

Meeting Call for Regular Meeting of the Santa Cruz Division  
**Friday, November 7, 2014 at 2:30 p.m.**  
**Colleges Nine and Ten Multipurpose Room**  
ORDER OF BUSINESS

1. Approval of Draft Minutes
  - a. Draft Minutes of May 21, 2014 (AS/SCM/308) p. iv
  
2. Announcements
  - a. Chair Brenneis
  - b. Chancellor Blumenthal
  - c. 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 Academic Freedom (AS/SCP/1757) p. 1
  - b. Committee on Admissions and Financial Aid (AS/SCP/1758) p. 5
  - c. Committee on Affirmative Action and Diversity (AS/SCP/1759) p. 14
  - d. Committee on Computing and Telecommunications (AS/SCP/1760) p. 20
  - e. Committee on Educational Policy (AS/SCP/1761) p. 26
  - f. Committee on Emeriti Relations (AS/SCP/1762) p. 33
  - g. Committee on Faculty Welfare (AS/SCP/1763) p. 35
  - h. Committee on International Education (AS/SCP/1764) p. 42
  - i. Committee on Library and Scholarly Communication (AS/SCP/1774) p. 47
  - j. Committee on Planning and Budget (AS/SCP/1765) p. 50
  - k. Committee on Preparatory Education (AS/SCP/1766) p. 57
  - l. Committee on Privilege and Tenure (AS/SCP/1767) p. 60
  - m. Committee on Research (AS/SCP/1768) p. 63
  - n. Committee on Rules, Jurisdiction, and Elections (AS/SCP/1769) p. 77
  - o. Committee on Teaching (AS/SCP/1771) p. 78
  - p. Graduate Council (AS/SCP/1770) p. 81
  
5. Reports of Special Committees (none)
  
6. Reports of Standing Committees
  - a. Senate Executive Committee
    - i. Guiding Principles for Graduate Growth (AS/SCP/1772) p. 88
  - b. Committee on Teaching
    - i. Reinvesting in Teaching at UCSC (AS/SCP/1773) p. 92
  
7. Report of the Student Union Assembly Chair
8. Report of the Graduate Student Association President

9. Petitions of Students (none)
10. Unfinished Business (none)
11. University and Faculty Welfare
12. New Business

October 30, 2014

Academic Senate  
Santa Cruz Division

Dear Colleagues,

I am writing to encourage you to join us for the first meeting of the Academic Senate, which will be held on Friday, November 7, 2014, from 2:30-5 p.m. at the Colleges 9&10 Multipurpose Room. It will be followed by a reception hosted by the Chancellor and the Senate. The agenda may be viewed at:

[senate.ucsc.edu/senate-meetings/agendas-minutes/2014-november-7-senate-meeting/index.html](http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014-november-7-senate-meeting/index.html)

Several items of real interest and significance figure in the agenda:

- In his announcements, Chancellor Blumenthal will explain his current thinking about UCSC presence in Silicon Valley
- The Senate Executive Committee has circulated a set of [Guiding Principles for Graduate Growth](#). UCOP has put forward extra funds for aspirational graduate growth on our campus, but there has not been a full Senate discussion yet. These principles are intended to make such a conversation possible. One key recommendation is that a joint Senate-Administration task force be established to move quickly in moving forward. Our discussion on November 7 can be instrumental in shaping the membership of and charge to that task force. Please read the Guiding Principles (included in the agenda) and come ready to participate in this important discussion.
- The Committee on Teaching has been troubled by dwindling support for instructional improvement, most recently by the discontinuation of the Excellence in Teaching awards. A position paper, "[Reinvesting in Teaching at UCSC](#)," is included in the agenda materials. Please read this important analysis and come prepared to help advise COT on future steps.

Looking forward to seeing you on Friday, November 7th!

Sincerely,



Don Brenneis, Chair  
Academic Senate  
Santa Cruz Division

**SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES**  
**November 7, 2014 Senate Meeting**

The draft minutes from the May 21, 2014 Senate meeting were distributed via email on October 21, 2014 and will be presented for approval at the Senate Meeting on November 7, 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, Thursday, November 6, 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).

Junko Ito, Secretary  
Academic Senate  
Santa Cruz Division

October 27, 2014

## **COMMITTEE ON ACADEMIC FREEDOM Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) met regularly during the year. Its pro-active agenda item this year was to update our website with resources for faculty to reference with regard to Academic Freedom issues and work with EVC staff on campus process for Freedom of Information Act (FOIA) or Public Records Act (PRA) requests faculty receive.

CAF Chair Glass continued his participation in discussions at the University Committee on Academic Freedom (UCAF) concerning procedures for FOIA and PRA requests, particularly since it appears that these requests may constrain academic freedom and may target particular researchers who are pursuing lawful research (even though that research may be opposed by some persons or groups). In spring UCAF discussed sending a request to the Academic Council for discussion with the Office of the President to update them on re-occurring threats and violence at some UC campuses that is suppressing research, and to request a UCOP message that this type of behavior will not be tolerated.

### **Enhancement of Website Presence**

For the past couple of years committee membership has strongly recommended updating the present committee website with an educational approach for academic freedom information. Members created documentation on academic freedom on frequently asked questions, governing rules, laws with links to UC Policies and the pertinent Academic Personnel Manual (APM) numbers. This year the committee created a process and procedure for faculty members to reference for submitting a complaint having to do with Academic Freedom rights. There is also a section with information on student's academic freedom rights. Visit our website (<http://senate.ucsc.edu/committees/caf-committee-on-academic-freedom/index.html>) for more information.

### **Freedom of Information Act (FOIA) and California Public Records Act (CPRA) Requests**

In recent years there has been a steady increase of requests for public records information across the UC system. After a discussion at UCAF, it was decided each Academic Senate Division would post guidelines for faculty to reference and protect their research and academic freedom rights. The Committee agreed it would be helpful if faculty members had background information that would give them a systematic overview of how to respond to FOIA and PRA inquiries. The University of California at Los Angeles developed a document that other campuses can tailor to each campus's practice. CAF edited the document and then held a consultation with EVC staff who oversee public records management and work with faculty on how to respond to these requests. The California Public Records Act (CPRA) does have a very broad definition of what constitutes a public record. The burden falls to the University to define if the record is a public document. UCSC has successfully fought in court to deny requests for any unpublished data and for course materials, the latter of which fall under the UC Policy on Ownership of Course materials, are not considered an administrative record, and are exempt and cannot be requested. The

University will protect faculty with regard to scholarly interests and would resist information requests that would impact a career or create disincentives to research. After consultation, members updated the draft for review by public records management staff and hope to have the information on our website by fall quarter for faculty to access.

### **Review and Comment on APMS 25, 670 & 671**

The Committee discussed the proposed revised Academic Personnel Manual (APM) revisions for APM - 025, Conflict of Commitment and Outside Activities of Faculty Members, Proposed Revised APM - 670, Health Sciences Compensation Plan, and Proposed New APM Section 671, Conflict of Commitment and Outside Professional Activities of Health Sciences Compensation Plan Participants. Members responded to concerns for APM 025 only as the other two APMs addressed issues not directly related to faculty on our campus and seemed unproblematic. There was a lack of clarity about the principles guiding assignment of consulting work outside the University in Category 2 and 3, and left too much discretion to the Chancellor and too much uncertainty for faculty members. Procedures for delegation of the Chancellor's approval authority (such as to Deans) was not clear, although members agreed the Dean's level of authority would provide timely access for the approval process. Members recommended a less onerous process for faculty members to report on their consultancies and research partnerships outside of the University community.

### **Program Learning Outcomes (PLOs)**

Members discussed course design and implementation of accreditation and administrative mandates per the Western Association of Schools and Colleges (WASC) for renewing our campus accreditation. All departments on campus are now required to have these PLOs, specific outcomes and measures associated with each course in the curriculum, and to make these frameworks available to current and potential students. UC was reviewing the LEAP (Liberal Education for Academic Performance) documents for possible adoption, believing that these rubrics can help reduce workload with regard to WASC requirements. Members agreed that faculty need to assess achievement of course objectives in relation to particular learning outcomes for a particular level of comprehension since courses fit into an overall program, but members did not want to adopt LEAP principles which are already present in our general education requirements. Faculty have expressed concern that courses and programs are going to be driven by the assessment protocols and not by their determination of what is important in the domain or course content. Measured outcomes are not the only important results of learning experiences or of what is gained from the course content. Members were concerned about the lack of clarity about which level (campus, WASC, department; etc.) would drive assessment determinations, with potential academic freedom dangers if specific assessments are imposed on departments and faculty members.

### **Campus Online Education Course Agreement**

CAF discussed the proposed online course agreement for faculty and was pleased that many of our concerns with the previous version had been addressed. The UCSC version of the contract agreement has clear details on renewal of course offerings and ownership of course materials falling under the copyright policy. CAF previously (fall 2012) reviewed the UCOE (University of Californian Online Education) agreement for the pilot phase of course development under the Innovative Learning Technology Initiative (ILTI). Members would like to point out that the cover

letter is not clear that this agreement applies only to ILTI online course offerings and not to other on-line providers with which faculty members or campuses may form agreements.

Last year, when the pilot program for UCOE (now ILTI) started, UCAF received concerns from faculty on a variety of issues related to academic freedom, particularly concerning intellectual property rights with regard to course design, content, and delivery modes. These concerns seem to be more clearly delineated and addressed in the current agreement. The course materials tied to intellectual ownership of the “contributor” faculty member(s) have stronger protections if the “contributor” elects to stop offering the course during the period of the agreement since only the UC-owned portions of the course can be changed by a new instructor. In addition, limiting the agreement to three instead of six years provides better protection for faculty rights and also makes more sound pedagogical sense given the speed with which many disciplines evolve.

