

Meeting Call for Regular Meeting of the Santa Cruz Division  
**Wednesday, May 21, 2014 at 2:30 p.m.**  
**Stevenson Event Center**  
**ORDER OF BUSINESS**

1. Approval of Draft Minutes
  - a. Draft Minutes of February 19, 2014 (AS/SCM/307)
  
2. Announcements
  - a. Chair Konopelski p. iii
  - b. Chancellor Blumenthal
  - b. Campus Provost/Executive Vice Chancellor Galloway (not attending)
  
3. Report of the Representative to the Assembly (none)
  
4. Special Orders: Annual Reports  
 CONSENT CALENDAR:
  - a. Committee on Faculty Research Lecture (AS/SCP/1750) p. 1
  
5. Reports of Special Committees (none)
  
6. Reports of Standing Committees
  - a. Committee on Committees
    - i. 2014 – 15 Nominations (AS/SCP/1751) p. 3
    - ii. Nomination for the UCSC Dean McHenry Award for Distinguished Leadership in the Academic Senate (AS/SCP/1756) p. 8
  - b. Senate Executive Committee
    - i. Resolution to create a Special Committee on Development and Fundraising (AS/SCP/1752) p. 10
    - ii. Bylaw Changes Chapters 4 and 5 (AS/SCP/1753) p. 12
  - c. Committee on Admissions and Financial Aid
    - i. Oral Report – 2013-14 Updates
  - d. Committee on Educational Policy
    - i. Oral Report on Articulation of Online Courses and Disciplinary Communication
  - e. Committee on Faculty Welfare
    - i. Report on Childcare, Retirement, and Online Education (AS/SCP/1755) p. 18
  - f. Committee on Research
    - i. Report on Campus Use of University Opportunity Funds (AS/SCP/1754) p. 22
  
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 14, 2014

Academic Senate  
Santa Cruz Division

Dear Colleagues;

The final Academic Senate meeting of the year will be held on Wednesday, May 21, 2014, 2:30 to 5 PM at the Stevenson Event Center. [Click here](#) to see the agenda.

There are several pieces of business on the Senate's agenda that require our attention. The Senate Executive Committee has put forward a resolution to create a Special Committee on Development and Fundraising that will afford a structure for Senate consultation with the administration on our fundraising endeavors. As is our usual tradition at the Spring meeting, the nomination for the Faculty Research Lecture will be presented and the Committee on Committees presents the membership of the Senate committees for the 2014-2015 academic year. Finally, several standing committees will present reports covering such important items as the use of University Opportunity Funds, the UC retirement program, campus housing and childcare, online and hybrid education course offerings, disciplinary communication, general education requirements, major qualification policies, and an update from CAFA.

As is his custom, the Chancellor is expected to announce the recipients of the annual teaching awards in his opening remarks and is hosting a reception at the conclusion of the meeting. We have a full agenda with many timely topics for discussion.

Hope to see you all at Stevenson on the 21<sup>st</sup>.

Sincerely,



Joe Konopelski, Chair  
Academic Senate  
Santa Cruz Division

**SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES**  
**May 21, 2014 Senate Meeting**

The draft minutes from the February 19, 2014 Senate meeting were distributed via email on May 7, 2014 and will be presented for approval at the Senate Meeting on May 21, 2014. 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, provides the Senate staff and the Secretary with 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. The reason for the change if not obvious (optional).

Please submit all proposed changes to arrive in the Senate Office **no later than 12:00 noon, Tuesday, May 20, 2014**. They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to [senate@ucsc.edu](mailto:senate@ucsc.edu).

Donald Potts, Secretary  
Academic Senate  
Santa Cruz Division

May 12, 2014

**COMMITTEE ON FACULTY RESEARCH LECTURE**  
**Annual Report 2013-14**

To: The Academic Senate, Santa Cruz Division

The Committee on the Faculty Research Lecture enthusiastically nominates Craig Haney, Professor of Psychology, as the Faculty Research Lecturer for the 2014-15 academic year.

Professor Haney embodies the interdisciplinarity that we value at UCSC. He received a joint Ph.D. and J.D. from Stanford University and has spent his career in the Psychology Department on this campus. Throughout his prolific career Professor Haney has examined the immediate psychological trauma and long-term mental health effects of incarceration and isolation on prisoners. He has argued persuasively that the prevailing prison policies violate the legal and civil rights of prisoners. Haney studies the social histories of those accused or convicted of serious violent crimes as well as how legal procedures affect attitudes and beliefs about crime, punishment and legal fairness.

Haney has been quite prolific, as he has published widely in a great variety of venues, including three books. The Law & Society Association bestowed its Herbert Jacob Book Prize, which is awarded for the Most Outstanding Book on Law and Society, on Professor Haney for his book, *Death by Design: Capital Punishment as a Social Psychological System* (Oxford 2005). *Reforming Punishment: Psychological Limits of the Pains of Imprisonment* (American Psychological Association Books 2006) was nominated for the National Book Award by the American Psychological Association. *Technical Report for the National Commission on Testing and Public Policy* (Ford Foundation, 1989) was revised and distributed (1994) by the Ford Foundation as *Standardized Error: Fair Employment Testing and Employment Discrimination*. In addition to publishing in a wide array of peer-reviewed journals in Psychology, including *Crime and Delinquency*, *American Psychologist*, *Behavioral Sciences and Law*, *Psychology, Public Policy, and Law*, and a long list of others, he has also published a significant number of articles in law reviews. Haney's work has appeared, for example, in *Stanford Law Review*, *DePaul Law Review*, *University of San Francisco Law Review*, *Hofstra Law Review*, and *Santa Clara Law Review*, among others. He has also published a truly impressive number of book chapters and many of his journal articles have been reprinted. His research productivity is ongoing as he is completing another book, *Context and Criminality: Toward a Rational Model of Crime Control*, to be published by Harvard University Press.

Perhaps more important than the extraordinary quantity of his published research, however, is its influence. Professor Haney embodies the values of UCSC's tradition of engaged scholarship and concern with social justice. He has traveled all over the country from one prison to another for decades, working on dozens of high-profile death penalty cases. He has literally saved lives with his research and expert testimony to a variety of state and national legislative bodies. For example, he has presented testimony based on his research to the Senate Judiciary Subcommittee on the Constitution, Civil Rights, and Human Rights Hearing on Solitary Confinement in 2012, the California Assembly Committee on Public Safety in 2011, the United States Senate Judiciary Subcommittee on the Constitution, Civil Rights, and Property Rights in 2006, and the United States House of Representatives Judiciary Subcommittee on Immigration, Border Security, and Claims

in 2005, and the National Commission on Prisoner Safety and Abuse in America's Prisons in 2005.

One of these instances of expert testimony is particularly impressive: Haney was a star witness in an historic case (*Brown v. Plata*) in 2011. In this case, the US Supreme Court upheld a 9th Circuit Court decision that called for the State of California to reduce its prison population. The 9th Circuit Court reasoned that the oppressively over-crowded prisons in our state led to such utterly debilitating conditions (including health services so deficient that inmate deaths occur on a regular basis) that they violated the 8th Amendment's ban on "cruel and unusual punishment" and were therefore unconstitutional. Haney's evidence from his years of research—including evidence from life histories, case studies, first hand observations, experiments, and aggregated data on prison systems—was the empirical spine of the 9th Circuit's decision, and it was so powerful that it withstood the interrogation of justices who attempted to undermine the argument. This decision essentially forced the State of California to pass AB109, prison realignment, which requires non-violent, non-sexual, non-serious offenders to serve time in county jails rather than the state prison system and therefore to serve less time overall and to get more help from community services and treatment agencies at the local level. This means that more than 30,000 low-level offenders have been released to local authorities a bit earlier as a direct result of Haney's heroic work—saving the overwhelmingly poor and people of color thousands of combined person-years of imprisonment, and taxpayers billions of dollars better spent on things like higher education.

