

Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, October 19, 2012 at 2:30 p.m.
College Nine Namaste Lounge
ORDER OF BUSINESS

1. Approval of Draft Minutes
 - a. Draft Minutes of May 18, 2012 (AS/SCM/302)
2. Announcements
 - a. Chair Konopelski
 - b. Campus Provost/Executive Vice Chancellor Galloway
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports
 CONSENT CALENDAR:
 - a. Committee on Admissions and Financial Aid (AS/SCP/1702) p.1
 - b. Committee on Affirmative Action and Diversity (AS/SCP/1703) p.14
 - c. Committee on Computing and Telecommunications (AS/SCP/1704) p.18
 - d. Committee on Educational Policy (AS/SCP/1705) p.23
 - e. Committee on Emeriti Relations (AS/SCP/1706) p.30
 - f. Committee on Faculty Welfare (AS/SCP/1707) p.32
 - g. Committee on International Education (AS/SCP/1708) p.40
 - h. Committee on the Library and Scholarly Communications (AS/SCP/1709) p.43
 - i. Committee on Planning and Budget (AS/SCP/1710) p.47
 - j. Committee on Preparatory Education (AS/SCP/1711) p.60
 - k. Committee on Privilege and Tenure (AS/SCP/1712) p.64
 - l. Committee on Research (AS/SCP/1713) p.66
 - m. Committee on Rules, Jurisdiction, and Elections (AS/SCP/1715) p.73
 - n. Committee on Teaching (AS/SCP/1714) p.75
 - o. Graduate Council (AS/SCP/1716) p.80
5. Reports of Special Committees (none)
6. Reports of Standing Committees
 - a. Committee on Educational Policy
 - i. Amendment to Regulation 9.1 – Grades, Evaluations and Transmission of Records (AS/SCP/1717) p.94
 - b. Committee on Research
 - i. Amendment to Bylaw 13.27 (AS/SCP/1718) p.98
7. Report of the Student Union Assembly Chair
8. Report of the Graduate Student Association President
9. Petitions of Students (none)
10. Unfinished Business (none)
11. University and Faculty Welfare
12. New Business

October 11, 2012

Academic Senate
Santa Cruz Division

Dear Colleagues:

I write to inform you of the first Senate meeting of the year on Friday, October 19, 2012, 2:30-5 PM at the College Nine Namaste Lounge. The agenda may be viewed at:

<http://senate.ucsc.edu/senate-meetings/agendas-minutes/2012-october-19-senate-meeting/index.html>

I urge everyone to become acquainted with the issues as presented in the call. We have a full complement of annual reports from the Senate Committees that reflect on their efforts last year and lay groundwork for the work of the current year. The meeting will also include two pieces of legislation, one arising from the Committee on Research (COR) and one from the Committee on Educational Policy (CEP).

Rebenching, a topic that dominated the Senate's deliberations last year, is now the accepted method for distribution of State funds to the campuses. One aspect of rebenching that has moved into focus for the Senate this year is the portion of the rebenching funds that is designated for 'aspirational graduate growth.' This is important for all faculty since it requires a rapid acceleration of graduate growth in the next five years. I'll have more to say about this in my opening remarks. I will also be discussing the two important joint Senate/Administrative Task Forces, one on Pedagogy and one of Academic Structures and Strategic Planning, that are getting underway this fall.

Hope to see you on the 19th!

Sincerely,

A handwritten signature in black ink that reads "Joseph F. Konopelski". The signature is written in a cursive style with a large, sweeping initial "J".

Joe Konopelski, Chair
Academic Senate
Santa Cruz Division

**PROPOSED CORRECTIONS TO THE MINUTES
October 19, 2012 Senate Meeting**

The draft minutes from the May 19, 2012 Senate meeting was distributed via email on October 10, 2012 and will be presented for approval at the Senate Meeting on October 19, 2012. After being approved, these minutes will be posted on the Senate web site (<http://senate.ucsc.edu/senate-meetings/agendas-minutes/index.html>).

Senators are asked to submit any proposed corrections or changes to these draft minutes to the Senate Office in advance of the next meeting, via EMAIL or in WRITING. All proposed changes will be compiled in standardized format into a single list for display at the next meeting.

This approach gives Senators an opportunity to read and review changes before being asked to vote on them, gives the Senate staff and the Secretary time to resolve any questions or inconsistencies that may arise, and minimizes time spent on routine matters during meetings. While proposed changes may be checked for consistency, they will not be altered without the proposer's approval. This approach complements, but does not limit in any way, the right of every Senator to propose further changes from the floor of the meeting.

To assist the Senate staff, proposed changes should specify:

1. The location of the proposed change (e.g. item, page, paragraph, sentence...)
2. The exact wording of existing text to be modified or deleted
3. The exact wording of replacement or additional text to be inserted
4. (Optional) The reason for the change if not obvious

Please submit all proposed changes to arrive in the Senate Office **no later than 12 p.m., Thursday October 18, 2012**. They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to senate@ucsc.edu.

Judith Habicht-Mauche
Secretary, Academic Senate
Santa Cruz Division

October 11, 2012

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Annual Report, 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on Admissions and Financial Aid (CAFA) had a productive year with priority consideration given to a 1) the newly implemented Holistic Review admissions process, including defining tiebreak criteria (evaluation for Fall 2012 class), for 2) the Transfer Admission Guidelines authored by the Board of Admissions & Relations with Schools (BOARS), 3) the non-resident student application timeline, with particular attention to the special needs of international students, and 4) general oversight of the revisions to the UCSC Honors program. In addition, the CAFA Data sub-committee has conducted a preliminary analysis of UCSC's recent admissions decisions and plans to evaluate the outcomes of Holistic Review in 2012-13 when admissions data are available.

I. Admissions and Financial Aid for Fall 2012

A. Admissions

Fall 2012 was a year of change in the area of undergraduate admissions. At a UC-systemwide level, several important policy changes were implemented, including the new 9x9 eligibility model and the establishment of the new Entitled to Review (ETR) pool of applicants. Both of these BOARS policy changes are significant:

- The 9x9 eligibility model increased the percentage of ELC (Eligible in the Local Context) students from 4% to 9%, based on the GPA in 'a-g' courses in their local high school context. However, it lessened the percentage of students that qualified in the statewide context to 9%. Due to the overlap between these two populations, the 9x9 eligibility model accounts for approximately 10.5% of the high school graduates that would be considered "eligible" to the University. These students have historically been guaranteed admission somewhere within the UC system.
- The ETR pool of applicants was established to send a positive message to California high school students that a comprehensive review of an application would be given provided a student had a minimum 3.0 grade point average and had completed 11 of the 15 'a-g' courses by the end of the junior year. The ETR pool of applicants is not guaranteed admission as is the case with the 9x9 cohort. It was estimated that the ETR cohort would make up approximately 2% of the high school graduates.
- Between the 9x9 cohort and the ETR cohort, the University would meet the mandate of serving the top 12.5% of California high school graduates.

Based in part on these UC-systemwide changes in freshman policies, UCSC saw a significant increase in frosh applications for fall 2012. UCSC received a total of 33,142 frosh applications, an increase of 4,906 (17.4%) over the previous year. Significant increases resulted in several important categories: African-American applications increased by 273 students (20.4%), American Indian applications increased by 4 (.25%), Hispanic applications increased by 1,718

(23%), Non-resident applications increased by 1,199 (66%), and first-generation applications increased by 2,486 (22.7%). These increases were due in large part to several factors, including the shift in UC-systemwide policy, California's changing demographics, and the ongoing outreach efforts by the Admissions Office and other UCSC constituents.

At the transfer level, after last year's 16.6% increase in applications, UCSC had a slight downturn in applications for fall 2012. UCSC received a total of 7,679 applications, 440 fewer (5.4%) than fall 2011. This decrease was noted at all UC campuses except UC Merced. UCSC did not accept applications from lower-division transfer students, resulting in a transfer applicant pool comprised entirely of junior-level students.

UCSC admitted 20,178 frosh for fall 2012, an increase over the previous year of 950 students. The frosh enrollment target for fall 2012 was 3,700, an increase of approximately 100 students from the enrollment target for fall 2011. The admission rate of frosh, however, decreased to 60.8% compared to 68% the previous year.

This was the first year that UCSC used a Holistic Review model for selecting frosh admits. This new method of comprehensive review (modeled after UC Berkeley and UC Los Angeles) involves no fixed weight or fixed points, as was the case in UCSC's previous Comprehensive Review model, and as such, involved a significant workload increase for the staff in the Office of Admissions. While there were some unanticipated complications resulting from the implementation of Holistic Review, they were overcome allowing UCSC to meet its goal of admitting frosh on March 15, 2012. The admission outcomes showed increases in underrepresented students, first-generation students, low-income students, students coming from low-performing high schools in California, as well as increases in non-residents (both domestic non-residents and international students). Academic quality of the admitted frosh cohort was on par with fall 2011. UCSC again offered some denied frosh an opportunity to be on a UCSC waitlist, but after the Statement of Intent to Register (SIR) numbers were known, no waitlisted frosh was offered admission to the campus.

At the transfer level, UCSC admitted 5,288 juniors, a slight increase of 28 students (.05%) from the previous year. The annual enrollment goal for transfers was set at 1,250-1,300 students, up by 50 over fall 2011. When SIR numbers were known, UCSC will again meet its annual target entirely with the fall cohort. UCSC will begin implementing some major-based admission decisions for fall 2013 (concordant with pending BOARS policy changes), with particular attention to those impacted areas in the biological sciences, economics, and psychology.

Frosh SIRs totaled 4,523, an increase of 247 students (5.7%). Non-resident SIRs increased by 51 students (132 vs. 81) from fall 2011. Transfer SIRs totaled 1,659, an increase of 149 students (9.9%) from the previous year. The Office of Admissions is again working with several academic departments in communicating with SIREd transfers that may benefit from additional major preparation, offering to defer their admission to winter 2013 or by guaranteeing their admission for fall 2013. UCSC is again not open to new applications for winter 2013.

CAFA is pleased with these outcomes and supports the continuation of Holistic Review, while recognizing that some adjustments are needed for fall 2013.

B. Financial Aid and Scholarships

The demand for financial aid is increasing and so is the cumulative loan debt that our students graduate with. About 70% of UC Santa Cruz students receive some type of financial aid (including grants, scholarships, loans and/or work-study assistance.) This year, support was provided to 11,640 undergraduate students.

Political and Budgetary Impacts

The world of financial aid funding is virtually never stable – subject to federal and state economies and to the will of legislators. The federal government has imposed a 6 year limit on the receipt of Federal Pell Grants – students over the limit will lose Pell Grant funding but, under the UC undergraduate student Education Finance Model, will receive UC return to aid grant funds to offset this loss. Fortunately, the number of students affected by the new rule is expected to be small – roughly 50 current students are impacted. But, diverting UC grant funds ultimately has an impact on the self-help component of student packages (the work/loan expectation).

Under the passage of the California Dream Acts (AB 130 and AB131), undocumented students who qualify for AB540 non-resident tuition exemptions are now eligible to receive UC/CSU and state funded aid. Beginning January 2011, students may receive scholarships that have been privately donated to the campus, beginning in January 2012, students may receive UC return to aid grant funds and beginning in fall 2013, they may receive state funded Cal Grants. The California Student Aid Commission created an online Dream Application for students to use in lieu of the Free Application for Federal Student Aid (FAFSA) which may not be submitted if a student doesn't have a social security number. Dream Act students do not qualify to receive federally funded grants, loans or work-study.

Other factors influencing the work/loan expectation in our aid packages is the degree to which FAFSA data is verified. Because the Financial Aid and Scholarship office lost staff positions in recent rounds of budget reductions and because aid applications from UCSC students are increasing each year, we cannot effectively manage this degree of scrutiny while also ensuring timely offers of aid. . The U.S. Department of Education has attempted to improve the accuracy of FAFSA data by providing a link to the IRS through which families can download some of the required data from their tax return (after it is filed with the IRS) into their FAFSA. Although this is helpful, the timing of aid applications juxtaposed with the IRS deadline is problematic. In California, students must submit a FAFSA by March 2nd while the tax return filing deadline is April 15th.

All of the factors above result in shifting UC grant funds to students with more ability to pay and away from those with less ability to pay but it is worth highlighting that all students pay more in this scenario in in the form of a higher work/loan expectation.

For 2011-12, the state legislature passed laws to impose new rules for Cal Grant recipients. This program had income and asset ceiling tests that had to be met by the first year the student received a Cal Grant and thereafter, they had to demonstrate financial need. Beginning in 2011-12, the income and asset ceiling tests have to be applied each year. This has resulted in the loss

of about \$4 million in Cal Grant funds to UC Santa Cruz students in the current year. The consequence is the same as the loss of Federal Pell Grant dollars; affected students received UC return to aid grant funds to offset this loss and the work/loan expectation rose.

In his recent budget proposal, the Governor has outlined a plan that would essentially decimate the current Cal Grant program in its current form. Cal Grant is a need and merit grant program from which UC students benefit tremendously. Brown's budget would make it a need only program modeled after the Federal Pell Grant program. It appears unlikely the legislature will adopt the proposed changes; however the risk is high that this program will suffer cuts in the future unless the state economy stabilizes. For comparison, UC Santa Cruz students are receiving about \$28 million in Pell Grants and \$65 million in Cal Grants for 2011-12. A change of the magnitude proposed by Governor Brown would result in the loss of viability of our current aid program for undergraduate students. Lacking an increase in gift aid to offset the loss, many students and families would find a UC education out of reach financially.

It is a fact that need analysis under the current federal methodology and using the current federal application – the FAFSA - is an inherently unfair process. This is the process all UC's are using. However, the application/methodology ignores the ability of non-custodial (divorced) parents to contribute, it ignores home equity, it ignores retirement investments (where savings can be sheltered), and it automatically classifies a student as independent at age 24 resulting in no reporting of the financial data for their parents. Savvy financial planners/parents are aware of the loopholes in this system.

UC has made the choice not to require students to submit an alternative/additional application available from the College Scholarship Service (CSS) – the Profile application. Like an admission application, CSS charges a fee for their service which increases depending on the number of schools to which a student is applying. (Note: CSS offers campuses the option to purchase application fee waivers for certain populations of students.) UC has been deterred from adopting the use of the Profile by the fees and the by the complexity/detailed nature of the application.

All of the changes implemented or proposed, result in higher indebtedness for our students. Recent UC Santa Cruz graduates have an average debt of nearly \$20,000 but the debt ranges up to \$31,000 – the federal cumulative maximum amount an undergraduate student may borrow. Each year, the U.S. Department of Education calculates loan default rates by campus. The rate for our campus has been exceptionally low in recent years but is beginning to climb. The latest data shows: 2008 Official Cohort Default Rate = 1.4, 2009 2 YR Official Cohort Default Rate = 2.5, 2009 3 YR Draft Cohort Default Rate = 4.1.

A final area of concern is the Federal Work-Study program. Our campus receives only \$750,000 in federal dollars for this program annually. Simply put, this can support \$1,000 of earnings for 750 students. For years, the Financial Aid and Scholarship Office has added UC grant dollars (return to aid) to supplement the federal funds and the campus has hired 1,500 to 1,700 students each year under this program. In 2011-12 however, earnings have increased - the grant supplement required to balance the fund is expected to be \$1 million by fiscal close this year. It

is possible the number of work-study jobs will have to be limited in the future if the trend of hiring more students using Federal Work-Study funds continues to increase.

Historically, we have included work-study in the aid package of every eligible student. This model created the expectation that a job would be available and has caused frustration for students unable to find employment. The UC Santa Cruz campus and community do not have jobs for 8,000 or more students. To better manage expectations, beginning in 2012-13 work-study will be offered to students who meet Federal Pell Grant program eligibility requirements and to students who have work-study positions in the current year. However, there are no funds to offset the lack of a work-study offer. Our only option is to offer nothing in its place or to offer the student's parent (if dependent) a Federal Parent Loan for Undergraduate Students.

Current Financial Aid Funding Model and Data

Under the UC Education Finance Model, undergraduate students who qualify for need-based assistance must pay approximately the first \$9,500 of their need from loan and/or work resources. After subtracting the loan/work expectation and the family contribution (from FAFSA data) - gift assistance is offered to help pay the remainder of the total estimated total cost. The cost for a student living on campus in 2012-13 will be about \$33,300.

The Blue and Gold Opportunity Plan guarantees that students from families with incomes under \$80,000 will receive enough gift aid (from all sources) to pay UC tuition and fees. Virtually all students in this category receive enough gift aid to meet this commitment. However, under the Plan some students who would not normally receive gift aid (due to high asset equity) receive gift aid. The plan may work as a recruitment device but it diverts funds from students who need them more to students who need them less and causes an increase the work/loan expectation for all students.

In 2011-12 the Financial Aid and Scholarship Office administered over \$250 million in financial assistance to about 70% of UCSC's undergraduate students. Aid applications and recipients are increasing significantly each year.

| Source of Aid | Percent of Undergraduates | Amount Received | Average Award |
|-----------------------------|---------------------------|-----------------|---------------|
| Gift Aid (all sources) | 64% | \$158,000,000 | \$ 15,410 |
| UC Santa Cruz Scholarships* | 9.8% | \$ 3,700,000 | \$ 2,358 |
| Federal Pell Grants* | 41% | \$28,250,000 | \$ 4,262 |
| Student and Parent Loans | 57% | \$90,000,000 | \$ 9,906 |
| Federal Work-Study | 12% | \$ 2,700,000 | \$1,374 |
| * Included in gift aid | | | |

Campus undergraduate scholarship programs are administered by various campus departments as well as by the Financial Aid and Scholarship Office. Listed below are data for major scholarship programs administered by the Financial Aid and Scholarship Office:

| Scholarship Program | Recipients | Amount Received | Average Award |
|--------------------------------------|------------|-----------------|---------------|
| Regents Scholarships | 151 | \$ 723,134 | \$4,789 |
| Campus Merit Scholarships | 384 | \$ 570,149 | \$1,485 |
| Pister Leadership Opportunity Awards | 25 | \$ 222,432 | \$8,897 |

Less than 10% of undergraduates receive scholarships each year and UC Santa Cruz has the lowest per capita scholarship support of all UC campuses – about \$230 per undergraduate student. It is vital that scholarship fund raising be a major component of the comprehensive capital campaign the campus is undertaking to ensure that UC Santa Cruz is an affordable as well as attractive alternative for undergraduate students who aspire to attend.

C. Appeals

There were 314 frosh appeals submitted for fall 2012, an increase of 91 over the previous year. The increase in frosh appeals was most likely due to the increased number students denied admission (nearly 4,000 more than fall 2011) which included the increased number of waitlist offers (nearly 1,000 more than fall 2011). Of the 314 frosh appeals that were submitted, only 42 were granted, all of which met our selection criteria. All 42 students were read under the new Holistic Review process and scored comparably with other frosh admits. Of the 42 frosh that were admitted, 29 of them submitted their SIR.

There were 86 transfer appeals submitted for fall 2012, a slight decrease (36) over fall 2011. Of the appeals that were submitted, 34 were granted, all of which met the same selection criteria that we used for all other transfer offers of admission. Of the 34 transfers that were admitted, 28 of them submitted their SIR.

II. Work of CAFA in 2011-2012

A. Campus Connections

The Committee interfaced with several campus and Senate processes:

1. BOARS Transfer Admission Policy

CAFA reviewed the revised BOARS Transfer Proposal (February 2012) and aside from some minor logistical concerns, is supportive of the planned changes. In many ways the proposal aligned with campus goals related to transfer student major preparation, and believes that the revisions make the transfer pathways more clear. CAFA pointed out the parallel critical need for an overhaul of the ASSIST system to become more user friendly for both prospective UC transfer students and advisors.

2. Major Preparation (transfers)

As previously mentioned, CAFA communicated with the departments asking them to identify a draft version of their transfer major requirements. CAFA's goal is to identify these courses, achievably articulated, for those majors which a) have the most need for major prep coursework due to lengthy major field requirements and, b) have the most interest in pursuing the articulation of major prep coursework. Overall, it is our hope that this initiative will streamline the 2012-13 implementation timeline with many, if not all, departments having already considered the impact of the proposed BOARS policy changes.

The requirements are intended to introduce the student to their chosen major field, ensure that they have a degree of competence for success, and begin them on their pathway for UC admissions. In addition, for the purposes of equity, we need to ensure that transfer students are not being expected to complete more credit hours for a major than native students.

3. International Admissions

Discussion of this issue was initiated in December 2010 between CAFA and the interim VPDUE Mark Cioc. Throughout the Spring of 2011 and all of 2011-12, CAFA has partnered with the VPDUE and Enrollment Management to implement several strategies which could help increase the campus yield of international students. The Chair of CAFA also sits on the International-student Yield Committee.

In January 2012, CAFA reviewed revised proposals from Enrollment Management and provided the following feedback:

- **Conditional Admission.** CAFA approved the proposed change to conditionally admit (pending their submission of the required documentation) qualified international students who have not yet completed their English language proficiency (TOEFL, etc.) with the requirement they submit the proof of proficiency, along with the SAT or ACT by the required deadline of July 15 in order to begin processing their I-20.
- **Transfer Admissions Guarantee (TAG).** CAFA approved the proposed change to allow Admissions to review UC TAG applicant students with prior international coursework (both domestic students and international students).

Lower-Division International Transfers. Discussion continues on whether both international and domestic applicants might be considered as lower division students if they fall outside of the freshman category but have not yet reached junior level standing.

4. VPDUE Class-Slots Proposal

CAFA reviewed the revised proposal from the Vice Provost and Dean of Undergraduate Education to update the current class time slots to add additional slots as well as shift the current schedule. The CAFA membership was comfortable with going ahead with the implementation

of the proposed changes and feels they are aligned with the EVC's stated goal of creating enhanced academic pathways to allow students to graduate in four years or less.

Additionally, it should be noted the CAFA student representative related that the student body is supportive of the proposed changes; really any changes, which would improve overall student access to courses.

B. Sub-Committee Efforts

A great deal of CAFA's work in 2011-12 was coordinated and accomplished within the sub-committees. These sub-committees focus on both routine business or reviews and special projects which require specialized work prior to full committee review and/or approval.

1. Appeals subcommittee

Over the course of the year we met to review policies on appeals for admission denial and cancellations, and made conformance adjustments. These documents were created in the previous two academic years to improve clarity and transparency in the admission process and to ensure equitable treatment across students and applicants. The multiple documents reflect the many varied circumstances under which appeals are filed. Specifically, we provide guidelines for the Office of Admissions to address appeals for admission denial for both (a) first-year and (b) transfer students. We also consider appeals filed for admission cancellation when (c) admits miss a deadline for submitting critical information to the Office of Admissions, (d) present a shortfall in their academic performance, and when falsification of records is discovered by either (e) UCSC Office of Admissions or (f) system-wide through the UC Verification Process. Finally, we include (g) guidelines for addressing miscellaneous appeals falling outside these explicit circumstances.

Except for when falsification is discovered through UC Verification, appeals must be filed with the UCSC Office of Admissions. Appeals sent to other offices or individuals within UCSC must be forwarded to the Office of Admissions for review following our guidelines. Generally, three levels of appeal are offered, first with Office of Admissions, second with the Associate Vice Chancellor/Director of Admissions, and third with the CAFA chair (or their designee). There is no further appeal option. We upheld that CAFA remains the final adjudicator of appeals as a consequence of the faculty's authority over undergraduate admission to the campus. When cancellation results from falsification through UC verification, an appeal must be filed directly with UCOP. The relevant guidelines and flowcharts visualizing the appeals process are posted on the [CAFA website](#).

As in previous years, CAFA directed the Office of Admissions to enforce an admitted student's "Conditions of Admission," up to and including the cancellation of a student's admission. CAFA articulated its tolerance for exceptions to the "Conditions of Admission," both for first-year and transfer students.

2. Comprehensive Review Data subcommittee

In the 2011-12 year, the CAFA Data subcommittee initiated a data collection and analysis project in an effort to assess the state of applications, admissions, and enrollment of first year students (frosh) at UCSC, and to establish a baseline of information that might allow understanding of the impact of holistic review on admissions decisions and the UCSC student population more broadly. The subcommittee crafted and submitted a request for information that formed the basis of this analysis, received the first set of information, completed initial analyses, and prepared a report which will be finalized in fall 2012.

The initial data request included information on the pools of applicants, admittees, and those who eventually enrolled at UCSC as part of the fall 2011 entering Frosh class. Additional information is to be provided in the future on the performance of these students during the 2011-12 academic year while attending UCSC, and on applicants for admission as part of the fall 2012 entering Frosh class. The latter was the first class for whom admission was based on holistic review.

The focus of the initial analysis was on the Computed Index (CI), a metric used to capture a range of information on academic and social factors, including grades and test scores, numbers and kinds of high school senior courses attempted, local context and high school API score, geographic setting, and whether applicant has a parent who has finished a four year college/university degree.

Analyses of initial data (from before the use of holistic review criteria) suggests that, although UCSC is increasingly selective in admissions (~68% admitted for fall 2011 entering frosh class), our yield of students with the highest CI scores is low. Our yield overall is ~18% for all students admitted, but is ~6% for the top 4000 CI scores. We see a similar pattern when looking at only students admitted who do not have a parent who has finished a four year degree. These findings have implications for how effort is expended to attract better prepared and more diverse students to attend UCSC. Trying to expand the applicant pool might be a relatively inefficient approach compared to working on increasing the yield of excellent applicants who are already considering attending UCSC. In addition, the data suggest that students choosing to attend UCSC have relatively low reported family income compared to similarly prepared students who were admitted but choose not to attend. The family income of attending students is also low when compared to applicants having similar academic and social records and high school API scores.