### **UCOP Policy on Copyright Revisions for Review and Comments**

CAF discussed the proposed revisions to the 1986 *Policy on the Reproduction of Copyrighted Materials for Teaching and Research*, which has been renamed the *University of California Policy on Copyright and Fair Use*. Members found the policy unproblematic based on a standard of common sense. The Committee also perused the updated website referenced in the revised policy statement, and believes that it provides many alternative resources and is more helpful than any stand-alone policy statement.

### **Online Education Privacy and Security Issues**

The Committee on Faculty Welfare (CFW) requested CAF investigate privacy and copyright issues for faculty with regard to online course instruction, creation, workload and privacy rights. The Committee, after reviewing the newly revised policy for copyright, felt most faculty issues were addressed and instead focused their discussion on student privacy issues. It is the understanding of the committee that when students are working online, whatever information is collected belongs to the institution where the course is hosted and that faculty should apply the same principles that apply in the classroom to the online chat or online forums. Other issues of privacy for students include online bullying, which has been known to occur in this type of course environment. Many students hide behind anonymity. Faculty must set ground rules for students to follow and state clearly in the syllabus that all student participants must be respectful to each other, and faculty must moderate discussion forums. Faculty are also advised to create a syllabus that includes principles of community or protocols about etiquette; in addition, faculty are advised to include a statement of possible consequences (such as failure of the class, or an automatic drop by the instructor) if behavior is not acceptable. CAF also discussed the issue of instructor bias and possibilities for censoring some student view points, so CAF believes that discussion moderation is needed to insure the discussion avoids problematic directions and to keep the focus on the course topic. Students have a right to free expression but must be respectful to each other, protecting each student’s academic freedom.

Members recommend that the 2014 -15 committee follow up on drafting a statement on academic freedom (for students) as a template for faculty to tailor and copy into their syllabi. Next year CAF will research what other UCs are proposing and create a document that provides an objective academic freedom statement for students that faculty can incorporate into their syllabus. The statement will include some specific language on expected student behavior in the classroom,

whether in person or virtual, and it will be made available on the website for easy access and editing purposes.

Respectfully submitted;  
COMMITTEE ON ACADEMIC FREEDOM

Jennifer Derr

Raja Guha Thakurta (W)

Ethan Miller

Bakthan Singaram(F&S)

Ron Glass, Chair

Jody Ryker, GSA Student Rep.

Robin King, Non Senate Teaching Faculty

July 8, 2014



## **COMMITTEE ON ADMISSIONS AND FINANCIAL AID**

### **Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

CAFA made great strides this year to both reform and finalize policy and practices for several critical areas: 1) frosh admission criteria, process, and review; 2) appeals policy; 3) honors selection criteria; 4) merit scholarship selection; and 5) criteria for transfer major preparation. Due to the increase in our campus' selectivity and the transition from a solely quantitative approach to a more holistic admissions process over the past three years, CAFA has attempted to closely both monitor the impact of these changes as well as adjust and correct where necessary to mitigate any negative outcomes. In addition, the committee continued to attend to the shaping of our increasing non-resident (international) population and the support needed for their success as well as the stabilizing of the honors program, the improvement of first-year performance and overall retention rates.

The committee, and in particular the data subcommittee, continued critical work to understand and respond to our previous cycle outcomes to tailor our Holistic Review (HR) process to applicant and campus needs. This year, this meant changes to how UCSC will use (or not use) other UC reader scores, and the inclusion of student success indicators, to test the accuracy of reader scoring. It is the committee's hope that these changes will control for any variance in reader scoring, and more importantly, correlate our admission offers to those students who are most likely to succeed at our campus.

### **I. Work of CAFA in 2013-2014**

#### **A. Committee Foci**

The Committee interfaced with several campus and Senate processes:

##### *1. Holistic Review*

CAFA worked throughout the year on corrective revisions to the implementation of the HR admissions process. Although the outcomes of the HR process in 2012 and 2013 aligned with CAFA's expectations, updates to policy were explored by the data subcommittee, and ratified by CAFA in Spring quarter for implementation on the Fall 2015 cohort.

Updates include:

1. The discontinuation of UC Berkeley and UC Los Angeles HR reader scores; all UC Santa Cruz applicants will now receive UC Santa Cruz reader scores.
2. Approval of a Student Success Indicator (SSI) as originally proposed by the Vice Provost and Dean of Undergraduate Education (VPDUE). The committee agreed to use a College Board predicted first year GPA (PFYGPA) calculation. This measure was used during tiebreak on the Fall 2014 cohort and was approved for use in Fall 2015 as well.
3. All student applications will receive a human read as well as have their SSI calculated. These 2 scores will determine the student's admission possibility. If there is a significant

discrepancy then a second human read will take place to determine the reason for the discrepancy.

## 2. *Non-resident Admissions*

CAFA responded to two major issues related to internationalization this year, the *Proposal for Support of International Student Growth and Campus Globalization* (December 20, 2013) and the associated job description for a Senior International Officer (SIO) of International Education. The committee is most concerned that any of the positions and structures put in place to recruit, support, and coordinate internationalization be deployed in the most effective way possible.

CAFA contends that the placement of this position within the UE organization as potentially problematic. Globalization encompasses far more than undergraduate concerns and by structuring the AVP position within UE, the individual would be less able to effectively guide and support (inter)campus relationships as well as faculty, graduate studies, etc. We look forward to working with the SIO on these issues, as well as continuing priorities from this year as well.

With respect to recruitment, CAFA notes that it is important to be mindful of the quality of our international applicant pool, rather than simply the quantity. For the sake of our reputation as a leading research institution as well as for the students who will be expected to meet the expectations of faculty, we must take the time to learn about and recruit from schools that are preparing students with an education that will enable them to succeed and be retained at UCSC. In articulating a vision for what international recruitment and enrollment looks like three and five years from now, CAFA hopes that a plan can be agreed upon which will provide a logical and responsible framework for how the new SIO is to proceed.

The decision to split the enrollment targets into three categories: California residents, out of state (OOS), and international applicants enabled us to see more clearly where there might be variation in how the fourteen criteria for Holistic Review be applied given the context of schooling and information provided. Similarly, increased outreach efforts undertaken by both faculty and administrative colleagues provided more nuanced information resulting in a significant increase in international enrollments:

2014 Statements of Intent to Register (SIRs) represent 45 countries & 41 states, whereas 2013 SIRs represented only 23 countries & 6 states and 2012 SIRs represented 8 countries & 8 states. 2014 SIRs include 413 International Students (IS) & 362 Out Of State (OOS); target 220 IS & 270 OOS, fully 2 years ahead of our targets; 2013 SIRs included 95 IS & 147 OOS, and 2012 SIRs included 14 IS & 87 OOS.

Given these large increases, CAFA laid out the following priorities to ensure the success of these students as well as their engagement with the university at large. Increased comprehensive campus support with improved staffing levels and expertise.

- Review of the admissions cycle, including overall timing, I-20, financial packages, personalized follow-up, housing issues, and orientation.
- Ensure timely registration with personalized advising with both counselors and faculty
- Emphasize academic programs of interest to international students and level of faculty achievement in those programs.

- Provide multi-lingual webpages.
- Clarify UC-wide policies and procedures so as not to unnecessarily restrict our process.
- Review the need for in-house Intensive English program.
- Attend to details such as airport pickup, housing during breaks, centralized advising and counseling services.
- Ensure dispersal of IS throughout the colleges and provide for summer school sessions and housing.
- Consider rolling admissions for international students.

### *3. Major Preparedness*

The BOARS Transfer Proposal (February 2012), slated for efficacy in Fall of 2015 is aligned with campus goals related to transfer student major preparation. The requirements are intended to introduce the student to their chosen major field, ensure that they have adequate competence for success, and begin them on their pathway for UC admissions. In addition, we need to ensure that transfer students are not being expected to complete more credit hours for a major than native students.

As of now, departments that have articulated major preparation requirements include: Art, All Baskin School of Engineering majors, Biochemistry & Molecular Biology, Ecology & Evolutionary Biology, Molecular, Cell and Developmental Biology, Economics, and Psychology. We expect that starting in Fall 2015 Chemistry and Physics requirements will be in place. The Committee on Educational Policy reviews and approves major preparation requirements during the normal program statement review for all departments.

## **B. Sub-Committee Efforts**

CAFA's membership is divided among several subcommittees which do a large portion of the detail-oriented work with committee stakeholders prior to full committee review and/or approval.

### *1. Appeals subcommittee*

The CAFA Appeals subcommittee finalized changes to the undergraduate admissions appeals policy which was reviewed by CAFA and approved. The new Cancellation Appeals Review Committee (CARC) now bears primary responsibility for review of undergraduate appeals under CAFA's ultimate authority. CARC reviews admission denial for first-year applicants, denial for transfer students, cancellation due to a missed deadline, and cancellation due to an academic shortfall.

### *2. Honors and Merit Scholarships subcommittee*

CAFA approved a major change in the way it handles Merit Scholarships. Eligibility for the Honors program and Regents Scholarship will now be offered to the top applicants based on their academic achievement in the following areas:

- Entry Level Writing Requirement (ELWR) Satisfied; for CA and out of state. Many of the int'l applicants have already satisfied ELWR.
- GPA
- Test score(s) (SAT or ACT)
- Number of courses completed.

The number of offers for the Honors Program will be based on an Enrollment Management analysis of the likely yield and the number of spaces in the program(s). We have 148 honors SIRs expected for Fall 2014 from a target of target of 100-120. This is also the first year to yield significant non-residents in the program: 26 international and 22 out of state.

## **II. Issues for the Near Future**

Assess the success of SSI & tiebreak implementation.

