

Meeting Call for Regular Meeting of the Santa Cruz Division
Wednesday, May 29, 2013 at 2:30 p.m.
Stevenson Event Center
ORDER OF BUSINESS

1. Approval of Draft Minutes
 - a. Draft Minutes of March 8, 2013 (AS/SCM/304)
2. Announcements
 - a. Chair Konopelski
 - b. Chancellor Blumenthal
 - 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 Faculty Research Lecture (AS/SCP/1723) p. 1
5. Reports of Special Committees (none)
6. Reports of Standing Committees
 - a. Committee on Committees
 - i. 2013 – 14 Nominations (AS/SCP/1724) p. 3
 - b. Committee on Research
 - i. Distribution of University Opportunity Funds (AS/SCP/1725) p. 8
 - c. Committee on Educational Policy
 - i. Report and Policy on AIS GPA Calculation Standard (AS/SCP/1726) p.18
 - d. Committee on Faculty Welfare
 - i. Report on Retirement and Online Education (AS/SCP/1727) p.20
 - e. Graduate Council
 - i. Oral Report on Graduate Growth at UCSC
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

May 22, 2013

Academic Senate
Santa Cruz Division

Dear Colleagues:

Please attend the spring meeting of the Academic Senate on Wednesday May 29, 2013, 2:30-5 PM at the Stevenson Event Center, followed by a reception. The agenda may be viewed at:

<http://senate.ucsc.edu/senate-meetings/agendas-minutes/2013-may-29/index.html>

This year Senate committees have proactively worked on issues ranging from graduate education to technology in the classroom and research support. I urge you to review the report from the Committee on Research proposing new strategies for research support, and come to the Senate meeting to discuss these and other issues with your faculty colleagues. All these Senate efforts, together with the coming final report from the Joint Task Force on Academic Structures, serve partially as prelude to next year's strategic planning initiative, which EVC Galloway will clarify in her remarks.

As usual at the spring meeting we will take moment to celebrate the honors of our colleagues; Sandra Faber for receiving the National Medal of Honor, Excellence in Teaching Awards, and confirming next year's Faculty Research Lecturer. There will be a reception immediately following the meeting.

Looking forward to seeing you on the 29th!

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
March 8, 2013 Senate Meeting**

The draft minutes from the March 8, 2013 Senate meeting were distributed via email on May 17, 2013 and will be presented for approval at the Senate Meeting on May 29, 2013. 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., Tuesday May 28, 2013**. 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

May 21, 2013

COMMITTEE ON FACULTY RESEARCH LECTURE
Annual Report 2012-2013

To: Academic Senate, Santa Cruz Division

The Committee on the Faculty Research Lecture is pleased to recommend Howard Haber, Professor of Physics, and Abraham Seiden, Professor of Physics, as joint Faculty Research Lecturers for the 2013-14 academic year. The joint presentation of the Faculty Research Lecture by two faculty members will be a first in the history of Santa Cruz. This is, however, a self-evident choice since the long sought search for the Higgs boson has recently been successful and the campus is blessed with two faculty members, one a theoretical physicist and the other an experimental physicist, who played major roles in this important discovery.

Howard Haber is a theoretical physicist of multiple and varied interests, skills and talents. He is best known for his work in the phenomenology of elementary particles. He was among the first to attack the problems of detecting the recently discovered Higgs particle. Studying the Higgs is quite challenging since it interacts very weakly with matter and so is hard to produce and to detect. With Jack Gunion and Sally Dawson, he co-authored the definitive text on the subject, *The Higgs Hunter's Guide*. He was also among the first to study the phenomenology of supersymmetry, a hypothetical symmetry of nature which has subsequently been extensively studied theoretically and searched for experimentally. Haber grew up in Brooklyn and was an undergraduate at MIT, a whiz kid among whiz kids. He went on to graduate studies at the University of Michigan. He took a postdoctoral fellowship at the Lawrence Berkeley Lab in 1978, and a subsequent position at the University of Pennsylvania. He came to UCSC in 1984. Early on he received a prestigious Department of Energy Outstanding Junior Investigator Grant. His work has had a large impact both on theorists and experimentalists. With regards to the Higgs boson, for example, he showed that in theories with supersymmetry, the Higgs boson could be much more massive than originally thought. This work drives a large fraction of the effort of the theoretical particle physics community at this time. Howie is a Fellow of the American Physical Society and was recently named a Humboldt Fellow. He is a member of the Particle Data Group, and on the Board of Trustees of the Aspen Center for Physics. He was recently a coordinator of the Rapid Response Program on the Higgs boson at the Kavli Institute for Theoretical Physics. He is an Editor of Theoretical Physics for the European Physical Journal C. His service includes many years as Director of the Physics Graduate Program, and Chair of the Senate Committee on Research.

Howard Haber is a true scholar, which is apparent both in his research and his teaching. He is always meticulous, thorough and careful, with a high level of integrity. Howie also loves baseball. Some of the physics students and faculty play softball in the UCSC intramural coed softball league. The team Howie plays on, called Re-Entry, is sponsored by the STARS organization on campus, which provides support and counseling for re-entry students to campus. Howie is a fearless shortstop and a reliable hitter.

Abraham Seiden is a leader in experimental high energy physics and has been involved in the construction of experiments at particle physics accelerator centers throughout the world. Before the cancellation of the Superconducting Super Collider in Texas, he led one of the most critical

tasks of the main detector. Upon the cancellation, he immediately took on a leading role in one of the two main detectors at the Large Hadron Collider. He has provided critical scientific ideas for these experiments, especially for the development of the tracking technology required for the very intense beams in the collider. He also put forth some of the critical ideas for the B-factory built at the Stanford Linear Accelerator Center. Seiden has been a leader in scientific policy as well. He has chaired the Scientific Policy Committee of the Stanford Linear Accelerator Center, the program committee for the Ligo gravity wave experiment, and chaired the Particle Physics Prioritization Panel, a panel which makes recommendations for future large scale projects in particle physics to the Department of Energy and the National Science Foundation.

Abe grew up in Brooklyn New York and Los Angeles. In high school, he won a statewide math competition. He attended Columbia, where he was Valedictorian in 1967. He then began his graduate studies at Cal Tech, but accompanied his thesis adviser to UCSC, where he obtained his Ph.D. in 1974, working on deep inelastic scattering. After a brief stint at the European Organization for Nuclear Research (CERN), he became a professor at UCSC in 1976. In 1981, he was named director of the Santa Cruz Institute for Particle Physics. Under his leadership, it became the scientific powerhouse it is today.

Abe is a Fellow of the American Physical Society, and received the Outstanding Faculty Award from the Division of Physical and Biological Sciences in 1995.

It is thus with both great respect and pleasure that we recommend to the Senate Dr. Howard Haber and Dr. Abraham Seiden to jointly deliver the Faculty Research Lecturer for 2013-14.

Respectfully submitted,

COMMITTEE ON FACULTY RESEARCH LECTURE

JJ Garcia-Luna-Aceves
David Kliger
Dard Neuman
Patricia Zavella
Wlad Godzich, Chair

April 12, 2013

COMMITTEE ON COMMITTEES
Nominations for 2013-14 Committee Membership

To: Academic Senate, Santa Cruz Division

OFFICERS

Joseph	Konopelski	Chair	Chemistry and Biochemistry
Don	Brenneis	Vice Chair	Anthropology
Junko	Ito	Secretary (<i>F&W</i>)	Linguistics
TBA		Secretary (<i>S</i>)	
David	Brundage	Parliamentarian	History

ASSEMBLY REPRESENTATIVES

Don	Brenneis	Vice Chair	Anthropology
Joel	Ferguson	Assembly Rep	Computer Engineering

EXECUTIVE COMMITTEE (SEC)

Joseph	Konopelski	Chair	Chemistry and Biochemistry
Don	Brenneis	Vice Chair	Anthropology
Junko	Ito	Secretary (<i>F&W</i>)	Linguistics
TBA		Secretary (<i>S</i>)	
Joel	Ferguson	Assembly Rep	Computer Engineering
Elizabeth	Abrams	(COC)	Writing
Barry	Bowman	(CFW)	MCD Biology
June	Gordon	(CAFA)	Education
Tracy	Larrabee	(CEP)	Computer Engineering
Kimberly	Lau	(CAAD)	Literature
Gina	Dent	(CPT)	Feminist Studies
Judith	Habicht Mauche	(COR)	Anthropology
Christina	Ravelo	(CAP)	Ocean Sciences
Bruce	Schumm	(GC)	Physics
Daniel	Friedman	(CPB)	Economics

ACADEMIC ASSESSMENT GRIEVANCE (AAGC)