The CAFA Data subcommittee plans to continue this study in 2012-13, gathering performance data on the 2011 frosh class during their first year at UCSC, and looking at CI and holistic review scores of the 2012 frosh class, to analyze how admissions outcomes may have changed as a result of implementing holistic review.

3. Honors and Merit Scholarships Subcommittee

Merit Scholarships

The subcommittee reviewed the two essay prompts used in 2010-11, and made minor changes to one of them. From the 1008 students who were invited to submit essays, we received essays from 282 students. After CAFA members evaluated and ranked the essays, 230 students were

invited to be Regents Scholars. To encourage their acceptance, several CAFA faculty participated in the Chancellor's Reception for Regents Scholars, meeting with prospective students and their families. The final yield was 25 Regents Scholars.

Honors Program

Overview: During the 2010-11 academic year, Raoul Birnbaum and the CAFA Honors Subcommittee, in consultation with the VPDUE, College Provosts, and Senate colleagues, developed and proposed a pilot first-year honors program. It was approved and implemented in fall 2011 in Cowell College. It will be offered through 3 colleges, Cowell, Crown, and Kresge, in fall 2012.

Goals: This pilot program was designed to provide high-achieving students at their earliest stage at UCSC with an intensive and challenging academic experience, opportunities to forge social links with intellectual peers, and direct connections to committed Senate faculty. Our hope is that this first-year experience will attract more high-achieving students to UCSC and encourage them to continue their studies here through to timely graduation.

Invitations to join the honors program were extended to all Regents Scholars, as well as students who received a holistic review score of 1, and students who were in the top 1% of California high schools. From the 1385 invitations extended, we recruited an honors cohort of 47, a lower yield than anticipated. This number drove the decision to offer honors in only 3 colleges (Cowell, Crown, and Kresge) instead of the originally targeted 4 colleges (Cowell, Crown, Kresge, and Stevenson). Kresge has the smallest fall honors cohort and may experiment with bringing a few new students into the program in Winter quarter. As the reputation of the honors program grows and as more colleges become involved, we expect the fall honors cohorts will grow in future years.

Cowell and Crown will each house their honors students together in one of the college dormitories. Kresge will not.

We initially aimed to require that students have satisfied the C1 writing requirement. This requirement was dropped, as many students cannot know if they are C1-satisfied until well after the SIR deadline, and some students' decision about whether or not to attend UCSC hinged on joining the honors program.

The details of the 2012-13 honors program, including criteria for inviting students and curricular and residential issues, were developed in collaboration with VPDUE Richard Hughey, the newly appointed Director of Honors Raoul Birnbaum, and the Provosts of Cowell, Crown, Kresge, and Stevenson Colleges.

In the Fall, honors students will take a 5-credit honors core course that engages with the college's core theme, and offers a more challenging, academically intensive focus than the standard core courses. For many students, Fall core will satisfy C2. In the Winter, each participating college will organize and sponsor a 5-credit seminar led by one of that college's Senate faculty members on a topic appropriate for first-year general education, at an intellectual level appropriate for high-achieving first-year students. All students in the honors program will

be free to choose from among the honors seminars offered across the colleges, so long as the students have fulfilled the prerequisites for the course and space is available. In the Spring, all honors students will be brought together for a 2-credit Faculty Research Talks seminar. Each week's presentation will be followed by a discussion period during which the students can actively interact with the presenter. Guest speakers will join the hosting college's honors students for a meal, to provide more opportunity for discussion and interaction.

III. Issues for the Near Future

There are at least four admissions policy issues that CAFA will continue to address in the near future.

1. Increasing non-resident & international student populations

Understanding the desire for UCSC to increase perspectives from around the globe as well as increase revenue that would support native students' ability to attend UCSC, CAFA supports the Admissions Office and other campus units in an attempt to not only recruit and identify strong non-resident students who could be well served by UCSC but also create policies and practices which would ensure their retention and engagement with the UCSC community.

In an effort to increase the number of fall 2012 nonresident frosh and transfer enrollments, the Admissions Office initiated a number of recruitment and yield efforts that focused on encouraging nonresidents to apply and eventually enroll and graduate from UCSC. The campus invested funds for the hire of both out of state and international admissions representatives. An additional position was hired in the International Education Office and some funds remained for recruitment expenditures. Key strategies included: name purchases from the College Board, attendance at several national college fairs, collaborative recruitment efforts with other UCs, online fairs and chats (CollegeWeekLive/Zinch/EducationUSA), a revamped international web page, new international communication, collaboration with Education Abroad Programs and targeted mailings to high schools and EducationUSA advising centers around the world. In addition, a great amount of time has been spent understanding the various definitions surrounding nonresident coding throughout the cycle to ensure accurate comparisons and projections focused on the nonresident tuition status.

Nonresident frosh applicants totaled 3,302 (1,817 domestic/ 1,485 int'l) compared to 1,962 (1,199 domestic/ 763 international) in fall 2011. Nonresident frosh SIRs totaled 142 (113 domestic/29 international) compared to 84 (74 domestic/10 international) of the fall 2011. Projections suggest approximately 105 (92 domestic/ 13 international) new nonresident tuition-paying frosh will be enrolling. This is an increase in nonresident tuition-paying frosh of 37 over the fall 2011 nonresident tuition-paying frosh of 68 (63 domestic/ 5 international). Nonresident transfer applicants totaled 550 (105 domestic/445 international) compared to 582 (95 domestic/487 international) in fall 2011. Nonresident transfer SIRs totaled 23 (8 domestic/ 15 international) compared to 16 (6 domestic/ 10 international) in fall 2011. Projections suggest approximately 24 (19 domestic/ 5 international) new nonresident tuition paying transfers will be enrolling. This is an increase in nonresident tuition-paying transfers of 8 over the fall 2011 nonresident tuition-paying transfers of 16 (13 domestic/ 3 international). If our nonresident

enrollment projections are correct, for frosh we will need 80 more to reach the Office of the president mandated goal of 185; for transfers we would need 44 more to reach the goal of 68 and then maintain that level in order to reach a total undergraduate nonresident level of 5%. We will likely reach the 5% goal by 2016, rather than 2015, unless we significantly exceed the 185 and 68 for fall 2013, 2014 and 2015. It is critical we spend equal time focusing on both retention and recruitment to achieve intended results.

2. Data Analysis

The Comprehensive Review Data subcommittee plans to continue working on its analysis of UCSC's admissions outcomes compared across the last several years. This data, in concert with the information supplied by the Admissions Office and Institutional Research, should assist the campus community in better understanding the true profile of UCSC's current students. It will also assist CAFA in planning for, and reacting to, changes in the demographics of our applicants and increases/decreases in the academic success (grades, retention, graduation) of our students overall.

3. Consideration of Exceptions to Normal Admissions Timeline

Considering the many requests for early review of specific applicant cohorts (international, music, athletes), CAFA found it important to not introduce procedural changes for any one group in isolation, but rather investigate broadly the potential benefits associated with early review and early notification overall. It is CAFA's hope that with adequate opportunity to conduct a more thorough analysis, and after completing Holistic Review cycles at least one more time, it can revisit this issue.

4. New Transfer policy and major preparation

CAFA looks forward to collaborating with CEP in continuing our work with departments towards insuring transfer students enter UCSC with the best possible preparation in order for their timely completion.

Acknowledgements and Appreciation

This has been an extremely effective year owing to the quality of the membership, the collaboration the committee enjoys with the Enrollment Management and Admissions units, and the support of Senate staffing.

As always, CAFA enjoyed a close working relationship with the Enrollment Management unit, in particular the Offices of Admission and of Financial Aid. The committee could not function without advice from and extensive collaboration of Associate Vice Chancellor Michelle Whittingham, Financial Aid Director Ann Draper, and Admissions Director Michael McCawley. Likewise, the committee could not function without the important contributions and collaboration of its Senate staff analyst, Matthew Mednick.

Respectfully submitted,

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Chris Edwards

Andy Fisher

Hiroshi Fukurai

Victoria Gonzalez-Pagani

L.S. Kim

Tracy Larabee

Renya Ramirez

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June Gordon, BOARS Rep., Chair

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Chad Oliver, SUA

James Ramsay, SUA

August 31, 2012

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on Affirmative Action and Diversity (CAAD) is pleased to report on a productive year. The primary focus of the committee's work in 2011-12 was to improve UCSC's campus climate by enhancing diversity efforts. A brief overview is provided below.

Diversity Service Fellowship Proposal

CAAD developed a proposal for a Diversity Service Fellowship that would encourage and recognize diversity efforts across campus, while also protecting those whose service loads are particularly heavy by rewarding them with a *one-year service release* for their previously demonstrated and ongoing commitment to diversity-related service. The proposal for the fellowship emerged from the belief that faculty of color and women faculty are often asked and agree to do a disproportionate amount of service, particularly (but not solely) around issues pertaining to diversity and campus climate. In general, requests for such participation on a broad range of committees (e.g., Senate, internal and external job search, program evaluation, event planning, academic standing review, etc.) represent the university's best intentions for ethnic, racial, and gender diversity and inclusion, and faculty of color and women faculty certainly welcome opportunities to serve on such committees. The problem arises, however, when a relatively small number of said faculty becomes the "go to" people, especially (but again not solely) for diversity-related service requests. The proposal was sent to Campus Provost and Executive Vice Chancellor Galloway and Vice Provost of Academic Affairs Lee for review in Spring 2012. CAAD will continue to pursue establishing the fellowship in 2012-13.

Salary Equity Study and Gender Inequity in the UC

CAAD reviewed the salary equity report, *Analysis of UC Pay Equity by Sex and, Among Men, Ethnicity*, prepared for the University Committee on Affirmative Action and Diversity (UCAAD) by Professor Emerita Pauline Yahr (UCI). The central finding of the study is that within the University of California gender does affect pay. CAAD is concerned about this finding, and supports systemwide and local efforts to remedy the gender-related pay inequities outlined in the report. While the study did not set out to identify the mechanisms by which gender impacts pay, CAAD underscored the need for Academic Council or the UC Office of the President to investigate these mechanisms, especially since it would be premature to consider plans or programs for remediation in the absence of further analysis. Moreover, the study raised a number of questions and concerns that need to be pursued: What forms of remediation make the most sense? What have other comparable universities done in relation to similar gender-based salary inequities? How might cultural factors be incorporated in further research and remediation (e.g., internalized beliefs about self-advocacy, negotiation, and compensation; the largely gendered nature of child-bearing and child-rearing practices; attitudes about the "value" of different types of research; the gendering of certain disciplines, etc.)? In sum, CAAD found the report both enlightening and troubling, and is hopeful that UCAAD's request for data and action plans from each campus will lead to eventual remediation and creative responses to deeply engrained cultural attitudes and beliefs that affect gender inequities in salary. In addition, CAAD is also

hopeful that UC will continue to monitor salaries for inequities, not only in terms of gender but also in terms of ethnicity, particularly as faculty demographics continue to change.

Campus Climate Surveys

CAAD reviewed and commented on the draft UCSC Climate Study Faculty Survey prepared by the UCSC Advisory Council on Campus Climate, Culture and Inclusion (ACCCCI). The survey was scheduled to be distributed in the Spring of 2012, but given recommendations from CAAD and other relevant Senate committees, it will likely be postponed until the 2012-13 academic year. ACCCCI surveyed graduate and undergraduate students on the campus climate in Spring 2011, but CAAD's request for the results have been deferred until Summer 2012.

Campus Climate Question on Instructor Evaluations

Considering new approaches to collect valuable data on classroom climate issues, CAAD consulted with VPAA Lee regarding his proposal to add a question assessing classroom climate on Instructor Evaluation Forms. CAAD agreed that classroom climate is an important issue for students and faculty and are committed to exploring and raising awareness about the issues, but was uniformly opposed to the proposal for several reasons, most notably the possibility that students who feel challenged by course content around non-hegemonic ideas about race, gender, sexuality, etc. could use the question as an opportunity to criticize the course and/or professor despite the professor's effectiveness in teaching difficult material. In addition to proposing a program for faculty to advocate on the behalf of students (more below), CAAD recommended that alternatives be explored, including the following: disseminating information through Deans and/or Department Chairs encouraging faculty to alert students to their options for reporting classroom climate issues; partnering with resource centers on campus to provide support for faculty and students in handling classroom climate issues; consulting with the Student Union Assembly to further discuss options for creating more welcoming classroom environments.

Faculty Advocate Program

In response to a growing concern that the classroom environment can become hostile because of racism, sexism, homophobia, etc., as a result of how course materials are delivered and/or discussed in the classroom, CAAD, led by Chair Lau, worked with Vice Provost of Academic Affairs Lee to develop a Faculty Advocate Program. A hallmark of the program is to provide students with the ability to meet with a trained faculty member who will be able to advocate or mediate on the student's behalf with the professor in question during the span of the quarter, thus (hopefully) shifting the classroom climate in time to affect the student's experience. CAAD will continue work on this program in 2012-13.

BOARS Transfer Admissions Proposal

CAAD reviewed the UC Board of Admissions and Relations with Schools (BOARS) proposal for a Major-Based Transfer Admissions policy. CAAD was generally encouraged by the UC Office of the President's investment in policies that have the potential to expand opportunities for qualified community college students to attend UC, especially given that doing so may help the UC continue to diversify its student body. Nevertheless, CAAD raised a number of concerns primarily focused on how this policy proposal may negatively and disproportionately affect first-generation and underrepresented students, and cautioned that exacerbating challenges that first-

generation students face while privileging others could have significant and lasting consequences for the University of California.

Diversity Fund Program

Because funding for the Diversity Program, which offered academic units and programs up to \$2,000 for proposals for projects that advance campus diversity goals, was suspended in 2009-10, CAAD did not adjudicate applications this year. However, we include the Diversity Fund Program in our annual report because we continue to believe that it is an important means for supporting and advancing diversity-related projects on campus and hope to see funding for it reinstated.

Permanent Funding for Student Initiated Outreach

Student leaders from Student Initiated Outreach (SIO) groups were invited to a CAAD meeting for a presentation and consultation. The presentation heightened awareness amongst CAAD members that SIO groups are absolutely essential to the recruitment and retention of a diverse student body, and that they are doing excellent work with a very limited budget. Moreover, CAAD learned that funding for SIO groups has been inconsistent in recent years, and that as a result, they have lacked the ability to effectively plan for future programming. Permanent funding for SIO groups, even if it is the minimum amount UCSC administration can allot, would be very helpful in providing them with budget stability and a more certain future.

TOE Appointments/Waivers of Open Recruitment

CAAD participated in the review of a Target of Excellence (TOE) appointment proposal and Waiver of Open Recruitment in Winter 2012 and provided a recommendation to Campus Provost and Executive Vice Chancellor Galloway. In addition, CAAD participated in the review of three requests for Waivers of Open Recruitment for Partner Hires in two divisions.

CAAD Representation

The CAAD chair served as the campus representative on the system-wide University Committee on Affirmative Action and Diversity (UCAAD), which met four times over the course of the year. The CAAD chair also represented CAAD on the Senate Executive Committee (SEC), which met twice a month. Lastly, the CAAD chair represented CAAD on the 2011 Chancellor's Achievement Awards for Diversity selection committee as well as the Martin Luther King, Jr. Convocation organizing committee. Member Lewis Watts represented CAAD on a UC systemwide roundtable discussion on improving the faculty search process in the fields of science, technology, engineering and mathematics.

Correspondence and Consultation

CAAD discussed and provided comment on a number of local and systemwide issues, including the following:

Local Issues

- Proposal from the Interim VPDUE to Change Course Time-Slots (October 2011)
- Proposal from the VPAA to add a Classroom Climate Question on Instructor Evaluations (January 2012)
- Proposal from the CPEVC for revisions to CAPM 408.220 – Mid-Career Appraisal (April 2012)

- Draft Strategic Academic Plan for Silicon Valley (April 2012)
- ACCCCI Draft UCSC Climate Study Faculty Survey (May 2012)
- Revised proposal from the VPDUE to Change Class Time Slots (June 2012)
- Pre-proposal for programs in Critical Race and Ethnic Studies Program (June 2012)

Systemwide Issues

- BOARS Major-Based Transfer Admissions Proposal (November 2011)
- Review of the *Analysis of UC Pay Equity by Sex and, Among Men, Ethnicity* (November 2011)
- Review of the joint Senate-Administration Faculty Salaries Task Force Report (April 2012)
- Revised BOARS Major-Based Transfer Admissions Proposal (April 2012)

Consultations

- Herbie Lee, Vice Provost for Academic Affairs and Campus Diversity Officer for Faculty (November 7, 2011)
- Ashish Sahni, Associate Chancellor (November 21, 2011)
- Suresh Lodha, Chair of the Committee on Faculty Welfare (December 5, 2011)
- Student Leaders from Student Initiated Outreach Groups (April 23, 2012)
- Joint consultation with Michelle Whittingham, Associate Vice Chancellor of Enrollment Management, Herbie Lee, Vice Provost for Academic Affairs and Campus Diversity Officer for Faculty, Ashish Sahni, Associate Chancellor, and Alma Sifuentes, Associate Vice Chancellor and Dean of Students (May 7, 2012)

Active Agenda for CAAD in 2012-13

- Diversity Service Fellowship
- Faculty Advocate Program
- Promote Salary Equity
- Work with the VPAA on issues concerning the Campus Climate

Respectfully submitted,

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Miriam Greenberg

Christine Hong

Claire Max

Derek Murray

Raquel Prado

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Kimberly Lau, Chair

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Walter Adams, GSA

Kevin Huang, SUA

Nestor Rivera, SUA

August 31, 2012

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS

Annual Report, 2011 - 12

To the Academic Senate, Santa Cruz Division:

The Committee on Computing and Telecommunications (CCT) met bi-weekly as needed this year to work on several issues, in addition to routine business. Issues this year included the Information Technology Services (ITS) External Review, the campus Telecommunications Master Plan, Cloud Services, Google Project and Drive, ITS Forums, the Academic Personnel Office online Biobibnet Database and the campus Wi-Fi Policy review.

Information Technology Services (ITS) External Review

ITS underwent a self-study last fall as part of its external review process which occurred in late spring. CCT made recommendations for the external reviewers to consider when reviewing ITS. Senate Chair Gillman asked committees to review and comment on the final report received in September. CCT members had a strong consensus that the issues raised by the external review are important and timely. CCT felt that for purposes of forward planning, the most important issue was governance with faculty senate. CCT agrees that a campus-wide review of IT/ITS governance structure would be helpful. The CCT, however, does not agree with the assertion on page 9 under Observations from the perspective of Governance:

“It was not clear whether there was full agreement or understanding on the mechanisms for ITS to interact with the Senate or the Senate with ITS.”

CCT addressed this assertion in its response to the external review on October 20, 2011:

The committee felt that it had made strong efforts at oversight. The CCT has worked closely with Vice Chancellor of Information Technology (VCIT) Mary Doyle (who attends the majority of our meetings) on a number of initiatives. Though our charter is limited, the CCT is quite well informed on issues of IT infrastructure review, planning and implementation. With respect to the communication between ITS and CCT, we have difficulty imagining what “stronger and more regular involvement and communication” would look like. In particular, we have spent quite a bit of time over the past two years reviewing a number of ITS “shared service delivery” strategies, including: a) the large scale review of core network infrastructure and services with Western Communications Consultants (WTC), which are foundational to research and instruction; b) meeting with Jim Phillips, Director of Learning Technologies, regarding eCommons service agreements and implementation; and, c) the transition to Google, among others. We have engaged in very long discussions and extensive “examination of the risks associated with [outsourcing] dependencies.”

The CCT is especially concerned that UCSC find a way to invest in more staff to support the significant research base at the university. We believe there is a strong case for supporting ITS staff development and expansion, and we agree with the following sentiment voiced in the report (p. 6, line 9): “Even though this is recognized and ITS has been taking steps to maintain distributed support staff, we want to emphasize that not only maintaining but also building the university’s research base will probably mean additional staff to support local research needs

directly and to support groups of researchers.” The CCT believes that the report’s discussion of consolidation/distributed staff/centralized staff does not merit an immediate change in the University’s course of action, and that this part of the report seemed least coherent. The position espoused (among several that appear to contradict one another) that we most agree with is that the ITS consolidation should not be unwound ('deconsolidated'). With regard to determination of staff assignments, Mary Doyle stated that, in fact, local ITS staff projects and priorities are determined by the divisions by virtue of the fact that other than staff salaries, all IT budget is within the divisions.

The committee felt that the section of the review that deals with Information User Assessment (IUA) was the most concrete part of the report, and that it identifies a problem that both appears to need fixing and is plausibly fixable. End users appear to have difficulty understanding the IUA, and there are issues related to the fairness of its implementation. The CCT felt further discussion is needed about the way in which this IUA fee scales with FTE, and whether a fairer model can be found. The current model potentially leads to a great disparity between the divisions in which the staff/FTE ratio is relatively low (e.g., Humanities) or where it is relatively high (e.g., PBSci). The CCT understands that this issue is recognized by ITS and the EVC.

Finally, we note that the External Review Committee chose to focus on three areas: (1) Central versus distributed resource allocation; (2) the assessment of user fees; and, (3) IT governance issues. These topics are indeed key. The CCT feels, however, that the review team seems to have overlooked several additional issues of importance: proliferation of Cloud based applications and services, campus phone network transition to voice over IP model and associated costs, and the data center infrastructure for campus. We would like to understand the longer term strategy for data center size, location, cost, and support. This would include not only on-campus facilities, but also use of the San Diego Super Computer Center, other regional, shared, or Cloud facilities.

ITS Forums on External Review for UCSC Community Members

CCT and ITS sponsored two open forums during Winter quarter giving the campus community an opportunity to discuss technology issues for teaching, learning, research, students and administrative business for the University. Both forums had the same agenda and format and were well attended but very different discussions ensued. The discussion from the first forum focused on issues relating to Google, shared Cloud apps, social media, storage and security. The second session focused on the need for support for faculty in instructional media and resources available on campus. Issues were discussed about online classes, learning tools, and storage capacity in eCommons. Another topic related to instructional needs was the availability of Wi-Fi in classrooms. Here a diversity of opinions was expressed from those who disliked it to those who want Wi-Fi everywhere on campus.

The forum conversation touched on matters regarding improvements in webcasting, and a product called Matterhorn was recommended. Matterhorn is a lecture-capturing environment and is being looked at carefully. There was concern expressed over the CCLP FileMaker Pro database and its constraints regarding performance as well as future longevity. ITS has plans to rewrite the CCLP in a more modern format and it was suggested that UCSC approach other campuses and see what we can share in terms of software, etc., and request one time funding

from the central administration. Lastly, campus community members who attended the forums felt ITS needs to communicate more effectively with the campus and to hold future instructional technology forums on a more regular basis.

Telecommunications Master Plan with WTC Services

UCSC contracted with WTC consulting services to develop a strategic telecommunications plan to improve the reliability of the campus infrastructure. The plan provides a roadmap to ensure that the availability, services, and bandwidth of the campus' telecommunications infrastructure, keeps pace with campus growth and needs, and "future-proofs" the campus from stranded infrastructure investments. CCT was updated during the year by VCIT Doyle on the telecommunications master plan. Work started on fiber and copper paths for the campus backbone and the ability to build in some redundancy and resiliency that the campus is currently lacking. This project is expected to be finished by 2013. Features of this project include upgrading cable and closet electronics, replacing 400 switches, changing 802.11 from G to N (this includes updating wiring) and removing phone service from resident halls, which are rarely needed or used by students. Part of the Telecommunications Master Plan includes a plan for voice over IP in the very near future

The Corporation for Education Network Initiative in California, (CENIC), which operates high bandwidth, advanced internet based networks for CS K-20 research and education (R&E) communities. It has a three-tiered architecture with national and international exchanges, public and private infrastructure partnerships. The services they offer are Basic and Premium lines, including voicemail, local and domestic long distance sage, SBC's, SIP trunks, and e911. Average costs are \$7/line/month, for fully redundant, diversely connected, high availability, multitenant North/South hubs. Average features plus support are for Unified Communications: call centers, fixed mobile convergence (e.g. smart phone integration), and Microsoft Lync integration (for voice and mail).

CENIC and UCSC partnered to obtain UCSC's initial fiber optic connectivity to CalREN. CENIC is now partnering with UCSC to find a second, diverse, fiber-optic path to the CalREN backbone network. CENIC, UCSC ITS and WTC analysis of UCSC's Tele Master Plan found that the university can save substantial costs using CENIC's Cloud VoIP Service.

CENIC will be responsible for all the external services, but UCSC will be responsible for the internal services including moves, adds, changes, deletes, purchasing, and training. ITS will do a pilot test soon with around 150 lines, then have a full rollout in 2013.

Cloud Services

ITS consulted with CCT on outside vendors for Cloud storage considerations, ITS is currently researching solutions for future Cloud services and is looking at Windows Files Service, UCSC/SDSC Remote storage , SDSC Cloud storage, Google, DropBox and Boxnet as possible vendors. The primary focus at this time is departmental and end user storage requirements and considerations based on cost, performance, recovery, security, control as well as future expansion. The campus back end storage architectures will require campus input around user storage needs from the desktop to mobile computing devices.

Google Projects and Drive

UCSC has adopted Google Mail and other services that the company provides. There will be standard apps available: Docs, Sites, Talk, Groups, Email and Calendar. Email and Calendar will be fully supported by IT staff, for all other apps, users will be sent to Google web support. Email was launched in fall quarter for Faculty, Staff, and Students; the calendar function will require some scripting and should be launched in summer. Google Drive will provide the same security as with email and give each user 25 gigabyte storage allotment; this feature will be activated in late spring. Google Drive allows Cloud based synchronization of the file structure to be maintained. There is encryption but not as robust as recommended by industry standards. VCIT Doyle reiterated the UCSC policy, that no personally identifying information (PII) should be sent through the UCSC e-mail system.