- Assess campus outreach & recruitment strategies for all students.
- Review and provide input on campus Financial Aid policies and practices related to:
  - Satisfactory Academic Progress (SAP).
  - Work-Study.
  - “Dreamers”.
  - Study-Abroad Aid.
  - Summer Aid.
  - System-wide Programs & Eligibility.
- Possible change to systemwide “9X9” policy, which governs the total number of UC-‘guaranteed’ students.
- New SAT: the committee may need to re-align criteria based on test format or content changes.
- Update of UC Santa Cruz application review system.

## **III. Admissions and Financial Aid for Fall 2014**

### **A. Admissions**

This was the third year that UCSC used a Holistic Review model for selecting frosh admits. This year the Admissions Office decided to implement “second reads” on all applications to ensure a more comprehensive assessment. Since Holistic Review is labor-intensive, the Office of Admissions employed 30 external readers who were trained to conduct the UCSC Holistic Review.

Applications: UCSC again saw increases in applications from frosh applicants, a 5.4% rise, driven in part by an increase of almost 1,100 international applicants. Total fall 2014 frosh applications was 40,713 compared to 38,640 for fall 2013. At the transfer level, there was only a slight increase in applications of .6% with 8,194 transfer applicants this year as compared to 8,148 the previous year.

Of the 40,713 fall 2014 frosh applications, increases were seen in several important categories: African-American applications increased by 99 (5.1%), Hispanic applications increased by 377 (3.2%), and American Indian applications increased by 47 (15.6%) over the previous year. International applications increased by 1,085 (44%). Transfer applications showed virtually no change in underrepresented ethnic categories as a whole: 2,511 in fall 2014 as compared to 2,516 in fall 2013. African American applications increased by 17 (4.5%), American Indians increased by 4 (3.5%) and Hispanic decreased by 26 (-1.3%).

Admissions: UCSC admitted 23,242 frosh for fall 2014, an increase over the previous year of 3,202 students. (The total number of fall 2013 admits, 20,039, includes the admitted waitlisted students.) The frosh enrollment target for fall 2014 was 3,650, an increase of approximately 350 over fall 2013 enrollment. Given the increase in applications and an increased enrollment target, the admission rate for the frosh increased from 51.9% for fall 2013 to 57.1% for fall 2014. The academic quality of the admitted frosh cohorts was similar. The mean GPA of admitted frosh was 3.82 for fall 2014 and 3.84 for fall 2013 (on a 4.0 scale). The mean total SAT was 1783 for fall 2014 and 1794 for fall 2013. We offered 3,616 denied frosh the opportunity to be on the waitlist with 2,127 accepting the offer. However, given the higher than expected yield on SIRs, all students were released from the waitlist.

Nonresidents: 2,208 out-of-state and 2,454 international students were admitted. This equates to an admit rate of 84.9% for out-of-state and 69.1% for international students.

Transfers: UCSC admitted 4,691 transfers for fall 2014, an increase of 224 students (5%) from the previous year. The annual enrollment goal for transfers was set at 1,275 students, up by 275 students from the previous year, which was the first year we implemented screening for major preparation for the biological sciences, psychology and economics.

SIRs: Frosh SIRs, those students accepting their offers of admission, (<http://www.ue.ucsc.edu/SIR2014>) totaled 4,952, an increase of 1,075 students (27.7%). While some increase was expected, the increase of 658 (18.7%) California resident' SIRs was greater than anticipated. Both international SIRs and out-of-state SIRs saw tremendous gains: internationals increased by 234 over the previous year (an increase of 132%) and out-of-state SIRs increased 183 over the previous year (an increase of almost 97%). Transfer SIRs totaled 1,377, an increase of 121 students (almost 10%) from the previous year.

Official enrollment figures will not be available until November. It is estimated that frosh enrollments will be approximately 4,050, exceeding the target by approximately 400 students. We expect approximately 3,571 California students, up from 3,050; 242 out-of-state students (NRT), up from 147; and 232 international students (NRT), up from 95. The transfer student estimate is 1,150 for the year with approximately 19 expected to be international (NRT), up from 8 and 8 out-of-state, down from 11.

## **B. Financial Aid and Scholarships**

The demand for financial aid continues to increase, with about 78% of UC Santa Cruz students receiving some type of financial aid in 2013-14 (including grants, scholarships, fellowships,

loans and/or work-study assistance.) This year, support has been provided to 12,073 undergraduate students and 1,478 graduate students.

### **Political and Budgetary Impacts**

Over the past few years, there has been increasing scrutiny of the state and federal budgets for higher education. Although the issues surrounding the cost of higher education are complex, limiting financial aid access to students is often the most readily accessible tool legislators have for controlling the education budgets. There has been some abuse to justify increased scrutiny and limiting access – predatory practices by a handful of the for-profit colleges and lenders, as well as instances of fraud by both students and university employees. The limits to access imposed in the past 4 years include reduced eligibility for continuing students to Cal Grants, Federal Pell Grants, and Federal Loans.

In addition to the fund specific changes, there have been significant changes by the Department of Education to the Financial Aid Satisfactory Academic Progress (FA SAP) measurements. Beginning in 2012-13, access to federal aid is restricted for students failing to meet academic pace and GPA requirements. This is in addition to the previously existing rules which restrict aid to students exceeding institutional time-to-degree policies. The rules impacted 360 undergraduate students in the fall of 2013, requiring these students to successfully appeal their FA SAP status or else risk losing their eligibility for financial aid.

On a more positive note, the passage of the California Dream Acts (AB 130 and AB131) allows undocumented students who qualify for AB540 non-resident tuition exemptions to receive UC/CSU and state funded aid. Beginning in January 2013, these students were able to receive UC return-to-aid grant funds and beginning in fall 2013 they were also eligible to receive state funded Cal Grants. We were able to award more \$4.8 million in aid to these students in the 2013-14 year, with \$1.5 million of that sum funded by the Cal Grant program.

In a similar vein, the California Middle Class Scholarship (AB 94) was passed in June 2013. This program, which will not be fully implemented until 2017-18, is similar to the UC Blue & Gold Opportunity plan providing up to 40% of tuition and fees for families making under \$100,000 a year and 10% for families making under \$150,000. For 2014-15, actual awards will not be known until October 2014 but UCOP estimates that students on our campus may receive as much as \$2,800,000, with a \$1,700 maximum award in this first year of the program.

### **Current Financial Aid Funding Model and Data**

The UC Education Finance Model (EFM), which utilizes a 33% return-to-aid (RTA) from tuition and fees to support low-income students, continues to be closely reviewed by the system-wide EFM committee. The review is due to projections which indicate that RTA will be insufficient to fund students to current standards within 4 years, based upon student demographics and anticipated tuition increases. After careful consideration of 3 models to resolve the issue, the decision was delayed due to the impact of the tuition freeze enacted by the Governor/Regents.

For the fourth year in a row, the system-wide tuition and fees remain at \$12,192. However, other elements of student budgets have continued to increase, for example health insurance. With no increased RTA from tuition revenue, we are forced to reduce the percentage of university grant funds in the student aid package either through an increased loan/work expectation, or as is the case for 2014-15, the reduction of grant funding for students choosing not to participate in the university health insurance program.

The average cost for a student living on campus in 2014-15 will be about \$34,356. Under EFM, 2014-15 UCSC undergraduate students who qualify for need-based assistance must pay approximately the first \$9,750 of their need from loan and/or work resources. After subtracting the loan/work expectation and the family contribution (from FAFSA data), grant aid is offered to help pay the remainder of the total estimated total cost.

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

Aid applications and recipients are increasing significantly each year. In 2013-14 the Financial Aid and Scholarship Office administered \$262 million in financial assistance to about 77% of UCSC’s undergraduate students, as compared to \$260 million/74% in 2012-13.

2013-14 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	69%	\$180,000,000	\$ 16,733
UC Santa Cruz Scholarships*	10.9%	\$ 4,243,000	\$ 2,495
Federal Pell Grants*	47%	\$32,942,000	\$ 4,467
Student and Parent Loans	57%	\$80,032,000	\$ 8,881
Federal Work-Study	11%	\$ 2,556,000	\$1,490
* Included in gift aid			

Recent UC Santa Cruz graduates who enrolled as first-time frosh have an average debt of nearly \$22,523, but the debt ranges up to \$31,000 – the federal cumulative maximum amount an undergraduate student may borrow. Nationally, two-thirds of seniors graduated in 2012 had student loan debt, with an average of \$27,850 per borrower (<http://projectonstudentdebt.org/>). Each year, the U.S. Department of Education calculates cohort default rates for loans by campus. The national 3-Year average was 14.7% for 2010 (per Dept. of Ed.).

The rate for our campus has been exceptionally low in recent years but is beginning to climb.

UCSC Year	2-Year Draft Default Rate	2-Year Official Default Rate	3-Year Draft Default Rate	3-Year Official Default Rate
2008	1.8%	1.4%	*	*
2009	2.5%	2.5%	4.1%	3.7%
2010	2.4%	2%	4.3%	4.2%
2011	4.6%	4.3%	5.6%	Not yet avail.

\* 3-Yr default rates were not calculated prior to 2009

Campus undergraduate scholarship programs are administered by various campus departments as well as by the Financial Aid and Scholarship Office. University Relations and the Financial Aid and Scholarship Office have collaborated to ensure that scholarship fund raising is a component of the comprehensive capital campaign the campus is undertaking to ensure UC Santa Cruz is an affordable as well as attractive alternative for undergraduate students who aspire to attend. Listed below are data for major scholarship programs administered by the Financial Aid and Scholarship Office:

2013-14 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	156	\$723,134	\$4,886
Campus Merit Scholarships	267	\$364,945	\$1,367
Leadership Opportunity Awards	24	\$201,255	\$8,386

For additional information, please note that the Office of the President maintains numerous reports regarding student financial support which can be found on the following website:

<http://www.ucop.edu/student-affairs/data-and-reporting/reports-to-the-regents-on-student-financial-support/index.html>



### **C. Appeals**

It has been past practice for CAFA’s annual report to include numbers and outcomes of the appeals received from students that were originally denied admission. As of the report date, this information is not available.

