS, and FDM) and primarily budgeted for. We anticipate that nearly half of the additional doctoral students may be supported by external funding, largely in the PBS and BSOE divisions. Moreover, we can anticipate that increasing the doctoral student body by over 400 graduate students will lead to significant increase in external funding opportunities that will lead to greater return to the university in the form of graduate student and postdoctoral support. Finally, the additional graduate programs provide an opportunity to raise private donations and foundation support.

For the master's programs, the vast majority of the 600 increase will be in professional programs offered by BSOE, PBS, and Social Sciences. For these programs to be viable, they will require a large return-of-fees for faculty and staff support; however, we anticipate that some fraction of the fees will be returned to the university to pay for facilities and other affiliated costs. In addition, faculty supported by these programs will bring in external grant funding, some of which will be returned to the university in the form of graduate students support. Also, these programs will likely produce a new group of Alumni that may be more able and more willing to donate funds to the university in the future. Professional programs in Silicon Valley will raise awareness of the quality of UCSC research, which should lead to more funding for the university from industry and foundations. Finally, the presence of graduate programs in Silicon Valley may attract a stronger foreign student population that will increase collection of non-resident tuition, as well as increase the diversity of our graduate student body. Overall, in the absence of additional university-supported FTE, we do not anticipate that the increase in the masters students will add a significant financial burden on the university and may, in fact, generate funds. Clearly a careful budgetary analysis needs to be performed for both the projected increase in doctoral and master's students.

e. Professional Program Guidelines

Given the lack of UCSC experience, specific guidelines need to be formulated and distributed to faculty who may be interested in proposing professional (self-supporting) graduate programs. Imperative to these proposals will be the need to assure that such professional programs fulfill the academic focus of the university, and provide graduate students career-advancing opportunities and future employment in the area of training. Moreover, any plans for professional programs may be subject to decisions at the UCOP level that involve distinguishing between professional programs offered by the CSU's versus the UC's as well as guidelines for professional programs. Before GC can move forward on developing guidelines for "self-supporting" graduate programs, the campus needs to define what self-supporting graduate programs are, and determine a financial model that will make such programs viable. GC would certainly be willing to engage the administration and faculty in this process.

f. Silicon Valley Graduate Programs

Plans for Silicon Valley graduate programs have been limited to just a few existing programs (TIM, Network Engineering) and the new School of Management. A concerted effort needs to be aimed at introducing faculty to the opportunities in Silicon Valley, and engaging all divisions in proposing potential graduate programs there. Any future planning documents for the campus MUST include plans for graduate programs in Silicon Valley or we run the risk of failing to capitalize on our best opportunity for growing graduate education and the university's reputation. This effort will require all five divisional Deans to be engaged in the process, exploring how this can positively (rather than negatively) impact the current graduate programs on campus. To make this happen, a significant amount of faculty time will be needed in the early planning stages, which could take the form of faculty release time. GC should work with the Silicon Valley Initiative, as well as faculty across the division, to help formulate plans for graduate programs offered in Silicon Valley.

APPENDIX B

Graduate Degree Annotations at UCSC

Approved by Graduate Council on December 3, 2009

Effective December 15, 2009

Introduction

This document describes the two types of degree annotations available to graduate students at UCSC. It replaces and supersedes earlier policies and terminologies used in the *2008-2010 General Catalog* and before, and brings UCSC usage and practices into closer agreement with the rest of the University of California. In addition to describing the annotations, this document also explains how students fulfill the requirements for them, and how departments propose them to Graduate Council for approval.

The two types of annotations are called *concentrations* and *designated emphasis*. Broadly, these are as follows:

1) *Concentrations* denote areas of specialized curriculum, training, and research within a given department or degree-granting program.

2) *Designated Emphasis* denotes a broadening of training that comes from adding course work, training, and/or research work from an *external* department¹, degree-granting program, or cross-departmental grouping of faculty who together offer a designated emphasis. Example: a PhD in Literature with an Emphasis in Feminist Studies. In this case, the extra training to obtain the Emphasis is offered by the separate Feminist Studies Department, not Literature.