Biobibnet Database Consultation with the Academic Personnel Office (APO)

Campus policy requires a standard format for use in reviewing faculty cases and has been in place for 20 years. The original project (10 years ago) was intended to introduce some order into the format and process. The Biobibnet system is intended to provide the Committee on Academic Personnel (CAP) a consistent, and easy procedure to manage faculty cases. However, faculty are not required to use this system so there is inconsistency among the five divisions. CCT did not support faculty being required to use this system as all information must be manually entered into the system, such as the CV. Using a Word document is easier at this time to update. The information can be exported from the system as a Word document after initial entry. The Academic Personnel Office (APO) will enter the initial information for faculty in the system but Faculty would need to keep their own file updated with new information. CCT members had other concerns with the system such as ease of managing their CVs and control over their own information. Members would like a written policy on how the data in the system will be used, ownership and why the data needed to be contained in a central database versus maintaining it locally and uploading information as needed. Further, members would like standardizing of date fields versus historical use of text fields. CCT suggested APO consult with department managers when entering data for various disciplines that require more nuance.

UCSC Campus Wi-Fi Policy

The committee reviewed and endorsed the official UCSC policy that private Wi-Fi access points (for instance, as installed in the laboratories of UCSC Principal Investigators) do not interfere with official access points. Additionally, if interference does occur, then the University retains the right to shut them down or otherwise modify them so that they do not interfere with the campus-maintained system. The committee reviewed the requirement that installed equipment needs to conform to current Wi-Fi standards (with WPA2 being the most current). The committee agreed that Wi-Fi standards as discussed in the official policy guidelines adhere to industry best practices. The overarching principle behind the UCSC wireless policy is to give the campus administration a clear mandate to have university-owned antennas taking precedence on the campus. CCT endorses the Campus Wireless Policy, and recommends that the guidelines be adequately communicated to the UCSC Faculty and other interested stakeholders.

Respectfully submitted,
COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS:

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Anujan Varma
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Mary Doyle, Vice Chancellor of ITS
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August 31, 2012

COMMITTEE ON EDUCATIONAL POLICY

Annual Report 2011 -12

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy's (CEP) responsibilities include the review of proposed and existing undergraduate programs; proposals for new courses and the revision of existing courses; and changes to undergraduate programs and policies. CEP consults with other committees and administrative units about a broad range of issues pertaining to undergraduate education, and reviews program statements and other material relevant to undergraduate education that appears in the general catalog. CEP also considers a large number of individual student petitions each year. A brief overview of the Committee's work this year is provided below.

I. Removing Major Disqualification Policies and Providing Guidelines for Selective Major Qualification Policies

In May 2011, CEP produced a report to the senate regarding major admissions and disqualification policies. This report outlined CEP's concerns with major disqualification policies, including the fact that many of these policies appeared to be in violation of SR 900 which states the circumstances under which undergraduate students can be subjected to academic probation and disqualification. In that report, CEP encouraged departments to replace major disqualification policies with selective major qualification policies.

This year's committee continued the discussion of this issue. We considered whether to seek a variance from SR 900 that would allow us to set a threshold higher than a 2.0 GPA for students to be considered in good standing. The committee concluded that this would not be in the best interests of students, and affirmed a 2.0 GPA as indicating good academic standing. We next considered whether it would be possible to review existing (and future proposed) major disqualification policies to ensure that they would not violate SR 900. It was our conclusion that this would be extremely difficult to accomplish. Only major disqualification policies that were comprised of lower division courses taken early in the student's career would be certain not to violate SR 900 and those policies could fairly easily be restructured into selective major qualification policies. We initiated conversations with all programs that had approved major disqualification policies in place, in order to better understand the goals of these policies and to discuss with programs the possibility of turning their major disqualification policies into selective major qualification policies. Upon the conclusion of those discussions, CEP voted to eliminate major disqualification policies on our campus.

Subsequent to that decision, CEP worked with the affected departments to remove their major disqualification policies. Because CEP's vote was taken fairly late in the year, there was not time for departments to put forward (and CEP to review and potentially approve) new selective major qualification policies. CEP voted to offer programs the option of a temporary selective major qualification policy, based on all or a subset of courses in the program's currently approved major disqualification policy. The following departments chose to pursue such a temporary policy: EEB Biology, Chemistry, Mathematics, Bioengineering, and Environmental Studies. These temporary policies are approved for two years (2012-14) and at that point will sunset. This

allows programs time to develop proposals for new selective major qualification policies; such proposals must be accompanied by evidence that the selection criteria are a reliable predictor of future success in the major. Guidelines for these proposals, and a form for their submission, are available on CEP's website at: <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/majors/index.html>. We will also have examples of policies that were recently approved uploaded to the web page soon. Programs have proposed a variety of different types of policies and their supporting data vary as well. In particular, selective major qualification policies might involve the requirement of a particular grade in one or more courses, an overall GPA average across one or more courses, or no more than one NP, D, or F across a set of courses. Note that the requirements must be able to be met before the campus major declaration deadline, for both native and transfer students.

CEP also discussed whether major disqualification policies are covered under catalog rights, and determined that they are. If a student chooses a particular catalog year for fulfilling their major requirements, they are subject to all aspects of that catalog that relate to the major. Thus, students who choose a catalog year for their major of 2011/12 or earlier will be subject to any major disqualification policies included in that catalog. However, this is subject to the following very important caveat. No major disqualification can take place if it would result in late disqualifications from the major and a possible violation of SR 900.

As a result of the discussions regarding major qualification and disqualification, the School of Engineering requested the elimination of a special School of Engineering GPA (used for qualification and disqualification purposes). This request was approved by CEP.

The approved temporary major qualification policies will sunset in 2014 and will not carry forward to the 2014/15 catalog. Programs that wish either to continue the temporarily approved policy or to seek approval for a new policy must submit a full proposal by the deadline for the 2014/15 catalog (i.e., December 2013). Because there is likely to be some back-and-forth as CEP requests additional information about some aspects of the proposal, we strongly encourage programs to submit full proposals by December 2012 or (if that is not possible) some time later in the 2012/13 academic year.

Because of the necessity of eliminating major disqualification policies from the 2012/13 catalog, discussions regarding the temporary major qualification policies happened in the spring and (in some cases) the summer. We extend our thanks to program faculty and staff for their diligence in working with CEP to effect these policy changes under a tight timeline. We extend a special thanks to Associate Registrar Claxton for her thoughtful and patient work on the relevant program statements.

II. Revision of Santa Cruz Regulation (SCR) 9.1.8

In concert with our discussions concerning major disqualification policies, CEP considered the function and importance of Santa Cruz Regulation (SCR) 9.1.8. This regulation states that "Repetition of a course more than once requires approval of the student's college." Although CEP had asked for strict enforcement of this regulation in our 2009/10 annual report, such enforcement is not practical unless there is a mechanism in AIS to prevent students from enrolling in a course for a third time. Previously, AIS did not enforce this policy; however

changes were put into place this year to expand AIS's functionality in this way. Accordingly, SCR 9.1.8 will now be enforced, beginning in Fall 2012.

CEP's interpretation of this regulation is that it is meant to support student progress, not to address curricular capacity issues. Being unable to pass a required major course after two attempts is a signal that the student is struggling in that major. By ensuring that the student must speak with a college adviser to be able to re-attempt the course, there is an opening to either redirect the student to another major and/or to help him or her strategize for success. In addition, of course, there is a potential resource benefit if students are not allowed to attempt courses three, four, or more times – seats will open up for other students. This is fortuitous, and especially so for gateway courses, but we reiterate that our interpretation is that this is not the main intent of the regulation. Curricular capacity should not be an element in the decision making process of the college advisers.

The Vice Provost and Dean of Undergraduate Education (VPDUE) and his staff created a comprehensive set of guidelines for college advisors to use in deciding whether to allow students to attempt a course for a third time. The guidelines can be found here on the Undergraduate Division Webpage: <http://ue.soe.ucsc.edu/RepetitionOfCourses>. CEP reviewed these guidelines and found them clear, comprehensive, and thoughtful. An important component of the guidelines is that they are structured so that departmental recommendations will be weighted very heavily in making decisions. Department recommendations will be overruled only rarely, and only with clear justification. However, the final determination will be up to the college, as required by the regulation. CEP affirmed that we believe it is best for students for the final decision to be in the hands of the colleges. CEP members also wrote an amendment to (SCR) 9.1.8 to include the “W” grade as an attempt at a course for the purpose of regulation 9.1.8, which will be submitted for vote at a fall 2012 senate meeting.

III. External Reviews

The Committee read and responded to two external review reports and participated in the related closure meetings (Music and Languages.) CEP commented on the charges for one external review committee (Art). The Committee also reviewed mid-cycle reports from the Economics Department, Feminist Studies Department, History Department, and the Film and Digital Media Department. The Committee reviewed requests for deferrals from the Anthropology Department and the Writing Program.

IV. Communication with Administration

The Committee sent a letter to the EVC and VPAA concerning our perspective on the recent budget cuts and their effect on undergraduate education. We noted that in the last few years, two majors have been suspended not because of lack of quality or lack of student interest but because of a cascading chain of events and decisions related to budget cuts. If the elimination or consolidation of majors is necessary for financial reasons, we believe that the full campus, including students, should be a party to making these difficult decisions. When majors are suspended (or discontinued) we believe it is essential to immediately announce these decisions, and to disseminate the information as widely as possible, preferably with an email sent to the entire campus community. We are troubled by what seems to be a growing number of cases in which departments have cancelled offerings of important foundational or gateway courses or cut

the size of these courses. These decisions result in *de facto* limits on the number of students who are able to declare these majors. We are also concerned if budget reductions are taken largely through cuts to lecturer and Teaching Assistant(TA) funds. Such cuts have a serious negative impact on undergraduate education. Several departments appear to be having difficulty mounting their Disciplinary Communications(DC) curricula; this part of the undergraduate curriculum is important and must be supported. Finally, we asked that decisions about funding and cuts in funding consider undergraduate enrollments as one factor.

The Committee also sent a letter to the EVC and VPAA asking for an accounting of the \$300,000 in permanent funds to support the Disciplinary Communication Initiative, approved by EVC Klinger in the letter to the VP/DUE dated 4/17/09. It is CEP's belief that the announcement that this letter from EVC Klinger would be forthcoming, made at the Senate meeting in which the Senate voted on the DC requirement, was instrumental in allaying worries about an "unfunded mandate" and may have been necessary to the passing of the DC requirement. Thus, it is worrisome if no funds were ever expended.

V. Major Mapping Project

CEP consulted with Ryan Montgomery, a UCSC graduate student hired for the project by the Interim VPDUE, regarding the progress with major maps for the campus community to reference for curricular planning. Maps are now available online for all majors; however, only some of the maps have been fine-tuned for simplicity of presentation. CEP believes that the maps have the potential to be useful for a variety of purposes and to a variety of constituencies, and we encourage the administration to devote resources to their continued development.

VI. Programs

CEP reviews all proposals to modify the requirements or policies of undergraduate programs that appear in the general catalog. CEP reviewed the following proposed changes to programs:

- a request for a final exam schedule change for Spanish courses to be held simultaneously was denied due to the challenges related to the shortage of classroom space;
- a new subject area for Punjabi (PUNJ) was approved;
- the subject area for Spanish for Spanish Speakers (SPSS) was changed to Spanish for Heritage Speakers (SPHS);
- CEP recommended approval of the Biology B.A. degree program administrative home change from Molecular, Cell and Development (MCD) Biology to the Ecology & Evolutionary (EEB) Biology Department and the administration of the Biology B.S. degree program by both departments;
- feedback was given concerning a pre-proposal for a new Critical Race and Ethnic Studies (CRES) major, which CEP members endorsed;
- feedback was given concerning a draft proposal to lift the Community Studies suspension, it has still not been decided on at this time.

CEP recommended to approved the discontinuance of the following program:

- the discontinuance of the combined B.A./M.S. Applied Economics and Finance Program.

CEP considered several proposals to selectively admit students to majors:

- requests to introduce selective major qualification policies for the Biochemistry and Molecular Biology (BMB) major, majors administered by Molecular, Cell and Development (MCD) Biology, and majors administered by the Computer Engineering department were approved;
- a request from the School of Engineering (SOE) to rewrite their catalog statement eliminating the SOE GPA calculation was approved.

CEP reviewed changes to DC curriculum for the following departments:

- Art, Cognitive Science, Economics, Ecology and Evolutionary Biology, Italian Studies, Jewish Studies, Latin American and Latino Studies, and Physics.

Community Studies

CEP continues to be deeply concerned about the potential loss of the Community Studies major, which fills a unique and important role on our campus. We saw no other choice than to support the disestablishment of the department because a department comprised of two ladder rank faculty is not viable. These two remaining ladder rank faculty have now been transferred out of the CMMU Department and into Social Sciences as Divisional appointments. The Community Studies major remains under suspension and CEP continues to hope that a viable plan can be formulated that will allow the major to emerge from suspension.

American Studies

In response to a proposal from the VPAA to suspend the American Studies major, CEP reluctantly voted to recommend suspension. The committee is extremely concerned to see yet another well-regarded, high-quality and popular major in jeopardy, especially given that American Studies (AMST) has been an attractive major for underrepresented minority students and had provided one of the few intellectual spaces on campus for a deep engagement with critical race and ethnic studies. This is an excellent program with dedicated faculty that has filled a unique niche at UCSC. We feel strongly that the disappearance of this program (whether temporary or permanent) represents a grave loss to our students and to the campus as a whole. However, the American Studies department was also reduced to two ladder rank faculty and attempts to reconstitute the AMST major as an interdisciplinary program were not successful. The major is now under suspension through June 30, 2014.

VII. Miscellaneous Responses

In addition to the usual review of undergraduate courses and program statements, CEP was asked to provide feedback on a number of reports and proposals. During the past year, CEP read and commented on:

- a request to allow a high score on the SAT to satisfy C1 and C2;
- changes to Appendix C for Academic Program Reviews from the VPAA's Office;
- a proposal from the Academic Council to modify SR 610 such that residency requirements would be based on enrollment in UC-sponsored courses and not the physical location of those courses;
- a proposed change in the funding for UC's On-line Education Project;
- UCOP's five year perspectives campus program development list;
- six departmental proposals to transfer faculty FTE to other departments or divisions;

- a report from CAFA on the pilot undergraduate honors program;
- several versions of a proposal from the VPDUE to alter the length of classes and the class schedule;
- two versions of a proposal from BOARS to streamline transfer student admissions procedures;
- the draft campus academic calendar from the Registrar's Office;
- the request from the Registrar's Office for approval to move to an only online catalog;
- the campus report on retention;
- a draft academic plan for a Silicon Valley Campus;
- changed the name from admissions to the major policy to qualifications to the major policy for clarity;
- a request to add learning objectives to the current course approval form to better align with the upcoming WASC review of UCSC;
- request to modify the definition of the Ethnicity and Race general education designation;
- a report on outcomes for students who enrolled in Math Stretch 2;
- UCUES survey items;
- the VPDUE's proposed guidelines for college advisors concerning the enforcement of SCR 9.1.8.

VIII. Other actions

In addition to general education course proposals, CEP members reviewed 1014 course approvals (including one on –online course), 823 course revisions (including cancellations, suspensions and re-numberings), 191 new undergraduate course approvals, 47 program statements, and 7 individual majors.

The Chair reviewed another 629 petitions, including:

- 98 Writing-Intensive course substitutions;
- 185 other general education substitutions;
- 81 requests to retroactively change the grade option (letter grade vs. pass/no pass) of a class. Approximately 11 of the requests were approved so that a student could meet the graduation requirement that 75 percent of credits be letter graded. In such cases, all grades earned during the student's last quarter were changed to letter grades (with the exception of P/NP only courses);
- 81 requests for retroactive grade changes. All of the requests involved late withdrawals from a course, usually for medical reasons, leading to the grade W. Approximately 19 of the requests were denied due to the lack of supporting documentation;
- 90 requests for the retroactive addition or removal of a class. Most of these requests of were based on purported AIS errors; 10 were denied due to the lack of evidence that the student attempted to change their schedule prior to the deadline;
- 94 other miscellaneous petitions;
- 125 requests for Graduate Student Instructors;
- 17 requests for Undergraduate Student Instructors.

Other work undertaken by the Committee included:

- revisions to the Graduate Student Instructor application form;
- revisions to the course approval forms;
- created a new form for proposals to revise an approved DC curriculum;

- updated the Individual Major guidelines to include the DC requirement;
- reviewed undergraduate teaching assistant guidelines;
- created questions for a student opinion poll on retention that was included as part of the student election poll in spring quarters;
- consulted with EVC Galloway on her five year vision for UCSC;
- extended approval to college advisers for students who would benefit from changing their catalog year, thereby eliminating the need for a student petition;
- consulted with the Mathematics Department and CPE concerning an online Math Placement Exam;
- created a list of priority action items for the AIS Steering Committee;
- revised the Exam and Closed Week Policy;
- created a policy on types of instructors for the Disciplinary Communication (DC) curriculum expectations.

CEP benefited from the expertise of an impressive group of invited guests, including Associate Registrar Margie Claxton; Associate Coordinator of College Advising Cher Bergeon, who represented Academic Preceptors; Vice Provost and Dean of Undergraduate Education Richard Hughey; Articulation Officer Barbara Love; and Director of Admissions Michael McCawley. Their many contributions to the committee's work were truly invaluable and we thank them for their dedication, their expertise, and their unwavering commitment to making UCSC an exceptional place for undergraduate education.

Finally, we thank Susanna Wrangell for her tireless efforts on behalf of the committee and the campus's students. In addition to all of her standard tasks (e.g., planning our weekly agendas, handling our voluminous correspondence, fielding emails and calls from around campus, and reviewing and organizing a slew of petitions) she proved invaluable in researching policy-related questions for the committee. Her ability to meet challenges with cheerfulness was much appreciated.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

Mark Anderson

William Dunbar

Joel Ferguson

Melissa Gwyn

Pamela Hunt-Carter, *ex officio*

James Wilson

Peter Young

Eileen Zurbriggen, Chair

Stephen Sweat, NSTF Representative

Austin Hall, Student Representative (SUA)

Justin Riordan, Student Representative (SUA)

August 31, 2012

COMMITTEE ON EMERITI RELATIONS
Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on Emeriti Relations (CER) met once each quarter during an academic year that was uneventful for the campus emeriti faculty. Because the Academic Senate Office did not assign an analyst to CER in spring quarter, the committee's activities were truncated and a meeting that committee members planned to have with Emeriti in May was not held.

Following up on a survey of Emeriti that had been conducted by CER in Spring 2011, CER looked into the adequacy of disabled parking at McHenry Library. The committee found that, although parking spaces are adequate, the signage directing people to those spaces by way of a service road is confusing. The committee has communicated its concerns to TAPS through the Committee on Faculty Welfare faculty representation to the Transportation Advisory Committee (TAC).

In spring quarter, CER co-sponsored (with the Office of Academic Personnel) a Pre-Retirement Planning Workshop to which all members of the faculty who were considering retirement were invited. A representative from the Office of Academic Personnel and three retired faculty members gave presentations and an active discussion period followed.

This year, CER raised with members of the administration, the possibility of developing a project similar to one conducted by Emeriti at UC San Diego. These Emeriti are serving as mentors for low-income undergraduate students who are the first in their families to attend university. Because the UCSC administration never responded to CER's offers to establish such a program, planning for it could not proceed. Members of CER, and a number of emeriti faculty, remain convinced that such a project would be valuable to this group of students and to the institution in general.

In Fall, 2011, members of CER asked Michael Cowan and Don Rothman to join them in considering the feasibility of establishing an Emeriti Resource Center: an initiative that had been discussed at two meetings sponsored by members of CER with Emeriti in 2010-11. Three continuously functioning projects had already emerged from those meetings: one concerned with the development of UCSC architecture, another with the recording of oral histories, and the third titled "Santa Cruz Commons: Activist Research and the Public Humanities," which attempts to facilitate university-community collaborations. The co-directors of Santa Cruz Commons (Nancy Chen and Helene Moglen) are also members of CER. They received a grant for their project from the UC Humanities Research Institute in Winter 2012. Because a number of retired and active faculty who were interested in the Resource Center are now participating in Santa Cruz Commons, members of the augmented CER agreed that there was currently no need to establish the Emeriti Resource Center. Santa Cruz Commons, which is associated with the Center for Collaborative Research in California (CCREC) will seek external funding for its university-community projects.

Respectfully submitted,
COMMITTEE ON EMERITI RELATIONS

Nancy Chen

Mary Silver

Suresh Lodha, *ex officio*

Helene Moglen, Chair

August 31, 2012

COMMITTEE ON FACULTY WELFARE

Annual Report, 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on Faculty Welfare (CFW) met twice per month throughout the academic year; members also represented CFW on a several other Senate and campus committees—the Transportation Advisory Committee (TAC), Senate Executive Committee (SEC), Child Care Task Force (CCTF), and the University Committee on Faculty Welfare (UCFW).

CFW's work in 2011-12 finalized several long term committee projects including the committee's analysis of the campus Three Year Merit Boost Plan, faculty retention, and child care. The analysis of the Three Year Merit Boost Plan led to an in-depth look at the metrics being used to evaluate the advancement of faculty on campus and compare this progression with faculty at other UC campuses. In order to share the findings of this comprehensive analysis with campus faculty and generate feedback, CFW hosted two forums on faculty salary metrics during the Winter quarter that were attended by faculty and representatives from a wide range of campus Divisions and Departments. In addition to these forums, CFW presented reports at both the Winter and Spring Senate meetings, intended to keep faculty updated on the critical issues of health care, child care, housing, and compensation.

CFW acknowledges the openness and willingness of Campus Provost/Executive Vice Chancellor (CP/EVC) Alison Galloway and Chancellor George Blumenthal to meet and discuss faculty welfare issues throughout the year. During one of these meetings, CFW requested that CP/EVC Galloway set aside funding to support future plans for a childcare facility. As a result, CP/EVC Galloway designated for this purpose \$150,000 a year for up to five years, retroactive to 2010-2011. The committee would also like to acknowledge the efforts of Assistant Vice Chancellor (AVC) Pamela Peterson and the Academic Personnel Office (APO) in providing CFW with requested campus salary data, which enabled the committee to continue and conclude their analysis of the Three Year Merit Boost Plan, faculty advancement, and campus faculty retentions.

Faculty Salary

3-Year Merit Boost Plan

CFW received preliminary Faculty Salary Data from APO during the Spring of 2011 and the 2010-11 academic year end data during Summer 2011. During the 2010-2011 academic year, CFW carried out a preliminary analysis and formulated recommendations that are included in last year's annual report. This year, CFW carried out detailed data analysis, and in early February, CFW was able to finalize its analysis of the campus Three Year Merit Boost Plan. The main conclusions of the report analysis were:

- 1) Changes in merit review practices have had a mostly positive impact on faculty salaries, but there is some evidence that suggests that at least some faculty have received a lower benefit than they might have experienced under previous rules.

- 2) Roughly speaking, about half of the faculty undergoing review each year have benefited from the plan.
- 3) The incremental cost of the merit-boost plan has been relatively modest, having accumulated to about \$250,000/year, which corresponds to the difference in total merit-based salary increases in 2010-2011 relative to those in 2007-2008.

The CFW Merit Boost Report was distributed to CP/EVC Galloway, VPAA Lee, and related Senate Committees, and was included in the February Senate Meeting Call. CFW believes that this report provides important insight into the impact of the merit boost plan on the campus merit review process, and will be valuable in formulating future local campus-based faculty salary policy plans.

Faculty Salary Metrics

In addition to the analysis of the Three Year Merit Boost Plan, this year CFW completed a complex analysis of faculty advancement (promotion and salary) and the metric of off-scale salary being used as a means of evaluating faculty salary in comparison to other UC campuses. The main goal of this analysis was to compare UCSC faculty advancement (promotion and salaries) with other campuses to better understand promotion and salary differences and make informed policy recommendations with measurable objectives. A subsidiary goal of the analysis was to shed light on the possible causes of variability across departments to identify aggregate groups that may have been disadvantaged in advancement and potentially suggest measures including policy recommendations. The findings of the analysis suggest that evaluating faculty advancement based solely on off-scale salary does not provide an adequate picture of the reality of faculty stature on the UCSC campus.

CFW proposed that new metrics based on salary growth and promotion growth provide better insights than off-scale salary alone. As part of the vetting process, these metrics and data results were shared by CFW with the Senate Executive Committee, all standing committees of the Academic Senate, and key UCSC administration officials, including the Chancellor, Executive Vice Chancellor (CPEVC), Vice Provost of Academic Affairs (VPAA), and the Academic Personnel Office, resulting in valuable feedback. Further, the committee shared these findings with campus faculty during two information forums held in March, 2012.

The goal of the forums was to solicit input from faculty with regard to new methods of measuring faculty advancement and remunerations. The first forum provided an overview that focused on the significance of the metrics, preliminary conclusions, and broader implications. The second forum focused on the methodology of the study. Through these forums, CFW engaged with UCSC faculty directly and was able to obtain suggestions and insights assisting the committee in drafting a final report which was presented during the May Academic Senate meeting.

Response to the APO Annual Report of Salary Competitiveness

The UCSC Academic Personnel Office (APO) released its 2011 Report of Faculty Salary Competitiveness in April, 2012. The report implied that UCSC is doing well with regards to salary and that overall, faculty progress normally through the ranks and are not held back in their

advancement when compared to other campuses. The Committee on Faculty Welfare (CFW) values the work that APO has put into these reports and believes that they provide important insights that should help formulate salary policies that directly affect faculty welfare. However, having carefully discussed the content of the 2011 report, the committee had some concerns with some of the data interpretation and presented their concerns to AVC Pamela Peterson in July, 2012.