Beyond this, Haney was selected by the National Academy of Sciences to serve on a panel about the causes and consequences of high rates of incarceration in the United States, one of a half-dozen experts in the country from all fields. Haney is also a key leader in our local group, Smart On Crime, which won a grant from the Center for Collaborative Research for an Equitable California and has helped develop an array of alternatives to incarceration that improve public safety and human rights.

Professor Haney has also won several teaching awards, notably the Golden Apple Award for Distinguished Teaching in the Social Sciences Division and the Alumni Association Distinguished Teaching Award, to name only two. He is a gifted lecturer who brings in the human element to critiques of policies related to incarceration and their psychological effects.

In sum, Professor Haney is a public intellectual whose research demonstrates great distinction. He is well deserving of the honor of presenting his research to the university and larger community at the 49<sup>th</sup> annual Faculty Research Lecture.

Respectfully submitted,

**COMMITTEE ON FACULTY RESEARCH LECTURE**

JJ Garcia-Luna-Aceves  
David Kliger  
Dard Neuman  
Martha Zuniga  
Patricia Zavella, Chair

May 6, 2014

**COMMITTEE ON COMMITTEES**  
**Nominations for 2014-15 Committee Membership**

To: The Academic Senate, Santa Cruz Division

**OFFICERS**

Don	Brenneis	Chair	Anthropology
Ólöf	Einarsdóttir	Vice Chair	Chemistry & Biochemistry
Junko	Ito	Secretary	Linguistics
David	Brundage	Parliamentarian	History

**ASSEMBLY REPRESENTATIVES**

Ólöf	Einarsdóttir	Vice Chair	Chemistry & Biochemistry
Catherine	Jones	Assembly Rep.	History

**EXECUTIVE COMMITTEE (SEC)**

Don	Brenneis	Chair	Anthropology
Ólöf	Einarsdóttir	Vice Chair	Chemistry & Biochemistry
Junko	Ito	Secretary	Linguistics
Catherine	Jones	Assembly Rep.	History
Patty	Gallagher	(COC)	Theater Arts
Sue	Carter	(CFW)	Physics
Minghui	Hu	(CAFA)	History
John	Tamkun	(CEP)	MCD Biology
Ingrid	Parker	(CAAD)	Ecology & Evolutionary Biology
Paul	Roth	(P&T)	Philosophy
Judith	Habicht-Mauche	(COR)	Anthropology
Carolyn	Dean	(CAP)	History of Art & Visual Culture
Ken	Kletzer	(GC)	Economics
Dan	Friedman	(CPB)	Economics

**ACADEMIC ASSESSMENT GRIEVANCE (AAGC)**

Russ	Flegal	Chair	METOX
Anatole	Leikin		Music
Karen	Holl		Environmental Studies

**ACADEMIC FREEDOM (CAF)**

Ron	Glass	Chair/UCAF rep	Education
Jennifer	Derr		History
Hongyun	Wang		Applied Math & Statistics
Charlie	Conroy		Astronomy & Astrophysics
Karlton	Hester (W&S)		Music

**ACADEMIC PERSONNEL (CAP)**

Carolyn	Dean	Chair/UCAP rep	History of Art & Visual Culture
Karen	Bassi		Literature
Todd	Lowe		Biomolecular Engineering
Gail	Hershatter		History
Shaowei	Chen		Chemistry & Biochemistry
Judit	Moschkovich		Education
Andrew	Fisher		Earth & Planetary Sciences
Amy	Beal		Music
Nameera	Akhtar		Psychology

**ADMISSIONS & FINANCIAL AID (CAFA)**

Minghui	Hu	Chair/BOARS rep	History
Mark	Carr		Ecology & Evolutionary Biology
Jean E.	Fox Tree		Psychology
David	Helmbold		Computer Science
Ted	Warburton		Theater Arts
Deanna	Shemek		Literature
David	Smith		Physics
Yi	Zhang		Technology & Info Management
TBA			

**AFFIRMATIVE ACTION & DIVERSITY (CAAD)**

Ingrid	Parker	Chair/UCAAD rep	Ecology & Evolutionary Biology
Steve	McKay		Sociology
Dejan	Milutinovic		Computer Engineering
Micah	Perks		Literature
TBA			
Ronaldo	Wilson		Literature

**CAREER ADVISING (CCA)**

TBA

**COMMITTEE ON COMMITTEES (COC)**

(By Election for Information Only)

Patty	Gallagher	Chair/UCOC rep	Theater Arts
Elizabeth	Abrams		Writing
Vanita	Seth		Politics
Donald	Potts		Ecology & Evolutionary Biology
Sri	Kurniawan		Computer Engineering

**COMPUTING AND TELECOMMUNICATIONS (CCT)**

Debra	Lewis	Chair/UCCC rep	Mathematics
Hiroshi	Fukurai		Sociology
Josh	Stuart		Biomolecular Engineering
Jim	McCloskey		Linguistics
Scott	Oliver		Chemistry & Biochemistry
Grant	Pogson		EE Biology
Alan	Christy		History
L.S.	Kim		Film & Digital Media

**EDUCATIONAL POLICY (CEP)**

John	Tamkun	Chair /UCEP rep	MCD Biology
Sean	Keilen		Literature
Mark	Krumholz		Astronomy & Astrophysics
Michael	Chemers		Theater Arts
Michael	Mateas		Computer Science
Mary Beth	Pudup		Community Studies
Heather	Shearer		Writing
Faye	Crosby		Psychology

**EMERITI RELATIONS (CER)**

Roger	Anderson	Chair	Chemistry & Biochemistry
Sue	Carter	<i>ex officio</i> , CFW	Physics
Peter	Kenez		History
TBA			

**FACULTY RESEARCH LECTURE (CFRL)**

JJ	Garcia-Luna-Aceves	Chair	Computer Engineering
Patricia	Zavella		Latin American & Latino Studies
Anjali	Arondekar		Feminist Studies
Steve	Vogt		Astronomy & Astrophysics
Martha	Zúñiga		MCD Biology

**FACULTY WELFARE (CFW)**

Sue	Carter	Chair/UCFW rep	Physics
Roger	Anderson	<i>ex officio</i> , Chair CER	Chemistry & Biochemistry
Noriko	Aso		History
Claire	Max		UCO/Lick Observatory
Benjamin	Read (W&S)		Politics
Andrew	Mathews		Anthropology
Manfred	Warmuth		Computer Science
Adrian	Brasoveanu		Linguistics
David	Cuthbert		Theater Arts



**GRADUATE COUNCIL (GC)**

Ken	Kletzer	Chair/CCGA rep	Economics
John	Bowin		Philosophy
Roberto	Manduchi		Computer Engineering
Jonathan	Fortney		
Dean	Mathiowetz		Politics
Leta	Miller ( <i>F&amp;W</i> )		Music
TBA	( <i>S</i> )		
Pranav	Anand		Linguistics
Elisabeth	Cameron		History of Art & Visual Culture
Stefano	Profumo		Physics
Wang-Chiew	Tan		Computer Science

**INTERNATIONAL EDUCATION (CIE)**

Ben	Crow	Chair/UCIE Rep	Sociology
Arnav	Jhala		Computer Science
Yat	Li		Chemistry & Biochemistry
Rosa-Linda	Fregoso		Latin American & Latino Studies
Tanya	Merchant		Music
Rasmus	Winther		Philosophy

**LIBRARY AND SCHOLARLY COMMUNICATION (COLASC)**

Luca	deAlfaro	Chair/UCOLASC Rep	Computer Science
Donka	Farkas		Linguistics
Anthony	Pratkanis		Psychology
Jennifer	Horne		Film and Digital Media
Howard	Haber		Physics