### **Acknowledgements and Appreciation**

As has been mentioned, CAFA made great strides in both reforming and finalizing policy and practices for several critical areas like: frosh admission criteria, process, and reads; appeals policy; honors selection criteria; merit scholarship selection and criteria. All the committee’s focus has been on ensuring that the policy implemented across campus reflects our commitment to enrolling students of the highest caliber who will also contribute to the diversity and creativity of the campus.

CAFA collaborated closely on several key issues with the Undergraduate Education division, and the committee’s work was enhanced by data provided by Enrollment Management & its subunits. Committee deliberations are often enhanced by contributions from Associate Vice Chancellor for Enrollment, Michelle Whittingham, and Admissions Director Michael McCawley. The committee would like to thank its Senate staff analyst, Matthew Mednick for his support and collaboration throughout the year.

Respectfully submitted;

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Mark Carr

Jean E. Fox Tree

David Helmbold

Minghiu Hu

David Evan Jones

Onuttom Narayan

Daniel Selden

Yi Zhang

June Gordon, BOARS Rep., Chair

Guillermo Rogel, Undergraduate Rep.

August 31, 2014

**COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY**  
**Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) is pleased to report on a productive year. CAAD undertakes studies of policies and practices of affirmative action and diversity, makes recommendations to appropriate campus bodies, and regularly confers with other administrative units and Senate committees about a broad range of issues related to diversity. This year, CAAD directly addressed campus climate, diversity, and inclusion through its review of the proposed UCSC faculty mentoring program and UCSC report of the UC Climate Study, issued statements on diversity implications of proposed policies and programs, and participated in general local and systemwide senate business. A brief overview is provided below.

Addressing Campus Climate, Diversity, and Inclusion

**Faculty Mentoring**

CAAD continued to be involved in campus conversations about the need for a formalized faculty mentoring program at UCSC. Drawing on the research indicating that mentoring is critical to the success and advancement of faculty, and particularly underrepresented faculty, CAAD members supported and helped develop a proposal for the establishment of an institutionalized mentoring program on campus.

CAAD's consultation with Vice Provost for Academic Affairs (VPAA) Lee during 2012-13 sparked the formal development of such a program in 2013-14. CAAD consulted extensively with VPAA Lee and Assistant Campus Diversity Officer (ACDO) Marlowe as they developed a draft proposal for a formalized faculty mentoring program, based in part on a similar program at UCSF. CAAD also reviewed and responded to drafts of the proposal before it was circulated for senate comment.

Overall, CAAD is pleased to see the faculty mentoring program taking shape, and the proposal addresses many of the issues CAAD raised in consultation with VPAA Lee and ACDO Marlowe; at the same time, CAAD has cautioned that the success of any mentoring program depends on intensive faculty involvement. CAAD has further recommended that the workshop and speaker series that is part of the mentoring program be developed with the involvement of the Senate Committee on Career Advising (CCA). The topics addressed in these workshops should be directed at mentors as well as mentees and should include subjects that are compelling and of interest to both. CAAD also commented that the award component of the mentoring program should be genuinely meaningful for faculty and that service as a faculty mentor be recognized as significant service in the personnel process; such recognition will be important in attracting quality mentors. CAAD looks forward to the implementation of the faculty mentoring program in 2014-15 and to continued collaboration with the VPAA, the Office of Diversity, Excellence, and Inclusion (ODEI), and the Committee on Career Advising (CCA) as the program grows and develops.

### **UC Campus Climate Study 2014**

CAAD spent several meetings reviewing the UCSC Campus Climate Study and Report, released in March 2014 as part of the broader UC Campus Climate Assessment Project conducted by Rankin and Associates Consulting for the University of California. CAAD recognizes the efforts that have gone into the study, as well as UCSC's plans to take measurable actions in response, as a positive step and as a part of the University's investment in supporting excellence through diversity and building a positive climate for students, staff, and faculty on campus. The study reported high levels of comfort with the climate at UCSC, and positive attitudes about work-life issues, while also reporting that "some members of the community experienced exclusionary conduct," including a higher number for racial and ethnic minorities. In addition, the report noted that "several constituent groups indicated that they were less comfortable with the overall campus climate, workplace climate, and classroom climate."<sup>1</sup> CAAD members expressed concerns about these findings, and an examination of the report led CAAD to conclude that there was insufficient examination and exploration within the report of these key differences by demographic and constituent profiles, and no elaboration beyond reporting the findings. This led to a final report, CAAD concluded, that was framed in overly positive terms, effectively obscuring key differences in respondents' experiences of campus climate across constituent categories.

While there was extensive deliberation about the report, the following summarizes the committee's major points of discussion: 1) CAAD expressed concern about the lack of data disaggregation in key areas of the report, and would like to see data disaggregated by faculty rank, race/ethnicity, and academic division. In general, CAAD agreed that they would like to see questions pertaining to campus climate disaggregated, and specific data on perceptions of bias and promotion separated out by rank and senate vs. non-senate faculty status, academic division, race/ethnicity, and gender; 2) CAAD raised a concern that the survey itself may not adequately capture respondents' perceptions and experiences of campus climate; 3), the data was presented in a way that prevented "drilling down" in order to identify more nuanced descriptions of sub-group experiences (for example, by highlighting a cluster of graphs that examined the experiences of underrepresented minority faculty across a series of survey questions); 4) the report offered no elaboration on the important finding that "other people of color and underrepresented minority respondents were less likely to believe the workplace was welcoming based on race,"<sup>2</sup> and the committee expressed strong interest in finding out *why* these groups found the workplace less welcoming; 5) CAAD would like to see data on faculty, staff, and student experiences of microaggressions specifically addressed; and 6) the committee would like to see qualitative data collection on campus climate as a follow-up to the study. Specifically, qualitative data would follow up on questions/topics among faculty (and possibly staff) survey participants, include faculty (and possibly staff) who did not participate in the survey, and ask questions about campus climate that were not addressed by the survey instrument.

The faculty subcommittee of the Advisory Council on Campus Climate, Culture, and Inclusion (ACCCI), chaired by VPAA Lee, is responding to the faculty portion of the survey, and has been charged with developing an action plan to address key survey findings. Chair Lau sits on the faculty sub-group of the ACCCI. VPAA Lee invited CAAD's response to the report, and offered

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<sup>1</sup> See "Executive Summary" in UCSC Campus Climate Project Final Report, Rankin & Associates Consulting, March 2014.

<sup>2</sup> Pp. 118-19 in UCSC Campus Climate Project Final Report, Rankin & Associates Consulting, March 2014.

to consult with CAAD to further discuss the report and answer any questions. CAAD consulted with VPAA Lee on May 19, 2014. During this consultation, VPAA Lee shared CAAD's concern about the lack of data disaggregation in the report but, unfortunately, informed the committee that the campus, due to budgetary limitations, would not undertake further collection of qualitative data. However, VPAA Lee offered to assist CAAD in 1) advocating for funding on CAAD's behalf should the committee decide that it can oversee further qualitative data collection and 2) assist CAAD in requesting additional UC Campus Climate Study data from the Office of the President. Based on this consultation and ongoing conversation, CAAD outlined a formal request for additional data from the UCSC Climate Study that VPAA Lee will forward to the UC Office of the President (UCOP).

CAAD anticipates that the committee will review any additional data from UCOP, and that this data will assist CAAD in further assessing how to best support and build on campus efforts to address faculty climate. CAAD has discussed the feasibility of developing a proposal for further qualitative data collection. This summer, current Chair Lau and incoming Chair Parker began developing a proposal for funding such a study. The goal of further data collection would be to produce a recommendations report, as CAAD has determined that it is critically important to develop best practices, from the ground up, to ensure that the campus develops a meaningful action plan for improving campus climate. CAAD members agreed that a healthy campus climate is integral to, and supports, UCSC's broader commitment to excellence through diversity, and is encouraged by UCSC's interest in building a positive climate for students, staff, and faculty on campus. CAAD looks forward to continued discussions to move that commitment forward, both in committee and in collaboration with VPAA Lee, in 2014-15.

### **Target of Excellence (TOE) and Spousal/Domestic Partner Waiver of Open Recruitment Reviews**

CAAD reviewed four Target of Excellence Waiver of Open Recruitment Requests (November 2013, February 2014, May 2014) and two Spousal/Domestic Partner Waiver of Open Recruitment Requests (May 2014). Review of these proposals prompted the committee to revisit an ongoing concern about the ways in which the TOE program, especially, can also serve to circumvent fair hiring practices. The committee is still not clear about the degree to which (if at all) CAAD's responses are taken into account in these deliberations. For example, TOE proposals have not always made clear how candidates contribute to diversity (if they do at all), but that fact does not seem to prevent the approval of TOE requests. The committee will invite EVC Galloway for a consultation next academic year to discuss how the committee's feedback is used in waiver of open recruitment requests.

### **Diversity Fund Program**

Funding for the Diversity Program, which offered academic units and programs up to \$2,000 for proposals for projects that advance campus diversity goals, was suspended in 2009-10. This program was a crucial means for supporting and advancing diversity-related projects on campus and further affirmed the importance of diversity and inclusion as a central campus principle. CAAD recommends that this program be reinstated and will pursue the possibility of making a formal request to reinstate the Diversity Fund Program to CP/EVC Galloway in 2014-15.