Russ	Flegal	Chair	METOX
Abe	Stone		Philosophy
Lourdes	Martínez-Echazábal		Literature

ACADEMIC FREEDOM (CAF)

Ronald	Glass	Chair/UCAF Rep	Education
Norman	Locks		Art
Ethan	Miller		Computer Science
Jennifer	Derr		History
Bakthan	Singaram		Chemistry and Biochemistry

ACADEMIC PERSONNEL (CAP)

Christina	Ravelo	Chair/UCAP Rep	Ocean Sciences
Alexandre	Brandwajn		Computer Engineering
Warren	Sack		Film and Digital Media
Charles	Hedrick		History
Phokion	Kolaitis		Computer Science
Leo	Ortiz		Ecology and Evolutionary Biology
Judit	Moschkovich		Education
Karen	Bassi		Literature
Candace	West		Sociology

ADMISSIONS and FINANCIAL AID (CAFA)

June	Gordon	Chair/BOARS Rep	Education
David	Helmbold		Computer Science
Yi	Zhang		Technology and Info Management
Onuttom	Narayan		Physics
Jean E.	Fox Tree		Psychology
Minghui	Hu		History
David Evan	Jones		Music
Daniel	Selden		Literature
Mark	Carr		Ecology and Evolutionary Biology

AFFIRMATIVE ACTION and DIVERSITY (CAAD)

Kimberly	Lau	Chair/UCAAD Rep	Literature
Micah	Perks		Literature
Steve	McKay		Sociology
Ingrid	Parker		Ecology and Evolutionary Biology
Nader	Pourmand		Biomolecular Engineering
Elizabeth	Stephens		Art

CAREER ADVISING (CCA)

Unfilled

COMMITTEE ON COMMITTEES (COC) By Election

Elizabeth	Abrams	Chair /UCOC Rep	Writing
Patty	Gallagher		Theater Arts
Marilyn	Walker		Computer Science
Donald	Potts	(for Pradip Mascharak)	Ecology and Evolutionary Biology
Rodney	Ogawa		Education

COMPUTING AND TELECOMMUNICATIONS (CCT)

Jose	Renau	Chair/UCCC Rep	Computer Engineering
Grant	Pogson		Ecology and Evolutionary Biology
Hiroshi	Fukurai		Sociology
Ruby	Rich		Film and Digital Media
Josh	Stuart		Biomolecular Engineering
Jim	McCloskey		Linguistics
Debra	Lewis		Mathematics

EDUCATIONAL POLICY (CEP)

Tracy	Larrabee	Chair	Computer Engineering
Ted	Warburton		Theatre Arts
Mary Beth	Pudup		Social Sciences
Olof	Einarsdottir		Chemistry and Biochemistry
Ben	Carson		Music
Heather	Shearer		Writing
Michael	Mateas		Computer Science

EMERITI RELATIONS (CER)

Roger	Anderson	Chair	Chemistry and Biochemistry
Barry	Bowman	ex officio, Chair CFW	MCD Biology
Peter	Kenez		History
Linda	Burman-Hall		Music

FACULTY RESEARCH LECTURE (CFRL)

Patricia	Zavella	Chair	Latin American and Latino Studies
JJ	Garcia-Luna-Aceves		Computer Engineering
David	Kliger		Chemistry and Biochemistry
Dard	Neuman		Music
Martha	Zúñiga		MCD Biology

FACULTY WELFARE (CFW)

Barry	Bowman	Chair/UCFW Rep	MCD Biology
Roger	Anderson	ex officio, Chair CER	Chemistry and Biochemistry
Noriko	Aso		History
Samit	Dasgupta		Mathematics
Jennifer	Poole		Economics
Donna	Hunter (<i>F</i>)		HAVC
Maria	Evangelatou (<i>W&S</i>)		HAVC
Michael	Isaacson		Electrical Engineering
Sean	Keilen		Literature

GRADUATE COUNCIL (GC)

Bruce	Schumm	Chair/CCGA Rep	Physics
John	Bowin		Philosophy
Pascale	Garaud		Applied Math and Statistics
Wang-Chiew	Tan		Computer Science
Juan	Poblete		Literature
Seth	Rubin		Chemistry and Biochemistry
Ken	Kletzer		Economics
Deborah	Gould		Sociology
Leta	Miller		Music

INTERNATIONAL EDUCATION (CIE)

Ben	Crow	Chair/UCIE Rep	Sociology
Peter	Limbrick		Film and Digital Media
Rasmus	Winther		Philosophy
Arnav	Jhala		Computer Science

LIBRARY AND SCHOLARLY COMMUNICATION (COLASC)

Luca	de Alfaro	Chair/UCOLASC Rep	Computer Science
Donka	Farkas		Linguistics
Roberto	Bogomolni		Chemistry and Biochemistry
Richard	Montgomery (<i>F&W</i>)		Mathematics
TBA	(<i>S</i>)		
Jennifer	Horne		Film and Digital Media

PLANNING and BUDGET (CPB)

Daniel	Friedman	Chair/UCPB Rep	Economics
Zsuzsanna	Abrams		Language
Don	Brenneis	ex officio, Vice Chair	Anthropology
Sue	Carter	VC CPB	Physics
E.G.	Crichton		Art
Suresh	Lodha		Computer Science
Eric	Porter		American Studies
Susan	Harding		Anthropology
Abel	Rodriguez		Applied Math and Statistics
Joseph	Konopelski	ex officio, Chair	Chemistry and Biochemistry
Susan	Schwartz		Earth and Planetary Sciences

PREPARATORY EDUCATION (CPE)

Bruce	Cooperstein	Chair/UCOPE Rep	Mathematics
George	Bunch		Education
Gabriel	Elkaim		Computer Engineering

PRIVILEGE and TENURE (P&T)

Gina	Dent	Chair/UCPT Rep	Feminist Studies
Doris	Ash		Education
Piero	Madau		Astronomy
Campbell	Leaper (<i>W&S</i>)		Psychology
Alex	Pang		Computer Science
Raoul	Birnbaum		HAVC
Lisa	Sloan		Earth and Planetary Sciences

RESEARCH (COR)

Judith	Habicht Mauche	Chair/UCORP Rep	Anthropology
Sharon	Daniel		Film and Digital Media
Pranav	Anand		Linguistics
Jason	Nielsen		Physics
Yat	Li		Chemistry and Biochemistry
Matt	Wagers		Linguistics
Steve	Whittaker		Psychology
Paul	Roth		Philosophy
Fitnat	Yildiz		METOX

RULES, JURISDICTION and ELECTIONS (RJ&E)

Anthony	Aguirre	Chair	Physics
Dave	Belanger		Physics
Thorne	Lay		Earth and Planetary Sciences
Jorge	Hankamer (<i>F</i>)		Linguistics
Julie	Bettie (<i>W&S</i>)		Sociology
Nancy	Chen		Anthropology

TEACHING (COT)

Charlie	McDowell	Chair	Computer Science
Michael	Chemers		Theater Arts
Matthew	McCarthy		Ocean Sciences
Kirsten	Silva Gruesz		Literature
Maria-Elena	Diaz		History

Respectfully Submitted,

COMMITTEE ON COMMITTEES

Bruce Cooperstein

Pradip Mascharak

Paul Roth

Lynn Walker

Elizabeth Abrams, Chair

May 14, 2013

Committee on Research Examining the University Opportunity Fund

To: Academic Senate, Santa Cruz Division

The research mission of UCSC has become integral to the reputation of the campus. Research highlights have been cited at public events throughout the year, most notably in Chancellor Blumenthal's 2012 State of the Campus Speech. The Committee on Research (COR) administers three grant programs that offer vital support to this mission. The Scholarly Meeting Travel (SMT) program helps create visibility for UCSC by supporting faculty presence at scholarly meetings around the world. Faculty Research Grants (FRGs) and Special Research Grants (SRGs) provide seed funding for new research and especially help junior faculty as they establish their individual research careers.

COR grants are selective and peer-reviewed. Over the last five years (2008-09 through 2012-13), the average funding success rate for FRGs is 75.5% and the average rate for SRGs is 42.6%. The funding offered through these programs has shrunk dramatically over the past several years. Nevertheless, even the relatively small grants currently offered by COR make a big difference for faculty. Without COR grants, too many faculty would need to choose between covering their research expenses out of pocket or abandoning their projects.

Realizing that all parts of the university have felt the effects of the budget cuts and that the campus does not currently have access to new funds to distribute to groups like COR, the committee has undertaken an examination of the distribution of the indirect funds that faculty research generates at UCSC.