The committee's main concern refers to the comparison of progression through the ranks across campuses. The APO report states, "The data suggest that overall UCSC faculty progress normally through the ranks and are not held back in their advancement when compared to other campuses." (paragraph 2, pg. 15) CFW's reading of the same data was quite different. In looking at the graphs that were included in the report it is immediately clear that faculty at UCSC take the longest time among all campuses to reach 6 of the 16 rank/step combinations considered in the report (Assistant Professor 2 and Full Professor 2, 5, 6, 7 and 9), and that in no case the mean time to a given rank/step is lower at UCSC than at all other campuses. In addition, it would appear that faculty on our campus take longer than the median campus in at least another 6 rank/step combinations (Assistant 4, Associate 1 and 2, and Full 1, 3 and 8), therefore UCSC performs above the median campus in just three categories. To the committee, this suggests that faculty at UCSC actually progress through the ranks at a slower rate than most other campuses and that, at the very least, further examination of the situation is necessary.

This observation is important for a number of reasons:

- 1) Comparisons across campuses based on salaries/off-scale are meaningful if and only if promotion rates are comparable across campuses. Hence, APO's data likely suggests that our current definition of "progress" is misleading and should be re-evaluated.
- 2) The fact that most of the problems seem to concentrate at the full professor steps suggests a cumulative effect that is perceptible only after a faculty member has spent a long time at our campus. It would also suggest that time spent at barrier steps might be longer at UCSC than at other UC campuses. Further investigation of these issues would be desirable.

It is precisely these considerations that have motivated CFW to introduce the salary metrics discussed in our recent reports.

Additionally, hiring at UCSC has been minimal over the last three years. Although this trend has affected all UC campuses, there are compelling reasons to believe that the effect has been more dramatic on the UCSC campus. In that regard, recent data from UCOP (UCOP Ladder and Equivalent Rank Faculty Step Distribution – Counts, General Campus October 2011 Snapshot) clearly demonstrates that the population of Assistant Professors at UCSC is more skewed toward senior Assistant Professors (steps 4 and 5) than at any other UC campus. Although the effect of the pattern on off-scale salaries is less clear, it is reasonable to assume that, everything else equal, the longer a faculty member has been on campus, the more opportunities he or she would have to accumulate off-scale. Hence, CFW maintains that the current analysis might overestimate both total and off-scale salaries for Assistant Professors.

Therefore, CFW opposed the implied conclusion of the 2011 APO Report of Faculty Salary Competitiveness that faculty salaries at UCSC have caught up with other UC campuses. On the contrary, the committee believes that both APO's analysis and their own work suggest that further salary *and* merit boosts are necessary to remain competitive with other UCs.

Health Care

This year, CFW continued its inquiry into the possibility of having Palo Alto Medical Foundation (PAMF) join the Health Net Blue & Gold program, which currently only includes Physicians Medical Group (PMG). Other UC campuses have access to Kaiser-Permanente facilities, which offers faculty and staff another low-cost option; however, due to Santa Cruz's comparatively small market and already existing facilities, Kaiser-Permanente is not an option in the foreseeable future for UCSC faculty and staff. This means that Blue & Gold is the only low cost health care program, attracting mainly junior faculty. Long time faculty have seen dramatic increases in their health care payments to keep continuity of care with physicians in PAMF. Including PAMF in the Blue & Gold program would allow for continued patronage of established family doctors, and would serve to provide market competition for PMG to ensure high levels of care. Adequate health care is necessary at an affordable level for UCSC to remain competitive in attracting and retaining faculty; expensive benefits are demoralizing and lead to faculty and staff accepting substandard care or seeking employment elsewhere.

There have been persistent rumors that PAMF at the local level has offered to lower its prices to be included in the Blue & Gold plan. However, due to competitive nature of the bidding process, it has been difficult for CFW to obtain accurate information. Informal and off-the-record communication has been occurring between representatives from PAMF, CFW and the UC system-wide senate regarding these matters. Additionally, the Health Care Task Force (HCTF) has attempted to address these concerns of PAMF participation in Blue & Gold, and lack of availability of options in Santa Cruz. Unfortunately, the complexity of these issues and the many participants in these conversations require stronger collaboration between participants within UCSC and a need for the UCSC leadership to take charge of the situation and express its position on healthcare issues directly rather than allowing third parties to infer its position. Therefore, CFW recommended to Chancellor Blumenthal to issue a public statement in consultation with EVC Galloway on the health care issues related to UCSC.

Additionally, CFW recommended to Chancellor Blumenthal that the campus consider conducting a survey of faculty and staff attitudes towards and experiences with healthcare providers in the Santa Cruz area. The objective is to ascertain whether or not the Blue & Gold program as currently formulated is on par with the other Blue and Gold programs available at other campuses and whether this program is adequate for faculty and staff needs at UCSC. It is hoped that the results of this survey can leverage decision making at the system-wide level towards generating more affordable and competitive health care for UCSC faculty and staff.

In view of spiraling increases in health care costs in the last few years and expectations of a continuation of increases in future, a system-wide Health Care Task Force has been formed to evaluate significant financial and structural changes to the health care structure. Potential changes include university reducing its percentage share of financial expenditures and evaluating various options to pass on this additional cost to employees. CFW will play close attention to the

developments and recommendations coming out of these deliberations, particularly those that will disadvantage our campus disproportionately.

In order to establish strong long-term communication between CFW and the HCTF, CFW recommended legislation which stated that any representative to HCTF from UCSC would be considered an ex officio member of CFW. This legislation was adopted by the Senate in its May meeting.

Child Care

EVC Alison Galloway's allocation of central campus funds to support childcare services for faculty and staff was a highly laudable development in 2012. EVC Galloway designated \$150,000 a year to this end, an arrangement that will continue for up to five years, retroactive to 2010-2011.

Most importantly, CFW has requested clear designation of, and close dialog with, someone in administration who would be tasked with responsibility for active pursuit of establishing affordable, quality childcare for faculty and staff within the five year time frame suggested by EVC Galloway's funding allocation.

The groundwork for developments this year was laid by the work of the Child Care Task Force (CCTF) that convened during the academic year 2010-2011. CFW urges UCSC to follow through on various recommendations provided in the CCTF Report dated February 2011 and revised in the Fall of 2012 in accordance with CFW's request for clarification regarding such points as comparative information on childcare throughout the UC system, options for keeping childcare affordable, what resources the campus would commit, information on a voucher system such as that available at UC Berkeley, and the possible use of existing UCSC buildings that might be renovated. CFW generally supports the CCTF recommendation of the purchase of an off-campus facility for faculty/staff childcare, run by a third party vendor, as the most likely option for providing affordable, quality childcare for faculty and staff, such as that already established by our comparison-9 UC campuses. CFW is also interested in more in-depth investigation of the possibilities of a voucher system as utilized on other campuses.

Overall, CFW urges ongoing attention to the issues of affordability, quality, and the possibility of the facility also serving research-related goals (much like the child care facility does at Cabrillo College); the latter should be pursued in close collaboration with the Psychology and Education Departments. CFW also recommends pursuit of interim measures to support the immediate needs of faculty with young children by providing information on local child care resources. In addition, CFW is interested in re-starting conversations regarding the long-standing plans for a renovated and expanded childcare facility on campus slated at some point to replace the older student childcare center, exploring possibilities for including faculty and staff children in a manner that would not tax student funding streams.

Housing

The Committee on Faculty Welfare (CFW) has been working with Employee Housing over the past year to review and comment on the current status of our campus faculty/staff housing. Primarily focused on the implications and impacts of the "re-pricing program", CFW

has tried to identify the most critical goals of the employee housing program, and where possible, rank them so that clear outcomes can be determined, and recommendations formulated. CFW understands that there are three main goals of the program: (i) affordability, (ii) Low Interest Option Supplemental Loan Program (LIO_SHLP) and Housing Allowance, and (iii) act as an intermediary between buyer and seller to provide remodeled housing. CFW is aware that these goals may require tradeoff between the interest of various stakeholders and is attempting to conduct thorough thinking/analysis on how to reach a steady-state that provides a good balance for all stakeholders.

CFW has identified three stakeholder groups: (i) prospective buys/new hires, (ii) the campus/financial solvency, and (iii) current homeowners. CFW's preliminary conclusions are that the program goal of affordability, which is in the best interest of new hires and the recruitment efforts of the university, are being severely undermined with hefty increases in home pricing.

After renovations to purchased homes have been completed, the homes are offered to faculty and staff at a price determined by the "campus affordability value" (updated every year). This number represents the cost per square foot (\$302 in 2011-12, \$260 in 2007-2008) and is determined using several factors including (i) the median salary of incoming assistant professors, (ii) the MOP loan rate, and (iii) the cap of 60% of the cost per square foot of the comparable housing market. CFW's most compelling concerns with the campus affordability value are with the current market-based methodology. The market-based methodology is non-transparent and uses several contentious parameters. The on-scale salary of Assistant Professor, Step 1 should be used rather than the median salary in the calculation.

The Employee Housing office acts as an intermediary between buyer-seller and achieves several laudable goals in the process (ease of transaction for seller, guidance for buyers, avoids buyer/seller conflict) as well as providing the opportunity for standardized remodeling. CFW understands and appreciates the hard work of the Employee Housing office and the value in deliberate remodeling, especially for the older units, but is concerned that far too much is invested in the remodeling process which is ultimately paid for by future home buyers. CFW questions if the intermediary relationship should be a main goal, and would like to further consider what the programmatic downsides would be to discontinuing or cutting-back on this process. One possible option is to discontinue the repurchase and remodeling program for houses that are less than 25 years old or have been renovated in the last 25 years. These questions must be considered in the overall evaluation of the effectiveness of the program.

The Committee on Faculty Welfare (CFW) has reviewed the 2012-13 resale pricing program recommendation for the Employee Housing Program. CFW concurs with the recommendation of not increasing the re-pricing index for the year 2012-2013, as well as the recommendation of not including Ranch View Terrace homes into the program at this time.

For 2013-2014 and beyond, CFW recommends that the advantages outlined in Vice Chancellor Valentino's letter (March 5, 2012) be weighed against the disadvantages of the resale pricing program's inability to (i) maintain affordable pricing (16.1% increase since program inception, with only 9.2% increase in CPI-U), and (ii) continue in a financially feasible manner due to

losses in the Laureate and Hagar Court units and low profit margin (in spite of hefty increases in resale pricing) in the Cardiff Terrace and Hagar Meadow units due to expensive and sometimes unnecessary remodeling, carrying, and administrative costs. In many cases the low profit margin is also eroded because the income to employee housing program has been offset by expenditures associated with providing allowances to newly hired faculty.

Equity and Diversity

This year, the Committee on Faculty Welfare was interested in examining faculty pay and assessing if pay-related interventions are yielding the intended outcomes. As such, the committee has developed new metrics for assessing salary within and across UC campuses. Based on the data the committee was able to access (thanks to the cooperation of the APO), these metrics enabled CFW to examine salary at UCSC across divisions and departments. An equally important charge is to examine salary based on ethnicity and gender. It is important to note that these types of analyses happen regularly on other UC campuses (e.g., UC Irvine). To this end, CFW members met with the Committee on Affirmative Action and Diversity (CAAD) members to discuss possibilities for such an examination. CFW believes that it is more appropriate for CAAD to take the lead on this endeavor because diversity-related issues fall under the purview of CAAD. CFW is waiting to hear back from CAAD regarding if they would like to move forward and if so, how CFW might be of assistance.

Transportation and Parking

With member representation on the Transportation Advisory Committee (TAC), CFW was informed that there are a few increases in transportation costs planned for next year that will affect faculty. An increase of roughly 5 percent for the "A" parking permit is expected after several years of no increase. Additionally, a 10% planned increase for carpool permits will further the long term goal of bringing the cost of these permits up to the cost of a regular A permit. The annual cost of a bus pass will increase from one-hundred and five dollars to one-hundred and twenty dollars. This year, there were also some substantial increases in van pool fees due to the associated increase in costs of running the van pool.

Acknowledgments

We wish to gratefully acknowledge the very hard work of the exceptionally strong and dedicated staff of the Academic Senate. Most importantly, we extend our deepest thanks to the outgoing analyst Matthew Mednick and the incoming analyst Jaden Silva-Espinoza. Matthew, who joined CFW only last year, became extremely adept in a very short period of time, participating highly effectively, which allowed CFW to undertake bold and time-consuming faculty salary projects. So, when he was reassigned to another committee in Spring 2012 to fill out a new vacancy in the Academic Senate Office, CFW suffered a great loss. Jaden, who joined us in Spring, has done a remarkable job, learning quickly and helping the committee to function smoothly. She was able to manage an astounding workload carrying over from the ambitious projects undertaken by CFW.

We have appreciated our positive working relationships with CP/EVC Galloway, Chancellor Blumenthal, AVC Pamela Peterson, and VPAA Herbert Lee.

Finally, we thank all of our colleagues, who have contributed in various ways including participation in faculty salary forums and providing valuable feedback and insights throughout the consultation process.

Respectfully submitted,
COMMITTEE ON FACULTY WELFARE
Noriko Aso
Carlos Dobkin
Thorne Lay
Gina Langhout
Abel Rodriguez
Matthew Wolf-Meyer
Helen Moglen *ex officio*
Suresh Lodha, Chair

August 31, 2012

COMMITTEE ON INTERNATIONAL EDUCATION 2011-12 Annual Report

To the Academic Senate, Santa Cruz Division:

The Committee on International Education (CIE) focused its work this year on the issue of non-resident enrollment on campus, of which international students are a subset, and the creation of UCSC Faculty-led study abroad programs. Building off the work of the 2010-11 CIE, the committee continued to work towards greater access to an international experience for all students on campus.

Non-resident Enrollment

During the 2011-12 academic year, CIE was informed that UC Santa Cruz shares a part of the UC system-wide non-resident enrollment target. Each year that non-resident enrollment falls below the target, campus experiences a budget shortfall due to the loss of Non-resident Supplemental Tuition. Campuses retain the non-resident tuition revenue generated by their own non-resident undergraduate enrollments. Budget allocations from UCOP are predicated on the assumption that they will meet non-resident enrollment targets. Therefore when non-resident enrollment falls below the target, campus experiences a budget shortfall due to the loss of Non-resident Supplemental Tuition. UCSC currently meets or exceeds its graduate non-resident target and does not meet its undergraduate non-resident enrollment target.

International student enrollment is an important aspect of non-resident enrollment. As such, CIE continued the discussion of how the committee can aid in international student recruitment efforts. Action on addressing this was unfortunately delayed due to vacancies in both the Study Abroad Program Director and the Summer Session Director positions.

Faculty-led Summer Abroad Programs

Currently, students have three options if they wish to study abroad, with each option representing a financial loss to campus in the form of lost tuition; UC Education Abroad Program, enroll in a program offered by another UC, and study abroad through an independent organization. In each case, the tuition and fees students pay to participate in the programs are in place of tuition and fees paid to campus.

UCSC faculty initiated study abroad programs would offer the dual benefit of international experience for UCSC students and financial gain to the campus. During the last academic year, CIE produced guidelines for proposing summer abroad programs at UCSC and put out a call for faculty proposals in June 2011. The call resulted in ten proposals. CIE established the following adjudication criteria for these proposals:

1. Degree requirements: courses that build towards degree requirements
2. Academic quality: preparedness of faculty member or course instructor
3. Overall safety of the program

Based on these criteria, CIE submitted program rankings to the Assistant Vice Provost of Undergraduate Education, Jessica Fiske-Bailey on October 21, 2011. Unfortunately, the late

timing of CIE's adjudication of the faculty proposals made it impossible to implement the programs in the summer of 2012.

CIE adjusted the target and focused on faculty-led programs for the summer of 2013, and became involved in the candidate search for the campus Study Abroad Program Coordinator. In January 2012, however, CIE was informed that the search for a Study Abroad Program Director had been suspended.

CIE planned to go forward with a call for faculty-led programs for the summer of 2013, with the understanding that the UCSC Summer Session Director could oversee these programs. No call for proposals for summer 2013 could go out due to this position being vacant in March. Development of faculty initiated programs was further hampered by Campus Risk Services' reluctance to undertake a review of summer abroad programs. CIE notes that these types of programs are successful on other UC campuses. Ultimately, CIE determined that without a director, Risk Services analysis, or start-up money for the programs, faculty initiated programs are not possible for UCSC faculty or students.

EAP Faculty Director Mark Cioc attempted to negotiate an arrangement with UC Davis to allow UCSC faculty to lead summer abroad opportunities through the well-established program on the Davis campus, but found that while UC Davis would allow UCSC students to participate in their programs, they were not interested in collaborating with UCSC faculty nor in sharing any revenues from the abroad programs.

The message to CIE throughout the year from the administration was that due to economic constraints, there currently is not adequate infrastructure to support a UCSC Summer Abroad Program. As such, CIE sent a letter to Vice Provost & Dean of Undergraduate Education (VPDUE) Richard Hughey outlining its concerns and asking for a stronger commitment to international education on campus. VPDUE Hughey indicated in response that the administration is committed to greater support to the Office of International Education and its services.

Consultations and Correspondence

CIE met monthly during the 2011-12 academic year. Education Abroad Program (EAP) Faculty Director Mark Cioc consulted with the committee throughout the year and Chair Bernardi represented the committee at the monthly University Committee on International Education (UCIE) meetings.

CIE also consulted with VPDUE Richard Hughey regarding the newly-reconstituted VPDUE office and its goals

CIE discussed and commented on system-wide policies including:

- Committee on Faculty Welfare Salary Metrics Evaluation
- VPDUE Revised Class-Times Proposal

Respectfully submitted,
COMMITTEE ON INTERNATIONAL EDUCATION

Jorge Aladro Font

Ben Crow

Margaret Morse

Giacomo Bernardi, Chair

Giulia Centineo, NSTF

August 31, 2012

COMMITTEE ON THE LIBRARY & SCHOLARLY COMMUNICATION

Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on the Library and Scholarly Communication (COLASC) met bi-weekly throughout the academic year. With major developments both system-wide and globally in regards to open access issues, the future of an open access policy for the University of California remained a central focus for COLASC during the 2011-2012 year. COLASC played an active role by seeking campus faculty feedback on a system-wide draft Open Access Policy and sharing campus comments with the University Committee on Library and Scholarly Communication (UCOLASC), thereby assisting in the further development of a formalized system-wide policy.

As current fiscal realities continue to force the campus to make choices about resources central to campus research and educational missions, this year COLASC sought to understand how the Library could respond to these challenges and best serve faculty and students. COLASC surveyed campus needs with regards to the Library and open access by conducting two major campus surveys in the fall and spring quarters. In addition, during the spring quarter, the committee consulted with two UC Foundation Trustees, about ways to build momentum in support of the Library in light of looming cuts to its budget.

Open Access Policy

Support for open access to scholarly work increased significantly this year as scholars seek ways to maximize the availability and impact of their work within the current digital age of dissemination. In April of 2012, California Congressman Darrell Issa stated that he would not be taking legal action on H.R. 3699, Research Works Act. The Research Works Act bill introduced by Representative Issa in early 2011, aimed to prohibit open-access mandates for federally funded research, thereby nullifying the National Institute for Health's (NIH) Public Access Policy requiring taxpayer funded research to be accessible online. COLASC wrote to Congressman Issa to note their support of his decision to drop the bill and to request and encourage continued support for initiatives that will increase, rather than hinder, open access to federally funded research works.

The University Committee on the Library and Scholarly Communication (UCOLASC) developed a draft Open Access Policy (March, 2012) that will be reviewed and vetted by the Academic Senates of all ten UC campuses during the 2012-13 academic year. COLASC is supportive of the policy and is hopeful that it will eventually be adopted. The policy being considered would require faculty to deposit scholarly work into open access repositories to allow the public to view taxpayer-funded research and scholarly activities, and offer an economic and sustainable alternative to fee-based access. The Academic Senate at UC San Francisco (UCSF) unanimously voted to adopt a similar open access policy for the UCSF campus in May 2012, which further motivated the campaign for an official system-wide policy.

UCSC COLASC reviewed the system-wide draft and shared the draft policy with UCSC Senate faculty via email in April of 2012. Several individual faculty members shared their comments with COLASC, as did the Committees on Planning and Budget (CPB) and Academic Personnel

(CAP). In addition, COLASC had the opportunity to discuss the proposed policy with the Senate Executive Committee (SEC) on April 24, 2012, during which SEC members offered their in-meeting comments.

The comments of all parties were incorporated into an official letter of response to the system-wide Draft Open Access Policy that was sent to UCOLASC Chair, Christopher Kelty on May 22, 2012. The letter highlighted many of the perceived benefits of a system-wide Open Access Policy and expressed COLASC's overall support of the proposed policy's primary goal to make faculty scholarship more widely available and accessible. The response also noted that dual authorship, part time appointments of authors, questions regarding "obligation" versus "requirement," the time frame for making deposits into repositories, and the cost of the overall endeavor should be addressed in a final draft. Additionally, COLASC recommended that the intended definition of several terms used in the draft policy should be clarified, including the terms "scholarly article" and "author's final version."

To further engage and inform campus faculty on the topic of open access, Chair Manduchi met with the Dean's Advisory Council on June 7, 2012 and gave a presentation on open access and the draft system-wide policy. Following this discussion with divisional Deans, the committee's intention is to follow up with COLASC members contacting the faculty in their respective departments in 2012-2013 to ensure that faculty are aware of, and informed about, open access.

Library Surveys

New ways of producing and disseminating scholarship are transforming the roles and services of the University Library. COLASC supported the Library's participation in a national survey of undergraduates with regards to library usage, led by the University of Florida (Fall 2011). COLASC later surveyed faculty and graduate students (Spring 2012) in order to gain a better understanding of how the Library can respond to current fiscal and intellectual changes and best serve campus faculty and students.

Undergraduate Survey

The results of the undergraduate survey showed that students are heavily using the library space to study, browse collections, and use computer workstations, but that they are not as frequently using services provided by the Library. The Library plans to use the undergraduate survey data to further streamline their efforts, continue to consult with COLASC, and host focus groups with students to learn how the Library may better serve the campus undergraduate community.

Faculty and Graduate Student Survey

In an effort to determine how the Library serves other campus members and assess the campus climate regarding open access policy, COLASC generated questions for a Faculty/Graduate Student Survey that took place during the spring quarter. By way of a team effort of Committee Analysts, the Academic Senate Office, and Library Staff, the survey was formatted and distributed via email to campus Faculty, Graduate Students, Lecturers, and Postdoctoral Scholars. An impressive number of campus community members participated in the survey. The results imply that the Library continues to be a highly utilized resource on campus (60% of respondents noting that they frequently consult with reference Librarians.) As such, the survey provided the Library with information that will assist in the further tailoring and development of library resources and programs. As well, with a low number of respondents

claiming to have published in open access journals, the survey highlighted the need for increasing awareness regarding open access on campus.

Consultations and Correspondence

Communication with the UCSC University Librarian

In 2011-2012, COLASC continued its communication with University Librarian, Ginny Steel, who served *ex officio* on the committee. Librarian Steel provided invaluable updates to the committee on the latest library related issues and developments from the System-wide Library and Scholarly Information Advisory Committee (SLASIAC). Updates this year included the University of California Libraries Shared Services Assessment (May 2012), pending McHenry journal subscription reductions, the rededication of McHenry Library ceremony on April 27th, and the opening of the McHenry Grateful Dead Archive during spring quarter.

Consultations

COLASC consulted with the following individuals in 2011-12:

- UCSC Math Department Representative regarding library space and directional signage
- UC Foundation Trustees, Gary Novack and S.B. Master regarding building support for the Library

Official Correspondence

COLASC commented on the following documents in 2011-12:

- Response to ITS External Review (October 2011)
- Response to Campus Faculty Member Regarding Fines for Late Reserve Books (January 2012)
- Response to UCSC Climate Study Faculty Survey (April 2012)
- Response to Strategic Academic Plan for Silicon Valley (April 2012)
- Letter to Representative Darrel Issa Regarding UC Santa Cruz COLASC Opposition to HR 3699, Research Works Act (April 2012)
- Response to Proposed ITS WiFi Policy (May 2012)
- Letter to UCOLASC Chair Chris Kelty re: the Proposed System-Wide Open Access Policies (May 2012)
- Letter to Senate Chair Gillman re: Open Access Discussion at the SEC Meeting on April 24th (May 2012)

COLASC Representation

The COLASC Chair served as the campus representative on the University Committee on the Library and Scholarly Communication (UCOLASC) meetings.

Professor Roberto Manduchi will continue to serve as Chair of COLASC for the upcoming academic year (2012-13).

The Committee on Library and Scholarly Communication was assisted by Committee Analysts Michael Tassio (Fall/Winter 2011-12), and Jaden Silva-Espinoza (Winter/Spring 2012.)

Respectfully submitted,

COMMITTEE ON THE LIBRARY & SCHOLARLY COMMUNICATION

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August 31, 2012

COMMITTEE ON PLANNING AND BUDGET Annual Report, 2011-12

To the Academic Senate, Santa Cruz Division:

Introduction

The Committee on Planning and Budget (CPB) conducted business this year in the context of continued stress imposed by decreasing state support for the University of California. Campus programmatic and financial planning has been difficult in light of the budget uncertainty associated with the coming November 2012 ballot initiative, and the additional cuts precipitated should the measure(s) fail to pass. In Fall, Campus Provost and Executive Vice Chancellor (CPEVC) Galloway initiated the budget call review process with the campus' principal officers, on whose submissions CPB reviewed and consulted with the CPEVC in late Spring. Included in the review were one-time funding cuts for 2012-13 (fiscal year 2013 or FY13) and a permanent reduction target of \$8M in FY14, which represents a possible midpoint of the roughly \$4M-18M cut our administration estimates UCSC may face during the 2012-13 academic year due to a state budget "trigger" cut.