Statements on Diversity Implications of Proposed Policies and Programs

**Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy**

CAAD reviewed two versions of the proposed revised Self-Supporting Graduate Professional Degree Programs policy (December 2013; June 2014), which provides guidelines for programs that generate revenue from student charges to support all costs of the programs and costs incurred by departments/schools and campuses on behalf of the programs. CAAD expressed concerns about the financial accessibility of these programs, pointing out that the policy was inherently contradictory, requiring that all SSGPDPs have a financial accessibility goal for their student population as well as a plan for achieving that goal based on student-generated revenue. In its first review of the revised proposal, CAAD requested more information about how these goals fit together. In addition, CAAD also noted that it would like to see an example of a program fee structure with return to aid, and whether this would allow a program to remain accessible to a wide range of students. Finally, CAAD raised a third issue related to financial accessibility and suggested that SSGPDPs take into consideration professional degree seeking students that intend to work with underserved populations when developing program accessibility plans, as the incomes of these students would be substantially lower. In reviewing the second revised SSGPDP policy proposal (June 2014), CAAD concluded that the issues of financial accessibility raised by the committee had not been addressed, and reiterated its hope that further revisions to the policy address these concerns.

**Proposal for Support of International Growth and Campus Globalization**

CAAD reviewed Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey's proposal for Support of International Growth and Campus Globalization, which included a funding formula, a proposed new Associate Vice Provost (AVP) position, and a broad range of other initiatives (January/February 2014). CAAD members sought to interpret diversity in the broadest sense possible while also trying to balance different diversity-related considerations and concerns relevant to international and domestic student populations.

CAAD raised a number of structural concerns in its response to the proposal, including 1) that the AVP position, in light of campus priorities, warrants a higher level, professional staff leadership position outside of the Division of Undergraduate Education and should be filled by an expert with professional training and experience in international education; 2) responsibilities for EAP should be separate from the AVP and the campus should retain an EAP Director; 3) CAAD would like to see centralized staff support dedicated to managing the bureaucracy of international students (undergraduate, graduate), faculty, staff, and visitors.

CAAD also emphasized the importance of extensive, quality cultural training (which avoids essentializing and overgeneralizing) as part of supporting faculty, instructors, TAs, and student services staff as we internationalize our campus. Overall, CAAD embraced the idea that increased international enrollments could enhance diversity and the quality of undergraduate education for all students through additional instructional support. Increasing cultural diversity should strengthen the overall campus community when accompanied by increased emphasis on cultural sensitivity--provided the campus invests in the necessary infrastructure. At the same time, CAAD reiterated the need for a complex understanding of diversity. In its response to the proposal, CAAD sought to raise awareness of how our increasingly globalized campus must become sensitized to the needs of students whose cultural and scholarly backgrounds, languages, and world views may

be very distinct from California students and the diversity within that domestic student body. In particular, the committee wants to be sure that within the scope of attending to diversity, and pursuing opportunities for educational and cultural enrichment, UCSC is not neglecting its commitment to educational equity. Given this opportunity to shape the foundations for future campus growth, CAAD agreed that it is critical to build in programmatic components that help express and reproduce our university's commitments. For example, the new program could commit a certain percentage of international admissions slots to students from under-represented countries, and could use a portion of the fees generated from the program to help offset costs for outstanding students from those countries.

CAAD praised the potential implicit in the Proposal but also expressed severe reservations about continuing to increase international student enrollments (at the undergraduate and graduate levels) without having the necessary academic and student services infrastructure in place to support these students. The committee found the proposal to be, paradoxically, both too broad and too limited in scope to demonstrate a successful path to a fully internationalized UCSC. As UCSC's internationalization develops, CAAD will be active in defining what diversity means in this context.

#### Ongoing Local and Systemwide Senate Business

##### **CAAD Representation**

Chair Lau served as the campus representative on the systemwide University Committee on Affirmative Action and Diversity (UCAAD) and on the Divisional Senate Executive Committee (SEC). Chair Lau represented CAAD on the Chancellor's Advisory Council on Campus Climate, Culture, and Inclusion, and the Martin Luther King Jr. Convocation organizing committee. Chair Lau also served on the campus committee working on the gender and pay equity plan and on the Faculty Initiated Group Hire committee.

Member Steve McKay represented CAAD on the 2014 Chancellor's Achievement Awards for Diversity selection committee.

Member Ingrid Parker represented CAAD at a UC ADVANCE PAID roundtable meeting at UC Davis titled "Workplace climate: Assessments and interventions to improve diversity among STEM faculty."

##### **Correspondence and Consultation**

CAAD discussed and responded to several campus and systemwide issues, including the following:

###### **LOCAL**

- Draft Proposal for a Masters Incentive Program (October 2013)
- Revised Strategic Academic Plan for Silicon Valley (November 2013)
- Proposed New CAPM 101.000: Waivers of Open Recruitment for Senate Faculty Positions (December 2013)
- Proposal for Support of International Student Growth and Campus Globalization (January 2014)
- Draft WASC Accreditation Institutional Report (May 2014)

- Four Target of Excellence Waiver of Open Recruitment Requests (November 2013, February 2014, May 2014)
- Two Spousal/Domestic Partner Waiver of Open Recruitment Requests (May 2014)

#### SYSTEMWIDE

- Proposed Revisions to Professional Degree Supplemental Tuition (PDST) Policy (January 2014)
- Proposal for Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy (December 2013)
- Revised Proposal for Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy (June 2014)
- Proposed Revised APM 133, 210, 220, 760: Proposed changes to four separate APM sections evaluating contributions to diversity and revisions to language extending the eight year limitation on service (June 2014)

#### CONSULTATIONS

- VPAA Lee and ACDO Marlowe: VPAA/ODEI Proposal for UCSC Faculty Mentoring Program (October 2013)
- VPAA Lee and ACDO Marlowe: Revised Proposal for UCSC Faculty Mentoring Program (January 2014)
- AC Sahni: Annual Update from the Office for Diversity, Equity, and Inclusion (February 2014)
- VPAA Lee: UCSC Campus Climate Study 2014 (May 2014)

### **Continuing Issues for CAAD in 2014-15**

#### *UCSC Climate Study*

CAAD will continue to work with the VPAA's office and the ACCCCI to monitor the status and implementation of an action plan to address the UCSC Campus Climate Study and Report findings. The committee will also continue to assess how to best support and build on campus efforts to address faculty climate.

#### *Faculty Salary Equity Study*

CAAD will continue to monitor the status of the Faculty Salary Equity Study. Outgoing Chair Lau is continuing to serve on the UCSC committee working on the gender equity plan follow-up, and a report from that committee is expected in early 2015. Professor Ingrid Parker will serve as CAAD Chair beginning in 2014-15.

Respectfully submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Steve McKay

Dejan Milutinovic (S)

Ingrid Parker

Micah Perks

Nader Pourmand

Elizabeth Stevens (F, W)

Kimberly Lau, Chair

Juan Pablo Lopez, SUA (F, W)

Leslie Lopez, NSTF

August 31, 2014

## **COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

The Committee on Computing and Telecommunications (CCT) considered a number of important campus technology issues throughout 2013-14. CCT heard regular updates on the progress on the Telecommunications Infrastructure Upgrade (TIU), monitored the changing landscape of UCSC's learning management system (LMS) eCommons, consulted with faculty who have online courses, consulted on unavailable Google Apps, WiFi in classrooms, Canvas learning management system, Crowdgrader, Data Center and storage of data. CCT was a co-sponsor of an event on digital data management and curation with the UCSC Library and the Committee on the Library and Scholarly Communication (COLASC). This event featured a presentation from the University of California Curation Center (UC3) on the various data management tools available to UC faculty.

### **UCSC's Learning Management System (LMS), eCommons**

One major issue for the past two years has been UCSC's learning management system (LMS), which is currently eCommons. Chair Renau explained that in 2012-13 two major universities developing Sakai eCommons 3.0 backed out of the project, leaving the potential for the system to become unsupported in the next few years. This is not an urgent issue for CCT, but the committee agreed it would begin to look for alternatives to eCommons and keep up with the status of Sakai. eCommons will serve as the LMS for the 2014-15 school year, but it is essential that campus start researching alternatives early. CCT consulted with Learning Technologies Director Jim Phillips about a possible campus pilot of a new LMS, CANVAS, developed by Instructure. Instructure is an educational technology company based in Salt Lake City, Utah. UC Berkeley currently uses CANVAS (in place of eCommons (Sakai), and it appears to offer much more functionality. The committee requested ITS to host a pilot in 2014 – 15. VCIT Doyle approved the pilot which will be launched on a very small scale this summer, with a larger group of faculty piloting in the fall and winter, depending on the outcome of the summer trial. (The committee, after consultation with Math Lecturer Frank Bäuerle, decided on CANVAS, and will run a pilot in fall and winter quarter with faculty volunteers.) The class offerings will be for small enrollment courses (<20 students) during fall quarter and larger courses in winter quarter after initial kinks have been worked out by faculty, ITS staff and Faculty Instructional Technology Center (FITC) staff.

### **Ecommons Survey Results**

Unfortunately, CCT did not have time to thoroughly review the results of the eCommons survey that FITC sponsored during spring quarter and will not be reviewed until next year. Faculty serving on the pilot will have a chance to give feedback on which system they prefer after testing in the CANVAS LMS site. COT and CCT will consult next year on the progress of the pilot and the next steps for the campus with regard to the LMS.