Note: Previously, the term parenthetical notation (“parentheticals”) was used generically to describe both concentrations and emphases. However, this term was not clearly described or consistently applied. After December 15, 2009, the terms concentration and designated emphasis will be clearly distinguished, and the generic “parenthetical notation” will no longer be used.

The two new types of annotations are now further described.

¹ Departments that would like to offer a Designated Emphasis *internal* to their department may petition Graduate Council for an exception to policy.

Concentrations

Concentrations are easier to manage since no additional coordination between departments and/or degree-granting programs is required. Graduate Council wishes to keep the paperwork and monitoring requirements of concentrations to a minimum. The elements of the concentration are as follows:

- 1) The requirements for a concentration are developed and defined within each degree-granting program.
- 2) Minimum requirements are a significant body of research work in the area of the concentration, a minimum number of courses (number to be determined by the degree-granting program), emphasis on the area of concentration in the qualifying exam, or a combination of these. As long as this rule is observed, the proposed concentration does not need to be reviewed and approved by Graduate Council.
- 3) The requirements to fulfill a concentration should not add additional degree requirements beyond those already in place to fulfill the basic degree. Any additional requirements would constitute a program revision and require additional review by the Graduate Council. In general, the development of concentrations within a program should be done within the parameters of the existing program requirements and thus not require Graduate Council review.
- 4) The decision to award a student the concentration will be made by the department chair, the faculty graduate director, or an appropriately constituted faculty committee drawn from the degree-granting program, according to departmental procedure.
- 5) The concentration is an informal annotation; no notation of it appears on the student's transcript or diploma. However the student will have the right to note the concentration in his/her curriculum vitae using the words "a degree in XXXX with a concentration in YYYY." The department may refer to the student's degree with the concentration noted, and writers of letters of reference may note the concentration when referring to the student's degree.
- 6) The responsibility for keeping records of students who have received concentrations rests with the degree-awarding department or program. No records of concentrations will be kept by the Registrar.
- 7) The availability of concentrations will be noted in each program's description in the *General Catalog*. Each concentration and its requirements will be described, and a summary of all concentrations will be given in the Fields of Study summary table at the beginning of the catalog. It is the responsibility of departments to review and update the catalog text pertaining to concentrations, so that current practice is officially recorded.

Designated Emphasis

A Designated Emphasis (DE) generally involves the cooperation of two degree-granting programs. The program that provides the courses and training in the subject of the emphasis is called the *offering program*, and these programs are said to *offer emphases*. A program whose students utilize the courses and training from the emphasis in its degree program is called the *coordinating program*, and these programs are said to *coordinate emphases*. In the example of Literature above, the program description could say, "Ph.D. students in Literature may wish to consider the designated emphases in x, y, z; students must have the designated emphasis approved by the graduate director / graduate committee as well as meet the requirements of the emphasis."

Designated Emphases are official UCSC credentials, and as such their requirements must be reviewed and approved by the Graduate Council. **To simplify the process, we henceforth require that all programs wishing to offer a designated emphasis will establish a single set of requirements for all students regardless of their primary program of study.** This uniformity of emphasis requirements for students in all coordinating departments is a major change that will reduce record-keeping and approvals. It differs from older practice, where each coordinating and each emphasis-offering department negotiated *separate agreements* with each other on the content of their joint "parenthetical notations."

The elements of a Designated Emphasis (DE) are as follows:

- 1) Requirements will typically include more than one of the following elements:
 - A. Course work in the offering program
 - B. Offering program faculty membership on qualifying or thesis committee
 - C. Significant writing, research, teaching, presentation, or production in the discipline of the offering program
- 2) The requirements for the DE will be set by the emphasis-offering department and designed to be generally applicable to students from any coordinating department.
- 3) Departments proposing a DE must explicitly address the resource implications of the proposed emphasis and include confirmation from the Divisional Dean of resource-neutrality or a commitment of resources to support the DE sustainably. The DE requirements and resource implications must be reviewed by Graduate Council for approval.
- 4) The coordinating department will approve student requests for the DE annotation through departmental graduate approval procedures, and the emphasis-offering department will certify completion of the DE requirements.
- 5) The DE is a formal credential, and records will be kept of it on the student's transcript in the Registrar's office and on the student's diploma. The words used will be "a degree awarded in XXX with an emphasis in YYY." The parenthetical notation will no longer be used.