CPB also considered the implications of UC's funding initiatives, and their net benefit to our campus as UC funding levels change. Funding trends from 2010-11 continue, with greater reliance on student fees and tuition, overall reduction in state funding, and changing roles and relations between individual UC campuses and the UC Office of the President (UCOP). However, with the rebenching proposal, what new money is directed to UC will be apportioned with increased campus parity. In addition, CPB has been updated on the rebenching task-force's work, and concurred with the CPEVC's decision to apportion "rebenched" funds for 2012-13 to new faculty lines to address current faculty shortages.

In addition to the Budget Reviews, CPB continued its work to understand the total cost of UCSC to students. The committee also took up several projects, including review of the realignment of Student Services, Summer School, Silicon Valley, and Retention. The Retention sub-committee has been working to understand UCSC's comparative statistical shortfall in graduation and retention rates. The work of this sub-committee will continue in 2012-13, with a strong partnership established between continuing members and the Planning and Budget Office of Institutional Research.

Below we present key aspects of CPB's deliberations, reports, and recommendations to the Senate and campus administration in 2011-12.

2011-12 Budget and Budget Process

Using the guidelines set forth by the CPEVC in her letter of March 15, 2012, CPB evaluated how consistently and effectively they were followed. In addition to the previously-identified principles from CPB's 2010-11 budget recommendations, CPB identified several new principles by which we reviewed unit proposals. (see Appendix A for the complete list).

Elimination of unnecessary and costly risk aversion – Many UCSC units maintain practices that exceed mandated standards and/or reflect past over-commitments to risk aversion. Where

possible and prudent, such practices should be eliminated to reduce costs, work hours and improve efficiency.

Reduction/removal of bureaucratic layering – In keeping with the varied UC-wide and campus initiatives, all overlaps in unit/positional functionality should be investigated for possible integration or elimination.

Shifting functions to appropriate fund sources – Based on the previously identified principle “Shifting funding streams,” in this cycle we noted several appropriate fund shifts. UCSC has historically used state funds (19900 funds) to support functions for which other fund sources could/should be used. The proper direction of funding sources to their intended uses is a critical stewardship issue for our campus so that 19900 funds are directly supporting the instruction and research mission. This exploration should be pursued with an awareness of the concerns expressed in the previously identified principle about “Transferring Costs” (2010-11).

Effectively promote self-funding in units – In our review of the administrative units, CPB became aware that many were dependent upon central funds when they had the capacity to fund themselves at higher levels through the revenue they produce. We recommend that the campus consider encouraging revenue-producing units to use their revenue in order to fund their services at high levels. Such a program should be set up so as to incentivize revenue production.

Finally, we want to reinforce the centrality of research to the campus. Over the past four years, research has taken a larger share of cuts in order to preserve resources for instruction. CPB believes that this decrease in research funding should be halted; the campus should develop a comprehensive plan, using multiple funding sources, to restore support to the research enterprise. Acting on this principle requires creating and implementing a plan for reinvestment in research as soon as possible. This planning could be part of, or parallel to, the efforts of individual divisions to plan for the future shape of the campus. The research reinvestment plan should cover a 3-5 year period.

CPB’s analysis of the current budget submissions was informed by units’ proposals from previous years and CPB documentation on budget cuts, as well as other campus documents such as Planning and Budget’s *Bird’s Eye View* and the *Operating Budget Summary* report. CPB noted that in many cases units planned to use carry forward balances to absorb all or most of their one-time cuts for FY13. While this poses no specific problem, this strategy made it difficult for CPB to understand the impact of these cuts as well as the ramifications for plans to implement permanent cuts in FY14. CPB strongly encouraged the CPEVC to request supplementary data on carry forward funds used for FY13 budget cut scenarios because many units rely on the discretionary spending of carry forward funding for basic operations. The one-time funding spend out plans may require the elimination of activities or funding restoration in the future. Over several years, CPB has persistently pointed to the problem of reviewing budget cuts outside of the context of whole budgets. Again this year, CPB’s review and effectiveness was limited in the cases where some units did not submit explanatory letters or only discussed proposed cuts, but not the larger context of their unit’s budget. Without a discussion of complete budgets, neither CPB nor the Administration is in a position to fully evaluate the principal officers’ proposed cuts and augmentations.

CPB submitted on June 4, 2012 a confidential, detailed 15-page letter analyzing the budget submissions of all campus units and providing recommendations. CPB linked all its recommendations to budget principles it believes will best serve the campus.

Rebenching

In 2008, under the pressure of continually declining state resources, the UC Office of the President initiated a two-stage plan of budget reform. The first phase, “Funding Streams,” implemented in 2011-12, replaced the then-current, complicated system of cross-subsidies and reallocation of various revenue streams from one campus to another with a new framework that, with the exception of return-to-aid cost, leaves all revenues generated by a campus—tuition, non-resident supplemental tuition, indirect cost returns, and others—on that campus. Thus, campuses directly receive the benefits from increased effort in generating these revenue streams.

Funding streams dealt with all revenue streams except funds provided by the state. A second reform, dubbed “rebenching,” is designed to create greater transparency and equity in the formula for distributing state funds across the campuses. Rebenching would replace the historical allocation model, which simply applied shares of any annual augmentations or cuts to the prior-year “base” budgets of the campuses, a process that was followed for decades. Growth in student numbers was funded differently depending on when growth occurred. The result is that state funding per student now varies significantly among the campuses, and no one, including the Office of the President, can explain the reasons for the disparities. Rebenching aims to ensure that a resident undergraduate is funded the same, regardless of campus, and to provide a transparent model that demonstrates the critical role of state funding in preserving UC as a public institution.

In April 2011 the Office of the President assembled a systemwide Rebenching Task Force that included at least one representative from every campus, with several chancellors and other senior administrators, five Academic Senate representatives, and several UCOP participants. Concluding its work in March 2012, the Rebenching Task Force issued its report and recommendations in late June 2012.

SEC Proposal to Align Admissions and Retention Functions with Academic Administration

In summer 2011, the UCSC Division of Student Affairs was eliminated and all functions formerly performed by that unit were assigned to other units. Colleges and University Housing Services (CUHS) moved to Business Administration Services (BAS). Enrollment Management, Summer Session, and the Educational Partnership Center now report to the VPDUE, and The Dean of Students (DOS) now reports directly to the CPEVC. We note that the realignment of Student Affairs functions was an operational streamlining but not a cost-saving move.

CPB members met with representatives of the major units affected by this change: the Division of Undergraduate Education, the Council of College Administrative Officers, the Interim Vice Chancellor of BAS, the Chair of the College Provosts (2012), the AVC of Enrollment Management, the Director of Admissions, the Director of Financial Aid, and the Dean of Students (DOS).

All units reported improved operations, good morale, and greater administrative transparency since the realignment; all conveyed the sense that the transition has been a cooperative process and the campus is moving in the right direction.

Challenges have included establishment of clear fund management and reporting lines (signature authority) between BAS and the VPDUE; space management (College space versus undergraduate educational space [e.g. Kresge Town Hall]); coordination of Judicial Affairs (DOS) with campus police (BAS); and potentially competing agendas between the DOS and the VPDUE regarding the academic nature of Retention Services (RS). EOP (in RS), for example, maintains an intensive, individualized advising system for a relatively small number of students while the Colleges are allocated two advisors per college for their entire populations. CPB wonders whether this is the most effective allocation of advising services given the campus's scarce resources. At the same time, we recognize that the DOS office serves populations with specific needs, including veterans and those who use the Disability Resource Center (DRC).

Campus Life (DOS), which includes Student Engagement (student organizations and resource centers), recreation and athletics, health services, and Retention Services, reports increased contacts with students as well as more direct access to the CPEVC, who is now in a position to better understand the critical functions of Campus Life. The DOS is exploring cost sharing for some expenses that now fall to it but were formerly funded by the VCSA (e.g. recording industry licensing for student events). The DOS envisions further cuts to staffing in response to this year's budget cuts. Her unit currently has no development officer, yet alumni and others are eager to support student recreation. The DOS is working with University Relations to address this gap and better coordinate these development opportunities.

The Division of Undergraduate Education, with responsibilities for Enrollment, Undergraduate Education, Colleges Academic Curricula, Advising, Summer Session, International Education, and Educational Partnerships, should be the core and the key unit to undergraduate operations at UCSC. CPB recognizes this Division's successes and its efficiencies, but notes that it appears critically understaffed to carry out its ever-increasing responsibilities. Collaboration between the VPDUE and Enrollment Management appears quite successful, with increased yields of out-of-state student enrollment. A concern has been voiced over the connection between Retention Services and academics, since RS staff are non-academic. CPB recalls that last year the SEC recommended moving RS into the office of the VPDUE and encourages reconsideration of this option.

The move of the Colleges' residential functions to BAS (now employs 40% of campus staff) appears to emphasize non-academic aspects of this distinctive feature of UCSC's undergraduate experience, while faculty involvement in the Colleges continues to decline. A suggestion emerged to rename BAS the "Division of Business and Student Services" in order to counter the perception that the Colleges serve little/no academic function.

Final observations: The dissolution of Student Affairs as a Division appears to have been a positive move as other campuses across the country have begun to make similar realignments. The potential for confusion among external parties, who may marvel that UCSC has no Student Affairs Division and may be confused about the location or existence of classic Student Affairs

functions, seems to be offset by increased levels of communication, access, and cooperation among units. Many with whom we consulted expressed appreciation for the CPEVC's extraordinary accessibility and evident concern for the well-being of their units, but they also assume that this level of the CPEVC's participation can only be transitional since it is so time-consuming. It will be important to establish ways to preserve the positive aspects of the realignment.

Total Cost to Students

A CPB subcommittee examined the cost of undergraduate education at UCSC and investigated what possibilities, if any, might exist for containing/lowering that cost. The total annual cost for an undergraduate at UCSC varies greatly, from a low of about \$24,000 for a commuter who has California residency to a high of almost \$56,000 for a non-resident living on-campus.

Tuition and Fees

For a breakdown of the items under this heading, see: <http://reg.ucsc.edu/Fees/fees.html>.

Tuition, formerly "Educational Fee," is by far the largest contributor to this category, \$11,220 for 2011-2012. Other fees are also set by systemwide and, likewise, not under our control.

However, this category also contains campus fees passed by student referenda. Some of these fees were voted in by students many years ago. It isn't clear that students would want to continue to pay some of these fees today, should they have the opportunity to voice an opinion. Indeed, some fees seem to have outlived the organization/purpose originally specified. Consequently, it is our understanding that the currently collected fees are being directed to related uses. CPB suggests (a) a systematic review of all fees imposed by past referenda; (b) all future referenda have some sort of sunset provision specifying a time when the fee will be subject to review. The potential for fee reduction is modest, but worth considering.

Room and Board

The subcommittee considered the data in the 2011-2012 "Residence Operations Permanent Budget," trying to identify potential savings. One item particularly attracted our attention: about 36% of total housing expenses under the heading, "Debt, Housing Expansion & Major Maintenance." We solicited further information from VC Planning and Budget Delaney on housing debt service across the UC system. Here is the relevant passage from VC Delaney's reply:

"Your letter noted that 36 percent of UCSC's student housing budget was committed for debt service. Before responding to your specific request, some context and clarification is needed. UCSC's Long Range Development Plan and local mitigation agreement requires the campus to provide housing for 50 percent of undergraduate and 25 percent of graduate students up to 15,000 students and 67 percent of enrollments beyond 15,000 students. This is a very large portion of our student population and no other UC campus has entered into an agreement with their local community to house a specific percent of its students. To fulfill this agreement, a portion of UCSC student housing revenue is set aside annually for future student housing projects. These set-asides, along with funding for major maintenance, are included in the 36 percent figure referenced in your letter. Debt service, without the set-asides for future housing

and major maintenance, represents about 22 percent of the annual student housing budget at UCSC.”

These documents led the subcommittee to think that some savings in the cost of housing may be possible:

(1) Subtracting the cost of the 7 Day Meal Plan from total Room and Board (\$14,856 - \$3,636) leaves approximately \$11,000, the cost of on-campus housing (this amount varies somewhat, depending on the type of on campus housing). Debt service is 22% of that, about \$2,400. Interest rates are at a historic low. Might it be possible to refinance the campus’s housing debt, thereby reducing that 22% by some meaningful amount?

(2) Some portion of the 14% of “Debt, Housing Expansion & Major Maintenance” (once debt service is subtracted) is set aside for future housing expansion. Here, the subcommittee considered the possibility that UCSC may well want to reconsider further growth, especially given the continuing decrease in State support. If the campus decides that the overall size of the student population should remain at the current level, or grow more modestly than originally proposed, and assuming that we are currently in compliance with our agreement with the local community about the provision of on campus housing for the size of student population we already have, it may be possible to redefine a reasonable expansion fund downward from its current level with concomitant student savings.

Transportation, Books, and “Personal Expenses”

The costs listed under these headings are estimates. Actual costs vary depending on students’ unique circumstances, distance from home, number of annual visits home, differences in the course reading requirements, personal spending habits – items that aren’t appropriate targets for policy intervention.

In sum, then, the subcommittee has concluded that it may be possible to achieve some modest cost savings by:

- Reexamining some of the fees created by past student referenda.
- Seeking ways to refinance housing debt.
- Reevaluating the amount needed to maintain an adequate fund for future student housing, if it is decided, at some point, that the campus will not be growing at the previous rate.

Summer Session

CPB convened a sub-committee to consider future summer-session planning. Discussions at the CPB and sub-committee levels have produced a number of ideas, which we hope to consult with the VPDUE on through Summer 2012 and in the 2012-13 academic year, as the process of re-envisioning summer session continues.

CPB found that an integrated planning model for Summer School must begin with an articulation of the goals and values of the summer session. To serve the overall academic instructional mission of the campus, we believe that curricular design first requires a careful examination of the summer session courses offered and the process by which these offerings are chosen. At the

graduate level, we find it important to pay attention to the role of both professional development and summer support for graduate students as instructors.

Following upon these considerations, CPB addressed a range of topics and concerns, including ladder-rank faculty participation, summer support for graduate students as instructors, graduate-student-instructor compensation levels, compensation for summer teaching assistants, strategic departmental offerings to help students finish quickly, student aid in the summer, budget allocation strategies, academic support services required, and summer research possibilities.

Silicon Valley Academic Plan

The Silicon Valley Academic Plan outlines plans to implement an increased UCSC presence in Silicon Valley that will enable further growth of graduate enrollments at UCSC, serve the Baskin School of Engineering's strategic vision by growing the departments to sizes competitive with other research universities, and growing research and instruction in new areas of high technology, including social networking, gaming, human-centered design, and sustainability. The overarching philosophy of this plan is one of intersecting synergies. Silicon Valley industry regularly calls for additional well-trained students. Industry can also benefit from research capabilities of faculty. Likewise, the university has much to gain from closer engagements with cutting-edge technology firms. Specifically, research problems that originate from industry have high intellectual content, and access to these problems would provide exciting opportunities to UCSC researchers working in related fields. As UCSC's STEM faculty grows, a new cohort aligned with emerging technologies will find themselves performing research on the cutting edge of innovation. In addition, faculty awareness of employment trends and needs in the technology sector will lead to innovations in curriculum that will improve employment prospects for UCSC students. Further, close identification of UCSC with Silicon Valley will strengthen the campus brand, and indeed that of the University of California system, both nationally and internationally.

During its review of the academic plan, CPB identified questions/concerns that we would expect to be addressed as planning progresses. They are:

- A large number of possible programs have been identified. Since the fully realized curriculum described would require about 30 FTE, every possible program cannot become available at the same time. Are there any established program priorities?
- Is there a plan to phase-in FTE? What are the milestones?
- What are the physical space needs of the various programs? What are the minimum technical and equipment requirements?
- What would be the governance structure? How important is University Extension in the short and long term? Would the Silicon Valley Campus eventually become a Division or School with its own Dean? An arm of the School of Engineering?
- What would be the short-term and long-term funding model? What would be the balance of self-supporting professional programs and regular academic programs? What are the expectations and plans for development?
- The University Affiliated Research Center (UARC) contract with NASA will need to be renewed soon. Does the renewal have an impact on this plan?

CPB will continue its work on Silicon Valley during the 2012-2013 academic year.

Professional Degree Fees and Professional Degree Supplemental Tuition (PDST)

Professional Degree Supplemental Tuition (PDST) can be established for specific graduate degree programs and requires Regental approval. PDSTs are charged a fee in addition to all other system-wide and campus mandatory fees. PDST revenue supplements general funds and is intended to sustain and enhance the quality of the professional schools' academic programs and services.

Following the work done last year by the Administration and Graduate Council to develop UCSC-specific draft guidelines for the establishment and implementation of Professional Degrees, two such programs were proposed in 2011-12. Technology and Information Management M.S., and a 1-year Games and Playable Media M.S. were both reviewed by CPB.

Other Campus Reviews

CPB also responded to the Vice Provost and Dean of Undergraduate Education's Class Time-Slots proposal, The Committee on Faculty Welfare's numerous informative and thought-provoking reports related to faculty salary and retention, and draft review procedures for Interdisciplinary Programs.

Systemwide Issues

CPB responded, along with other relevant Senate committees, to the following issues:

- Open Access
- The BOARS Transfer Proposals (original and revised)
- Rebenching
- SR610 Residency
- Negotiated Salary Program
- APM 200/205

Review of UC Observatories

CPB reviewed the External Review Report of UCO Lick and responses to the report from UCORP, UCPB, CCGA and the UCSC administration. CPB also reviewed documents that were referenced in the External Review Report or responses: the UC Astronomy Task Force Report (2011), UCOP Preliminary Summary of the External Review of UCO (with appendices), and the UCO Self Study (2011). CPB noted particularly that the responses were universally positive. The one thing that is beyond any doubt is the formidable, international reputation that UCO has brought to the UC system through its scientific achievements. Moreover, it is evident that the multicampus research unit (MRU) structure works well for UCO and reviewers and responders want the MRU to continue. CPB suggested that any proposed changes, especially those that don't bring large savings with them, should be carefully checked against the risk that they might jeopardize the ability of UCO to continue to perform at this outstanding level. CPB focused its review on three areas; governance, faculty and facilities, making specific recommendations in each area.

Systemwide Senate-Administration Taskforce on Faculty Salaries

CPB reviewed the report of the joint Systemwide Senate-Administration Faculty Salaries Task Force (February), noting the serious disparity across the campuses in how off scale salary has been awarded. This is due to a number of factors, most owing clearly to the fact that the common

UC system salary scale has been abandoned in practice by the campuses. The disparity among pay at like ranks and steps owes to the different implementations on each campus to try (some more successfully than others) to increase salaries to market or near-market levels. It is the position of CPB that a primary goal should be to return to a common salary scale which brings compensation levels into alignment with comparison institutions in a coherent way. At the same time, CPB recognizes that raising the salary scale about 13% across all ranks and steps would be a difficult and an extraordinarily costly proposition.

Most critically, CPB agreed that the report recommendations for salary increases must come with funding, otherwise our campus will be unable to meet the increased obligations. As an unfunded mandate, such increases will not be implementable on many campuses, including UCSC, and the disparity between the haves and have-nots within the UC system will grow larger. If the system is willing to commit to a specific resource outlay, it will be possible for the Senate and other stakeholders to engage with the implementation methodology in a more meaningful way.

There were additional concerns that the methodology is vulnerable to the variability in faculty population at any given rank/step and the unevenness of the step increments. The UC campuses are coming out of a period of reduced faculty hiring, and the number of faculty at particular ranks/steps, especially in the lower ranks could be skewed, possibly resulting in unintended results. Increasing the salaries of all faculty up to the average at each rank/step (a recommendation in the report) is an inherently inflationary policy, which may not be viable or fundable past a small number of merit cycles. The recommendations seem to be intended to help campuses catch-up to the comparable institutions quickly, but they do not address the underlying issues in a systematic way. Additionally, moving salaries to the campus average doesn't help UCSC's faculty enough, for they are already behind in compensation. Only a systematic systemwide effort focused on equity will result in positive outcomes.

Regular Committee Business

FTE Review

In addition to reviewing divisional requests for faculty recruitment authorizations (16 reviews) for 2012-13, as well as the additional recruitments (8 reviews) based on planned rebenching funding, several partner-hire requests, and waivers of open recruitment, CPB also reviewed and made recommendations on one Target of Excellence (TOE) appointment.

CPB additionally reviewed and responded to six requests for FTE transfer and one Presidential Post Doc appointment.

Program Review

CPB participated and commented formally on the ongoing program reviews of eight departments, ranging from comments on the charge to External Review Committees to participation in closure meetings.

CPB also reviewed proposals for the change in administrative oversight for the Biology B.A., a preliminary proposal for the establishment of a Critical Race and Ethnic Studies program, the suspension of the American Studies B.A. Program, and the disestablishment of Community Studies.

On the graduate front, CPB reviewed proposals for Social and Environmental Practice in the Arts M.F.A., Professional Degree Supplemental Tuition (PDST) programs for Technology and Information Management M.S., and Games and Playable Media M.S.

ITS External Review

CPB was pleased that the Information Technology Services (ITS) review indicated the success of campus centralization efforts. On the other hand, the review indicated that some aspects of the campus's relationship with ITS can and should be improved. CPB concurs with statements concerning the lack of effective and clearly understandable governance mechanisms for campus-wide consultation and agreement of shared goals and priorities. This governance is important for maximizing the effectiveness of resource allocation. Broadly based bodies should provide regular input regarding ITS's goals and ideally, such bodies could help ITS resolve some of the tension between administrative and academic priorities, and campus versus local needs.

CPB suggested that a process for benchmarking the costs of ITS services against the costs at other institutions be initiated. Such an analysis was neither a part of the ITS self-study, nor could it be pursued by the external review committee (ERC). Such an effort would include the review of services supported by the Information User Assessment recommended by the ERC. Information technology costs and expectations evolve, and it is important to monitor the Information User Assessment and the associated mix of supported services.

The external review report also indicated that the centralized structure of ITS has a lower than typical ratio of distributed staff while pointing out that this is partly due to some typically distributed services being provided centrally. CPB is also aware of the comments of the Committee on Research (COR) regarding the appropriate mix of central vs. distributed ITS staff that are actively engaged with faculty and graduate students in the UCSC research enterprise. The seeming convergence of the ERC report and COR comments on the self-study suggest to CPB that a review of central vs. distributed resources would likely be of great benefit to the University, and suggest this effort be undertaken.

Continuing Issues for CPB 2012-13

CPB has identified several items for continued consideration in the next academic year. These include Retention & Graduation rates; Silicon Valley; the Recharge system; the Colleges; the Summer Session budget cycle; Bridge Funding; and the Comprehensive Campaign.

How CPB Functions

CPB consists of ten regular members (one of whom serves as Chair), including two *ex officio* members, the Chair and Vice-Chair of the Senate. All members are selected by the Committee on Committees (COC) and are subject to Senate approval. CPB brings a balance of perspectives to campus issues by including members from each academic division. CPB also had a graduate student representative, and places for two undergraduate student representatives to sit with the committee throughout the year. Members represent CPB on other academic and administrative committees and share the tasks of writing and editing documents. The duties of the Chair include setting meeting agendas, facilitating meetings, assigning tasks to CPB members for preparing reports and written responses, meeting commitments in terms of timely response to consultation,

signing CPB documents and attending UCPB. All CPB letters and reports, unless otherwise noted, represent the consensus opinion of CPB.

Respectfully submitted,
COMMITTEE ON PLANNING AND BUDGET

Robert Boltje

David Draper

Daniel Friedman

Patty Gallagher

Susan Gillman, *ex officio*

David Helmbold

Joseph Konopelski, *ex officio*

Sriram Shastry

Deanna Shemek

Andy Szasz

Marilyn Westerkamp, Chair

Jessica Greenstreet, SUA Representative

Valerie Poynor, GSA Representative

August 31, 2012

APPENDIX A

PRINCIPLES FOR REVIEWING BUDGET PROPOSALS

*Elimination of unnecessary and costly risk aversion** – Many UCSC units maintain practices that exceed mandated standards and/or reflect past over-commitments to risk aversion. Where possible and prudent, such practices should be eliminated to reduce costs, work hours and improve efficiency.

*Reduction/removal of bureaucratic layering** – In keeping with the varied UC-wide and campus initiatives, all overlaps in unit/positional functionality should be investigated for possible integration or elimination.

*Shifting functions to appropriate fund sources** – Based on the previously identified principle “Shifting funding streams,” in this cycle we noted several appropriate fund shifts. UCSC has historically used state funds (19900 funds) to support functions for which other fund sources could/should be used. The proper direction of funding sources to their intended uses is a critical stewardship issue for our campus so that 19900 funds are directly supporting the instruction and research mission. This exploration should be pursued with an awareness of the concerns expressed in the previously identified principle about “Transferring Costs” (2010-11).

*Effectively promote self-funding in units** – In our review of the administrative units, CPB became aware that many were dependent upon central funds when they had the capacity to fund themselves at higher levels through the revenue they produce. We recommend that the campus consider encouraging revenue-producing units to use their revenue in order to fund their services at high levels. Such a program should be set up so as to incentivize revenue production.

Instruction and Research – These are the core missions of UCSC and must be preserved. The closer a function is to directly supporting the I&R mission, the more its budget should be protected.

Bridge funds –

- Bridge funds should be provided to activities that can only change slowly, such as curricular obligations as specified in the catalog.
- They should NOT be used to postpone layoffs or delay implementing operational changes.
- They should NOT be provided when there is no proposed restructuring of operations.