### **Online Education: Consultations**

Another major issue carried over from 2012-13 is online education. During fall quarter, CCT agreed that this is an area with many facets and it would be best for the committee to approach it purely from a technical perspective. Other Senate committees' purviews lend themselves to consideration of pedagogy and faculty rights. CCT's purview, on the other hand, lends itself to consideration of the hardware and software needs for successful online courses. The committee agreed to consult with UCSC faculty and staff who have already mounted online courses and discuss the current technical tools and needs on campus. In the absence of an office for online education, CCT may be able to advertise the resources available to UCSC faculty. Members reviewed various software packages available for creating an online course. Each system comes with high costs and various pitfalls, such as compatibility issues with certain operating systems. The committee determined that the goal for the year should be the establishment of a consistent set of software across campus, rather than dealing with the propagation of multiple systems and methods. CCT also discussed the value in gathering campus experts in certain instructional technology areas to produce simple "how-to" videos to share with the entire faculty. Members invited faculty who are currently teaching an online course to consult on their experiences, concerns and outcomes that could be improved upon. For instance, a UCSC course that was previously recorded was offered on Coursera and was very popular with over 18,000 participants. While the professor would like to offer the course again, the quality of the videos needs updating, but resources were not available to do so. This course could be a mixed course with a Coursera offering in conjunction with a traditional, on-campus offering for UCSC students. CCT members looked at the course, redesigned, it could be a legacy course for UCSC and good for publicity. Faculty members had help with filming their introductions for each class offering. The other two consultations were with faculty who created online courses for Innovative Learning Technology Initiative (ILTI) sponsored by UCOP. One instructor needed help with the technical aspects of his lectures, and wanted to re-record the audio portion of the course videos, and it was suggested he had the option of learning the software, but opted instead to offer the course through the CANVAS infrastructure provided by ILTI. After discussion, the committee agreed that while these issues are all important to individual members as faculty, they lie outside the purview of CCT. CCT's proper role in the discussion of online education at UCSC is to ensure that the proper technological capabilities are offered to interested faculty. As a result of the online course consultations, members discussed creating an inventory of the online education tools currently being used by UCSC faculty. Such an inventory would aid in identifying experts on campus and soliciting their help in creating tutorials to help all UCSC faculty as they explore new teaching methods. Members will recommend following through on the web page "tool box" next fall in consultation with VCIT Doyle.

### **Senate Summit on Online Education and Pedagogy**

During winter quarter representatives from the CCT, Committees on Educational Policy (CEP), Faculty Welfare (CFW), Teaching (COT), and Graduate Council (GC) participated in a summit to discuss online education. The goal of the summit was to develop a list of Senate priorities and next steps around the topic of online education and education technology. The committee strictly adhered to its purview and considered only the technological needs for delivery of online education. The majority of the concerns raised at the summit were in the areas of faculty welfare and pedagogy. One particular concern of CCT is the preservation and management of course

materials and videos produced for online instruction. CCT was not able to complete this task this year but will consult with departments next year to see what established policies for perpetual backup are in place before deciding on creating a campus policy for departments to adopt.

### **Data Storage and Data Center**

The committee considered the issue of data storage on campus, which currently is very expensive for some faculty to use. When the campus acquired the facility at 2300 Delaware Avenue, there were estimates done for the creation of a data center there. The estimated cost of \$9 million to \$10 million caused the project to be abandoned. CCT consulted with relevant IT staff about the history of and any future plans for increased data storage on campus.

The committee met with Director Smith about the abandoned data center project at 2300 Delaware Avenue and about UCSC's data storage environment in general. Director Smith explained that UCSC has small data centers on campus, such as those in the Communications Building and in the Baskin School of Engineering. The trouble with the data centers other than the Communications Building Center is the lack of emergency power backup. CCT is concerned that campus is running out of storage space and many major granting agencies require data storage that will soon exceed UCSC's current limits. If faculty researchers could store their data elsewhere or use cloud storage, then the university could save money. Members discussed the resources needed to host an in-house data center and the possible advantages of a balanced blend of on- and off-campus data storage, noting that there was no obvious added value to computing and storing large data sets on campus. Before members are ready to submit the cost-matching request, more information on the annual costs to the University and who pays these costs needs to be researched by the committee and a response for information on data storage was not received by the end of spring quarter. Members were not able to discuss or make an informed decision on recommending a cost sharing plan for data storage with off-campus vendors. The committee began plans to ask UCSC IT to conduct an analysis of existing storage space, existing storage costs, and potential outside options. Ultimately, CCT would like to propose that UCSC provide cost matching or other support for faculty who store their data off campus. The committee discussed drafting a proposal that UCSC match costs with faculty for off-campus cloud data storage to compensate for the hidden power cost that the University pays for faculty researchers. This could reduce rack space requirements for UC-owned data centers and eliminate the need for extensive retrofitting of buildings at on- and off-campus sites to meet the growing demand for rack space, given that most buildings on campus would require renovations, electrical wiring upgrades, and air cooling systems. The committee will leave this decision to follow up with future committees.

The Committee co-sponsored with the UCSC Library and the Committee on the Library and Scholarly Communication (COLASC) a presentation from the University of California Curation Center (UC3) on data preservation. For more information on the DMP Tool see this website: <http://library.ucsc.edu/news/new-data-management-plan-tool-released>.

### **Campus Infrastructure**

The committee considered various aspects of campus computing infrastructure that may require attention this year. VCIT Doyle updated the committee on the Telecommunications

Infrastructure Upgrade Project. The project will be conducted in four phases, and Phase A is underway around campus. Throughout the winter and spring quarters, the network around campus will be enhanced, as each building will be addressed individually. Kerr Hall is the first building to receive an upgrade. The California Public Utilities Commission approved a proposal by SUNESYS, that UCSC supported, to run fiber optic cable from Santa Cruz to Soledad. ITS applied for a two year grant from the NSF for cyber infrastructure and was awarded \$500,000 to build infrastructure on Science Hill. Another proposal (to NSF) is planned, which would provide an additional \$2 million for IT infrastructure support for research programs on campus. The science and engineering areas of campus would be the benefactors of these grants.

### **Wireless Coverage for Medium and Large Classrooms**

Many classrooms on campus do not have adequate wireless internet access. Historically, there have been faculty objections to WiFi enabled classrooms, as some view this as a distraction for students. CCT agreed that the benefits of wireless access far outweigh the potential costs and in-class distractions. The pedagogical reasons for having access are overwhelming. CCT requested ITS upgrade wireless access in all classrooms, beginning with the large lecture halls by fall 2014. CCT requested information regarding WiFi and determined the large WiFi repeaters cannot cover 300 people simultaneously; one solution was to bring in extra WiFi stations. VCIT Doyle updated members on a new standard, dense antenna with more access points, that was being tested by ITS technicians and should be able to cover the classrooms with 75 seats. The upgrade for access points coverage in classrooms with 75 seats is about \$200,000. ITS staff presented the committee with a cost break down for each of the 22 classrooms. Learning Technologies will be consulted if the WiFi information can be added to the classroom database used for scheduling. The access points “density” should help solve the drop off that can occur during a class when trying to upload a static image. Faculty members with special needs will be handled on a case by case basis.

### **Google Apps**

Committee members are very interested in what is available for faculty to access on campus with regard to online tools. The Committee consulted with ITS staff experts on issues of security, email auto completion, VPN software, email encryption, as they explore new teaching methods in the online world. Members would like ITS to create a page on how to install security for end users, VPN, chat clients, and best practices with regard to security. This page would simply provide links that would take clients to instructions on how to use the tool or how to download it.

### **Email Auto Completion**

CCT received a request for auto completion of the @ucsc.edu email address for UCSC email accounts. ITS has a policy to test before introducing any new tools for security and other issues, so this feature is currently blocked. VCIT Doyle updated members on this feature, at this time it is not possible to update the Google servers in a timely manner when students place a non-disclosure of information request. The current wait time is up to several days, and should be less than 24 hours. To allow this feature for the entire faculty, this issue would have to be resolved first. The University must follow procedures with regard to FERPA regulations.

### **Security and Privacy**

Members held a brief discussion on secure email programs and privacy tools such as Sonic and the TOR system, which are among the most robust and secure systems available.

### **Campus VPN**

Members requested a more user friendly method of installing the campus VPN software. ITS is now ready to roll out a new self-service, user-friendly version and more information can be found here: [<http://its.ucsc.edu/vpn/index.html>]

The key points include common uses of access to campus File Sharing/Shared Drives and certain applications that require a Campus IP address, ease of installation, full-tunnel protection when accessing campus files.

### **Data Security**

CCT requested an update on the campus Data Security process with regard to loss of data or theft of computer equipment. The VCIT staffs a response team who focus on these types of incidents. The membership includes security staff, general council and departmental staff. The group will meet and depending on the issue, decide the next course of action. When there has been theft of equipment or data itself, the group determines whether data may have been exposed or accessed inappropriately, if so, the University notifies any compromised individual. If the breach concerns 500 or more individuals, then the State is also notified.

### **Email Encryption with the Google Team**

ITS Google Team staff consulted on Google Apps and what features are approved for the campus community to use. Before any changes can be adopted, UC policy must be checked as well as systemwide electronic operations policies. Members wanted to know what is available on campus for faculty to access for secure email. Ideally, committee members were looking to hear information on using public and private keys for email encryption software known as PGP. ITS would have to generate a “University key” for faculty and staff and students to use as the public key off on an ITS server; there are currently no resources to do this. But Google is in the test phase of this email option and may be available soon for campus testing. The most robust endpoint encryption of email is S/MIME with endpoint encryption signing; the campus would need to purchase a certificate and this option is currently being researched by ITS. S/MIME is supported on Apple devices but not on Android operating systems, and there are some programs that have this function for desktop mail clients but not for web clients.