6) The offering of DE programs will be noted in the *General Catalog*. The DE requirements will be specified under the offering program's description. Programs may wish to include in their catalogue descriptions the option of pursuing designated emphases, and point students towards suggested possible emphases, according to disciplinary affinity and program history.

Any change to the approved requirements of a designated emphasis must be re-approved by the Graduate Council.

Transition to the new requirements

To facilitate transition to the new system, the Graduate Council will establish a sub-committee to evaluate present parenthetical degree notation MOUs for each serving program and, if necessary, suggest ways to transform these into a single set of DE requirements. Preliminary review suggests that, with a few exceptions, offering departments have already streamlined their requirements to a considerable extent, and we anticipate that the requirements can be fully homogenized with a minimum of extra effort.

Current graduate students also have "catalog rights," which are the right to graduate under the degree requirements and degree terminology that were outlined in any catalog from the time they enter, up to the time they graduate. Students who either cannot or do not wish to be covered by the new system have the right to invoke the previous requirements as they would have applied to them.

Requests to offer a Designated Emphasis - Procedures

Departments and programs wishing to establish/offer a Designated Emphasis should submit the following documents to the Graduate Council for approval.

- Proposal for a Designated Emphasis, including a single set of requirements for all students regardless of their primary program of study. The proposal should be accompanied by a cover letter stating the rationale for offering the DE, and addressing the issue of resources required to run the DE. If no additional resources are required, this should be stated. If additional resources are required, they should be described, and the source of support for these resources should be identified.
- Letter of endorsement from the Divisional Dean, confirming resource-neutrality of the proposed DE, or a commitment of resources to support the DE sustainably.

The complete proposal should be forwarded to the Graduate Council, with a copy to the Vice Provost and Dean of Academic Affairs (VPDAA).

Please direct any questions, comments, or requests to establish a Designated Emphasis to the Graduate Council Analyst, Stephanie Casher (scasher@ucsc.edu; 459-2259).

APPENDIX C

Graduate Degree Annotations at UCSC

A *Designated Emphasis (DE)* denotes a broadening of training that comes from adding course work, training, and/or research work from an *external* department, degree-granting program, or cross-departmental grouping of faculty who together offer a designated emphasis. The following programs offer a Designated Emphasis:

- American Studies
- **Anthropology (PENDING)**
- Ecology and Evolutionary Biology
- Education
- Environmental Studies
- Feminist Studies
- Latin American/Latino Studies (LALS)
- Literature
- Philosophy
- Politics
- Robotics and Control
- **Sociology (PENDING)**
- Statistics
- Visual Studies

Please contact the each department directly for their Designated Emphasis requirements.

Note: Previously, the term parenthetical notation (“parentheticals”) was used generically to describe both concentrations and emphases. However, this term was not clearly described or consistently applied. After December 15, 2009, the terms concentration and designated emphasis will be clearly distinguished, and the generic “parenthetical notation” will no longer be used.

APPENDIX D

February 19, 2010

To: Georges Van Den Abbeele, Dean of Humanities
From: Graduate Council

Graduate Council Report on Interdisciplinary Grad Programs in the Humanities

Dear Georges,

The Humanities Division Advisory Task Force on Reconstitution (ATFR) Report discusses various possibilities for consolidating the small, interdisciplinary graduate programs in the Humanities so as to ensure their continued viability in some form. The Graduate Council has carefully considered that Report. What follows here are the Graduate Council's response and recommendations.