Indirect Cost Recovery (Overhead) Distribution at UCSC

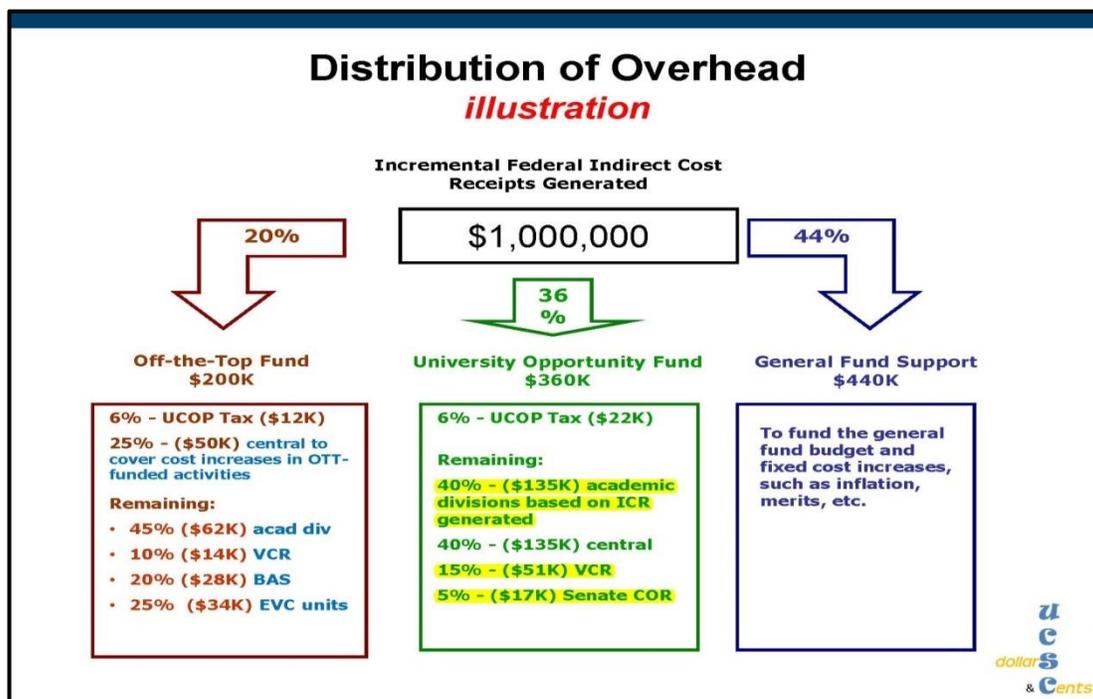
Indirect Cost Recovery (ICR) funds, also known as “overhead,” are received by the university to offset the cost of services it renders in support of grants and contracts. ICR is not intended to completely cover the costs of doing research. As a public institution, we have an obligation to spend a portion of our funds in pursuit of research. A concise description of ICR funds can be found on the UCSC Planning and Budget Toolkit webpage:

The amount is based on the indirect cost rate, which includes the cost of facilities (such as equipment, research space, maintenance and utilities, and the library) as well as departmental administration and support. The current negotiated rate for the Santa Cruz campus is 51%. The “effective” rate (the amount actually generated as a percentage of expenditures) is closer to about 27% because not all federal contracts and grants generate overhead (i.e. equipment grants) and sometimes the overhead is waived or is reduced.¹

At UCSC, ICR funds go into three “buckets”: Off-the-Top Fund; University Opportunity Fund; and General Fund Support. The percentage of the ICR that goes to each bucket (20%, 36%, and 44% respectively) is a systemwide policy. Figure 1 shows an illustration of the current distribution model.

¹ Indirect Cost Recovery (ICR). UCSC Budget & Resource Management: <http://planning.ucsc.edu/budget/toolkit/icr/>
Accessed May 15, 2013.

Figure 1. Current distribution of ICR funds at UCSC²



Once the ICR funds are in these three buckets, the campus must decide how to distribute them in a way that best supports the research mission of the university. In response to an administrative proposal, distribution of the Off-the-Top Fund (OTT) underwent extensive Senate review in 2010-11 and the administration was receptive to the recommendations of the Senate. Since its inception, the distribution of the University Opportunity Fund (UOF), however, has *never been reviewed by the Academic Senate and the rationale for the current split never articulated*. The formula was developed at a time of faculty growth upon which growth of research funds are dependent, and now that our faculty is reaching a steady state, it is time to understand our distribution methodology and, if warranted, change it to maximize support for research.

COR is convinced that the UOF funds allocated to both the VCR and the academic divisions are used in support of research. But how these funds are used is not transparent. Multiple requests from COR to the VCR’s office have not yielded a summary of the research support it provides from its portion of the UOF. The use of the division portion varies by Dean and is not publicly available, nor is the portion (if any) allocated to the departments. Since support for research is scarce among COR, the VCR and academic divisions, it is time to be confident that we are making optimal use of our UOF.

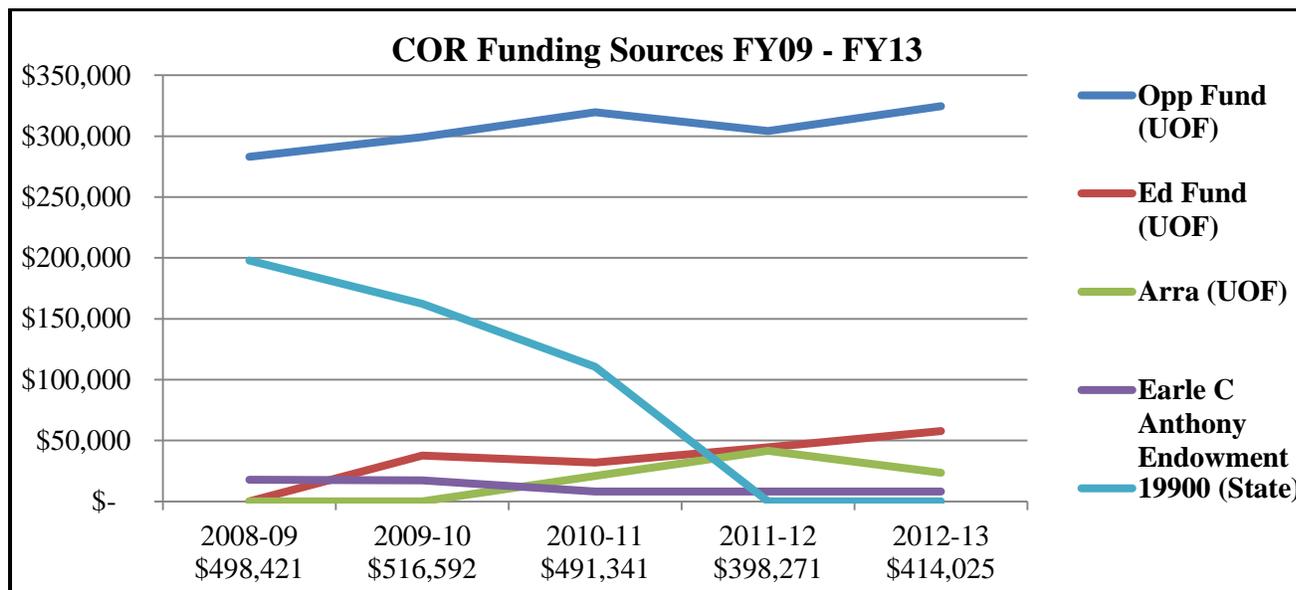
In July of 2012, UCSC was approved for an increase in its ICR rate. The current rate of 51% will rise 0.5% each year for the next five years. This increase further presents an opportunity for an examination of the 40/40/15/5 split of the UOF (and indeed OTT) to ensure that these funds are supporting faculty researchers in the best ways possible. At question in particular are the 15% / 5% split between the Vice Chancellor for Research (VCR) and COR, as well as the 40% portion to the academic divisions.

² An interactive model of this distribution chart can be viewed at <http://planning.ucsc.edu/budget/toolkit/icr/>. The figure of \$1,000,000 is a sample amount. The 6% UCOP tax to OTT and UOF in this diagram is no longer mandated by UCOP but is maintained on our campus as a contribution to the single UCOP assessment established through Funding Streams.

The 15% / 5% Split Between the VCR and COR

Under the current UOF distribution model (known as 40/40/15/5), COR receives 5% of the UOF. These funds now comprise 98% of COR’s budget. *The 40/40/15/5 split was conceived at a time when COR was also receiving permanent 19900 state funds, which have since been cut entirely.* Figure 2 provides a summary of COR funding sources from 2008-09 through 2012-13.