Total Cost to Students - Cuts should not be implemented in a way that directly increases the total cost to students. Every effort should be made to *decrease* the cost of a UCSC education to students without compromising its quality.

Transferring costs - Costs should not be transferred from one unit to another without agreement of all involved units and a sound rationale. Transferring costs between units does not decrease the overall campus budget. The unit that is transferring an activity and its cost must find additional reductions of equal amount within their unit to meet their target.

Shifting funding streams – Careful scrutiny should be given when cuts are achieved by transferring a budget to a non-state fund source. There are some situations where this fund shift is appropriate, but consideration must be toward strategically aligning the function with the funding source.

Evaluating full budget proposals – Budgets should be reviewed in their full context so that the choices to protect certain budgeted activities can be compared to the activities selected for cuts. *Note: this did not uniformly occur this year since for some units, the Administration and CPB only reviewed proposed cuts, not full budgets.*

Employment of Students – Restructured units and new initiatives should maximize the use of student workers, especially students qualifying for federal work-study and graduate students.

Small Units – Small units have a threshold budget below which the necessary activities cannot be performed. Cutting small-unit budgets may require either consolidation of small units or smaller budget cuts.

Units running a deficit – A deficit-elimination plan should be part of the budget cut proposal. That is, revenues should exceed budget so that the deficit is erased in a foreseeable time frame.

Recharge Units – Units funded by recharge or user fees should take a budget cut similar to other units. The net result should be cost savings to the units that pay for the service through recharge.

Cumulative Impacts – Careful scrutiny should be given to activities that have decentralized funding, such as support for research and for diversity. A review of the overall impacts of individual, uncoordinated budget decisions should be undertaken when it appears that cumulative impacts will not enable the campus to meet its goals in a certain area.

Research Restoration – A comprehensive plan for restoration of support to the research enterprise using multiple funding sources is a crucial part of CPB's budget-cutting recommendation. Since research activities can recover more quickly than instructional activities, research budgets can be cut more than instruction. Acting on this principle requires creating and implementing a plan for reinvestment in research as soon as possible. The research reinvestment plan should cover a 3-5 year period.

Supplemental Stipends for Senior Management - CPB does not support supplemental stipends for senior staff in difficult budget times such as these. We all are taking on additional responsibilities.

**New in 2011-12*

COMMITTEE ON PREPARATORY EDUCATION

Annual Report 2011-2012

To the Academic Senate, Santa Cruz Division:

The Committee on Preparatory Education (CPE) held seven meetings throughout the academic year to discuss specific issues related to its charge. The work and accomplishments of the Committee during the 2011-12 year are summarized below.

Online Math Placement Exam (MPE) Report and Data:

CPE members reviewed the Mathematics department's proposed changes to the Math Placement Exam (MPE): to write a new exam, deliver it entirely on-line, and make it available to students in the spring before they arrive at UCSC. CPE members consulted with the Committee on Educational Policy (CEP) and Mathematics Department Undergraduate Vice Chair Marty Weissman. The previous test was developed by the Math Diagnostic Testing Project (MDTP). While the new test is not very different in coverage, it will have the advantage of being under the control of the department. Administrators of the test will be able to easily randomize answers and change the questions slightly. The initial offering was made on January 20, 2012 and then again for continuing students in May 2012.

CPE consulted with Vice Chair Weissman on the preliminary results of the first offering. CPE emphasized the importance of continuing to track the correlation of placement results with final grades, and, in particular, recommended specifically looking for students who place very well and do very poorly – this could be a population that cheats on the placement exam, which will be easy (but illogical) now that it can be taken repeatedly from home. Other suggestions from CPE included studying the past history of the lowest-performing students in Math 11 and 19 (did they come in via Math 3 or the placement test? If the latter, how close were they to the boundary?) and comparing average scores on the new test topic-by-topic with the analogous sections of the MDT (is geometry, which had a very low average on the new test, equally weak in the old one?).

CPE will follow up in the fall with Mathematics to review the summer test score data.

Tracking the Possibility of UCSC becoming a Hispanic Serving Institution

CPE discussed the possibility of UCSC enrollments of students of Hispanic descent reaching the 25% mark necessary to allow our campus the federal definition of a Hispanic Serving Institution. During the year CPE received reports via the VPDUE's Office on the status and the creation of a committee or team on Hispanic Institution Status. This team will work on criteria needed to fill out the necessary paperwork and policy that must be in place before UCSC can receive the designation.

Tracking Transfer Students Success in Writing Courses:

CPE discussed with member and Entry Level Writing Requirement (ELWR) Coordinator Hope-Parmeter; new data on transfer students' success in writing courses after arriving at UCSC. CPE asked Learning Support Services (LSS) Director Holly Gritsch De Cordova if her unit could provide these data. LSS provided data on transfer students' writing in DC courses. The differences in achievement between transfer and native students were generally small, but

transfer students were somewhat lagging in a few majors, including psychology, and in particular in the percentage of students with a grade of A. In spring CPE consulted with the LSS Director and staff member Jessica Maines on the results. LSS also conducted a survey on what transfer students' writing experience was before enrolling in their major DC course. The majority of responses indicated that the students felt well prepared for the level of difficulty of the writing assignments they encountered. Two recommendations came up during discussion – suggesting to departments that they prepare a 2-unit course introducing disciplinary conventions for writing and citations, and advertising to incoming transfer students that they should not rush to take gateway courses for their major before they are sure that they are thoroughly prepared to do well in them.

Math 2 Stretch Report on Progress in Math 3

CPE consulted with LSS Director Holly Gritsch De Cordova on the Math 2 Stretch Progress Report. While the results are for a very small cohort, the data did provide positive outcomes for students success rates when progressing to Math 3 and receiving a passing grade. From the report it was clear that students who passed Math 3 did so, on average, with a grade about one grade lower than they received for Math 2 Stretch. LSS and Mathematics will offer this course again next year, but both are open new ideas or courses that would help students who struggle with math.

The Board of Admissions and Relations with Schools (BOARS)Transfer Proposal from Systemwide for Divisional Comments

CPE members discussed the draft proposal from the Systemwide BOARS Committee for students who transfer from a community college into the UC System. The proposal is intended to place a greater emphasis on preparation for the major in the advice given to prospective transfer students and in transfer admissions. CPE considered the question of whether too much concentration on the major would undermine preparation in writing or math. The committee concluded that in quantitative disciplines, good math preparation would be part of the preparation required by the majors anyway. Regarding writing preparation, it was suggested that students who want to avoid taking preparatory writing courses in community college will probably do so under any circumstances.

Classroom Timeslot Changes Proposal:

CPE began this discussion last year with a draft proposal from Interim VPDUE Cioc on adding an additional timeslot to accommodate the demand for more large lecture classes. The committee felt there was not enough information to make an informed decision. This year VPDUE Hughey made changes to the previous proposal, and all senate committees were invited to respond. After the Senate Executive Committee sent in the combined committee responses, the VPDUE conducted a survey among campus departments and faculty and submitted a third proposal to the Senate for committee review. CPE's comment on this proposal included a suggestion for an alternate plan (“option 2a”), based on VPDUE Hughey's relatively conservative “option 2”, that would add a minority subset of medium and small rooms to the schedule that option 2 provides for large lecture halls. CPE also pointed out the probable necessity of extending finals week in some of these plans, particularly the most ambitious (“option 5”).

Report on Retention and Consultation with Academic Advising Coordinator:

CPE invited Academic Advising Coordinator Sketo-Rosener to consult with committee members on retention issues on campus and what procedures or practices are in place that the college advisers follow. College Advisers are governed by senate regulations to determine when students are subject to academic probation.

Committee on Retention and Advising / Undergraduate Council

Continuing a conversation from previous years, the committee discussed the need for a more coherent Senate oversight of retention issues and advising, which are divided among the purviews of CEP, CAAD, CPE, and CAFA. Initial discussions were about a Committee on Retention and Advising, possibly to replace CPE. Chair Smith met with former VPDUE Bill Ladusaw to discuss this idea, and returned to the committee with an alternate idea: an Undergraduate Council. The notion is that retention is such a broad and multifaceted topic that it should not be addressed by members who do not sit on other committees, but rather by a Council consisting of members of the above committees, plus many ex-officio staff members, addressing these and other cross-cutting topics.

UC ACCORD:

This is a Systemwide unit that funds research projects related to diversity and retention. It was brought to the committees attention by member Donna Hunter. There was a suggestion, not followed up in time before the quarter ended, for committee members to divide up and report back on the abstracts of individual ACCORD projects.

ALLIES program:

Committee member Sarah-Hope Parmeter briefed the committee on a program called ALLIES that pairs college writing staff with high school English or writing instructors. It is a mentoring program encouraging teachers to emphasize what students need in terms of writing skills to be successful in the college writing course.

Silicon Valley Academic Plan, Faculty Salary Metrics Proposal, and Faculty Satisfaction Survey

CPE briefly discussed these items that were passed to Senate committees for comment, but felt they were not in the purview of the committee and did not respond.

University Committee on Preparatory Education meetings:

Chair Smith had raised a proposal last year at UCOPE for a systemwide mathematics diagnostic exam to be offered online each Spring to enable incoming students to improve their math preparation in advance of taking placement exams at their UC campus in the fall. After learning about the UCSC math department's plan to start offering **placement** exams online in the spring, however, it became clear that the suggested systemwide plan might conflict with the ideas of the math departments at more than one campus. Chair Smith prepared a letter to be sent to undergraduate vice-chairs at math departments systemwide asking for their feedback. Apparently this has not yet been sent out by UCOPE, however.

Recommendations for CPE 2012-13:

Consult with the VPDUE on an Undergraduate Council or Committee on Retention and Advising; assign committee members and/or committee to study and report on how this is done on each of the other UC campuses.

Consult with the VPDUE on the progress of the committee on Hispanic Serving Institution.

Review new data on the MPE online results. The committee is specifically interested in how many of the top 15% scores fail the course or get Cs or lower (possible evidence of cheating). As the year goes on, study the fail rates at all levels (3/11/19) compared to previous years, and the quality of correlation between the MPE and course success compared to previous years.

Visit the UC ACCORD website and review and discuss any relevant research abstracts.

Follow up on the effect (if any) of the changes in administrative structure that began in fall 2011 on Retention Services and LSS.

Follow up on the suggestions made when discussing the progress of transfer students in disciplinary writing: ways to make sure they do not take gateway courses too early and/or without realizing how important they are, and speaking to departments about 2-unit disciplinary practices courses for transfers.

Respectfully submitted,
COMMITTEE ON PREPARATORY EDUCATION

Gabriel Elkaim
Donna Hunter
Eve Zyzik
David Smith, Chair

Frank Bauerle, NSTF Rep
Sarah-Hope Parmeter, ELWR Coordinator

August 31, 2012

COMMITTEE ON PRIVILEGE AND TENURE

Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

Grievances

Two grievances were filed with the Committee on Privilege and Tenure (P&T) this year. In both cases, after preliminary review the committee found in favor of the grievant. In one case, after being informed about P&T's proposed remedy, the grievant did not wish to proceed further. In the other case, the committee's preliminary determination and proposed remedy were communicated to the appropriate administrative officer, who accepted the proposed remedy. In both cases, grievance hearings were not needed.

P&T was consulted by the administration about an earlier grievance where the administration had accepted P&T's proposed remedy; the committee was informed that the grievant had changed their mind about the remedy, and the administration sought advice about how to proceed. After consulting with the grievant, P&T gave advice on the options presented by the administration.

Charges

No charges against any member of the Senate faculty were presented by the administration this year.

P&T was informed by a non-Senate faculty member facing early termination of employment due to disciplinary action that they wished to avail of their right to a P&T hearing. However, the eventual administrative decision was to not terminate the employment of the faculty member, at which point, as per Academic Personnel Manual (APM) Section 150, P&T's involvement in the case ceased.

Policy Review

In the course of its investigations into the above cases, P&T reviewed the sections of the Campus Academic Personnel Manual (CAPM) and APM that deal with the use of overlapping steps in the academic personnel process for Senate faculty and with the right to a P&T hearing for non-Senate faculty. In order to minimize the possibility of valid future grievances, P&T recommended a few changes in the CAPM and APM to the Campus Provost and the University Committee on Privilege and Tenure respectively.

P&T provided advice about changes proposed to the CAPM and APM by the administration, most notably to APM 016, where an enlargement of the range of administrative actions that are outside the scope of faculty discipline has been proposed. P&T unanimously recommended against this proposal. P&T also provided advice on CAPM 803.620 (Off-Scale Salaries) and CAPM 408.220 (Mid-Career Appraisal).

P&T is grateful for the advice and support provided to the committee by Senate Director Mary-Beth Harhen.

Respectfully submitted,
COMMITTEE ON PRIVILEGE AND TENURE

Gina Dent

Lindsay Hinck

Michael Loik

Todd Lowe

Leta Miller

Triloki Pandey

Onuttom Narayan, Chair

August 31, 2012

COMMITTEE ON RESEARCH Annual Report 2011-2012

To the Academic Senate, Santa Cruz Division:

I. COR Activities Regarding Matters of Research Policy

A. Reviews of Research/Support Units

UCO/Lick

Throughout the year, COR closely followed the review of University of California Observatories (UCO) conducted by the UC Office of the Preside (UCOP). UCO Lick funding, which is allocated centrally from UCOP, has so far been sheltered from large budget cuts. The Vice President of Research and Graduate Studies, Steven Beckwith, has conducted several reviews of UCO over the past few years, all of which were positive. The UCSC Senate considered the final UCO review in the winter quarter and COR solicited feedback from all UCO and UCSC astronomy and astrophysics faculty as well as affiliated faculty and lecturers. This information expressed overwhelming positive support for the UCO and Astronomy faculty, and was included in the UCSC Senate's response to Academic Council. UCO is an invaluable system-wide resource that has catapulted UC astronomy into a world leader in that field. The funding model has been successful in supporting UCO and given the positive reviews of the unit, there is not a sound rationale for making the sweeping changes that VP Beckwith proposes. The existing deficit of UCO is due to organizations not covering salary merit increases since 2008, as was agreed upon in a Memorandum of Understanding of 2003.

In May 2012, VP Beckwith followed through on the recommendation of the UCO External Review Committee to create a new governance structure for UCO. The so-called UC Astronomy Board would advise the Vice President of Research and Graduate Studies (VPRGS) on all aspects of UC Astronomy, including allocation of funds, research directions, and choice of UCO director. Feedback was requested only from UCORP and the Senate. In its response, COR expressed uncertainty about many aspects of both the plan and the makeup of the new proposed UC Astronomy Board. Over half of the Board would be administrators or UCOP staff. The Board would not have the expertise to guide the research directions. Moreover, it conflicts with the existing UCO Advisory Committee, comprised of system wide astronomers from all eight astronomy-related UC campuses. The UCO Advisory Committee is not even mentioned in the draft charge of the UC Astronomy Board.

B. Update on Silicon Valley Research

Continuing a relationship forged in previous years, COR consulted with Gordon Ringold, Senior Director of Silicon Valley Initiatives, in the fall quarter. Dr. Ringold discussed the University Extension Program and the University Affiliated Research Center (UARC). COR expressed concern that grant funding from the NASA AMES partnership is rarely available to UCSC faculty. Also, COR conveyed concerns that the UARC collaborative grant may not be renewed (in 2010-11 the grant was in year nine of ten) due to the lack of interaction between AMES and

UCSC. Loss of this funding would lead to a campus loss of at least \$4 million in indirect cost recovery. A recent meeting involving AMES researchers and UCSC faculty have shown the possibility that the partnership can be revitalized. Effort has to come from both sides and be facilitated by the office of Silicon Valley Initiatives. Despite requesting a response, a memo from COR to Director Ringold remains unanswered.

COR also reviewed the UCSC Strategic Academic Plan for Silicon Valley. The plan lacked concrete funding sources and there was no mention of intellectual property/nondisclosure issues. In general, COR views Silicon Valley as an exciting new frontier for the university and believes the academic plan would benefit from greater organization, context and inclusion of on-going research across the campus.

C. Possible Regional Data Center Funding at the UCSD Supercomputer Center

In 2008-09, the office of the Executive Vice Chancellor (EVC) made available approximately \$1,000,000 for use over a five year period (an average of \$200,000 per year) to subsidize users at UCSC who wish to utilize the Regional Data Center at the San Diego Supercomputer Center (SDSC). The funding would be used to house computing, storage or other power- and cooling-intensive computer operations. At current rates, this amount would support the power, heat requirements and maintenance for approximately 20 racks of computer equipment.

The allocation was mandated by UCOP. The rationale for this allocation is that current Data Center capacity at UCSC is largely filled and the SDSC presently has available and accessible space for UC users. Vice Chancellor of Research (VCR) Margon explained that this money cannot be used by the campus for any other endeavors. COR requested and received updates from the EVC and Vice Chancellor for Information Technology (VCIT) Mary Doyle. The VCR recommended and COR concurred with setting aside the funds for “tenant’s fees”. These funds would be used in certain cases where electricity and cooling are needed, for example, or for new hires or new grants that require new clusters of computers.

D. Relations with the Vice Chancellor of Research (VCR) and Office of Research

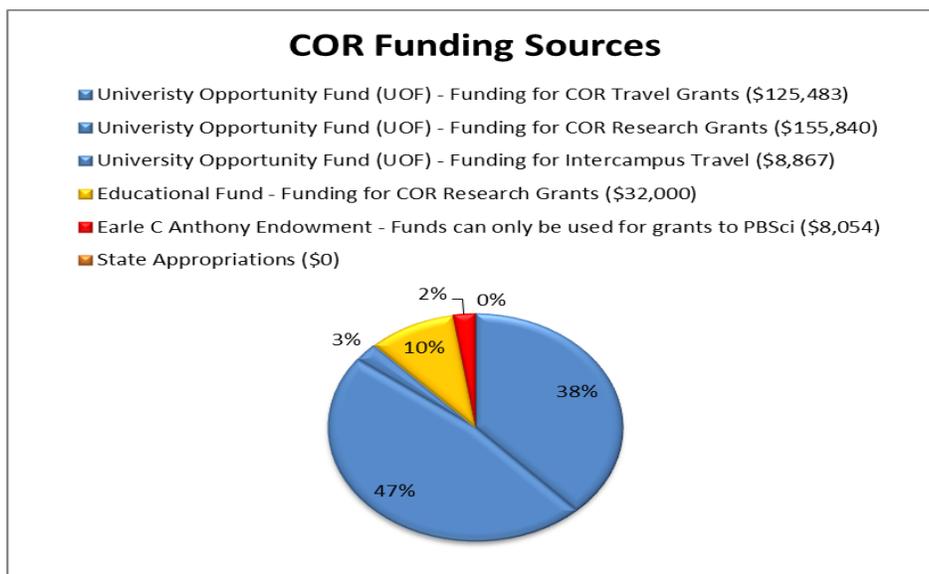
The 2011-12 Committee on Research continued its interaction and coordination with VCR Bruce Margon, who attended a large number of COR meetings as a guest, participated in discussions, and on several occasions sought COR’s input on matters of research policy.

II. COR Budget and Grants Programs

A. COR Funding Sources

In 2011-12, COR received funding from three sources (see Chart 1). Eighty-eight percent of funding came from the University Opportunity Fund (UOF), which is comprised of Indirect Cost Revenue (ICR) received from federally funded grants. The next source of funding was the Educational Fund, which is comprised of ICR from privately funded grants. The last source of funding was the Earle C Anthony Endowment, which provides a small amount exclusively for use in the field of Physical and Biological Sciences.

Chart 1. 2011-12 COR Funding Sources



B. COR Budget

COR has received a series of cuts to its permanent funding allocation over the last several years. Cuts in 2008-09 (\$2,900), 2009-10 (\$41,145), 2010-11 (\$45,900) and 2011-12 (\$140,000) have resulted in a total reduction of \$229,945 to COR’s base funding in the past four years.

The total amount of 2011-12 funds allocated to COR was \$330,244. The allocated funds fell nearly \$100,000 short of COR’s projected 2011-12 expenditures of \$430,268 (\$305,268 in grants and \$125,000 in travel funds), meaning that COR was not be able to fund grants at historical levels. COR seriously considered suspending the Special Research Grants (SRGs) Program in the 2011-12 year. Instead, COR decided to reduce SRG maximum amounts by nearly half (from \$15,000 in 2010-11 to \$8,000 in 2011-12) and continue the program.

UCSC COR funding continues to slip behind levels of the late 1980s and early 1990s. It also remains well below funding levels at most other UC campuses (as documented in the COR 2004-05 annual report and the 2002-03 report on COR funding levels).

In light of this, COR sent a memo to EVC Allison Galloway in June 2012 requesting a commitment from the office of the EVC for a modest restoration of COR funds over a three year period. Citing the integral role of the research enterprise on campus in meeting the aspirational graduate enrollment targets assigned through system-wide rebenching, COR requested permanent allocations of \$50,000 per year for three years beginning in 2012-13. The EVC Galloway responded that her office was unable to provide the requested funding due to continuing budget uncertainties. COR will pursue this matter again if/when rebenching occurs.

C. COR Grants Programs

COR continued to fund three primary grant programs during the 2011-12 year: Faculty Research Grants (FRGs), Special Research Grants (SRGs), and Scholarly Meeting Travel (SMT). The FRGs and SRGs were awarded in the spring quarter, whereas SMTs were awarded throughout the fiscal year. Total funding rewarded by these programs was \$330,267. The 2011-12 budget also funded the FRGs awarded by the 2010-11 COR during spring 2011, a long-standing accounting practice that COR decided to end after this year. These FRGs totaled \$146,480 (Table 1), bringing the total expenditures of COR for 2011-12 to \$476,747 (Table 1).

Table 1. Summary of COR Research Expenditures during the 2010-11 Fiscal Year

| Category | Amount | Comments |
|--|------------------|-----------------------------|
| FRG (awarded in Spring 2011 by the 2010-11 COR) | \$146,480 | All paid with 2011-12 funds |
| NFRG (awarded in Fall 2011 by the 2011-12 COR) | | |
| FRG (awarded in Spring 2012 by the 2011-12 COR) | \$108,161 | |
| SRG (awarded in Spring 2012 by the 2011-12 COR) | \$83,132 | |
| SMT (awarded throughout the year by the 2011-12 COR) | \$138,974 | |
| Total expenditures | \$476,747 | |

As noted above, the 2011-12 COR chose to fund the FRGs adjudicated in the spring of 2012 with current year funds (2011-12) rather than the usual COR practice of delaying payment until 2012-13. This decision represents a shift in administration of the accounts and was paid for with one-time partial year savings and carry forward funds. COR believes that this decision will lend much clarity to their yearly budget.

Last year (2010-11), the ‘basic’ award for FRGs and NFRGs was \$2,000 (maximum) for tenured faculty and SOE lecturers, and \$2,500 (maximum) for junior faculty. This amount represented an increase over the 2009-10 awards and was designed to make the applications slightly more competitive. The 2011-12 COR, faced with significant budget cuts, decided to drop the maximum awards for FRGs and NFRGs back down to \$1,500 and \$2,000 for junior faculty. 2010-11 SRG awards ranged between \$2,000 and \$15,000 (\$12,000 maximum for individual projects and a \$15,000 maximum for collaborative projects). In order to keep the SRG program available to faculty, the 2011-12 COR reduced the maximum SRG award to \$8,000. COR agreed on the importance of SRGs and tried to keep the award amount at a level that would still allow a more in-depth study. The approximate average SRG award amount was \$5,200, down from an average of \$7,500 in 2010-11. SMT funding remained limited to \$650 per year with a request of up to \$1,000 available every third year.

The large majority of FRG and SMT requests were funded in full. Although there are restrictions on use of these funds, applicants that followed the instructions and properly justified their requests were generally funded.

This year, COR received 24 proposals from the SRG competition, a decrease from the previous year (37) and a sharp decline from two years ago (45). COR received 84 proposals for the FRG competition, also down from the previous year (127) and far below the number from two years ago (155). COR believes the reasons for this are several fold: (i) implementation of a new website for proposal submission that was streamlined but had a new series of questions to answer (this system will be revamped for 2012-13); (ii) the disincentive of the smaller award amounts; (iii) increased faculty workload over the last several years due to the broader fiscal crisis in the UC system. The crisis has translated into, amongst other things at UCSC, decreased administrative support, larger classes and fewer teaching assistants.

Overall, COR felt that the quality of the submitted proposals for both FRGs and SRGs was very high. Many of the submitted proposals asked for funding toward the completion of important ongoing scholarly work, while others aimed at initiating new research projects or preparing proposals for major extramural grants.

Table 2. Summary Statistics on 2011-12 FRG Awards adjudicated in 2010-2011

| Division | FRG apps requested | FRG apps funded | FRG amount funded |
|-----------------|---------------------------|------------------------|--------------------------|
| Arts | 35 | 32 | \$43,686 |
| Engineering | 2 | 2 | \$2,475 |
| Humanities | 36 | 29 | \$37,852 |
| PBSci | 20 | 16 | \$23,063 |
| SocSci | 34 | 31 | \$39,404 |
| Total | 127 | 110 | \$146,480 |

FRG awards listed above in Table 2 were made by the 2010-11 COR but, as noted earlier, were paid with 2011-12 funds. In Table 3 below, the FRG and SRG awards were made by the 2011-12 COR and paid with 2011-12 funds.