**PLANNING & BUDGET (CPB)**

Daniel	Friedman	Chair/UCPB Rep	Economics
Loisa	Nygaard		Literature
Don	Brenneis	<i>ex officio</i> , Chair	Anthropology
Bruce	Schumm		Physics
Danilyn	Rutherford		Anthropology
Rick	Prelinger		Film and Digital Media
Ólöf	Einarsdóttir	<i>ex officio</i> , Vice Chair	Chemistry & Biochemistry
Suresh	Lodha		Computer Science
Eric	Porter		History
Abel	Rodriguez	Vice Chair	Applied Math and Statistics
Jin	Zhang		Chemistry & Biochemistry

**PREPARATORY EDUCATION (CPE)**

TBA		Chair/UCOPE Rep	
William	Dunbar		Computer Engineering
Abraham	Stone		Philosophy

**PRIVILEGE & TENURE (P&T)**

Paul	Roth	Chair/UCPT Rep	Philosophy
Nirvikar	Singh		Economics
Norman	Locks		Art
Amy	Lonetree		History
Maureen	Callanan		Psychology
TBA			
Dave	Kliger		Chemistry & Biochemistry

**RESEARCH (COR)**

Judith	Habicht-Mauche	Chair/UCORP Rep	Anthropology
John	Musacchio		Technology & Info Management
Jarmila	Pittermann		Ecology & Evolutionary Biology
Jason	Nielsen		Physics
Brandin	Baron-Nusbaum		Theater Arts
Raquel	Prado		Applied Math & Statistics
Matt	Wagers		Linguistics
Steve	Whittaker		Psychology
David	Marriott		History of Consciousness

**RULES, JURISDICTION & ELECTIONS (RJ&E)**

Nancy	Chen	Chair/UCRJ rep	Anthropology
Dave	Belanger ( <i>F&amp;W</i> )		Physics
Susan	Schwartz		Earth & Planetary Sciences
Roger	Schoenman		Politics
Chris	Connery ( <i>W&amp;S</i> )		Literature
Elliot	Anderson		Art

**TEACHING (COT)**

Judith	Scott	Chair	Education
Viqui	González-Pagani		Languages and Applied Linguistics
Phil	Hammack		Psychology
Matthew	McCarthy		Ocean Sciences
Marc	Matera		History

Respectfully submitted,

**COMMITTEE ON COMMITTEES**

Donald Potts  
Vanita Seth  
Patty Gallagher  
Lynn Walker  
Elizabeth Abrams, Chair

May 9, 2014

**COMMITTEE ON COMMITTEES**  
**Nomination for the UCSC**  
**Dean McHenry Award**  
**for Distinguished Leadership in the Academic Senate**

To: The Academic Senate, Santa Cruz Division

The Santa Cruz Division's Committee on Committees is delighted to nominate Professor Quentin Williams for the Dean McHenry Award for Distinguished Leadership in the Academic Senate. This is UC Santa Cruz's biennial recognition of outstanding Senate leadership. We have simultaneously nominated Professor Williams for the UC systemwide Oliver Johnson Award for Distinguished Leadership in the Academic Senate, also awarded every two years.

Professor Williams exemplifies the qualities targeted by these awards. He is principled, collegial, committed, and a dedicated independent thinker. These are qualities that have repeatedly attracted notice because they underlie his long list of service roles and define the excellence of his service and other work.

Professor Williams has spent his academic career at UC Santa Cruz, first as a lecturer and research scientist and, since 1991, as professor in the Department of Earth Sciences (now the Department of Earth and Planetary Sciences). He has wedged an extraordinary record of service into those two and a half decades: to his department and campus; to his professional field; and - most appositely - to the divisional and systemwide Academic Senate. His Senate service has formed a distinctive pattern: an intensive period immersed in committee work focusing on a particular set of issues (most prominently, graduate and professional education) followed by "meta-service" roles examining and rethinking the processes and best practices governing those issues. This pattern involved Professor Williams in several challenging, sometimes contentious, often overlapping, and always significant examinations of how the University of California conducts its business. His service has been characterized by intelligence, grit, fearlessness and - through it all - wry good humor (he makes Senate service fun). He has made a real difference to how the university operates.

Professor Williams's service begins with his department, which he has chaired since 2011 after serving for many years in a series of intersecting roles, including membership of the curriculum and graduate admissions committees, as search committee member and chair, and as graduate program director. While these may be typical duties for responsible faculty, Professor Williams' record is atypical because of its continuity. The only break in this departmental service record was in 2006 when, as vice-chair of the divisional Senate, Professor Williams was a member of the Senate Executive Committee, member *ex officio* of the Committee on Planning and Budget, and member of the systemwide Academic Planning Council - while simultaneously serving with distinction on three major systemwide committees examining and reevaluating longstanding, often problematic institutional relationships. Both his expertise and well-deserved reputation for leadership make it no surprise that Professor Williams was tapped for these important tasks.

Professor Williams's service to the UC Santa Cruz divisional Senate and the campus included stints on the Faculty Research Lecturer and the Library committees, membership of the WASC Accreditation Committee, and participating as a member of the negotiating team during UAW

talks with the TA union. But his most extensive service consisted of many years on the Graduate Council and the Committee on Research (both of which he chaired), and then as vice-chair and chair of the divisional Senate (followed immediately by becoming department chair). In a ten-year period, he sat on the Senate Advisory and Senate Executive Committees for seven years.

The assiduity of Professor Williams's local service has been matched, if not exceeded, by his systemwide contributions. He has served on Chancellorial review committees, as UCORP member, as chair and vice chair of the Coordinating Committee on Graduate Affairs (CCGA), as member of the Academic Council and the Academic Assembly, and, critically, as member of a series of high profile, high workload, systemwide committees charged with examining and improving existing practices. Several of these grew directly from his work on UCORP, the Graduate Council, and CCGA. Service on a review committee examining and recommending reform to the California Space Institute appropriations, a challenging and politically delicate task, led to two related, and possibly even more demanding assignments: service on the Working Group on Multi-Campus Research Units to reevaluate longstanding research and financial commitments made by the system; and service on the Task Force on Planning for Doctoral and Professional Education (PDPE), which examined the handling of doctoral and professional degrees at UC and CSU. All three of these committees required both sharp discernment and a willingness to jump into the fray (he has a well-deserved reputation for both). Professor Williams also served on a Task Force on Review Procedures for UC Chancellors, and on the Senate Administration Advisory Workgroup on Required Training, which produced guidelines for establishing which online trainings should be required and which could be optional - a challenging assignment due to cultural differences among the administrative and academic representatives in the group. He also served on the UC Provost's Academic Planning Council, especially focusing on graduate education. Professor Williams accomplished all of this while, simultaneously conducting serious professional service within his discipline, having been elected by 52 member institutions to serve as Chair of the Executive Committee of the NSF Consortium of Materials Properties Research in the Earth Sciences (COMPRES).

Quentin Williams's gift for leadership has been matched only by his generosity and willingness to use that gift selflessly for the benefit of his colleagues and his institution. The UC Santa Cruz Academic Senate, and the entire UC system, have benefitted immensely. In recognition of his years of service - and in hopes that he will continue to serve this community as generously in the future - we are delighted to honor his excellent service by awarding him UCSC's Dean McHenry Award for Distinguished Leadership in the Academic Senate.

Respectfully submitted,

**COMMITTEE ON COMMITTEES**

Donald Potts  
Vanita Seth  
Patty Gallagher  
Lynn Walker  
Elizabeth Abrams, Chair

May 9, 2014

## **Resolution to Create a Special Committee on Development and Fundraising**

To: The Academic Senate, Santa Cruz Division

The Senate Executive Committee (SEC) believes that the success of UCSC's comprehensive campaign in meeting its fundraising goal of \$300M is related to the degree of faculty participation in development activities. From the work of various committees represented on SEC we have come to understand that the new budgetary model for UC is being "state assisted, rather than supported." Each campus will be responsible for generating a greater portion of its budget. The revenue that comes from fundraising and philanthropy is thus intrinsic to the UCSC's ability to foster and maintain excellence in teaching and research.