Figure 2. Sources of COR funding for 2008-09 to the current fiscal year



COR’s budget is used exclusively for faculty support. COR puts all of its money directly into the hands of faculty researchers in the form of Scholarly Meeting Travel (SMT) support or Faculty Research Grants (FRGs) and Special Research Grants (SRGs). COR’s annual budget decisions are completely transparent and accountable through its annual report submitted to the Senate. A summary of the last four years of COR support can be found in Appendix A. Any increase in this percentage of the UOF would positively affect COR’s ability to seed fund the important research of our faculty. Also, COR grants often lead to new extramural funding that brings in additional ICR to campus. A snapshot of the impact of recent COR grants can be found in Appendix B.

The 40% to the Academic Divisions

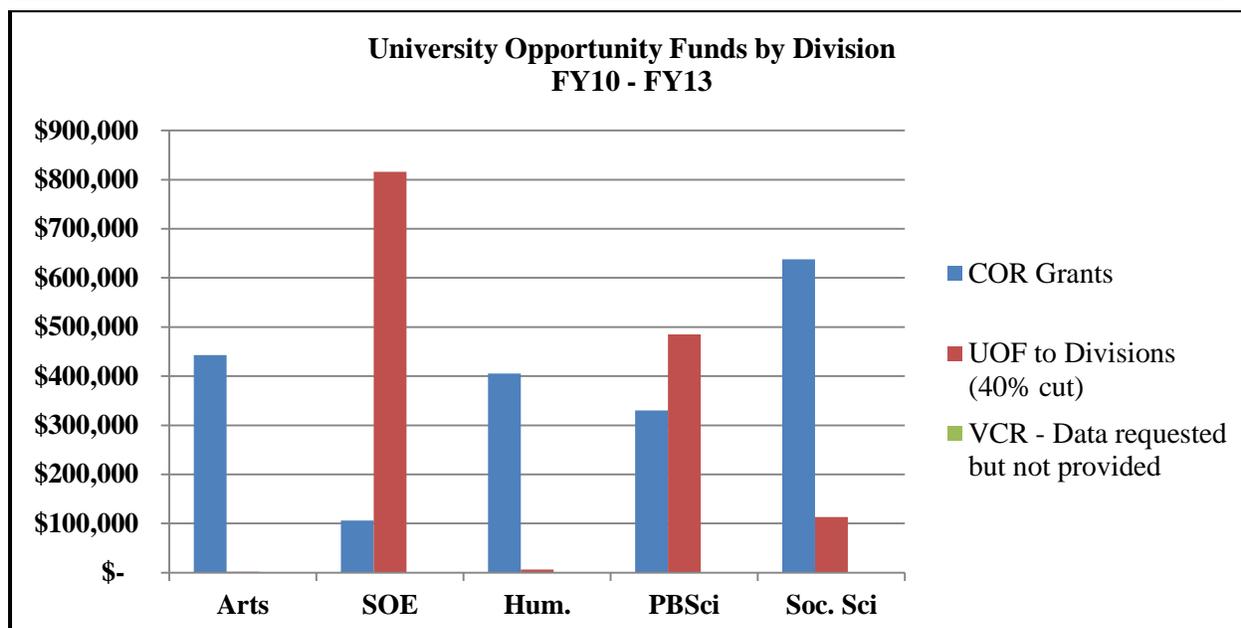
As COR carried out its analysis of the 15/5 split, we came to re-examine the entire UOF funding pool. A simple glance at the UOF allocations shows a greater amount going to SOE and PBSci, divisions with greater opportunities for extramural funding. To offset this, COR has traditionally provided more support to the Arts, Humanities, and Social Sciences Divisions as a way of balancing the access to research support for UCSC faculty. As a result, a shift in the 15/5 VCR and COR distribution would greatly aid faculty members in the latter divisions. To similarly aid faculty members in SOE and PBSci, COR suggests a change in the 40% of the UOF that currently goes to academic divisions.

Reserving 5% of this 40% to return to the individual faculty PIs who generated the ICR would put research funds directly into the hands of researchers who earn grants. This unrestricted form of money would both incentivize and facilitate research by these PIs. It would cover expenses

that cannot be charged to federal grants as well as seed new research directions. COR has considered putting a cap on these PI returns, possibly at \$20K per PI, as well as limiting access to FRG/SRG grants for PIs earning more than \$100K direct per year. These funds would be unrestricted research funds and would greatly enhance the research environment at UCSC, as expenses for research, such as ICR rate, GSR tuition, and fringe benefits, continue to increase.

Looking separately at the 15%/5% VCR/COR portion or at the 40% to the academic divisions is not sufficient due to the disproportionate effect on different faculty groups. COR is calling for an examination of the entire 40/40/15/5 split of the UOF. This approach gives the campus the best opportunity to ensure fair treatment of all disciplines. Figure 3 shows the distribution of these funds to the five academic divisions over the last four years.

Figure 3. Distribution of UOF funds and COR grants awarded by division for FY10 to 13



After consultation with COR on May 14, 2013, Executive Vice Chancellor (EVC) Galloway is seeking more data on the use of the UOF funds by the VCR's office and the academic divisions. As this data becomes available, COR will continue to update the Senate. We present this report now so that faculty can begin to discuss the possible impacts of changes to this distribution formula. COR looks forward to your feedback as the committee will continue this work with the EVC in the fall.

Respectfully Submitted;
COMMITTEE ON RESEARCH

Elisabeth Cameron
 Nathaniel Deutsch
 David Koo
 Sri Kurniawan
 Debra Lewis
 Barbara Rogoff
 Fitnat Yildiz
 Scott Oliver, Chair

Andrew Smith, GSA

May 17, 2013

APPENDIX A

COR runs three grant programs for faculty. One program offers travel support for faculty to present their research at scholarly meetings around the world and the other two programs offer research support in the form of peer-reviewed grants. COR puts research funds directly into the hands of individual faculty members. These funds often play a crucial role in the development of exciting new areas of research for campus. The details of each program are available in COR Annual Reports, making all funding decisions transparent.

The limits for these research support programs are set according to the available COR funds in a given year. The three programs are:

Faculty Research Grants (FRGs) - Competitive start-up grants awarded each spring. Limits have ranged from \$1500 - \$2500.

Special Research Grants (SRGs) - Competitive large grant (often collaborative in nature) awarded each spring. Recent limits have been \$10,000 (2009-10), \$15,000 (2010-11), and \$8,000 (2011-12, 2012-13).

Scholarly Meeting Travel (SMT) - One-time annual travel support grants awarded throughout the year. Limits are \$650/year with an option for up to \$1,000 every three years. A flat rate of \$700/year will go into effect July 1, 2013.

The data below can be found in COR's Annual Reports:

<http://senate.ucsc.edu/committees/cor-committee-on-research/cor-annual-reports/index.html>

Faculty Research Grants (FRGs)

	Applications	Total Amount Requested	Average Amount Requested	Funded Projects	Total Amount Funded	Average Award Amount	Percent of Requested Money Funded
2008-09	146	\$252,036	\$1,726.27	129	\$185,592	\$1,439	73.6%
2009-10	128	\$205,306	\$1,603.95	110	\$166,856	\$1,517	81.3%
2010-11	127	\$255,779	\$2,014	110	\$146,480	\$1,332	57.3%
2011-12	84	\$130,386	\$1,552	72	\$108,161	\$1,502	83.0%
2012-13	112	\$174,474	\$1,558	93	\$143,668	\$1,545	82.3%

Special Research Grants (SRGs)

	Applications	Total Amount Requested	Average Amount Requested	Funded Projects	Total Amount Funded	Average Award Amount	Percent of Requested Money Funded
2008-09	53	\$687,456	\$12,971	30	\$238,575	\$7,953	34.7%
2009-10	45	\$526,108	\$11,691	31	\$213,680	\$6,893	40.6%
2010-11	45	\$418,939	\$9,310	31	\$218,155	\$7,037	52.1%
2011-12	24	\$158,698	\$6,612	14	\$83,132	\$5,938	52.4%
2012-13	47	\$331,112	\$7,045	22	\$110,815	\$5,037	33.5%

Scholarly Meeting Travel (SMT)

	Applications	Total Amount Requested	Average Amount Requested	Funded Projects	Total Amount Funded	Average Award Amount	Percent of Requested Money Funded
2008-09	171	\$126,990	n/a	171	\$126,990	\$743	100.0%
2009-10	154	\$113,246	n/a	154	\$113,246	\$735	100.0%
2010-11	162	\$139,058	n/a	162	\$139,058	\$858	100.0%
2011-12	165	\$138,974	n/a	165	\$138,974	\$842	100.0%
2012-13	165	\$134,458	n/a	165	\$134,458	\$815	100.0%

APPENDIX B

COR Grant Impact

On the 2012-13 COR FRG/SRG application, faculty were asked to provide the following information:

1. List all Faculty Research Grants (FRGs) and Special Research Grants (SRGs) received during the last 3 years, and a short summary of the project result.
2. Please describe if your project(s) resulted in further funding and/or proposals or publications.¹

Responses from 2012-13 applicants for FRGs and SRGs provided the following summary of COR grant impact from 2009-10 to present:

COR grants from 2009 to present have resulted in:

- **\$6,492,083 in external funding**
- **62 external grants sought**
- **156 publications**
- **15 books**
- **26 performances or exhibitions**
- **25 presentations**
- **7 fellowships**
- **3 CDs**
- **2 films**

It is important to note that not all recipients of COR grants from 2009-2012 applied for COR grants again in 2012-13, meaning that this data is just a snapshot of the impact of COR funding. The following page lists highlights of COR-supported or -seeded research as taken from the UCSC Research Highlights webpage (<http://www.ucsc.edu/research/highlights.html>) and local press.