Table 3. Summary statistics on the 2012-13 FRG and SRG Awards adjudicated in 2011-12

| Division | SRG apps requested | SRG apps funded | SRG amount funded | FRG apps requested | FRG apps funded | FRG amount funded |
|-----------------|---------------------------|------------------------|--------------------------|---------------------------|------------------------|--------------------------|
| Arts | 12 | 5 | \$35,373 | 26 | 24 | \$36,731 |
| Engineering | 1 | 0 | \$0 | 2 | 1 | \$1,500 |
| Humanities | 3 | 3 | \$16,500 | 19 | 15 | \$22,098 |
| PBSci | 3 | 2 | \$7,409 | 9 | 6 | \$10,000 |
| SocSci | 5 | 4 | \$23,850 | 28 | 26 | \$37,832 |
| Total | 24 | 14 | \$83,132 | 84 | 72 | \$108,161 |

Table 4. Summary Statistics on the 2011-12 SMT Program

| Division | SMT apps funded | SMT amount funded |
|-----------------|------------------------|---|
| Arts | 27 | \$22,100 |
| Engineering | 7 | \$5,600 |
| Humanities | 53 | \$43,200 |
| PBSci | 25 | \$20,450 |
| SocSci | 66 | \$47,624 |
| Total | 165 | \$138,974 (\$2,723 of total was intercampus travel) |

Now that both the SRG and FRG grant programs will be funded in the same fiscal year, COR has the opportunity to change the timing of the funding cycle. COR agreed to the following schedule for next year's SRGs and FRGs (dates are approximate):

Fall Quarter: Review and approve criteria and application website
 Open application period from December 1 through January 20

Winter quarter: COR adjudication of applications (February)
 Notification of Award by March 15-30

This cycle will allow greater alignment of faculty time (for both proposal preparation and conducting the research) and the funding period. **Faculty will need to take note that the cycle is significantly moved forward in the academic year. Notification of the application period will be forthcoming in 2012-13.**

III. Other COR Business

COR discussed and commented on several system-wide policies:

- Review of APM 668 – Negotiated Salary Review (11/17/11)
- Review of ITS External Review (10/14/11)
- Review of CAPM 408.220 – Proposed changes to Mid-Career Appraisal (4/27/12)
- Review of CAPM 512.280 – Proposed Changes Adjunct Professor Series (5/16/12)
- Review of proposed Wi-Fi Policy from ITS (5/25/12)
- Review of APM 010, 015, 016 – Proposed Changes to University Policy on Academic Freedom, Faculty Code of Conduct, and Administration of Discipline (5/31/12)
- Review of proposed changes to campus course time slots (10/14/11; 5/31/12)

IV. Outstanding COR Business

COR is carrying forward many important orders of business into the 2012-13 year. Amongst these items:

- COR membership: COR invited a representative from the Graduate Student Association (GSA) to most of its meetings this year. COR is thus considering a change in the committee charge to allow for a sitting graduate student representative.

- SMT: clarify the criteria and limits (if any) for Intercampus Travel.
- Clarify the criteria of the Scholarly Meeting Travel program.
- Review the instructions, rules and new submission website for FRGs/SRGs
- Off-the-top (OTT) funding split: re-examine the current allocation model for OTT distribution to academic divisions, VCR, central administration and COR.
- Aspirational graduate growth funds, through implementation of system-wide rebenching, will lead to more graduate support. COR will consult with the Graduate Council and the Graduate Dean on planning the use of these funds.
- Undergraduate participation in research: working with the VPDUE, COR will further explore funding options for undergraduate participation in research.
- Consultation with Deans: COR plans to consult with the Deans of the Academic Divisions to understand their research priorities and the role of COR in supporting campus research.
- Social Sciences Task Force on Agroecology, Food Systems, Florae and Sustainability: COR agreed to propose that the Task Force Report be reviewed by the entire Senate.

V. COR Senate Support

COR could not have functioned without the dedicated and superb support of Academic Senate Director, Mary-Beth Harhen. COR is extraordinarily grateful for her conscientious and insightful contributions to the committee.

Respectfully submitted,
COMMITTEE ON RESEARCH
Elisabeth Cameron
Nathaniel Deutsch
David Koo
Sri Kurniawan
Deborah LeTourneau
Debra Lewis
Barbara Rogoff
Hamid Sadjadpour
Scott Oliver, Chair

August 31, 2012

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

The Committee on Rules, Jurisdiction, and Elections (CRJE) met five times in 2011-12. This report summarizes the Committee's work during the year.

Advice and Interpretation of Legislation:

SCR 9.1.8 – Grades, Evaluations, and Transmission of Records

CRJE reviewed an inquiry from the Committee on Educational Policy (CEP) regarding Santa Cruz Regulation (SCR) 9.1.8 which sought clarity on whether “W's” are, or are not, governed by this regulation. CRJE's opinion was that the implications of SCR 9.1.8 on W grades is ambiguous in the current version of the manual due to the fact that this regulation was written before W grades became a grading option. Given that, CRJE does read the current wording to treat W's like a dropped course, that is to say, they may be repeated multiple times.

CRJE suggested that this ambiguity merits expeditious correction by CEP and further suggested a possible legislative remedy.

SR 900 – Scholarship Regulations

In response to an inquiry from CEP, CRJE reported several opinions on the effect of UC-wide regulation SR 900 on UCSC disqualification policy:

- UCSC's regulation 9.1.8 is not in itself in conflict with SR900 because it does not directly address disqualification or probation (and even to the extent that SCR9.1.8 bears upon disqualification or probation, it is itself a divisional regulation, which is the appropriate venue for such requirements to be put forth) If, however, a department were to adopt a disqualification policy using SCR 9.1.8 as a method of implementation, the department would run the risk of conflicting with SR 900 unless the policy is implemented via a Divisional regulation.
- With regard to 'how late is too late' (for disqualification from a major not to constitute disqualification from the university), this detailed question appears to be a matter for CEP's rather than CRJE's expertise, as well as one in which there will be no completely clear-cut answer. The key issue is the extent to which there is a discrepancy between SR 900's standard and that imposed by the major. UCRJ has indicated that such discrepancies should be minimized, not eliminated; the latter is probably impossible in practice, as it is always possible that any obstacle to a student obtaining a degree can, in some cases, effectively lead to disqualification.

Committee on Committees Elections:

CRJE reviewed the COC nomination petitions which were submitted by the February 3, 2012 deadline. As the number of nominees matched the number of vacancies, CRJE certified for the division the appointment of the nominees before February 13, 2012, which would have been the date of ballot distribution were an election required.

Santa Cruz Division Manual Updates:

After review of a request for a Cowell College bylaw change (Chapter 4.1 Election of Fellows) CRJE sought to clarify the procedure for election of Senate Fellows. SCB 12.1 and 13.4.1 state that only members of the Academic Senate may vote when meeting as a Committee of the Academic Senate, as formed in accordance with SCB 12.2 and SCB 13.1. Because the Senate Faculty in the college can act as a Committee of the Academic Senate, the election of the membership of that Committee is a Senate function and only Senators should be part of that process, consistent with SCB 12.2. CRJE suggested a change to Cowell's bylaws that would ensure that only Senators vote on the membership of the College Senate Faculty.

CRJE additionally plans to propose that similar conforming changes are made to the other College Bylaws in 2012-13.

Respectfully Submitted,
COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Zsuzsanna Abrams
Dave Belanger
Allen Van Gelder
Abraham Stone
Anthony Aguirre, Chair

August 31, 2012

COMMITTEE ON TEACHING

Annual Report 2011-12

To the Academic Senate, Santa Cruz Division:

Introduction

The Committee on Teaching (COT) met regularly every other week throughout the academic year to conduct business regarding an extensive agenda related to the charge to foster and promote good teaching, to recommend and evaluate methods of assessing teaching performance, to oversee instructional support services on campus, and to advise the Academic Senate as requested. Much of the year was dedicated to redefining COT's role in light of recent budget cuts that have disrupted support for teaching and learning at UCSC. Funding for the Center for Teaching and Learning has effectively been hollowed and the Instructional Improvement Program grants, one of the only grant opportunities on campus to support new, innovative teaching, were not funded in 2011-12. Given these cuts, COT is, and remains, concerned about what appears to be a trend towards the disinvestment in resources to support teaching and learning at UCSC.

Center for Teaching and Learning

One of the mandates of the Committee is to provide direction to the Center for Teaching and Learning (CTL) in matters regarding COT business, and when required, in any matters concerning instructional support. The CTL has been without a director for over four years and its presence on campus has diminished. Teaching is a vital part of the UCSC mission, and COT continues to be concerned about the marginalization of the CTL. UCSC is the only UC campus without a functioning Center for Teaching and Learning, and COT believes that the CTL can and should be a vital resource, playing a pivotal role in enhancing teaching and learning at UCSC.

In the absence of a CTL director, Jessica Fiske Bailey, Assistant Vice Provost of Undergraduate Education, often attended COT meetings acting as the CTL's administrative manager, amongst her other duties. Unfortunately, due to other Committee commitments, strategies for re-inventing the CTL, including consulting with administration about the need to authorize the appointment of a CTL faculty director, and establishing collaborations with past Excellence in Teaching Award recipients, were not discussed at length during this academic year. COT is hopeful that next year's Committee will pursue these and other ideas for re-envisioning the CTL.

Instructional Improvement Program Grants

The Committee on Teaching is charged with adjudicating the Instructional Improvement Program (IIP) grants. Adjudication of IIP grant proposals is a responsibility that COT has taken very seriously and on which it has spent a great deal of its time throughout the years. In 2011-12, funding for IIP grants was suspended. While the administration's decision to suspend the program came as a surprise to the current membership of COT, funding for IIP grants had declined in recent years (see graph below). In 2010-11, the administration consulted with COT early in the year to discuss the viability of continuing IIP grants, arguing that the funds did not appear to support the greater campus good. COT responded by arguing that there are no other grant opportunities offered on campus to support new, innovative teaching. The administration eventually decided to continue the IIP by allocating \$30,000 for 2010-11.

Instructional Improvement Program Grants: Funding from 2001-02—2011-12

| Academic Year | Number of Proposals Funded | Total Funding Awarded for IIP Grants |
|---------------|----------------------------|--------------------------------------|
| 2001-02 | 28 | \$143,753 |
| 2002-03 | 31 | \$118,056 |
| 2003-04 | 26 | \$129,522 |
| 2004-05 | 25 | \$113,782 |
| 2005-06 | 24 | \$107,236 |
| 2006-07 | 28 | \$95,736 |
| 2007-08 | 25 | \$87,547 |
| 2008-09 | 17 | \$88,180 |
| 2009-10 | 7 | \$68,200 |
| 2010-11 | 4 | \$30,000 |
| 2011-12 | 0 | 0 |

A cornerstone of IIP grants was to motivate and encourage faculty to think seriously about how they teach, and how the learning experience of undergraduate students can be improved. Faculty were encouraged to experiment with new innovations in teaching and to assess learning outcomes and objectives. Funding for IIP grants had generally been awarded in three areas: Mini Grants (up to \$2,000), Course Development Fellowships (roughly \$6,000-\$8,500), and Major Grants (up to \$15,000). COT, in consultation with the Director for the Center for Teaching and Learning (CTL) and the Vice Provost and Dean of Undergraduate Education, selected areas of focus consistent with campus priorities such as the following: course development focused on writing in the discipline; mentoring graduate students in teaching pedagogy; development of co-taught inter-divisional courses; innovative approaches to teaching large lecture courses; implementation of eCommons for use in courses; and, the development of courses that satisfy GE requirements in areas with minimal offerings. In short, COT is of the opinion that these grants had a clear and definite impact on improving the quality of teaching and learning at UCSC.

The Director of the CTL was charged with working closely with grant applicants to ensure that clear learning objectives and outcomes were articulated, and that these could be adequately assessed. Given the current status of the Center, assessment of the effectiveness of recent IIP grants, as far as COT can tell, has not been conducted.

Annual Teaching and Learning Symposium

The Annual Teaching and Learning Symposium has not been held since 2007-08 due to the limited staffing in the CTL where the work of organizing the symposium has historically resided. Members of the administration have questioned the value of offering the symposium, arguing that they are typically attended by few faculty and costly to organize. COT discussed these concerns and is confident that offering a symposium or a series of workshops on timely topics such as online instruction, hybrid courses, or teaching large lecture courses would attract sizable faculty audiences. COT recommends that next year’s committee assess options for a symposium or workshop, particularly under the greater discussion of the future of the CTL.

Excellence in Teaching Awards

The Excellence in Teaching Awards recognize faculty who engage students through innovative course design, special learning techniques and materials, and their own personal qualities as teachers and mentors. Students nominate faculty and COT selects awardees. Similar to the process used in 2010-11, students were emailed a link to an online nomination form, gathering the name of the faculty member, the discipline, the related course, student contact information, and a statement of nomination. Students submitted three hundred and eighty-nine (389) nominations for one hundred eighty-one (181) eligible faculty. COT selected eight faculty to receive the Excellence in Teaching Award for 2011-12, including one faculty member to receive the Ron Ruby Award for Teaching Excellence in the Division of Physical and Biological Sciences. The Excellence in Teaching Awards ceremony was held after the Academic Senate Meeting on May 18, 2012, and the awards were presented by Chancellor Blumenthal. The recipients were as follows:

- Lora Bartlett, Education
- Nandini Bhattacharya, Mathematics
- Gabriel Elkaim, Computer Engineering
- Andrew Fisher, Earth & Planetary Sciences
- Deborah Gould, Sociology
- Paul Nauert, Music
- Steven Ritz, Physics
- Bakhtan Singaram, Chemistry and Biochemistry (Ron Ruby Award)

The committee congratulates the 2011-12 recipients and welcomes two of them as new members of COT in 2012-13.

Online Instructor Evaluations

The Fall of 2011 marked the launch of the Online Instructor Evaluations (OIE) system. COT has long been involved in consulting with the administration regarding the transition to OIE, including authoring a report endorsing OIE and delivering it to the Senate on May 19, 2006. Unfortunately, in 2010-11, COT was unable to devote much time to this topic, though it was made aware that some faculty had expressed concern about the validity of online evaluations. Given the year of dormancy in discussing OIE, the Fall launch caught members of this year's Committee by surprise. COT is concerned that, if precautions are not taken, OIE will contribute to what we see as a trend towards diminishing the value of teaching at UCSC. Teaching is one of the primary ways in which faculty are assessed in the academic personnel process and teaching evaluations play an integral role. As for Lecturers, teaching evaluations are essential for the assessment of their performance and a compromise in the volume and quality of student responses would be disruptive. COT is unaware of any precautionary plans the administration has taken to ensure that the volume of student responses remains high, and that, more importantly, the quality of student responses will not diminish. Moreover, COT is of the opinion that departments and colleges need the fullest amount of flexibility to customize their evaluations to best suit their course, department, and divisional needs.

Statistical Reasoning General Education Requirement

Members of COT raised concern that there are far too few courses currently being offered that satisfy the Statistical Reasoning General Education (GE) requirement. This shortage has resulted in extensive student wait-lists in courses that offer the GE, most notably in courses offered by the Department of Applied Mathematics and Statistics. The committee discussed the potential for COT to work in concert with other Senate committees, such as Educational Policy, to identify departments whose subjects yield the possibility for courses that satisfy the Statistical Reasoning GE, and to make recommendations for course proposals.

“C-” Grading Option

On several occasions, COT discussed the lack of a “C-” grading option at UCSC. While not within the purview of the committee, members reasoned that adopting a “C-” will provide faculty with more freedom to accurately assign grades, especially from the perspective of converting numerical values to meaningful letter grades. Additionally, the option might be utilized to give students a “passing” grade that is insufficient for moving on in a series of courses. Lastly, adopting the “C-” will bring UCSC into alignment with all other UCs, a distinction that may become more important as more UC online courses are enrolled with students from multiple UCs.

Divisional Structures and College Core Courses

Members of COT also discussed the desirability of making it easier to mount team-taught cross-divisional courses on topics likely to draw a wide constituency of students from a variety of different disciplines. The committee felt that the College Core Course system needs avenues to encourage and make possible more ladder-rank faculty participation. There was no broad consensus among COT members on how to proceed with these issues, and it can only be hoped that subsequent COT configurations will follow through with these issues.

Advising the Academic Senate

A major task for the Committee on Teaching, as for any Academic Senate Committee, is reading, discussing, and writing formal responses to various documents presented to COT by the Academic Senate or the administration. These included the following:

- ITS External Review (October 2011)
- Proposal from the Interim VPDUE to Change Course Time-Slots (October 2011)
- COT to all Senate faculty regarding the role of COT as resource for faculty (October 2011)
- Proposal from the VPAA to add a Classroom Climate Question on Instructor Evaluations (two responses: October and November 2011)
- COT to the Senate Chair regarding COT’s role in the development and implementation of pedagogical innovations on campus (March 2012)
- Draft Strategic Academic Plan for Silicon Valley (April 2012)
- ACCCCI Draft UCSC Climate Study Faculty Survey (May 2012)
- Revised proposal from the VPDUE to Change Class Time Slots (June 2012)

In reading some of these proposals, COT grew concerned about their role in the decision making process where changes to the character and quality of teaching at UCSC are at stake. In some cases, UCSC administrators or administrative bodies have asked COT to comment on innovations or plans for the future that we felt, as presented to the committee, were in fact already a fait accompli.

Work for Next Year's COT

- Re-envision the Center for Teaching and Learning
- Consult with administration about the future of Instructional Improvement Program grants
- Address the viability of the Annual Teaching and Learning Symposium
- Assess the effectiveness of the process used to select Excellence in Teaching Awards
- Monitor and assess the Online Instructor Evaluation system

Respectfully submitted,
COMMITTEE ON TEACHING
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Center for Teaching and Learning
Jim Phillips, Director, Learning Technologies
Mary Flannery, NSTF
Nicol Gaffney, SUA
Peter Rovegno, GSA

August 31, 2012

GRADUATE COUNCIL Annual Report 2011-2012

To the Academic Senate, Santa Cruz Division:

Introduction

The Graduate Council coordinates all academic policies and procedures at UC Santa Cruz which bear on the conferring of higher degrees. The Council's primary responsibilities include the review of proposed and existing graduate programs, proposals for new courses and the revision of existing courses, and changes to graduate programs and policies. Council regularly consults with other Senate committees, administrative units, divisions, and departments about a broad range of issues pertaining to graduate education. A brief overview of Council's work in 2011-12 is provided below.

Report on Interdisciplinary Activities at UCSC

Over the past two academic years (2010-2011 and 2011-2012) Graduate Council has engaged the issue of interdisciplinary graduate study. In 2011-2012, a group of four members of Council undertook a broad study of the nature of interdisciplinary study on the UCSC campus, and of how existing academic and administrative structures abet or impede interdisciplinary and interdivisional collaboration in the offering of graduate programs and curriculum. This exploration included a solicitation of experience and perspective from sixteen faculty known to the campus to have a strong interest in interdisciplinary research and pedagogy, as well as discussions with the Campus Provost and the Vice-Provost for Academic Affairs. The discussions were allowed to take their natural course out of the somewhat restricted arena of graduate education, and touched on interdisciplinary research and undergraduate curriculum. As a result of the study, several potential impediments to the promotion and maintenance of interdisciplinary effort were identified, and seven potential areas of action were presented for further discussion. Graduate Council is hopeful that this report catalyzes a healthy and productive dialog among the expert and interested members of the faculty, administration, and Senate committees. The full report is available on the Academic Senate website (senate.ucsc.edu) and in Appendix A.

Family Student Housing and Housing for Graduate Students

During the 2011-12 academic year, the UCSC Graduate Student Association (GSA) raised a number of questions about the disposition of Family Student Housing (FSH) located on campus. Graduate Council followed these discussions through its contacts within the GSA, and the UCSC administration through consultations with the Campus Provost and Executive Vice Chancellor Alison Galloway, Assistant Vice Chancellor Sue Matthews, as well as members of her staff from Colleges, Housing & Educational Services. Graduate Council is primarily concerned with ensuring that FSH, and campus housing for graduate students generally, remains available and affordable. While rental rates at FSH are currently competitive with rates in the city of Santa Cruz, FSH rates have increased at a much quicker rate than those in the city during the past decade. These increases have raised questions about how housing rates are determined, whether or not the income of Teaching Assistants and/or Graduate Student Researchers is taken into consideration, and generally how the affordability of housing for graduate students is and will be

ensured now and in the future. This final concern has recently been heightened given the likelihood that FSH will be demolished and reconstructed in the near future.

Additionally, Council members are concerned that housing development at UCSC is currently driven by the need for undergraduate housing, in part due to the agreement with the city in the 2008 Comprehensive Settlement, an agreement that forces the construction of housing for students on UCSC campus by placing a cap of 548 total bed spaces for off-campus housing. If housing development and associated cost structures are being driven by the need for undergraduate housing, with little or no consideration of the availability and affordability of graduate student housing, this would seem at odds with the campus goal of significantly increasing the percentage of graduate students in our student population. It could have the adverse effect of financially overburdening students and possibly deterring graduate students, especially those with families, from entering and/or completing graduate study at UCSC.

GC Commentary on BSOE Rights and Responsibilities

Graduate Council reviewed a document “Graduate Student Rights and Responsibilities” from the Baskin School of Engineering that outlined fair practices towards and expectation of students pursuing graduate degrees within the School. Graduate Council suggested revisions to bring it into alignment with Senate prerogative, and suggested that an appropriately revised document might serve as a template for similar documents in other Divisions, or for a single over-arching document generated by the Graduate Division. The Council applauds the School of Engineering for being the first Academic Unit on campus to address this issue.

Amendment to Regulation 13.1.3C – One Year Limit of Grade Change Exceptions

Graduate Council proposed an amendment to Santa Cruz Regulation (SCR) 13.1.3C authorizing the Registrar to change a final grade upon the request of an instructor, provided that a clerical or procedural error is the reason for the change, and that the change is submitted within one year from the close of the quarter for which the original grade was submitted. The rationale for the amendment was to allow a final grade to be changed due to a clerical or procedural error when the request was in excess of one year from the close of the quarter for which the original grade was submitted. This amendment permits requests for grade changes in excess of one year and allows Graduate Council to delegate this authority to the Dean of Graduate Studies. The proposal was approved at the May 18 Senate Meeting.

Revisions to Appendix D, Appeals of Academic Judgments

Following an appeal of academic judgment that Graduate Council reviewed in Winter Quarter 2012, Council members unanimously agreed that revisions to Appendix D (“Graduate Program, XII. Appeal of Academic Judgments, Step IV. Appeal to Graduate Council”) were needed to clarify the process of appealing to Council. Revisions were made to the regulation in Spring Quarter.

New Program Proposals

Graduate Council reviewed and provided feedback on the following proposals for new programs:

- Master of Fine Arts in Social and Environmental Practice (January 2012);
- Proposal to add a Professional Degree Supplemental Tuition to the Technology and Information Management M.S. (January 2012);

- Master of Science and Professional Degree Supplemental Tuition in Games and Playable Media (June 2012).

No new programs were approved by Graduate Council in 2011-12.

Designated Emphasis

At the close of the 2008-09 academic year, Graduate Council drafted a new Designated Emphasis (DE) policy to replace the existing policy pertaining to Parenthetical Notations. Under the new policy, all programs wishing to offer a DE must 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.

During the 2011-12 academic year, Graduate Council approved one new proposal and reviewed one pre-proposal to offer a Designated Emphasis:

- History of Consciousness (approved June 14, 2012);
- Critical Race and Ethnic Studies Pre-proposal (reviewed June 13, 2012).

In April 2012, Graduate Council revised the DE policy to clarify that graduate students pursuing a Designated Emphasis need to formally request participation in the DE prior to taking qualifying examinations, and agreed to permit late requests to be made to the Dean of Graduate Studies. The revised policy and a list of programs offering a Designated Emphasis are available on the Senate website (senate.ucsc.edu).

Graduate Program Changes and Catalog Statement Revisions

Graduate Council reviewed and approved the following program changes and catalog statement revisions:

- Economics – Formal discontinuance of the Dual Degree pathway (October 2011);
- History – Revisions to the program statement for purposes of clarifying graduate student requirements (January 2012);
- History of Consciousness – Revisions to the program statement to reflect that students are asked to take their qualifying exam by the end of the third year, but no later than the fourth year (January 2012);
- Linguistics – The addition of Psycholinguistics to the list of core areas that M.A. and Ph.D. students must take courses in (January 2012);
- Psychology – Revisions to the program statement to describe the “Social” program and the integration of the faculty preference for students to be graded solely using “Satisfactory” or “Unsatisfactory” (January 2012);
- Economics – Changes to Ph.D. requirements to increase flexibility for students whose core interests include areas outside of international economics (February 2012);
- Astronomy & Astrophysics – Clarifications to the requirements for the submission of one lead-authored paper (May 2012);
- Music – Changes to the foreign language requirement for students in the M.A. or D.M.A programs (June 2012);
- Theater Arts – Revisions to the program statement to include a description of the recently approved M.A. program (June 2012);
- Politics – Informal review of draft revisions to the Qualifying Exam process (June 2012);

- Latin American and Latino Studies – Revisions to the program statement for the purpose of adding clarity (July 2012);
- Feminist Studies – Inaugural Ph.D. program statement (August 2012).

Course Approvals

A sub-committee of Graduate Council members (Apthekar, Kudela, Thomas) reviewed and approved 47 new graduate courses and 88 course revisions.

Program External Reviews

Graduate Council participated in the external review of two programs in 2011-12: the Language Program, and the Music Department. Council reviewed mid-cycle reports from the Feminist Studies Department, the Film and Digital Media Department, and the History Department.

Fellowship Review

Throughout the year, ad hoc subcommittees of Graduate Council members advised the Vice Provost and Dean of Graduate Studies on the selection of Cota Robles (Brandt, Hankamer, Schumm, Shennan), and Dissertation Year (Apthekar, Brandt, Jannarone, Kudela) Fellowships. Additionally, Graduate Council reviewed proposals for Integrative Graduate Education and Research Traineeship fellowships (Hankamer, Polyzotis, Smith, Thomas).