George Blumenthal has been careful during his tenure as Chancellor to create a viable fundraising enterprise for UCSC and the infrastructure is now in place to work with donors, foundations, industry and philanthropists to accomplish our fundraising goals. SEC recognizes the crucial role that faculty play in development activities, but we also note that there is no Senate structure to assist the administration with this essential task. Faculty input is indispensable but the Senate has not yet taken explicit responsibility for advising the administration on our fundraising endeavors. With the arrival of our new Vice Chancellor of University Relations, this is an important moment for the Senate to acknowledge this crucial role for faculty and step up to engage the administration in the most open, accessible way. To that end, SEC proposes a Special Committee on Fundraising and Development for a duration of three years. The Santa Cruz Divisional bylaws state that "No Special Committees shall be established to perform any duty assigned by these Bylaws to a Standing Committee." We have confirmed with Committee on Committees and Rules, Jurisdiction and Elections that this is the case. COC endorses establishing a special committee and, as is COC's usual practice, they will endeavor to get representation from all five divisions.

The Committee will be established September 1, 2014 and convene through June 30, 2017. The Senate will then review the committee in its final year for possible continuation.

Therefore it be resolved that the Senate shall form:

### **Special Committee on Development and Fundraising**

**There are six Santa Cruz Division members, plus the Chair of the Academic Senate *ex officio*. The Vice Chancellor University Relations is invited to sit with the committee. The Committee advises the Chancellor and VCUR on priorities, policies and strategies related to fundraising and development. The Committee serves as resource for the VCUR to engage and enroll faculty in fundraising and development efforts. The Committee will report annually to the Senate.**

Respectfully submitted,

**SENATE EXECUTIVE COMMITTEE**

Don Brenneis  
Donald Potts  
Joel Ferguson  
Elizabeth Abrams  
Barry Bowman  
June Gordon  
Joe Konopelski, Chair

Tracy Larrabee  
Kimberly Lau  
Gina Dent  
Judith Habicht-Mauche  
Christina Ravelo  
Bruce Schumm  
Dan Friedman

April 16, 2014

**SENATE EXECUTIVE COMMITTEE**  
**Amendments to Senate Manual Chapter 4 – Officers**  
**Amendments to Senate Manual Chapter 5 – Executive Office**

To: The Academic Senate, Santa Cruz Division

In 2007, the systemwide bylaws were revised to reflect the Senate Director’s role as a non-Senate officer. Since then, several divisions of the Academic Senate have updated their manuals in conformance with those changes. The Senate Executive Committee proposes these revisions to reflect the administrative and analytical support required by the Senate with more accurate and updated language (e.g. elimination of “clerical assistance”). The proposed changes reflect current, long standing practices. These changes also clarify the responsibilities for appointing and supervising the Executive Director. The amendment further updates the duties of the Vice Chair by adding *ex officio* membership on the Committee on Planning and Budget (CPB), a change which was instituted in 2001 by a bylaw change to CPB’s charge.

**Current wording**

**Proposed wording**

<b>Chapter 4. Officers</b>	<b>Chapter 4. Officers</b>
<p><b>4.1 Chair.</b>                      A Chair of the Santa Cruz Division is appointed by the Committee on Committees for a term of two years. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Chair to fill the remainder of the term; the Committee on Committees may then extend this appointment for an additional year. The Chair presides at meetings of the Santa Cruz Division and serves <i>ex officio</i> as a member of the Assembly of the Academic Senate, the Academic Council of the Assembly, and the Divisional Committee on Planning and Budget. The Chair maintains effective coordination between the Santa Cruz Division and the Santa Cruz Administration, the Santa Cruz Division and its committees, and between Divisional committees. The Chair may participate in a non-voting capacity in the deliberations of any committee of the Division unless the matter under consideration is not to be reported directly to the Division. The Chair</p>	<p><b>4.1 Chair.</b>                      A Chair of the Santa Cruz Division is appointed by the Committee on Committees for a term of two years. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Chair to fill the remainder of the term; the Committee on Committees may then extend this appointment for an additional year. The Chair presides at meetings of the Santa Cruz Division and serves <i>ex officio</i> as a member of the Assembly of the Academic Senate, the Academic Council of the Assembly, and the Divisional Committee on Planning and Budget. The Chair maintains effective coordination between the Santa Cruz Division and the Santa Cruz Administration, the Santa Cruz Division and its committees, and between Divisional committees. The Chair may participate in a non-voting capacity in the deliberations of any committee of the Division unless the matter under consideration is not to be reported directly to the Division. The Chair</p>

may refer matters to committees of the Division. The Chair of the Division submits an annual budget request to the Chancellor of the University of California, Santa Cruz, for the work of the Division, its committees, and the office of the Division. The Chair of the Division determines initially what legislation is solely of Divisional concern. Such decision may be appealed to the Division.

#### **4.2 Vice Chair.**

A Vice Chair of the Santa Cruz Division shall be appointed by the Committee on Committees for a term of one year, and serves as a Divisional Representative to the Assembly of the Academic Senate. Should the office become vacant before the completion of a term, the Committee on Committees shall appoint a Vice Chair to fill the remainder of the term. The Vice Chair shall carry out all of the duties of the Chair in the absence or incapacity of the Chair, or such duties as are delegated by the Chair.

#### **4.3 Secretary.**

A Secretary of the Santa Cruz Division is appointed for a term of two years by the Committee on Committees. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Secretary to fill the remainder of the term. The Secretary prepares the Call for meetings of the Division; in the absence of the Chair and Vice Chair, calls the meeting to order and presides for the purpose of electing a Chair *pro tempore* for that meeting; keeps minutes of its proceedings; transmits actions by the Division to the members of the Divisional committees concerned, to officers and agencies of the Academic Senate, and to administrative officers; keeps for reference a permanent file of all Calls and notices of meetings of the Assembly of the Academic Senate, together

may refer matters to committees of the Division. ~~The Chair of the Division submits an annual budget request to the Chancellor of the University of California, Santa Cruz, for the work of the Division, its committees, and the office of the Division.~~ The Chair of the Division determines initially what legislation is solely of Divisional concern. Such decision may be appealed to the Division.

#### **4.2 Vice Chair.**

A Vice Chair of the Santa Cruz Division shall be appointed by the Committee on Committees for a term of one year, and serves as a Divisional Representative to the Assembly of the Academic Senate. Should the office become vacant before the completion of a term, the Committee on Committees shall appoint a Vice Chair to fill the remainder of the term. The Vice Chair shall carry out all of the duties of the Chair in the absence or incapacity of the Chair, or such duties as are delegated by the Chair. **The Vice Chair serves *ex officio* as a member of the Committee on Planning and Budget.**

#### **4.3 Secretary.**

A Secretary of the Santa Cruz Division is appointed for a term of two years by the Committee on Committees. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Secretary to fill the remainder of the term. The Secretary prepares the Call for meetings of the Division; in the absence of the Chair and Vice Chair, calls the meeting to order and presides for the purpose of electing a Chair *pro tempore* for that meeting; keeps minutes of its proceedings; transmits actions by the Division to the members of the Divisional committees concerned, to officers and agencies of the Academic Senate, and to administrative officers; keeps for reference a permanent file of all Calls and notices of meetings of the Assembly of the Academic Senate, together



with any appended material; determines the membership of the Division; refers to appropriate committees all petitions of students or other materials received for presentation to the Division; conducts all elections and all mail balloting in the Santa Cruz Division, under the supervision of the Committee on Rules, Jurisdiction, and Elections, and if there is a tie vote for the last place to be filled, the Secretary conducts a selection by lot; serves as an alternate to Assembly meetings if the Chair or Vice-Chair, or a further Divisional representative, cannot attend; and under the general supervision of the Chair, the Executive Office of the Santa Cruz Division is under the administrative direction of the Secretary. The Secretary serves on the Executive Committee.