### **Consultation on CrowdGrader**

CCT consulted with Computer Science Professor de Alfaro on considering CrowdGrader as a possible tool for homework submission at UCSC. CrowdGrader does not provide hosting of the teaching material, but faculty could use Google Sites for that. CrowdGrader focuses on homework submission and peer review of homework, but has the option for homework to be graded by the instructor only (no peer review). One advantage of CrowdGrader is the lack of resource expense associated with hosting and maintenance of CANVAS. CrowdGrader is effective when teaching large classes without TAs, which are typically difficult to grade. Part of Professor de Alfaro’s research concerns crowd sourcing; with this software, one can get one opinion from many opinions. Professor de Alfaro created the software since eCommons is too

clunky and difficult to use for peer grading. The Vice Chancellor of Research helped to make CrowdGrader a product, with terms of service, including a privacy policy, and is web-hosted in a professional manner. PeerQuiz is being developed by a colleague and may be linked to the system or integrated with CrowdGrader in the near future. The software is hosted by Google Cloud and is about 30 cents per day or 5 cents per hour cost to the instructor. Other institutions are currently using the software, including San Jose State University and John Hopkins.

Recommendations for 2014 -15 CCT:

- CANVAS Pilot hosting
- Web information on online education tools for faculty
- ITS web page development for a faculty tool box on technology
- Data center request report on analysis

Respectfully submitted;

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS

Hiroshi Fukurai

Debra Lewis

Jim McCloskey

Scott Oliver

Grant Pogson

Ruby Rich

Josh Stuart

Jose Renau, Chair

Tyler Ajdini, SUA

Mary Doyle, Vice Chancellor ITS

Jo Fawna Reali, GSA

July 28, 2014

## **COMMITTEE ON EDUCATIONAL POLICY**

### **Annual Report 2013 -14**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy's (CEP) primary responsibility is to safeguard undergraduate education and address all issues pertaining to the success of our undergraduate population. CEP is a fast-paced committee with incredible output. The Committee on Educational Policy (CEP) initiates policy changes, studies, and program reviews for undergraduate education. The committee also reviews changes to academic departments and programs, new program proposals, course approvals, catalog materials, undergraduate student petitions, and requests to appoint graduate and undergraduate student instructors. CEP meets weekly. A brief overview of the Committee's work this year is provided below.

#### **Changing GE Policy on Courses**

CEP members continued their discussion from fall quarter on the possibility of a course to fulfill varying general education (GE) requirements: that is, any one course could only fulfill one GE, but might fulfill different GEs for different students. One recent example would be HAVC 46, which could satisfy the Interpreting Arts & Media (IM) or Ethnicity & Race (ER) in its present form. Right now, HAVC Faculty are put in the difficult position of leaving off an obvious GE for some classes so that they can convince non-majors to enjoy taking further HAVC classes. Members discussed many such classes where the focus of the class addresses more than one concern: for example, a scientific reasoning (SR) course with content on practice and ethics could also satisfy Ethnicity & Race (ER).

While the past committees did not want overlap, this year's committee recognized the value of a change, as many students are not able to get into some of the practicum courses and some departments are being affected negatively by this restriction. After discussion, members proposed that qualifying courses could carry more than one GE, but the students would only be allowed to satisfy one general education code—either by having the codes applied in a sequence (so that the first code would be used unless a student did not need that code, and so on) or by having it be an explicit choice made by the student in conjunction with college advising. Members discussed handling the alternative codes via petition until an automatic solution is found in the Registrar's Office. This project would require at least one year of research before implementation. All of our reading of the previous restriction found that such a system would not violate the spirit of the most recent GE redesign. This year's CEP passes this concern on to the incoming CEP membership.

#### **Qualification Policy Data Requests:**

Members held discussions on types of data sets they would like to analyze from departments when reporting back on the effect their qualification policy has on progress through their major. Typically, the committee has determined that the data should be gathered over a two year period and reported back to CEP. If CEP accepts the report, then the policy would be reviewed again during the next scheduled self-study. Members determined the criteria needed to review for the

success of the qualification policy, which included: time to degree, number of appeals and denials, student success rate based on before and after institution of qualification policy, effects on diversity, and number of late declarations.

### **Disciplinary Communication Grants**

Last year CEP worked with VPDUE Hughey on creating a CALL for small grants to enhance courses for the Disciplinary Communication (DC) General Education/Major Requirement. Members decided to add an additional submission date, so there were two CALLs for proposals, one in Fall and one in the Spring. Committee members reviewed the following proposals: Anthropology Writing Tutors, Westside Writing Center, Environmental Studies Writing Tutors/TAs, Film and Digital Media, Community Studies and Computer Sciences. To review the approved proposals, see <http://www.ue.ucsc.edu/dcgrant>.

Disciplinary Communication courses continue to be a difficult requirement for many programs to mount. CEP received a request from the Ecology and Evolutionary Biology Department (EEB) concerning their perceived inability to continue to offer their DC course to their students with their current TA staffing levels. CEP members are sympathetic to departments with very large majors and their needs and after discussion suggested some, admittedly imperfect, solutions. Ultimately, the EEB TA allocation by the Physical and Biological Division was augmented (as a result of a new TA policy), which will allow EEB to continue to offer DC courses in a manner consistent with the intent of these courses. However, it should be emphasized that this is only one department reporting serious problems in this area. These concerns were relayed to the Senate Executive Committee, and CEP has been told this will be an ongoing concern for the Senate to address in the coming year.

### **Transfer Major Preparation Screening**

CEP and CAFA continued their collaboration with Admissions Director McCawley on formulating guidelines for admissions staff to reference when addressing transfer applicants to departments requesting screening of their transfer students for their major. All such guidelines must be consistent with major qualification procedures for students qualifying as sophomores. Members are in favor of the following process for departments and Admissions to use. Departments need to inform CEP, via the undergraduate check list, and briefly explain the department's concerns in their cover letter for the catalog copy. Admissions does welcome departments doing their own screening, but deadlines must be kept with regard to sending out offer letters. CEP will send out a reminder for major screening requests at the beginning of Fall quarter.

### **Honors and Challenge Programs and Sub Committee Report support**

The existing First Year Honors Program (FYHP) is moving from a pilot program to an established one, with some evident growing pains. Added to the FYHP is a Challenge Curriculum also designed for first year students, which CEP sees as an important retention tool for our best students. Ideally, all of our students would be able to participate in these types of courses. Members from the CAFA-CEP Joint Honors sub-committee (JHSC) updated CEP members on their request to offer first year Honors students priority enrollment, and members approved.

After review of the FYHP sub-committee report, the Committee submitted the following recommendations to VPDUE Hughey:

We support the report's call to decouple the funding of Honors from revenue generated by international students. If the university is committed to offering a First Year Honors Program (FYHP), we argue that permanent funding should be in place that does not require the program (even through implication) to admit a specific group of students. We reaffirm the JHSC's recommendation to require Entry Level Writing Requirement (ELWR) satisfaction of Honors students. However, we also recommend that if ELWR unsatisfied international students are recruited for membership into the Honors Program, then ELWR unsatisfied domestic students should be recruited with equal vigor.

Dovetailing the First-year Honors Program and Challenge would represent an important step toward leveraging the recruitment mission of the FYHP with the retention mission of the Challenge Program. Ultimately, this would benefit the university, as it would allow us to recruit honors-level students and keep them here. While CEP is agnostic at this point about how to integrate these programs, it does look forward to a more detailed articulation of how an integration might occur.

In closing, CEP requests that Honors Director Matt O'Hara provide a mid-quarter update to CEP in Fall 2014 with respect to the comments above, but most especially with respect to the performance of ELWR-unsatisfied Honors students in Crown Core.

### **University Extension (UNEX)**

Members agreed to change the process with regard to renewal of established UNEX Certificates. Normally, these are vetted by an expert in the discipline or field and, after expert approval, the renewal requests are sent to CEP. Members approved delegating these types of certificate renewals to the CEP Chair. New proposals and exceptions would be discussed by the committee as a whole.

The following 11 certificates were renewed for another five years:

- Accounting
- Project and Program Management
- Human Resource Management
- Computer Programming
- Database and Data Analytics
- Internet Programming & Development,
- Software Engineering & Quality
- Environmental Safety and Health Management
- Hazardous Materials Management
- Occupational Safety and Health Management
- Programs in Personal Financial Planning.

CEP and UNEX are now up to date on renewals of certificates, and next year's committee will only need to review the annual UNEX report and any new certificates.



### **LEAP (Liberal Education for Academic Performance)**

Members discussed course design and implementation of accreditation and administrative mandates per the Western Association of Schools and Colleges (WASC) for UCSC upcoming accreditation reviews. All departments on campus are now required to have Program Learning Outcomes (PLO), which are specific outcomes and measures associated with each course in the curriculum, and to make these frameworks available to current and potential students. UC reviewed the LEAP (Liberal Education for Academic Performance) documents, at UCEPs request, for possible adoption, believing that these rubrics could help reduce workload with regard to WASC requirements. CEP members agreed that faculty need to assess achievement of course objectives in relation to particular learning outcomes, but members did not want to adopt the LEAP principles, which seemed to be overly general and to exclude many topics that we at UCSC find important.

### **Online Education Summit**

After the summit meeting, CEP worked on creating guidelines for online education course articulation for departments to reference. Here is the result:

#### **Campus Articulation of Online Education Course Guidelines for Departments:**

As online modes of course delivery become a more routine part of higher education, UCSC remains committed to the pursuit of academic excellence. The transcripts of students receiving a bachelor's degree from UCSC may now include courses characterized by different modes of delivery: traditional seminars and lecture courses, hybrid or "flipped" courses, and fully online course offerings taken at UCSC, through UC Online or from another institution. The Committee on Educational Policy encourages faculty to evaluate courses on learning objectives, content, and modes of engagement specified in their syllabi, rather than exclusively on their mode of delivery. This is especially relevant to hybrid or online courses taken by students who transfer to UCSC to complete their baccalaureate degrees. Any and all courses undergo a rigorous vetting system accepted by UCSC for credit and/or major qualification to ensure the course contents meet the high standards for which the University of California is justly renowned.