¹ A full pdf version of the 2012-13 COR FRG/SRG Application can be viewed at: http://senate.ucsc.edu/committees/cor-committee-on-research/grant-applications/Application_Sample_201213.pdf

Further COR Grant Impact Highlights

Faculty Name	Grant/Award/Honor	Project	COR Support	Year
Nobuhiko Kobayashi <i>Electrical Engineering</i>	2012 R&D 100 Award (Oscar of Innovation)	“Low-cost plasma processing system...that enables production of nanoscale materials at lower temperatures, faster rates, and with enhanced properties” -news.ucsc.edu June 2012	\$15,000	2007-08
Carolyn Dean <i>Anthropology</i>	2011 Avery Prize from Association for Latin American Art (for best scholarly book published on the art of Latin America)	<u>A Culture of Stone</u> (2011)	\$1480	2007-08
Karen Tei Yamashita <i>Literature</i>	2011 California Book Award 2010 National Book Award Nomination	<u>I Hotel</u> (2010)	\$1500	2007-08
Lisbeth Haas <i>History</i>	2012 Dwight L. Smith (ABC-CLIO) Award from the Western History Association	<u>Pablo Tac, Indigenous Scholar</u> (2012)	\$1400	2008-09
Rebecca Braslau <i>Chemistry</i>	Santa Cruz Sentinel Article UCSC Research Highlights	Development of spray to detect poison oak and its relatives	\$1500	2008-09
A. Marm Kilpatrick <i>Ecology & Evolutionary Biology</i>	\$2 million NIH Grant	Research on climate change and the transmission of mosquito-borne diseases	\$2,000	2008-09
Raphael Kudela <i>Ocean Sciences</i>	\$4 million NOAA Grant	Using robotics and sensor networks to monitor toxic algae blooms along the California coast	\$3000	2009-10 2010-11
Karen Otteman <i>METOX</i>	UCSC Research Highlights	Reducing dangers of ulcers and stomach cancer by taming stomach bacteria	\$4090	2012-13
Gustavo Vazquez <i>Film & Digital Media</i>	Film premier at Pacific Rim Festival	<i>Jugando con Fuego</i>	\$2000	2008-09

APPENDIX C

COR Grants by Division 2007-08 to 2012-13

Acronyms		
FRG	Faculty Research Grant	Competitive grant of up to \$2000 awarded by COR each spring
NFRG	New Faculty Research Grant	Grant awarded by COR each fall that allows faculty starting July 1 access to immediate research funding
SRG	Special Research Grant	Competitive grant currently up to \$8,000 (historically as high as \$20,000) awarded by COR each spring
SMT	Scholarly Meeting Travel	Once annual grant (per faculty) of up to \$650 - \$1000 for travel to scholarly meetings

Arts						
Grant Type	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	\$59,640	\$50,280	\$45,695	\$43,686	\$36,731	\$35,765
NFRG	\$3,899	\$1,812	\$2,000	\$0	\$0	\$0
SRG	\$49,578	\$53,475	\$46,180	\$45,629	\$35,373	\$25,350
SMT	\$23,548	\$18,400	\$18,350	\$20,658	\$22,100	\$22,400
Total	\$136,665	\$123,967	\$112,225	\$109,973	\$94,204	\$83,515

Percentage of Eligible Arts Division Faculty that Apply for COR grants					
2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
47%	56%	68%	47%	47%	40%

**Total Arts
 2007-13
 \$660,549**

Engineering

Grant Type	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	\$1,595	\$3,500	\$5,500	\$2,475	\$1,500	\$3,000
NFRG	\$1,600	\$2,000	\$2,000	\$0	\$1,500	\$0
SRG	\$30,000	\$39,000	\$0	\$20,526	\$0	\$6,000
SMT	\$8,300	\$8,550	\$5,950	\$10,900	\$5,600	\$7,250
Total	\$41,495	\$53,050	\$13,450	\$33,901	\$8,600	\$16,250

Percentage of Eligible Engineering Faculty that Apply for COR grants

2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
7%	7%	13%	6%	8%	4%

**Total SOE
2007-13**

\$166,746

Humanities

Grant Type	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	\$42,255	\$49,810	\$44,500	\$37,852	\$22,098	\$38,184
NFRG	\$4,630	\$9,500	\$2,000	\$0	\$0	\$4,000
SRG	\$32,400	\$25,500	\$26,000	\$40,500	\$16,500	\$10,550
SMT	\$30,354	\$37,347	\$29,846	\$35,100	\$43,200	\$28,158
Total	\$109,639	\$122,157	\$102,346	\$113,452	\$81,798	\$80,892

Percentage of Eligible Humanities Division Faculty that Apply for COR grants

2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
31%	31%	34%	29%	31%	16%

**Total Hum.
2007-13**

\$610,284

PB Sci

Grant Type	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	\$18,466	\$23,272	\$22,340	\$23,063	\$10,000	\$19,760
NFRG	\$0	\$5,623	\$2,000	\$0	\$2,000	\$2,000
SRG	\$49,000	\$60,000	\$50,500	\$51,500	\$7,409	\$32,229
SMT	\$16,850	\$15,318	\$12,200	\$16,150	\$20,450	\$27,200
Total	\$84,316	\$104,213	\$87,040	\$90,713	\$39,859	\$81,189

Percentage of Eligible PB Sci Division Faculty that Apply for COR grants

2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
11%	12%	14%	10%	13%	7%

**Total PB Sci
2007-13**

\$487,330

Social Science

Grant Type	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	\$73,945	\$58,730	\$48,821	\$39,404	\$37,832	\$46,959
NFRG	\$16,285	\$11,500	\$9,500	\$0	\$0	\$7,840
SRG	\$44,550	\$60,600	\$91,000	\$60,000	\$23,850	\$36,686
SMT	\$55,344	\$47,375	\$46,900	\$56,250	\$47,624	\$49,450
Total	\$190,124	\$178,205	\$196,221	\$155,654	\$109,306	\$140,935

Percentage of Eligible Social Science Division Faculty that Apply for COR grants

2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
24%	26%	33%	27%	22%	16%

**Total Soc Sci
2007-13**

\$970,445

COMMITTEE ON EDUCATIONAL POLICY
Report on Standard GPA Calculation for Major Qualification Policies

To: Academic Senate Santa Cruz Division

One of the most important choices a student can make is his or her major program of study. Students, advisers, and the various major qualification policies have to work together to make sure that students invest their efforts in the right classes at the right time. CEP wants to make sure that faculty, advisers, and students have the best possible information in the clearest possible way to facilitate that important choice.

Many major qualification procedures require a specific Grade Point Average (GPA) performance on a set of classes. Principles of fairness require that this GPA be a good predictor of success in the major, that the set of classes over which the GPA is made be available to both students who began their studies at UCSC and those who transferred in, and that the GPA calculation is easy and fast. Students who unknowingly join the wrong major, or who are prevented from joining the right major, can impact UCSC retention rates, graduation rates, and measures of diversity. CEP found that the great variety of methods for GPA qualification run counter to the interests of our students and our university.

Seeking fairness, consistency, and transparency, CEP members have strongly agreed that departments and programs that use GPA should all use the same tool to reach this calculation. Using Senate GPA regulations and the Academic Information System (AIS), the Registrar's Office can display a student's qualifying GPA in a particular major, based on a list of qualifying courses and the student's record. This will provide functionality for students and advisers to easily view the student's GPA in the considered major

CEP has already alerted each department that has a GPA requirement that the campus will be implementing a new standard calculation for GPA next year. Several departments and programs chose to move to this GPA calculation for their 2013-2014 catalog year even though it won't be required until the 2014-2015 catalog year. We have heard from very large majors that assure us that this change, while startling at first encounter, will lead to fairness, ease of advising, and appropriate selection of qualified students.