**4.4 Parliamentarian.**

The Parliamentarian is appointed by the Committee on Committees for a term of one year. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Parliamentarian to fill the remainder of the term. The Parliamentarian advises the Chair on procedural matters during meetings of the Division.

with any appended material; determines the membership of the Division; refers to appropriate committees all petitions of students or other materials received for presentation to the Division; conducts all elections and all mail balloting in the Santa Cruz Division, under the supervision of the Committee on Rules, Jurisdiction, and Elections, and if there is a tie vote for the last place to be filled, the Secretary conducts a selection by lot; serves as an alternate to Assembly meetings if the Chair or Vice-Chair, or a further Divisional representative, cannot attend. ~~and under the general supervision of the Chair, the Executive Office of the Santa Cruz Division is under the administrative direction of the Secretary.~~ The Secretary serves on the Executive Committee.

**4.4 Parliamentarian.**

The Parliamentarian is appointed by the Committee on Committees for a term of one year. Should the office become vacant before the completion of a term, the Committee on Committees appoints a Parliamentarian to fill the remainder of the term. The Parliamentarian advises the Chair on procedural matters during meetings of the Division.

**4.5 Executive Director.**

**Upon recommendation of the Senate Executive Committee and in accordance with applicable campus policies and procedures, the Chair of the Santa Cruz Division shall appoint an Executive Director of the Santa Cruz Division. The Executive Director shall report to and receive general direction from the Chair of the Santa Cruz Division.**

**The Executive Director, as a non-Senate officer of the Academic Senate, among other duties, shall serve as chief of staff for the Academic Senate and as policy advisor to the officers of the Division.**

**4.5.1 Representation on the Assembly of the Academic Senate and the Academic Council.**

The Chair of the Santa Cruz Division serves *ex officio* as a member of the Assembly and the Academic Council. The Vice Chair serves *ex officio* as a member of the Assembly. Any other Divisional Representatives to the Assembly are appointed by the Committee on Committees for a term of two years [or, upon vacancy, for the remaining portion of a term.]

**4.5.2 Alternates.**

If the Chair cannot attend a meeting of the Academic Council, the Vice-Chair of the Santa Cruz Division acts as proxy. If the Vice-Chair cannot serve, the Committee on Committees shall designate a replacement for the meeting[s].

If the Chair or Vice-Chair, or a further Divisional representative, cannot attend a meeting of the Assembly, the Secretary of the Santa Cruz Division shall act as an alternate. If a further alternate is required, the Committee on Committees shall designate a replacement for the meeting[s].

**4.6 Beginning of Term of Office.**

All officers specified under Chapter 4 of these Bylaws are chosen by election or appointed in time to be confirmed at the spring Divisional meeting. Terms of office of all officers normally begin on September 1 following their selection.

**4.7 Inspection of Records.**

All records of the Santa Cruz Division are open for inspection by any member of the Division except those concerning appointments, privilege and tenure, promotions, and salaries of, and research grants to, individuals or prospective employees of the University.

**4.56.1 Representation on the Assembly of the Academic Senate and the Academic Council.**

The Chair of the Santa Cruz Division serves *ex officio* as a member of the Assembly and the Academic Council. The Vice Chair serves *ex officio* as a member of the Assembly. Any other Divisional Representatives to the Assembly are appointed by the Committee on Committees for a term of two years [or, upon vacancy, for the remaining portion of a term.]

**4.56.2 Alternates.**

If the Chair cannot attend a meeting of the Academic Council, the Vice-Chair of the Santa Cruz Division acts as proxy. If the Vice-Chair cannot serve, the Committee on Committees shall designate a replacement for the meeting[s].

If the Chair or Vice-Chair, or a further Divisional representative, cannot attend a meeting of the Assembly, the Secretary of the Santa Cruz Division shall act as an alternate. If a further alternate is required, the Committee on Committees shall designate a replacement for the meeting[s].

**4.67 Beginning of Term of Office.**

All Senate officers specified under Chapter 4 of these Bylaws are chosen by election or appointed in time to be confirmed at the spring Divisional meeting. Terms of office of all Senate officers normally begin on September 1 following their selection.

**4.78 Inspection of Records.**

All records of the Santa Cruz Division are open for inspection by any member of the Division except those concerning appointments, privilege and tenure, promotions, and salaries of, and research grants to, individuals or prospective employees of the University.

<p><b>Chapter 5. Executive Office</b></p> <p><b>5.1</b> The Executive Office is under the general supervision of the Chair of the Santa Cruz Division and the administrative direction of the Secretary of the Santa Cruz Division. It is staffed with such administrative and clerical employees as are required to serve the Division and its committees.</p>	<p><b>Chapter 5. Executive Office</b></p> <p><del><b>5.1</b> The Executive Office is under the general supervision of the Chair of the Santa Cruz Division and the administrative direction of the Secretary of the Santa Cruz Division. It is staffed with such administrative and clerical employees as are required to serve the Division and its committees.</del></p> <p><b><u>5.1 Organization: The Executive Office of the Santa Cruz Division provides professional, analytical, and administrative support; guidance; coordination; communication; and assistance in matters concerning members of the Division and associated UCSC Faculty. The office is managed by the Executive Director with the following duties.</u></b></p> <ul style="list-style-type: none"><li>• <b><u>To maintain a depository of all records of the Division.</u></b></li><li>• <b><u>To provide professional support in the form of analytical, research, policy review, and administrative services as required by the Officers and committees of the Division.</u></b></li><li>• <b><u>To maintain complete files (electronic or paper) of minutes, reports, and agendas of all Divisional committees.</u></b></li><li>• <b><u>To maintain on file the current membership of the Division, the current Academic Senate committee service of each member of the Division, and the current roster of all committees of the Academic Senate.</u></b></li><li>• <b><u>To submit an annual budget request to the Chancellor to support the work of the Division, its committees and the office of the Division.</u></b></li><li>• <b><u>To function as staff analyst for the</u></b></li></ul>
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	<p><b><u>Senate Executive Committee.</u></b></p> <ul style="list-style-type: none"><li>• <b><u>To coordinate, administer, and manage, all grant funds distributed through the Division and its committees.</u></b></li><li>• <b><u>To act as representative to the system wide Senate Directors Group.</u></b></li><li>• <b><u>To provide assistance and guidance and to facilitate communication among Division Officers, committees of the Division, and system wide Committees and staff.</u></b></li><li>• <b><u>To coordinate all Divisional electronic nomination, calls for service, voting, and polling activities.</u></b></li></ul>
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Respectfully submitted,

**SENATE EXECUTIVE COMMITTEE**

Elizabeth Abrams  
Don Brenneis  
Barry Bowman  
Gina Dent  
Joel Ferguson  
Dan Friedman  
June Gordon

Judith Habicht-Mauche  
Tracy Larrabee  
Kimberly Lau  
Donald Potts  
Christina Ravelo  
Bruce Schumm  
Joseph Konopelski, Chair

April 29, 2014

**COMMITTEE ON FACULTY WELFARE**  
**Report on Childcare, Retirement, and Online Education**

To: The Academic Senate, Santa Cruz Division

As the 2013-14 academic year comes to an end, the Committee on Faculty Welfare (CFW) would like to report on three important topics that will affect the future welfare of the faculty: Childcare, Retirement Benefits, and Online Education.

**Childcare**

As a significant indication of support, in 2012, EVC Alison Galloway allocated \$150,000 a year of central campus funds for up to five years, retroactive to 2010-11, to develop childcare services for faculty and staff. In the event that these funds are not utilized by 2015-16, CFW urges that the existing pool of funds remain intact and that they continue to be augmented through and following 2016.