Under present political and economic circumstances, the Humanities are vulnerable and their vital role in the general educational mission of UCSC is at risk. We begin our consideration of how to go about consolidating and strengthening graduate programs in the Humanities with three basic principles which apply across all divisions:

A. *At a research university, all faculty should have the intellectual freedom to pursue their scholarly interests, regardless of institutional or organizational form.*

B. *At a research university, all faculty should have the opportunity to participate in graduate education.* Under existing and anticipated resource constraints, this right must come with the responsibility to teach undergraduate courses; graduate-only programs introduce undesirable inequalities, fail to generate teaching assistantships needed to support graduate students, and in any event are no longer affordable.

C. *To be able to do their scholarship and teaching, all faculty must be members of functioning departments* (i.e., administrative units sufficiently robust to plan curricula, advise students, conduct personnel reviews, etc.).

1. It is desirable to preserve the Feminist Studies, American Studies, and History of Consciousness programs as distinctive centers of excellence that have achieved national and international reputations. However, these programs are interdisciplinary and can be independent of departmental configurations.

2. Under current and anticipated resource constraints, Feminist Studies, History of Consciousness, and American Studies are all too small to be viable departments or to

mount graduate programs. Feminist Studies and American Studies have only undergraduate programs and cannot at present achieve the critical mass necessary to launch graduate programs. History of Consciousness has only a graduate program, and without significant undergraduate enrollments cannot gain the teaching assistantships needed to support its graduate students. Both situations seem unhealthy.

3. The Graduate Council concludes first that this status quo is unacceptable, and second that since the campus will be unable to expand these too-small departments to viability in the current and foreseeable fiscal climate, there will need to be fewer departments.

4. The Graduate Council considered two basic options for shrinking the number of departments:

A. Reconfigure the three small departments into one broad new department with one or more graduate and undergraduate programs;

B. Eliminate the three small departments and disperse their faculty to other existing departments while preserving both interdisciplinary graduate and undergraduate programs in new forms.

5. The Graduate Council finds Option A untenable for several reasons. First, the proposed new department might still be too small if some faculty shifted to other departments. Second, even if no faculty left, the new department might remain too small to effectively manage all the graduate and undergraduate programs under its organizational umbrella. Third, such a new department would likely lack the programmatic vision and intellectual coherence necessary to manage multiple curricula, conduct personnel reviews across disciplines, and plan for the future.

6. The Graduate Council recommends Option B, under which non-departmental ways to preserve interdisciplinary graduate and undergraduate programs would have to be found. This could take the form of Interdisciplinary Graduate Groups (IGG). There are viable models for such IGGs at other campuses (e.g., Culture and Theory at UCI and Cultural Studies at UCD).

Undergraduate programs in both Feminist Studies and American Studies should be preserved as interdisciplinary majors, emphases, or tracks in an extant department. With regard to graduate programs, both Feminist Studies and American Studies should have the option of forming Interdisciplinary Graduate Groups, either individually or as parts of a larger, merged IGG with History of Consciousness. We note that the deeply interdisciplinary character of the History of Consciousness program has meant that many of their graduate students already draw upon faculty from a wide range of other departments, so moving to an IGG format would not constitute a jarring rupture from existing practice.

Decisions as to where faculty will be relocated will have to take into careful account both the preferences of each faculty member and their training, publications, and teaching history. Faculty who move should be assured that their personnel cases will be handled fairly and judged according to appropriate criteria in the new department. They should also have the option to move their FTE across divisions.

Any such reconfiguration plan will require institutional flexibility and fluidity. Hybrid organizational forms will likely need to be created in which existing departmental and programmatic membranes become more permeable. Specially tailored memoranda of understanding will be required to make clear the curricular and administrative lines of responsibility. The Graduate Division and indeed the campus will have to commit to supporting the IGG framework in order to preserve the reputational capital that has been built by the distinguished faculty in each of these three departments.

The Graduate Council understands that such changes will be challenging. While it will be difficult for some faculty to lose departmental identities in which they may be invested, those who move their FTE to a new department stand to benefit from being in a stronger institutional niche, and departments receiving such faculty stand to be enriched by new members and new IGGs. The Graduate Council is convinced that the new configurations stand the best chance of allowing Feminist Studies, American Studies, and History of Consciousness not only to survive but potentially to do *more* of the scholarly work that they wish to do than they can under present conditions.