For clarification, in the AIS calculation, W, NP and P grades are not counted in the GPA. In addition, no mention of course repetition will be needed, because Senate Regulation 9.4.1 will handle this, and only colleges will make enrollment decisions based on course repetition. If a student has taken courses more than once due to receipt of a D or F, for the first 15 credits of repeated work, only the last grade recorded shall be computed in the student's GPA. If the 15-credit limit is exceeded, the GPA shall be based on all additional letter grades assigned and credits attempted. Departments and programs may require students to take all major qualification classes for a grade. Further, departments and programs may wish to take into account non-passing work (D/F/NP) in major qualification courses by requiring students to complete most of their preparatory work on the first try, but are required to allow for at least one or two failing grades. Moving forward, as departments and programs prepare for this change, and after

examination of the effect of the new GPA calculation, departments and programs may present data supporting raising or lowering the qualification GPA by a small amount. The committee welcomes future proposals and any associate data for justification of a specific GPA requirement.

COMMITTEE ON EDUCATIONAL POLICY

Mark Anderson

Pamela Hunt-Carter, *ex officio*

Lora Bartlett

Ronnie Lipschutz, Provost Representative

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Edward Warburton

Max Hufft, Student Representative (SUA)

James Wilson

Kayla Oh, Student Representative (SUA)

James Zachos

Tracy Larrabee, Chair

May 15, 2013

COMMITTEE ON FACULTY WELFARE

Report on Retirement and Online Education

To: Academic Senate, Santa Cruz Division

As the 2012-13 academic year comes to an end, the Committee on Faculty Welfare (CFW) would like to report on two important topics that will affect the future welfare of the faculty, Retirement Benefits and Online Education.

Retirement

The Committee investigated several issues this year affecting the status of the UC Retirement Plan (UCRP) for retired, current, and future UCSC faculty (and staff). The UC Regents have adopted several related changes that become effective July 1, 2013—each of which reduces overall UCSC faculty compensation:

1. All UC employees (faculty and staff) hired after June 30, 2013 will be part of Tier 2013 under UCRP, which will receive lower retirement benefits and later eligibility ages that will significantly reduce the overall value of UCRP benefits, and may affect faculty recruitment competitiveness.
2. All UC employees (faculty and staff) whose combined age and service credit are less than 50 on June 30, 2013 will receive lower UC contributions toward retiree health premiums upon retirement than those whose combined age and service credit are at least 50. Moreover, the calculation of the sum is based on “whole years” for each of the factors (UCFW has called for the combined total of the factors to be truncated down). Note that this change will apply to many existing employees NOT subject to Tier 2013: at UCSC, an estimated 116 of the 433 current ladder-rank faculty (27%) will NOT be grandfathered.
3. All UC employees (faculty and staff) who remain in Tier 1 under UCRP will face an adopted increase in employee contributions toward UCRP effective July 1, 2013 (from 5% in 2012-2013 to 6.5% in 2013-2014). All Tier 1 employees will then probably face another increase (to be voted on by the Regents in July 2013) in contributions effective July 1, 2014 (from 6.5% in 2013-2014 to 8% in 2014-2015). If adopted by the Regents in July 2013, the total increase in employee contributions from 2010-2014 would be 6% (from 2% to 8%). The University’s contribution toward UCRP will also have increased during this period by a total of 10% (from 4% in 2010-2011; 7% in 2011-2012; 10% in 2012-2013; 12% in 2013-2014 and a proposed 14% in 2014-2015). Combined contributions will then total 22%.

“Normal” Cost and UCRP’s Unfunded Liability

Based on a series of actuarial and financial models, UCRP’s “normal” cost is 17.6%—in other words, the combined University and employee contributions must be 17.6% of covered compensation each year to maintain the UCRP in a position to pay all of its liabilities fully. However, UCRP has an unfunded liability that has been estimated by the University as roughly

\$12.1 billion. This unfunded liability reflects a combination of three factors: (1) a 20-year “holiday” in contributions from 1990 (when UCRP had a surplus) to 2010, (2) the accelerated payments associated with the Voluntary Early Retirement Incentive Program (VERIP) of the mid-1990s, and (3) reductions in both asset values and rates of returns during the economic downturn over the past five years. We have not seen a good analysis of UCRP that accurately allocates the respective contribution of these factors, but there is widespread agreement that increased contributions are necessary to reduce the liability.

Despite that agreement, however, UC staff unions, including the American Federation of State, County and Municipal Employees (AFSME), California Nurses Association (CAN), and the University Professional and Technical Employees (UPTE), have hired an actuary who argues that two UC policies are more conservative than mainstream methods used by others:

1. The University amortizes the unfunded liability as a fixed dollar amount rather than as a level percentage of pay; this increases the cost of paying off the unfunded liability by over \$1 billion over the next four years alone—while also increasing the apparent level of combined contributions necessary in the near term (see Figure 1 from UC Union Actuarial Briefing on November 1, 2012, showing annual amortization payments).
2. The University uses a 7.5% discount rate in estimating UCRP’s future liabilities, whereas most defined benefit public pension plans use a higher rate over a 20-25 year period (see Figure 2, from UC Union Actuarial Briefing on November 1, 2012). According to the staff unions’ actuary, a “more conventional 7.75% rate” would lower the annual costs of paying off the unfunded liability (if combined with using a level % rather than a fixed dollar amount) from 25-30% (according to UC) to around 22% (see Figure 3 from UC Union Actuarial Briefing on November 1, 2012).

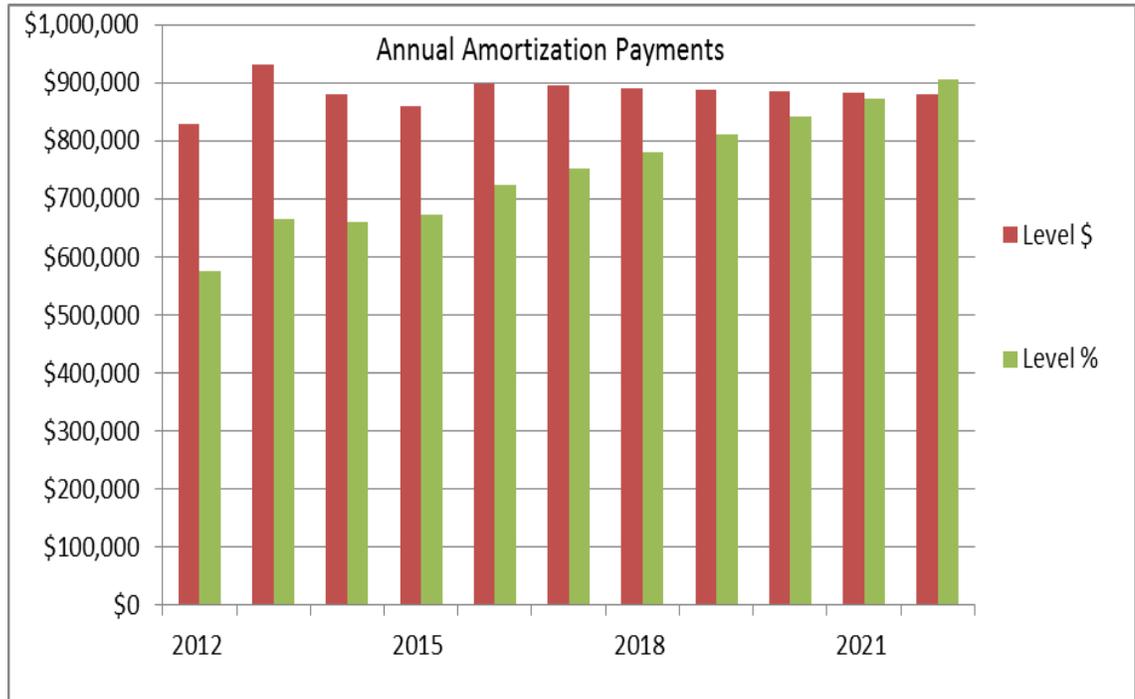
Without these two changes, however, even the 22% combined contributions of the University (14%) and employees (8%) proposed for 2014-2015 appear inadequate. Additional pressure to increase University contributions (which directly compete with other campus priorities, including faculty salaries, staff salaries, health care premiums, and myriad necessary expenses) and employee contributions (which directly reduce take-home pay unless faculty salaries are increased accordingly) is therefore likely to continue (and the unfunded liability to grow) under the actuarial and financial models that the University is using to estimate the costs of maintaining UCRP. The University’s choices regarding amortization method (fixed dollar amount rather than a fixed percentage of pay) and discount rate (7.5% rather than 7.75%) therefore result in a political climate of crisis over apparent increases in unfunded liability even after combined UCRP contributions would total 22% (4.4% more than “normal” cost) if adopted for 2014-2015.