Various members of the campus community have been active during this time period to make faculty and staff childcare a concrete reality. For example, in 2011-2012, a campus group investigated the option recommended by the Childcare Task Force Report (2011) of an arrangement with a third party vendor at an off-site facility. The particular facility under review was deemed unsuitable for a number of reasons. Although the third-party option has continued to be investigated, a recent survey of other UC childcare facilities indicated that such arrangements can have drawbacks, particularly in terms of affordability for faculty and staff. Most significantly, in 2013-14, a committee operating under a charge from Business and Administration Services developed a feasibility study and sustainable business model for faculty and staff childcare. This committee worked through the summer and fall to develop a fiscally responsible, academically sound, and closely vetted proposal for a pre-K program for faculty and staff children. Committee members included a range of figures from UCSC and the Santa Cruz community, who contributed their expertise on early education, facility renovation, licensing, budgeting, and other key issues. Their collaboration produced a detailed proposal to CP/EVC Galloway that CFW urges be given serious consideration.

Childcare for faculty and staff has long been acknowledged to be a pressing need at UCSC. Campus childcare is all the more critical at present with the increase in faculty hires, given the important role it could play in the recruitment and retention of both faculty and staff.

**Retirement Benefits**

The status of our retirement funds is perhaps best described as no longer in crisis, but very vulnerable to future political and economic shocks. The faculty group that closely monitors these funds is the University Committee on Faculty Welfare (UCFW) Task Force on Investment and

Retirement (TFIR). The University of California Retirement Plan (UCRP) fund has approximately 80% of the money needed to pay current and future retirees. The deficit is currently twelve billion dollars. On July 1, 2014, the employee contribution to UCRP will rise to 8% of salary, and the UC contribution as employer will be 14%. If UCRP were fully funded the total contribution (employee + employer) would only be 17%. “Extra” money is being put into UCRP to help pay down the deficit. Unfortunately, 8% + 14% is not sufficient to shrink the twelve billion dollar deficit, and it will continue to grow.

TFIR has two major concerns about the status of UCRP. First, a future decline in the economy could cause another significant drop in UCRP funds and this in turn could lead to a significant reduction in retirement benefits. Second, the fact that the deficit continues to grow means that the university and employees will continue to pay extra dollars for decades into the future.

TFIR is proposing to partially shrink the UCRP deficit by borrowing money from the UC’s own short-term investment funds. One scenario is to borrow \$1.9 billion over two years, and then pay back the university, with interest, over the next 10 years. A detailed proposal was presented to the UC Academic Senate Council on April 30, 2014. Further information will be provided in an oral report at the May 21, 2014 UCSC Senate meeting.

### **Online Education**

Last year, CFW raised several questions regarding online education including the effectiveness of Massive Open Online Courses (MOOCs), and the administration’s goals for online education.<sup>1</sup> Interest was triggered by the campus agreement with Coursera that was signed during the 2012-13 academic year, and the growing faculty interest for adding components of online education to course curriculum. This year, CFW held several consultations with administrators and faculty creators of online courses to discuss hybrid courses, UCOP-initiated online courses (Innovative Learning Technology Initiative), and Coursera courses. The goal of these consultations was to assess how courses are likely to change in the next few years due to new technologies and to anticipate changes in pedagogy that may transform the nature of our work as professors.

Hybrid courses combine online technologies with traditional modes of teaching. Online tools may be used as a textbook, and/or lectures may be offered online in order to open up class time for active learning activities and discussions. Using these tools is purely voluntary and may make pedagogical sense for one class but not for another. Hybrid courses may cater to a variety of student modes of learning. Several faculty are already effectively using online technology in the classroom. Resources for faculty interested in utilizing some of these tools may be made available in the future (see campus ILTI allocation below).

Last year, UC Santa Cruz signed a contract with Coursera to develop several Massive Open Online Courses (MOOCs). To date, UCSC has offered two Coursera courses and a third is in production (<https://www.coursera.org/ucsc>). This year, there has been some reassessment of the efficacy of

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<sup>1</sup> Committee on Faculty Welfare, Report on Retirement and Online Education, May 17, 2013

MOOCs. Coursera may be an avenue to make courses more available and may yet prove to be a good recruiting tool for the campus. However, in consultation with VPAA Herbie Lee on April 17, 2014, CFW learned that MOOCs are not a focus for core education and are not a central component to campus strategy in the immediate future.

UCSC courses in Calculus (Math 19A, B) are currently being offered, and other courses are in development through the UC Office of the President’s Innovative Learning Technology Initiative (ILTI). ILTI courses are meant to facilitate cross campus enrollments. The agreements for the courses are usually made between the Office of the President and the offering department. The goal was to have 1,000 cross-campus enrollments. In winter 2014, there were roughly 20 off-campus enrollments in UCSC courses. Some campuses have had more cross campus enrollments than others.

To further address the issue of pedagogy, CFW was charged by Senate Chair Konopelski to host a Senate Summit on Pedagogy and Inline Education (“inline” being “tools that are used in the classroom”). Chairs and representatives from the committees on Faculty Welfare (CFW), Teaching (COT), Educational Policy (CEP), and Computing and Telecommunications (CCT), met on January 31, 2014, to discuss how pedagogy is changing due to the new tools that faculty are able to utilize in the classroom. Attendees determined that new methods of teaching may require that the following issues be addressed:

1. Intellectual property – Who “owns” a course?
2. Workload – How are new types of courses “counted”?
3. Compensation for additional teaching – What is the definition of additional teaching?
4. Financing, both for course creation and incoming profits from multiple online course programs – What agreements has the administration made with departments and programs with respect to sharing any profits resulting from online and hybrid courses?
5. Privacy Issue for Students – Data collection concerns.

CFW has since found that steps to address some of these issues are already being made. For instance, a draft campus Online Education Course Agreement for ILTI courses, which aims to address questions of intellectual property, was recently circulated to both the Senate and the Faculty Association for comment. Further, ILTI plans to allocate \$100K per campus to support the development of online courses. These funds could be used to assist faculty with online course design, and perhaps provide resources and staff FTE for faculty who are interested in using online education tools in the classroom. Vice Provost for Academic Affairs, Herbie Lee, has been charged with leading online education on our campus and is currently working on a plan for the use of these funds.

Overall, online education and new technologies are opening up a new world of teaching tools for faculty. CFW looks to the faculty and administration to keep pedagogical integrity, faculty livelihood, and quality education at the forefront as online education continues to develop.

Respectfully submitted,

**COMMITTEE ON FACULTY WELFARE**

Noriko Aso  
Samit Dasgupta  
Donna Hunter  
Michael Isaacson  
Sean Keilen  
Benjamin Read  
Roger Anderson, *ex officio*  
Barry Bowman, Chair

May 9, 2014



## COMMITTEE ON RESEARCH Report on Campus Use of University Opportunity Funds

To: The Academic Senate, Santa Cruz Division

In 2013-14, the Committee on Research (COR) undertook a review of the distribution of Indirect Cost Receipt (ICR) revenue at UCSC, and, in particular, the University Opportunity Fund (UOF). Following up on the recommendations and concerns expressed in last year’s COR report to the Senate (AS/SCP/1725), our inquiry was intended as a push for greater transparency, cooperation, and meaningful campus-wide discussion about the availability and most effective use of internal research support.

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 Federal contracts and grants. 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. Currently, 36% of the incremental change in Federal ICR is used to support opportunity funding. Within this funding pool, 40% goes to the academic divisions according to the ICR generated, 40% is held centrally, 15% is distributed to the Office of Research (OR), and 5% goes to COR to fund the faculty research grant and travel fund programs (Figure 1).