Local and Systemwide Business

Graduate Council discussed and provided comment on a number of local and systemwide issues, including the following:

Local Issues:

- Proposal from the Interim VP/DUE to Change Course Time-Slots (October 2011);
- Baskin School of Engineering “Graduate Student Rights and Responsibilities”; Graduate Council reviewed the document and suggested revisions to bring it into alignment with Senate prerogative (October and December 2011);
- Proposal from the VPAA for Revisions to Appendix C of *Academic Program Review Procedures* (November 2011);
- Proposal from the VPAA for Revisions to Procedures on the Appointment and Use of Graduate Student Instructors (November 2011);
- Proposal from the DGS to offer a “Graduate Leadership Certificate” through the Graduate Division (December 2011);
- Review of Faculty Salary Metrics developed by the Senate Committee on Faculty Welfare (January 2012);
- Review of the Five-Year Perspectives 2012-13 – 2016-17 (January 2012);
- Proposal from the VP/DUE to add Learning Objectives as required area on the Course Approval Supplemental Sheet (February 2012);
- Graduate Student Appeal of Academic Judgment (February 2012);
- Review of the Graduate Student Association’s Affordable Housing Resolution and the Affordable Family Student Housing Proposal (March 2012);
- Review of the draft UCSC Climate Study Faculty Survey (April 2012);
- Review of the Strategic Academic Plan for the Silicon Valley (April 2012);
- Response from the Social Document Program to concerns raised by Graduate Council during the 2010-11 academic year (May 2012);

- Revised Proposal from the VPDUE to Change Class Time Slots (May 2012);
- Review of six FTE Transfers (various dates).

Systemwide Issues:

- Proposed amendment to SR-610, the Senate regulation defining the nature of residency at the University of California (November 2011);
- Review of the University of California Observatories Multi-Campus Research Units (February 2012).

Issues Carrying Forward to 2012-13

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

- Promote a campus conversation regarding Interdisciplinary Programs;
- Continue to discuss Family Student Housing and housing for graduate students;
- Further develop guidelines for Professional Degree, and Self-Supporting Degree Programs;
- Further develop guidelines for Interdisciplinary Graduate Programs;
- Continue to monitor graduate programs that are struggling.

Respectfully submitted,
GRADUATE COUNCIL
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August 31, 2012

APPENDIX A

GRADUATE COUNCIL Report on Interdisciplinary Activity at UCSC June 20, 2012

Introduction

This report represents the findings of the UCSC Graduate Council from a two-year exploration of interdisciplinary activity on our campus. While focused primarily on graduate curriculum and programs, discussions catalyzed by the study also touched naturally on interdisciplinary research and undergraduate curriculum. In what follows, we report salient findings and themes irrespective of their specific or sole applicability to graduate education.

Activity leading to the generation of this report was as follows. In 2010-2011, the Council led by Susan Carter (Physics), partly in response to the then-uncertain status of the Digital Arts and New Media (DANM) MFA program, undertook the generation of guidelines geared towards the administration of existing and development of new interdisciplinary and interdivisional graduate programs. The deliberations of the 2010-2011 Council are summarized in the May 11, 2011 report “Guidelines for Interdisciplinary Graduate Programs”; the main findings of this report are summarized below.

In 2011-2012, a group of four members of the Council (Jorge Hankamer, Linguistics; Bruce Schumm, Physics, Graduate Council Chair; Don Smith, METOX; and Megan Thomas, Politics) undertook a broader study of the nature of interdisciplinary study on the UCSC campus, and of how existing academic and administrative structures abet or impede interdisciplinary and interdivisional collaboration in the offering of graduate programs and curriculum. This subcommittee of the 2011-2012 Council:

- Apprised itself of the findings of the 2010-2011 Council study;
- Interviewed 16 faculty members (see Appendices A1 and A2), selected for their interdisciplinary activity and willingness/ability to participate, in four ninety-minute focus groups that were scheduled during the winter quarter of 2012;
- Interviewed Vice Provost for Academic Affairs, Herbert Lee, during its meeting of May 3, 2012;
- Interviewed Campus Provost and Executive Vice Chancellor, Alison Galloway, in its meeting of May 17, 2012;
- Presented its preliminary findings at the Academic Senate meeting of May 18, 2012.

This report provides an enumeration and discussion of the findings presented in the May 18 Academic Senate meeting.

Summary of Guidelines from the 2010-2011 Discussion

The primary recommendations from the 2011 report “Guidelines for Interdisciplinary Graduate Programs,” which are discussed at greater length in that report, were as follows:

- When forming new interdisciplinary graduate programs, administrators should consider the assignment of “temporary” FTE lines directly to the program rather than to the departments or divisions that are promoting the program. These lines should be filled with existing or new ladder-rank faculty, with standard tenure and privilege status, and only be “temporary” in the sense that, after a specified period, they would revert to one of the departments promoting the program.
- The nature of the participation of program faculty – particularly those whose lines are held by contributing departments or divisions – should be clearly delineated in an enforceable charter, either including or augmented by Memoranda of Understanding that ensure the participation of the necessary number and distribution of faculty in the delivery of curriculum and advising.
- The program should be administered by a clearly-designated lead dean from one of the five divisions.
- Credit for teaching in the program for offerings not nominally sponsored by a given faculty member’s home department should be ensured by the cross-listing of the course in the Academic Catalog.
- The chair of the program should play a central role in the development of personnel letters for all faculty that participate significantly in the program.

Questions Posed by the Graduate Council in 2011-12

While participants in the four faculty focus-group sessions were encouraged to introduce anything they felt relevant to the study, the Council specifically entreated participants to offer their opinions on the following three questions:

- Is UCSC notably interdisciplinary? If so, in what ways?
- What are the intrinsic challenges associated with offering interdisciplinary curriculum and programs?
- In what ways do our academic and administrative structures abet or impede interdisciplinary study?

Primary/Recurrent Responses and Observed Themes

Following are a list of responses that recurred through the focus-group sessions and/or were raised with particular emphasis by one or more faculty. Several of these will be expanded upon in further sections. Note that these represent the views of individual faculty or groups of faculty, and are not necessarily endorsed by the Graduate Council.

- At the level of the research and creative output of individual faculty, and through some individually-funded efforts (e.g. the Program in Science and Justice), the campus can indeed claim to be somewhat notably interdisciplinary;
- Several departments (e.g. History of Consciousness, Feminist Studies), while hewing to the standard departmental administrative structure, are in and of themselves notably interdisciplinary;
- The campus is not notable for interdepartmental or interdivisional programs;
- A recurrent concern of participating faculty is that interdisciplinary effort (courses, advising, hosting workshops and conferences) is not fully recognized by departments or during the personnel review process – a notion commonly referred to as “lost effort”;
- Undue focus on national rankings, which are largely sectioned into traditionally-defined disciplinary categories, may act as an impediment to the maintenance and development of interdisciplinary activity;
- Cross-listed and co-taught courses are not easily accommodated, and the effort invested in co-taught courses is underestimated by the nominal accounting procedures;
- The support and development of interdisciplinary activity does not seem to lie at the core of divisional or campus planning;
- Neither the Administration nor the Senate projects a marked interest in or culture of supporting interdisciplinarity;
- The “silo-ing” of resources into departmental, and particularly divisional (with deans exercising dominant control of academic resources) compartments establishes barriers to the execution of interdisciplinary initiatives. A number of faculty felt it to be difficult to interest a dean in inter-divisional programs that involve significant effort outside of the dean’s division. In addition, faculty were concerned about the extra burden of coordinating administrative support across divisions.

Status of UCSC’s Established Interdivisional Programs

During the 2011-2012 study, the Council subcommittee inquired about the status of three extant and one prospective non-departmental interdisciplinary graduate program whose activities cross divisional boundaries: DANM, Bioinformatics, the Program in Biological Science and Engineering (PBSE), and Materials Science.

DANM: Established as a collaboration between the Division of the Arts and the School of Engineering under the structure of an interdivisional charter, DANM has been struggling as of late to meet its curriculum. Several FTE lines mandated by the charter were filled with TAS funding, and had no resource-controlling champion to protect them when the severe budget cuts of the past few years were visited upon the campus. In addition, several faculty with an interest in contributing to the delivery of DANM curriculum found that their course offerings were not

accepted by the program. The program is currently restructuring under the sole auspice of the Arts division, possibly through the establishment as an additional department with the division.

Bioinformatics: At roughly the same time as DANM, and again under the structure of an interdivisional charter, Bioinformatics was established as a collaboration between the School of Engineering and the Division of Physical and Biological Sciences. While by all accounts a successful program, Bioinformatics has, for all intents and purposes, withdrawn into the sole auspice of the School of Engineering.

PBSE: Again a collaboration between the School of Engineering and the Division of Physical and Biological Sciences, the PBSE extends an umbrella over existing departmental programs in both divisions. However, the impression of the Council subcommittee is that, while successfully drawing students into an umbrella program with superior curricular and research opportunities in both divisions, there has been little curricular or research collaboration between the departmentally-based programs that participate in the PBSE. Once students enter and choose an area of focus for their courses and research, they appear to be absorbed into the pre-existing departmental structure. The PBSE seems to have fostered little interdivisional effort in terms of common curriculum and collaborative research efforts.

Materials Science: Although not an established or even yet proposed program, the Council Subcommittee inquired about the effort to establish a cross-divisional (again between the School of Engineering and the Division of Physical and Biological Sciences) program in Materials Science. It seems to be the opinion of the Administration (particularly the Dean of the School of Engineering) that the number and expertise of faculty already on our campus is sufficient to establish a strong program of Materials Science. For reasons not fully explored by the Council subcommittee, the divisions are unable to chart a path towards the establishment of such a program as a collaboration between different departments and divisions. Further exploration of the Materials Science question may prove fruitful in understanding and unraveling impediments to interdisciplinary study at UCSC.

Taking these three programs and one initiative as representative of our campus's success at hosting non-departmental interdisciplinary program, the Council subcommittee concluded that the campus's success in initiating and nurturing interdisciplinary and interdivisional graduate programs has fallen short of expectations. As a result, important opportunities to capitalize on faculty interest and expertise may have been missed.

Weight Given to National Rankings

A number of faculty raised this as a concern and saw it as an impediment to developing their graduate programs and focus in the direction they judge most beneficial to the students and department. These faculty felt that, to the extent that Deans focus on national rankings and make use of them in prioritizing some departments or programs over others, the Dean is placing a negative incentive on interdisciplinary research and teaching. In his visit to the Council on May 3 2012, VPAA Lee was asked about the degree to which the campus focuses on maintaining and improving departmental national rankings. He replied that there is no explicit push from the central administration to place national rankings as a lead valuation of campus success, and the

emphasis perceived by the faculty that raised the issue was a result of departmental, and especially decanal, prerogative.

Cross-Listed and Co-Taught Courses

Many faculty reported difficulty in getting multidisciplinary courses cross-listed, citing impediments within the Office of the Registrar, departments' protection of their accountable instructional load, and lack of an overriding entity with the authority and interest to help individual faculty or groups of faculty promote the cross-listing. A number of faculty also noted that the standard procedure used to account for effort in co-taught courses (dividing the accounted effort of a single course among the participating faculty) significantly underestimates both the effort contributed and the value provided by the participating faculty. The Council's discussions were not lengthy or deep enough to develop proposals to address these concerns; these issues would likely benefit from a more focused discussion with participants from both the Senate and Administration.

“Lost” Effort

There was a predominant sentiment among the interviewed faculty that participating in interdisciplinary programs and the delivery of interdisciplinary curricula and graduate training require more effort, and garner less recognition, than teaching and mentoring within traditional disciplinary bounds. A recurrent point made by faculty that participated in the focus groups is the sense that much interdisciplinary activity is not accounted for in either the satisfaction of instructional-effort requirements or in the personnel review process, particularly time spent advising students from other disciplines or in promoting interdisciplinary discourse through joint activities and the organization of interdisciplinary seminars, colloquia, campus visits and workshops. The Council subcommittee noted that some of this may arise from the lack of transparency of the personnel review process that arises from the confidential nature of the evaluation of personnel files once they leave the hands of the department. Guidance from the Senate (most likely from CAP, the Academic Senate Committee on Academic Personnel) may be helpful in addressing this problem, both in terms of raising awareness of how CAP evaluates these sorts of activities as well as in providing guidance to faculty members and departments in the drafting of personnel letters. Additionally, it may help to promote a discussion between the Senate, departmental chairs, and deans to raise and address faculty concerns with respect to potentially un-accounted effort.

“Siloed” Academic Structure

Doubts about the efficacy of the current academic administrative structures, based on deans with direct control of substantial resources that are largely parceled out to departments, are voiced frequently by faculty in discussions of the campus's ability to stay abreast of the most compelling research, creative, and pedagogical trends; the discussion of interdisciplinarity being summarized here was no exception. If in fact an impediment to interdisciplinary activity, the problem would be intrinsically difficult to address. The closer the resource-controlling (division) and productivity-evaluation (department) office is to the disciplines within them, the more expert the guidance and evaluation, but the greater the impediment to interdisciplinarity. It was far beyond the scope of the Council Subcommittee to propose an alternative academic administrative structure, but the Council would support an exploration and careful consideration

of such alternatives. In addition, the Council would encourage a discussion of the current split of program-supporting resources between the five disciplinary academic divisions and the Graduate Division, the latter of which stands outside the five disciplinary divisions, and is in principle in a more natural position to support interdisciplinary graduate study. In addition, VPAA Lee offered his office as a point of potential redress should faculty feel that their interdisciplinary programmatic interests are not being engaged by the existing departmental and divisional structure. Groups of faculty, or even individual faculty members, are encouraged to contact his office should they feel the need to engage an independent office that, once again, stands outside the five academic divisions.

List of Possible Actions to Promote Interdisciplinary Effort

Following is a list of possible actions to be considered by the Senate and administration in the promotion of interdisciplinary activity:

- Convene a group of faculty, Senate leaders, and administrators to explore and address impediments to the cross-listing and co-teaching of courses;
- Have CAP, or perhaps a collaboration between CAP, department chairs and deans, develop guidelines with respect to inclusion of interdisciplinary effort in personnel letters, and the impact of interdisciplinary effort on the outcome of the confidential review of the personnel file performed by the Senate and administration;
- Consider the use of temporarily-assigned FTE (temporary in the sense described in the May 2011 Graduate Council report on Guidelines for Interdisciplinary Graduate Programs) for the incubation of interdisciplinary graduate programs;
- Continue to develop the structures of interdepartmental and interdivisional charters and Memoranda of Understanding that establish enforceable commitments to the operation of interdisciplinary graduate programs under a clearly delineated lead dean;
- Develop a culture whereby the chair of interdisciplinary programs, whether housing the faculty's FTE or not, makes an instrumental contribution to the faculty member's personnel letter;
- Have a discussion of the current split of program-supporting resources between the five disciplinary academic divisions and the Graduate Division;
- Consider the organization of a Convocation on Interdisciplinarity, including explicit consideration of the "culture" of interdisciplinarity within each of the division, and examination of departmental and divisional structures.

Summary

Over the past two academic years (2010-2011 and 2011-2012) the Graduate Council has engaged the issue of interdisciplinary graduate study. In 2011-2012 this exploration included a solicitation of experience and perspective from sixteen faculty known to the campus to have a strong interest in interdisciplinary research and pedagogy, as well as discussions with the Campus Provost, and

the Vice-Provost for Academic Affairs. In this second year of the study, the discussion was allowed to take its natural course out of the somewhat restricted arena of graduate education; some of the discussion that took place outside that boundary is reflected in this report. Several potential impediments to the promotion and maintenance of interdisciplinary effort were identified, and seven potential areas of action were presented for further discussion. It is hoped that this report catalyzes a healthy and productive dialog among the expert and interested members of the faculty, administration, and Senate committees.

Respectfully submitted,
GRADUATE COUNCIL

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June 20, 2012

APPENDIX A1
Participating Faculty

Sharon Daniel, DANM
Gina Dent, Feminist Studies
Jean Fox Tree, Psychology
Carla Freccero, Literature
Julie Guthman, Community Studies
Doug Kellogg, MCD Biology
Ronnie Lipschutz, Politics
Michael Mateas, Computer Science
Dean Mathiowetz, Politics
Glenn Millhauser, Chemistry
Andrew Moore, Ocean Sciences
Karen Ottemann, METOX
Eric Porter, American Studies
Mary Beth Pudup, Community Studies
Warren Sack, Film & Digital Media
Noah Wardrip-Fruin, Computer Science

APPENDIX A2
Solicitation Letter to Identified Faculty

Dear Colleague,

We are contacting you on behalf of the Graduate Council to discuss your perspective on and/or experiences with interdisciplinary (ID) graduate programs and curriculum. Our primary interest is in the exploration of the academic and administrative structures that impede or abet ID graduate study, with the goal of collecting evidence that might inform the Senate and administration's approach to promoting ID study. This exploration is being carried out by four members of the current Council; in alphabetical order, they are: Jorge Hankamer (Linguistics, former Dean of Humanities), Bruce Schumm (Physics, Graduate Council Chair), Donald Smith (METOX; former chair of same), and Megan Thomas (Politics).

In our own discussions, we have identified three reasons that would motivate a department's interest in graduate-level ID curriculum and programs:

- i. The department has no graduate program of its own;
- ii. Through either attrition or lack of growth the department has too few faculty to support a vibrant graduate program; or,
- iii. To mount a program that requires expertise from several departments.

In interviewing “grass-roots” faculty who have an interest or background in ID graduate study, we hope to gain perspectives on departments' experiences with all three of these areas. We will be particularly interested in those faculty members' sense of the difficulties associated with ID study, as well as their perspective on the nature of academic or administrative structures, and how they may have impeded or failed to bolster ID graduate study. We will be open to, and make note of, any ideas relating to the improvement of the structural environment for promoting ID study.

We are approaching you because we believe that your professional activities and interests have likely given you opportunity to reflect on the questions that we raise. We hope that you will consent to joining a focus group of faculty colleagues of appropriate length (perhaps ninety minutes) with two of the members of the Graduate Council subcommittee that are following through on the study. Please respond with an expression of your interest to:

Bruce Schumm
Grad Council Chair
schumm@scipp.ucsc.edu
831-459-3034

We will poll for meeting times once we have assembled a list of interested faculty. Thank you!

COMMITTEE ON EDUCATIONAL POLICY
Amendment to Regulation 9.1
Grades, Evaluations, and Transmission of Records

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy (CEP) is proposing to amend Santa Cruz Regulation (SCR) 9.1 which is meant to support student progress, not to address curricular capacity issues. Being unable to pass a required major course after two attempts is a signal that the student is struggling in that major. The amendment also includes the “W” grade as an attempt at a course and will be enforced by AIS. By ensuring that the student must speak with a college adviser to be able to re-attempt the course, there is an opening to help him or her strategize for success or redirect the student to another major.

Current wording

Proposed wording

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| <p>9.1 General.</p> <p>9.1.1 Grades A-F, shall be awarded for undergraduate students in the manner and with the meanings prescribed in SR 780, except that the grades A and B may be modified by plus (+) or minus (-) suffixes and the grade of C may only be modified by a plus (+) suffix. The grade of I shall be awarded as specified in SCR 9.1.6. The grade of IP shall be awarded as an interim mark in multi-term courses described in SCR 9.1.7. The grade of W denotes the formal withdrawal of the student from the course.</p> <p>9.1.2 A Pass/Not passed option is available to a student in good standing in the manner provided for by SR 782. A grade of Passed shall be awarded only for work which would otherwise receive a grade of C (2.0) or better. A department may require that any course or courses applied toward credit in a major be taken on a letter grade basis. The P/NP option must be exercised no later than the last day to add a course and may not be subsequently changed.</p> | <p>9.1 No change</p> <p>9.1.1 Grades A-F, shall be awarded for undergraduate students in the manner and with the meanings prescribed in SR 780, except that the grades A and B may be modified by plus (+) or minus (-) suffixes and the grade of C may only be modified by a plus (+) suffix. The grade of I shall be awarded as specified in SCR 9.1.6. The grade of IP shall be awarded as an interim mark in multi-term courses described in SCR 9.1.7. The grade of W <u>denotes that the student has enrolled but formally withdrawn from the course.</u></p> <p>9.1.2 No Change</p> |
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| <p>9.1.3 All grades, except I and IP, are final when filed by an instructor in the end-of-term course report. However, the Registrar is authorized to change a final grade upon written request of an instructor, provided that a clerical or procedural error is the reason for the change. Grade changes (except for I and IP) must be submitted to the Registrar within one year from the close of the quarter for which the original grade was submitted. No change of grade may be made on the basis of reexamination, or with the exception of the I and IP grades, the completion of additional work.</p> | <p>9.1.3 No Change</p> |
| <p>9.1.4 Grade points per credit shall be assigned by the Registrar as follows: A = 4; B = 3; C = 2; D = 1; F=0. I, W, or IP = none. "Minus" grades shall be assigned three-tenths grade point less per credit than unsuffixed grades, and "plus" grades (except A+) shall be assigned three-tenths grade point more per credit. The grade of A+ shall be assigned 4.0 grade points per credit, the same as for an unsuffixed A, but when A+ is reported it represents extraordinary achievement.</p> | <p>9.1.4 No Change</p> |
| <p>9.1.5 With the approval of the Committee on Educational Policy, course sponsoring agencies may offer courses as "P/NP only." The designation of courses as "P/NP only" shall be made by the Committee on Educational Policy during the spring term to have effect for all of the following academic year, beginning with the following fall term, and shall remain in effect until changed by request of the course sponsoring agency, with the approval of the Committee on Educational Policy. During the academic year,</p> | <p>9.1.5 No Change</p> |

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| <p>agencies may request the "P/NP only" designation for new courses to be offered for winter, spring, or summer terms.</p> <p>9.1.6 The grade of I may be assigned only when a student's work is of passing quality but is incomplete. The student must make arrangements in advance with the instructor in charge of the course in order to receive an I. In order to replace the I with a passing grade and to receive credit, a student must petition by the deadline imposed by the Registrar and complete the work of the course by the end of the finals week of the next term, unless the instructor specifies an earlier date. If the instructor fails to submit a passing grade for any reason by the deadline for submitting grades in the next succeeding term after the I was awarded, the student receives an NP or F depending on the grading option selected. The deadline imposed herein shall not be extended. (However, see SCR 6.7.)</p> | <p>9.1.6 No Change</p> |
| <p>9.1.7 A grade in a single course extending over two or three terms of an academic year may be awarded at the end of the course. The grade shall then be recorded as applying to each of the terms of the course. A student satisfactorily completing only one or two terms of a course extending over two or three terms of an academic year shall be given grades for those terms. The grading option selected for the first term of a multiple term course applies to each subsequent term. [SCR 10.1.4]</p> | <p>9.1.7 No Change</p> |

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| <p>9.1.8 Students who receive a grade of D or F may retake the course, subject to the following guidelines: Courses in which the student has received a letter grade may not be repeated on a P/NP basis. Credits shall not be awarded more than once for the same course, but the grade assigned each time must be permanently recorded on the student's transcript. Repetition of a course more than once requires approval of the student's college. (For computation of GPAs involving repeated courses, see SCR A9.4.1.) Courses originally taken on a P/NP basis but not passed may be repeated either on the same basis or for a letter grade.</p> | <p>9.1.8 Students who receive a grade of <u>D, F, NP, or W</u>, may retake the course, subject to the following conditions: Courses in which the student has received a <u>grade of D or F</u> can only be taken again on a <u>letter grade</u> basis. Credits shall not be awarded more than once for the same course, but the grade assigned each time must be permanently recorded on the student's transcript. Taking a course more than twice requires approval of the student's college. (For computation of GPAs involving repeated courses, see SCR A9.4.1.)</p> |
| <p>9.1.9 With the exception of this sub-section, the regulations of this chapter do not apply to University Extension courses. University Extension courses shall be graded in accordance with SR 780 (including provisions with regard to grade points and credits) and SR 810(A). (Am 23 Feb 00; CC 29 May 96, 31 Aug 98, 31 Aug 99, 31 Aug 09)</p> | <p>9.1.9 No Change</p> |

Respectfully submitted,
COMMITTEE ON EDUCATIONAL POLICY
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June 6, 2012

**COMMITTEE ON RESEARCH
Amendment to Bylaw 13.27**

To the Academic Senate, Santa Cruz Division:

As graduate students play an important role in the research activities on campus, the Committee on Research (COR) seeks to instate the following amendment to Bylaw 13.27, proposing inclusion of a graduate student representative. COR’s issues and decisions are bound to impact graduate students on campus due to the integral role these students play in faculty research. Consistent with other Senate committees that deal in areas that affect graduate students (Committee on Academic Freedom, Committee on Affirmative Action an Diversity, Committee on Computing and Telecommunications, Committee on Planning and Budget, Committee on Teaching, and Graduate Council) COR seeks a graduate student representative.

Last year, the committee extended a standing invitation for a graduate student representative and found it beneficial. This bylaw change, if passed, ensures graduate student representation on COR. If passed, this change will be effective immediately.

| Current wording | Proposed wording |
|---|--|
| <p>13.27 Committee on Research Charge</p> <p>13.27.1 There are nine Santa Cruz Division members, including at least one and no more than three members from each academic division and the School of Engineering.</p> | <p>13.27 Committee on Research Charge</p> <p>13.27.1 There are nine Santa Cruz Division members, including at least one and no more than three members from each academic division and the School of Engineering. <u>In addition, there is one graduate student representative.</u></p> |

Respectfully submitted,
 COMMITTEE ON RESEARCH
 Elisabeth Cameron
 Nathaniel Deutsch
 David Koo
 Sri Kurniawan
 Deborah LeTourneau
 Debra Lewis
 Barbara Rogoff
 Scott Oliver, Chair

September 25, 2012