The UC unions presented their actuarial analysis to the UC Retirement System (UCRS) Advisory Board in February 2013. Despite efforts by the UC unions to enlist faculty support for the use of a different amortization method and a higher discount rate when estimating liabilities, however, neither the UCRS Advisory Board nor the UC system-wide CFW have pressed for these changes. Instead, system-wide faculty leaders appear to believe that the battle over these issues was already fought when the Post-Employment Benefits (PEB) Task Force rendered its recommendations to UCOP in 2010. At that time, the faculty representatives to the PEB Task

Force wrote a powerful dissenting opinion that was adopted in part by UCOP. We therefore do not see much traction among system-wide faculty representatives for pushing for these changes at the system-wide level.

There is a third issue raised by the UC unions' actuarial that is directly relevant to the link between UCRP contributions and faculty salaries: the UCRP actuarial and financial models assume higher rates of faculty salary growth in the future (thereby increasing UCRP liability) than actual rates of faculty salary growth in the past. Therefore, the UCRP actuarial assumptions themselves make a case for linking higher faculty salaries to increased UCRP contributions. This is also the position of UCFW for 2014-2015. We support this position but also believe that the other changes are also necessary: increased contributions should be coupled to salary increases, but the actuarial methods in the UC union proposal should also be considered.

More conventional amortization method would save nearly \$1 billion over 4 years



	2012	2013	2014	2015	2016	2017	2018	2019	2020
Level \$ - Amortization Payment	829,492	931,055	881,893	859,663	898,305	895,170	892,076	889,002	885,914
Level % - Amortization Payment	575,117	665,396	660,323	672,632	725,315	752,655	781,041	810,514	841,057
Immediate Savings	254,375	265,659	221,570	187,031	172,990	142,515	111,035	78,488	44,857

All numbers in \$thousands (\$000), for Fiscal Year Beginning July 1

Figure 1: fixed dollar amount (Level \$) vs. fixed percentage of salaries (Level %)
 (Source: Actuarial Briefing—Faculty Webinar, November 1, 2012 by William Fornia, FSA)

UCRP's 7.5% assumed rate of return is among the most conservative of those in *Public Funds Survey*

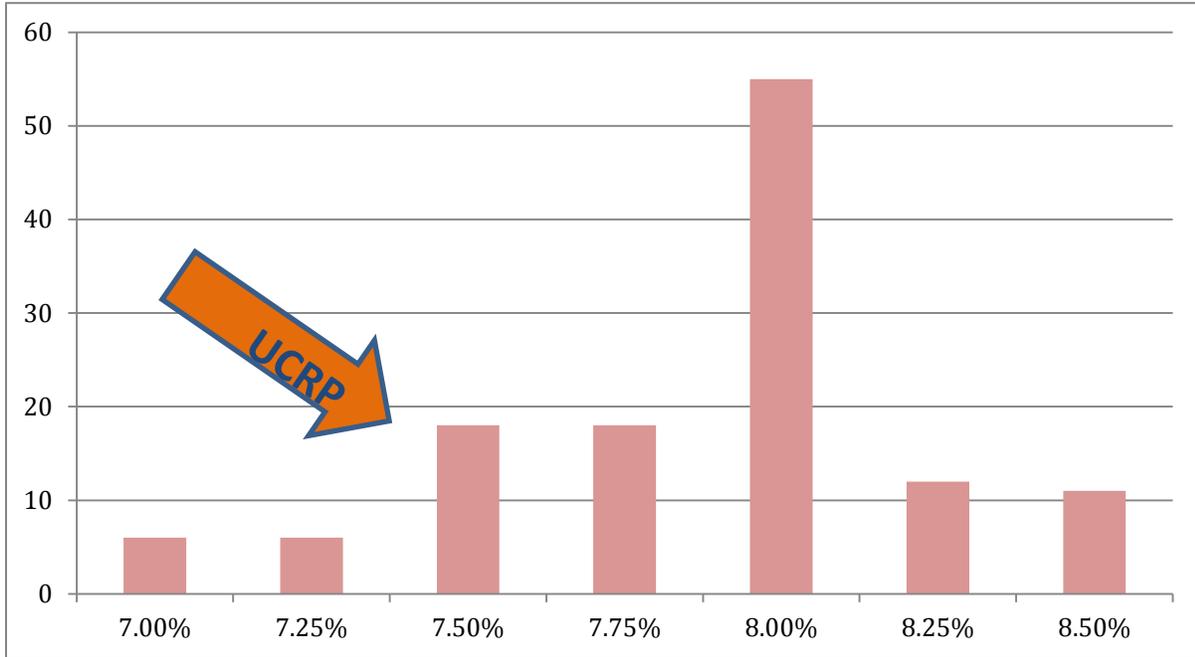


Figure 2: UCRP discount rate (7.50%) compared to other public pension funds
(Source: *Actuarial Briefing—Faculty Webinar, November 1, 2012* by William Forna, FSA)

If more conventional 7.75% rate were used, costs would be lower still

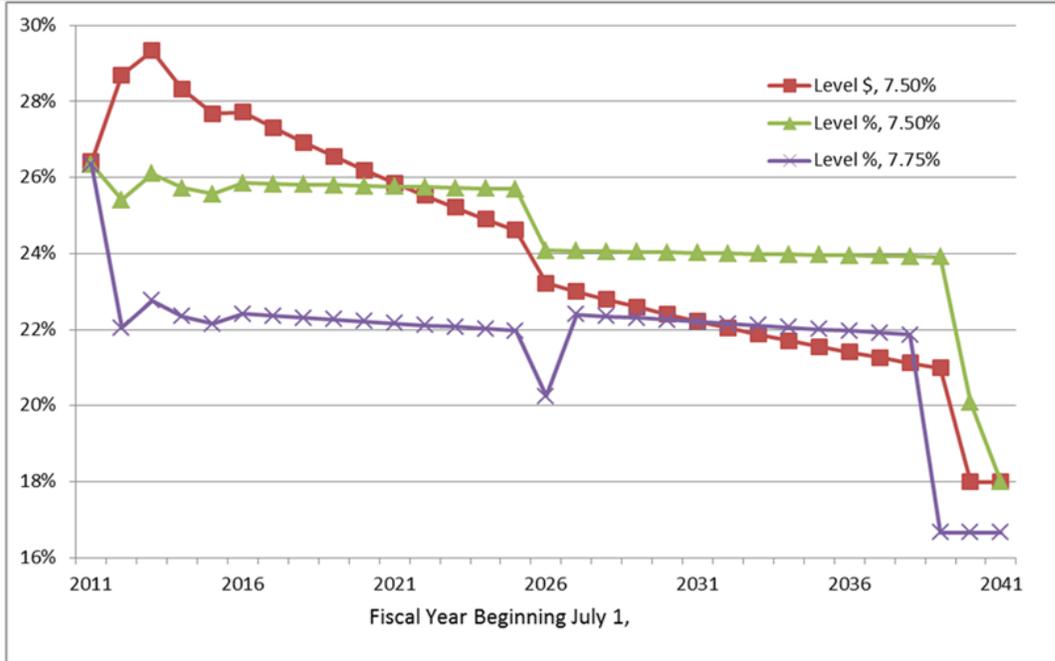


Figure 3: combined effect of level % of salary and 7.75% discount rate on annual contributions required to amortize unfunded liability and meet “normal” cost
(Source: Actuarial Briefing—Faculty Webinar, November 1, 2012 by William Forna, FSA)

Online Education

In the past year we have had lively discussions on our campus about online education. Nationally, university and government officials have been pushing for using more technology in the classroom with hopes of educating more students at a lower cost. Although many issues have been raised, CFW is concerned that many important questions remain unanswered. Before our campus makes any major commitment to online education we need a better understanding of goals, costs, and long term effects on both students and faculty. CFW certainly agrees that technology and some forms of online education can be tremendously useful in the classroom. But it is clear that some advocates have a vision of replacing the live professor with video presentations and exams. We are not convinced that this is an effective way of teaching. Given the lack of clarity surrounding online education and the agreement with Coursera, CFW identifies five areas of fundamental concern.