### Distribution of Overhead *illustration*

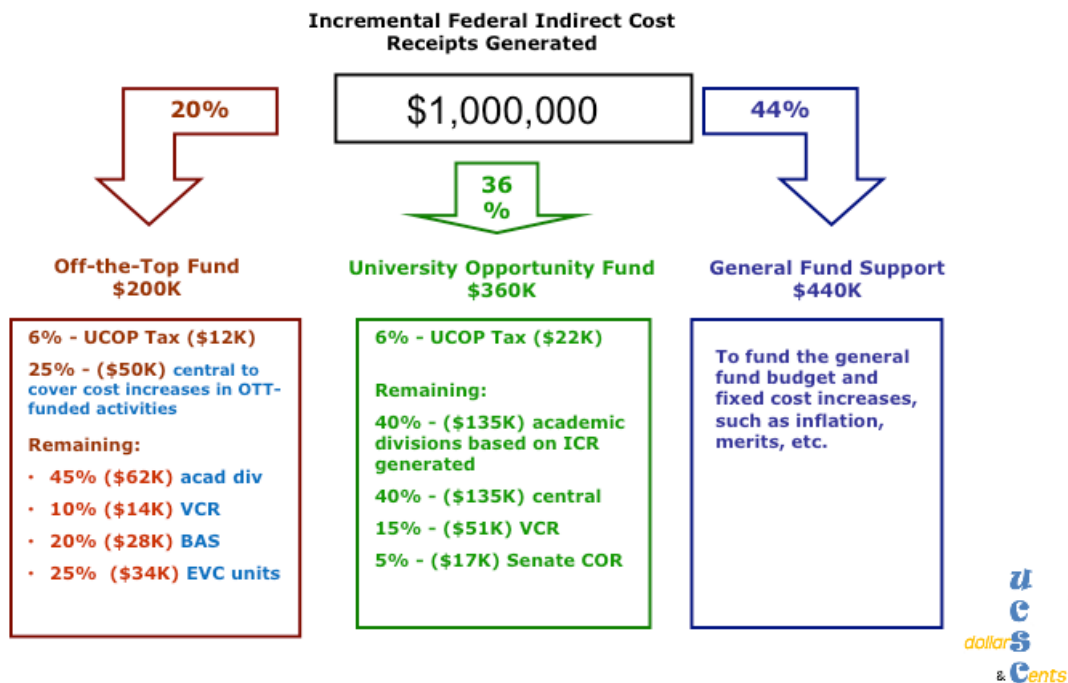


Figure 1: Illustration of distributional model for allocating incremental Federal Indirect Cost Receipt (ICR) revenues.

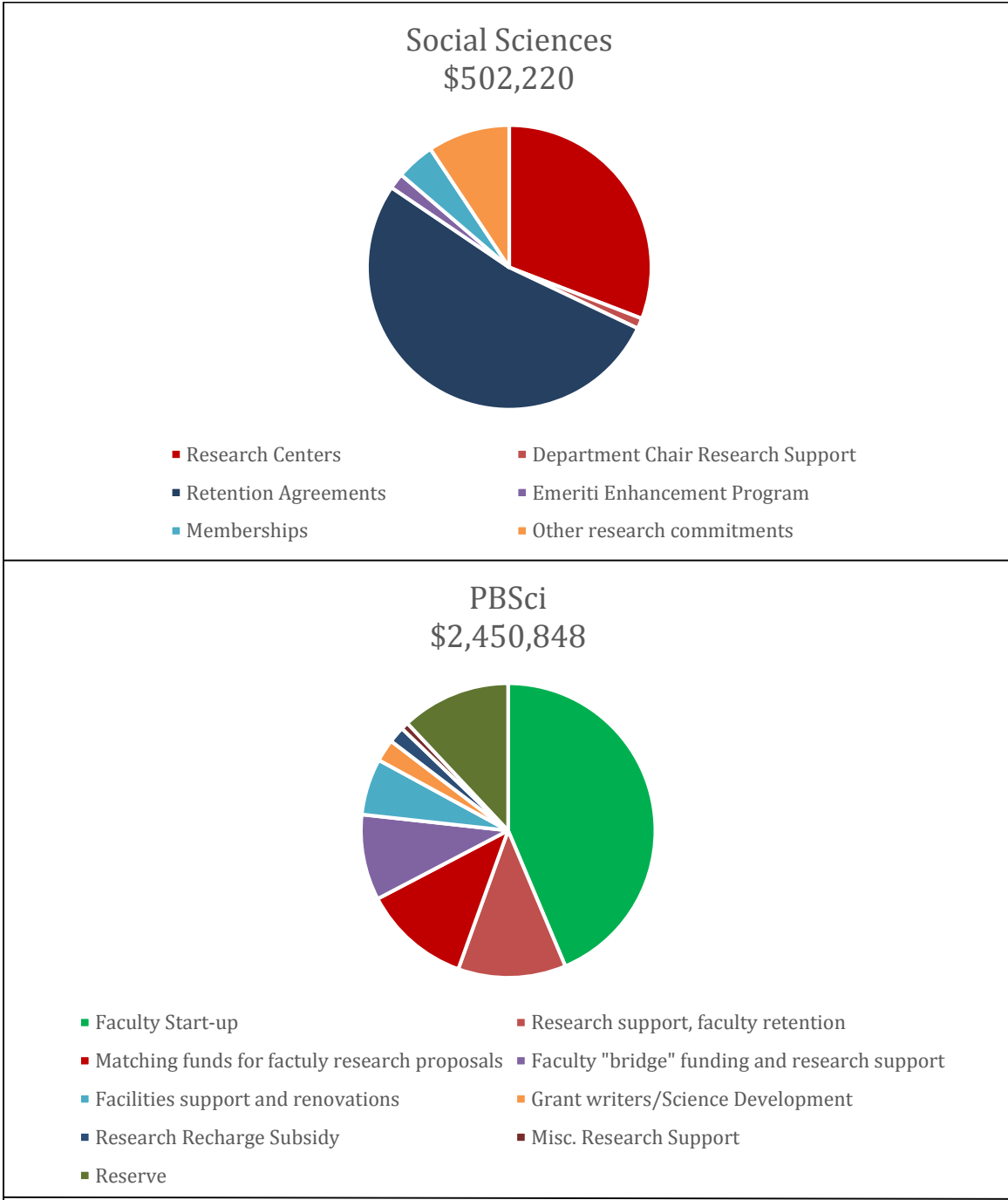
As noted by COR in its previous report, the distribution of the University Opportunity Fund (UOF) has never undergone Senate review and the rationale for the current 40/40/15/5 split has never been articulated. In addition, how these funds are used has not been transparent. COR use of opportunity funds appears in the committee’s annual report. However, summaries of how the Office of Research or the Divisions utilize their allocations of UOF are not publically available. Since support for faculty research is increasingly scarce, it is time to be confident that collectively as a campus we are making optimal use of our UOF. Also, since UOF, like other ICR revenues, come to campus as a result of the efforts of our most successful and productive research faculty, those of us who use these funds need to be publicly accountable to the faculty that generate them.

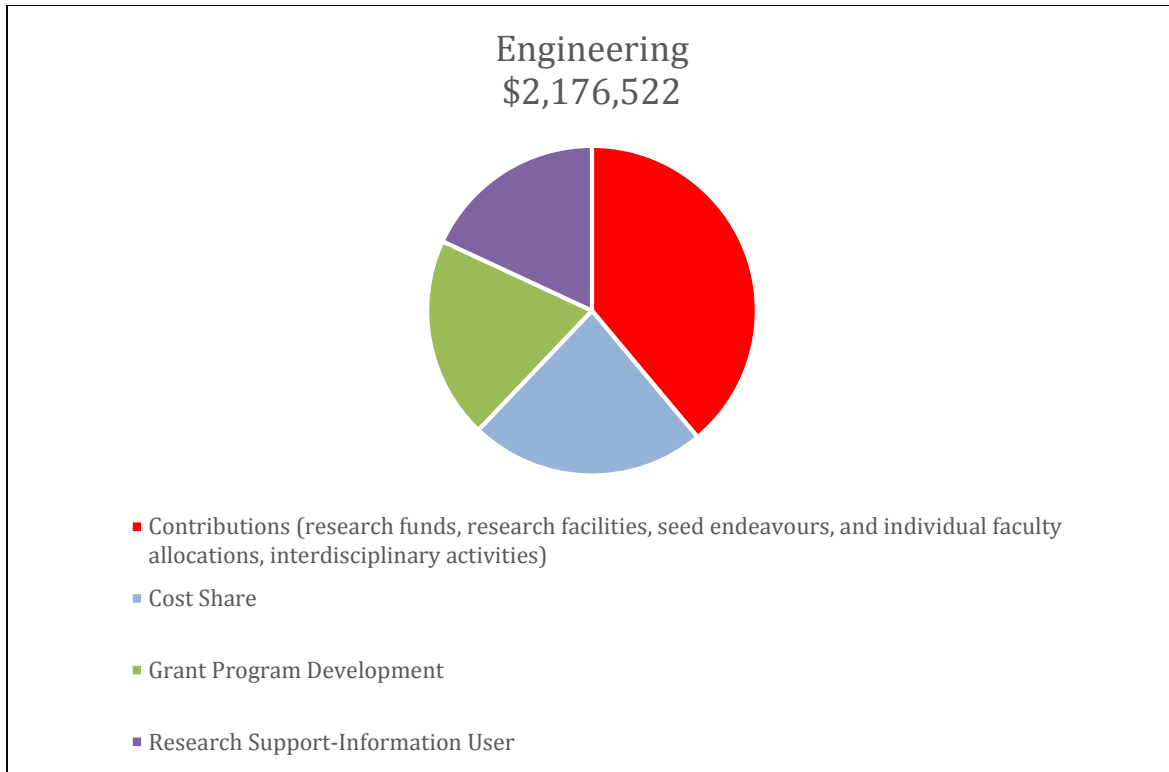
After consultation with COR in Spring 2013, EVC Alison Galloway, in a letter dated August 15, 2013, provided a detailed summary of allocations of research funding by the Office of Research for fiscal year 2012-13. In Fall 2013, COR requested detailed 5-year information on the use of UOF from the Deans of the four Academic Divisions and the Baskin School of Engineering. COR received substantive and informative responses to our request from all of the deans (Table 1; Figure 2). However, the enormous disparity in the scale of UOF allocations to each division and non-standardized allocation practices make it extremely difficult to present a simple, unified summary of divisional use of UOF. We continue to work through these data and plan to include a more detailed summary analysis in our annual report. In the future, COR intends to work with OR, the Divisions and BSOE to develop a more standardized reporting system for UOF that can be made publicly available annually.

Table 1: Summary of UOF Allocations to Divisions for 2008-2013.

	2008-09	2009-10	2010-11	2011-12	2012-13
Arts	\$463	\$243	\$6,232	\$7,808	\$2,383
Humanities		\$1,003	\$3,741	\$3,480	\$2,032
Soc Sci	\$67,482	\$50,194	\$88,537	\$104,749	\$112,701
PB Sci	\$647,207	\$724,845	\$788,191	\$1,167,913	\$924,345
BSOE	\$187,863	\$389,934	\$649,773	\$354,599	\$594,392

Figure 2: Use of UOF by SocSci, PBSci and BSOE, cumulative 2008-2013





COR's initial review and analysis of the information provided by OR, the Divisions and BSOE reinforced our initial assumption that all recipients of UOF use these funds to positively enhance the research enterprise of the university. In this report, COR highlights what we found to be some of the most successful and potentially impactful uses of UOF, raise questions about other uses, and begin a campus-wide dialog for developing a set of shared principles and practices. In general, COR favors uses of UOF that enhance the overall research environment and infrastructure of the university, that (while based on competition and merit) provide equality of opportunity and equity of access, that most effectively leverage internal funds to successfully yield external resources, that support junior faculty early in their research careers, that provide bridge and seed funding, and that support impactful research in areas, such as the Arts and Humanities, where external funding is traditionally scarce. Below we outline some issues that came up in our review of UOF that we think are worthy of further thought and discussion.

Centralized versus Distributed Allocation Practices:

In general, COR favors strategies for allocation of UOF that distribute funds directly to faculty researchers or to those administrative units with which faculty researchers interact most directly, such as departments. Given this principle, COR would like to highlight Physical & Biological Sciences' (PBSci) practice of returning 40% of its annual UOF allocation to Departments based on the percentage of ICR generated. Several COR members also strongly support the development of divisional incentive programs that reward faculty who generate ICR. On the other hand, COR also appreciates that in units which receive substantially less UOF revenue these funds may be most effectively deployed to sustain more centralized research support activities, such as the multi-campus

Institute for Humanities Research, in the case of the Humanities Division, or to fund a staff grant writer, in the case of the Arts Division.

Graduate Support:

Given the campus' current focus on graduate growth, use of UOF allocations to support GSR positions should be given high priority. COR notes in this regard the GSR Seed Grant Incentive Program in BSOE, funded by more than \$500,000 in carry-forward UOF allocations and augmented by additional funding from the Graduate Division. In addition to supporting 12 GSR positions, this program provides seed funding for faculty researchers, enhancing their ability to pursue external ICR generating grants. COR encourages OR and the other divisions to consider similar competitive programs to support GSRs, even if at a smaller scale.

Matching (Cost Sharing) and Discretionary Funds:

The Office of Research and most divisions reported using UOF as a source of matching (cost sharing) funds and for the discretionary support of unique research opportunities. While COR recognizes these uses as completely appropriate, we are somewhat concerned about the lack of widely distributed information on how these funds are distributed between the divisions and OR, with a lack of clarity on procedures for requesting such funds. The development of collective, campus-wide priorities for the use of these very limited and dispersed funds may also be appropriate.

Information User Assessment:

BSOE reports allocating 18% of its UOF allocation to cover the campus Information User assessment for research personnel (GSRs and postdocs). However, funding for this assessment is built into the rationale for the current campus allocation of "Off-The-Top" ICR funds to the divisions (See EVC Galloway to Deans, et al. September 4, 2012). Thus, COR does not consider this to be an effective or appropriate use of UOF.

Faculty Retention:

PBSci reports using 12% of its most recent 5-year UOF allocation for research support for faculty retention, while Social Sciences (SocSci) reports using 52% of its 2008-2013 UOF allocation for retention agreements (see Figure 2). While COR recognizes the importance of faculty retention and the positive impact that such retentions can have on maintaining the research profile of the university, we were somewhat surprised that such a considerable proportion of UOF revenues across these two divisions were going to support a small number of individual faculty retention cases (6 in PBSci and 6 in SocSci). Clearly some of this funding is being used to enhance the overall research environment and infrastructure of the university, to support graduate students, and to seed new and potentially productive research efforts. However, COR remains concerned that using UOF to support retentions dramatically decreases the amount of campus funding available to support a broader range of faculty research opportunities in more transparent, openly competitive, and equitable ways. That said, we do appreciate the limited options available to deans in these situations. COR believes that this is an issue that requires more campus-wide discussion.

In sum, COR looks forward to working collaboratively with the Office of Research, the Academic Divisions and the Baskin School of Engineering to develop broad campus priorities for the use of UOF, to provide more informational material to faculty on how these funds are distributed and how to access them in support of their research, and on coordinating our funding efforts in ways that best leverage these limited, but extremely impactful campus resources.

Respectfully Submitted,

**COMMITTEE ON RESEARCH**

Pranav Anand  
Sharon Daniel  
Yat Li  
Jason Nielsen  
Paul Roth  
Steve Whittaker  
Fitnat Yildiz  
Judith Habicht Mauche, Chair

February 9, 2014