1. Is Online Teaching Effective? Advocates of online education, especially advocates of MOOCs (massive open online courses), often begin by saying that teachers have been lecturing to students in the same way for 5,000 years, and that it is time to change. This raises the interesting question of why face-to face teaching has persisted for 5,000 years. It has survived the invention of inexpensive books, of radio, and of the popularity of correspondence schools in the early 1900's. In the 1960's universities everywhere installed large TV monitors in classrooms because of the promise that televised lectures could replace traditional forms of teaching. Yet the interaction of teacher with students remains the predominant method of education.

There seems to be something special about getting information from a live person, as opposed to a video of that person. Of course, a major difference is the sense that the teacher “cares about” the students, but there are also poorly understood clues and signals that occur in these interactions. Interaction with a live person imposes a different kind of behavior and discipline on the interacting parties. Even in a large lecture hall the teacher can get a sense of whether students are “getting it.” Verbal communication and teaching has been evolving in humans for over 100,000 years. We are hard-wired to interact in a special way with fellow human beings. There is some evidence that information learned through online teaching is not retained as well as information learned through “in person” teaching. It would not be surprising to find that we store this information in different parts of our brain.

The faculty of the Philosophy Department at San Jose State University recently wrote a public letter to explain why they opposed the use of MOOCs. Members of CFW found this to be an articulate and thoughtful expression of the concerns we have about online education. We recommend it highly.

<http://chronicle.com/article/The-Document-an-Open-Letter/138937/>

2. We need a clear idea of the administration's goals for online education. Online education has been developing on our campus for several years, but the issue has become more urgent because of the newly formed relationship with Coursera. We would like to have a better understanding of why the administration has decided to focus its efforts to explore online education in this manner at this time. CFW believes that involvement of a private company in

the development and delivery of our curriculum has the potential to irrevocably change the nature of teaching, the role of the faculty, and the experience of students on our campus.

CFW would also like to have a better sense of the potential scale of our involvement. In the next few years how many online courses are likely to be offered? In what areas? What involvement are we likely to have with other online companies or with UC Online?

3. The role of the Senate in scrutinizing the University’s agreement with Coursera. At its meeting of May 2, 2013, CFW sought to determine what steps the administration took to consult with the Senate before signing an agreement with Coursera, what responses were received from Senate committees, and to what degree those responses were incorporated into negotiations. The Committee’s understanding is that the University rushed into a partnership with Coursera because at that time (February 2013), Coursera intended to implement a new policy of restricting partnerships to universities that are members of the Association of American Universities (AAU), a change that would have excluded UCSC from forming any partnership at all. An e-mail to the faculty on February 20, announcing the partnership between UCSC and Coursera, alluded to just this complication as a factor in the administration’s decision to sign the agreement, writing that “[o]ur presence in this program places UC Santa Cruz in the company of the nation’s AAU institutions and the top 5% of international universities.” According to more recent reports in the national media, Coursera is reconsidering its policy of excluding non-AAU institutions from partnerships and may end it.¹ If that is the case, we may have been able to sign the agreement after a period of thoughtful study and deliberation.

On March 11, Senate Chair Joe Konopelski informed CFW that the Senate had taken no position on the agreement with Coursera because it had not been giving adequate time to study its terms or to deliberate about them. “We were asked to consult, but were not given the requisite amount of time to do so responsibly,” he wrote, “and we declined, allowing this decision to be solely an administrative one.”² CFW believes that the University’s decision to sign the agreement with Coursera, without seeking the guidance of the Senate, sets a bad precedent. CFW also seeks assurances that no further agreements or modifications of the existing agreement will be undertaken without asking the Senate to scrutinize them.

CP/EVC Galloway has informed the Senate that the administration is in the process of developing a website that will provide information about online education, including information about Coursera and the Coursera partnership; copyright; accessibility; and online course development tools. Presumably, this website will try to address concerns that have been raised since the administration signed the agreement with Coursera. It is our understanding that an ad hoc subcommittee of the Senate Executive Committee (SEC) has been created to vet course proposals for the Coursera platform.

4. The terms of the University’s agreement with Coursera. At the CFW meeting of May 2, the Committee obtained a copy of the agreement. The agreement is a densely-written legal text of more than forty pages, and it needs to be studied carefully and discussed extensively by

¹ Ry Rivard, “Coursera’s Contractual Elitism,” *THE MOOC MOMENT* (Inside Higher Ed, May 2013), 7-8.

² Email Correspondence: Konopelski to Duane, 3/11/13, Re: Shared Governance

different Senate committees and the Senate as a whole. CFW takes no position on the agreement at this time. However, the Committee joins Greg Laughlin (Chair, Committee on Computing and Telecommunications) in calling on CP/EVC Galloway to provide a summary of the agreement's terms, along with a statement addressing such topics as the rights and obligations of faculty members who offer Coursera courses.³

Developing and providing online courses for the Coursera platform might entail revisions to long-standing practices of institutional oversight and obligation with respect to the curriculum. These changes could have serious implications for the allocation of resources for teaching and learning at UCSC, the authority of the faculty to determine the nature and content of academic programs, and the rights of faculty members with respect to their course materials.

At this point, CFW seeks clarification about three specific aspects of the agreement with Coursera.

First, what provisions were made for revising or abandoning the agreement? At a time when faculty members at a growing number of peer institutions are rejecting, reconsidering, or nullifying partnerships with Coursera and other companies--including Amherst, Duke, San Jose State University, American, and Harvard--it is especially prudent to be well informed about our options for taking a similar course.

Second, acknowledging both that faculty and staff labor associated with creating and teaching courses on the Coursera platform will necessarily be significant and ongoing, and also that the costs of that labor have not yet been clearly articulated by the administration, CFW wants to know what those costs are, how they have been calculated, and whether the necessary support for maintaining the high educational quality will be sustained over time. Who will pay these costs, and who stands to profit from the investments that the University will make in the creation and maintenance of Coursera courses? How will this labor be accounted for in terms of workload, at both an individual and collective level? At a public forum concerning online education on April 26, 2013, CP/EVC Galloway explicitly indicated that at least some resources would be diverted from "traditional" forms of instruction to pay for the unspecified costs of initiating courses on the Coursera platform. CFW is concerned that a decision of this consequence has been made in an environment in which there is no specific or credible information about the expense of creating courses for Coursera. It has been suggested that costs may be as low as \$20,000 per course, or as high as \$100,000 or more.

Third, to what degree does a course offered on the Coursera platform belong to an instructor, the University, and to Coursera? According to Exhibit G-1 of the agreement, instructors and guest presenters "irrevocably grant University the absolute right to use, store, host, publicly broadcast, publicly display, public [sic] perform, distribute, reproduce and digitize any Content [they] upload, share or otherwise provide in connection with the Course or my use of the Platform, including the full and absolute right to use [their] name[s], voice[s], image[s] or likeness[es] (whether still, photograph or video) in connection therewith, and to edit, modify, translate or adapt any such Content ("Content Enhancements") for the purposes of formatting or making

³ Laughlin to Galloway, 4/17/13, Re: Leadership on Coursera Partnership

accommodations to make Content accessible to people who have disabilities. To the extent [they] create or develop any software, interfaces or assessment features for use in connection with the Course or Platform (“New Features”), and to the extent permitted by law, [they] hereby irrevocably grant the University the right to use [their] contributions to the New Features for any and all features solely in connection with, and for the duration such entity offers the Course as authorized by University.” This stipulation redefines the assertion made in 7.4(a) of the agreement that intellectual property rights remain with “the Instructor and University”, so that the university rather than the instructor controls use, and it also contradicts statements that were made at the forum about Coursera and online education on April 26. CFW is concerned that, under the agreement, instructors cannot possibly be seen as being in possession of full ownership rights to their course materials.

5. A lack of consensus about the University’s experiment with online education. Public forums, private committee meetings, and informal conversations have given clear evidence that the faculty is not only divided about the University’s agreement with Coursera but also confused about the University’s objectives concerning online education in general. Some faculty members are eager to embrace new technologies as resources for teaching and learning. Others are more cautious, not because they fear these technologies, but because they have legitimate concerns that the University’s rationale for introducing such consequential changes to the curriculum have not been studied and deliberated adequately. CFW believes that in order for the University’s experiment with online education to be successful, the faculty itself must be well-informed and united. Complete transparency about the Coursera agreement, administrative willingness to address the questions and concerns of CFW and other committees, and a full-scale discussion about online education, involving the entire Senate in a public session next fall, will all be essential in restoring an environment of mutual respect and trust, and in securing widespread support for an endeavor of this scale, complexity, and risk.

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

Noriko Aso
Samit Dasgupta
Tim Duane
Daniel Guevara
Michael Isaacson
Sean Keilen
Barry Bowman, Chair

Roger Anderson, *ex officio*

May 17, 2013