For those of you who evaluate courses for articulation, please evaluate online courses in the same way you would evaluate any course: using learning objectives, syllabus comparison, extended course descriptions, and other course materials as appropriate. If we fail to articulate otherwise appropriate online courses for major credit, we run the risk of placing our students at a disadvantage and stressing our already overflowing classrooms with students taking redundant classes. Faculty members having trouble deciding if a course is appropriately rigorous or covers the material in appropriate depth are encouraged to reach out to CEP for help.

## **Z Notations in AIS**

The Z notation was used in the past to cover academic integrity cases and to accommodate Scantron issues. The existence of the DG grade and the lack of Scantron eliminate the need for further use of the Z notation. Further, for various reasons, several faculty were assigning Z grades and leaving them on student records permanently. This became a problem for the registrar's office, which was forced into the role of nagging faculty and apologizing to graduated students with Z grades. Members reviewed our policy and strongly agreed that a legislation change was not needed to address the issue, but instead simply requested that the Registrar's Office discontinue this grade notation. Faculty will continue to be able to make changes to grades for up to one year based on procedure or clerical errors. The Registrar's Office has implemented the change and CEP sent out notification to faculty on May 22 with instructions for rare instances; due to an inability to determine final grades for an entire class, instructors may need to post grades for only part of a course roster.

## **UCSC Policy on Credit Hour Compliance**

CEP reviewed the current policy with regard to credit hours for in-person and online courses, making sure that our campus is in compliance for our WASC accreditation review. SR 760 defines one credit is equal to 3.5 hours of class time. Basically a credit hour is "an institutionally established equivalency that reasonably approximates not less than" one hour of contact and two hours out of class for a 10 or 12 week quarter (for a normal lecture). Our policy as posted on our website is: <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/course-information/UCSCCreditHourPolicy2014.pdf>

## **Overseeing Deans of Academic Programs**

The Senate Chair requested Senate committee input on the VPAA's request on the role of deans for academic programs and, more broadly, the nature of the overseeing dean's role. CEP held discussions over two consecutive meetings about VPAA Lee's request for consultation regarding the policy question of whether non-academic divisional deans, and specifically the VPDUE, should be permitted to be the "overseeing" dean for a program of undergraduate study (academic minors and majors). After substantial discussion, members voiced agreement that widening responsibility for academic planning in this manner could enhance opportunities for interdisciplinary collaboration among faculty using the institutional infrastructure of UCSC's college system. Simply put, we see no down side in amending policy this way and wish to ensure the office of the VPDUE has sufficient budgetary authority to execute such responsibilities. To the extent that CEP is a guardian of undergraduate education at UCSC, CEP members were enthusiastic about current college-based interdisciplinary initiatives that augment curricular offerings of academic departments. We note that such initiatives do not have the explicit goal of reviving the academic life of UCSC's 10 colleges but may have that salutary, if unintended effect on the undergraduate experience. Because college provosts report to the VPDUE, it makes sense that the VPDUE be vested with authority as the overseeing dean for college-based major and minor academic programs. A central focus of CEP's discussion concerned the VPDUE's budgetary authority for college based academic programs, particularly funds for lecturers and teaching assistants, and the capacity of the VPDUE to support them. A related concern was the question of program sustainability. CEP members recognized that new programs typically commence with sufficient resources for the first several years of their existence but usually lack a guarantee or plan for long-term support.

The VPDUE requested approval to become a course sponsoring agency at CEP's last meeting of the year. Committee members present at the meeting were of mixed minds about the proposal. Our overwhelming sentiment was that the proposal arrived too late in the year for the committee to give it appropriate consideration. Specifically, committee members expressed the wish for separate consultations with the VPAA and VPDUE to explore the rationales for, and potential implications of, the proposed new arrangement. Aside from the workload question, CEP members expressed reservations about the following issues:

- The source and consistency of academic resources (i.e., funding) to support courses being sponsored by the DUE.
- The overall budget implications of DUE course sponsorship.
- The chain of command governing DUE course sponsorship; i.e., to whom is the VPDUE accountable as a course sponsoring agency?
- The coordination of courses sponsored through the DUE with those sponsored by the academic divisions.
- Senate governance: Is CEP the appropriate body to approve the proposal or should this matter be brought before other senate committees (i.e., CPB) too?

Our final concern is best put as a question. Members openly asked "what problem is the proposal trying to solve?" Members would like the problem specifically defined. Are there administrative or curricular gaps that need to be filled? CEP members were unsure about the need for the DUE assuming this new prerogative and without adequate time for discussion or consultation, CEP was unable to approve or disapprove it.

### **Consultations with Undergraduate Champion Professor Jaye Padgett**

Professor Padgett was invited to be an honorary member of CEP this year and he accepted. Members and guests welcomed Professor Padgett to the weekly CEP meetings. Members found the discussions informational and look forward to any retention enhancements that will be developed during the next couple of years. Professor Padgett invited a CEP member to serve on his weekly working group and his offer was accepted. Members agreed with his idea for learning community-based programs.

### **Miscellaneous Responses**

In addition to the usual review of undergraduate courses and program statements, CEP was asked to provide feedback on a number of other educational issues, and comments for program reviews.

### **Statistics**

In addition to general education course proposals, CEP members reviewed 175 new course approvals and 402 course revisions. In reviewing Department and Program catalog statements this year, CEP members worked very hard to be consistent and set standards for a program statement template that departments would be required to use for their catalog copy; there was not enough time to formalize the document.

The Chair reviewed:

- 4 Posthumous Degrees
- 548 Student Petition Requests
- 57 requests for Graduate Student Instructors
- 6 requests for Individual Major.

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

As always, CEP is very grateful for the expertise and tireless support of Senate Analyst Susanna Wrangell.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

Ben Carson

Ólöf Einarsdóttir

Michael Mateas

Mary Beth Pudup

Heather Shearer

Tchad Singer, *ex officio*

Ted Warburton

Tracy Larrabee, Chair

Ronnie Lipschutz, Provost Representative

Kayla Oh, Student Representative (SUA)

Roxi Power, NSTF Representative

August 31, 2014

**COMMITTEE ON EMERITI RELATIONS**  
**Annual Report 2013-2014**

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met once each quarter during the academic year. CER's work in 2013-14 largely focused on monitoring several changes to retiree health care and researching campus recall appointment titles for Emeriti. During the spring quarter, and along with the Academic Personnel Office (APO), the committee co-sponsored the annual Pre-Retirement Planning Workshop for faculty planning their retirement. A representative from the Office of Academic Personnel, three retired faculty members (Mary Silver, Peter Kenez, and Melanie Mayer), and CER Chair Anderson, gave presentations during a panel discussion at this year's event.

Chair Anderson represented the Santa Cruz division CER at the Council of University of California Emeriti Associations (CUCEA) meetings held during the fall and spring quarters and brought SC emeriti issues to the table. In order to further grasp the demographics and concerns of UCSC emeriti, the committee plans on conducting a survey of campus emeriti in fall 2014.

**Healthcare Programs Changes**

Following a re-bidding process held earlier this year, the University announced the 2014 medical plans on September 3, 2013. Health Net HMO (full network), which allows access to the Palo Alto Medical Foundation (PAMF), was discontinued. Further, three Medicare plans were discontinued in January 2014. Due to the changes, many emeriti had to change health care plans this year. Additionally, the health care for Medicare-eligible retirees and their families living outside of California is now managed by a third party administrator (OneExchange). Those out of state are provided with an annual health reimbursement arrangement, or voucher system, to pay for a Medicare plan in their area that is intended to cover the cost of premiums as well as some additional out of pocket costs. Some retirees have expressed concern that the new voucher program may not provide all of the previous health care options available to out of state retirees. Information provided by the UC Department of Human Resources to the UC Committee on Faculty Welfare suggests that the voucher system is working well and is actually covering the cost of a wide scale of premiums and providing retirees with extra funds for other out of pocket costs.

Pre-existing conditions were not counted against those with Medicare who chose new plans because these plans must comply with the provisions of the federal Affordable Care Act. However, the Affordable Care Act does allow insurance companies to consider pre-existing conditions if retirees with Medicare change their plan again during the next enrollment. CER encourages emeriti and retirees to look into this if choosing a new plan next year.

CER would like to thank Campus Healthcare Facilitator Frank Trueba for the expertise and guidance that he provided to emeriti and retirees during the very complicated 2014 open

enrollment process. Trueba and the Benefits Office offered numerous workshops specifically geared towards retirees to assist them in making educated choices regarding their benefits. Frank Trueba's service and expertise has proven to be invaluable to campus emeriti, and as UC healthcare and the administration of benefits is constantly evolving, CER would like emphasize the importance of and the need for a Campus Healthcare Facilitator at UC Santa Cruz.

### **Research Professor and Professor Recall Titles**

In May 2014, CER consulted with a representative from APO to inquire about the Research Professor and Professor Recall titles. Several committee members did not know that these titles existed until recently. The titles and associated appointments are for emeriti who are recalled either for research purposes only (Research Professor) or for teaching, research, and service (Professor Recall). CER would like to make these titles known to emeriti and those who are planning on retiring in the near future, and encourages interested faculty/emeriti to speak with their respective departments for more information regarding these appointments.

### **Acknowledgements**

The committee wishes to especially thank Committee Analyst Jaden Silva-Espinoza for her excellent staff support for CER during this year. She was most responsible while preparing agendas, researching information, and preparing meeting notes for the committee meetings. We thank Emeriti Association President Michael Cowan for his informative consultation about the activities of his organization. The committee would also like to thank Principal Administrative Analyst Nancy Furber who consulted with the committee, as well as Associate Vice Chancellor Pamela Peterson and the Academic Personnel Office for organizing the 2013-2014 Pre-Retirement Planning Workshop Series. In particular, the committee would like to thank Administrative Analyst Linda Tursi, who assisted the committee in organizing the Emeriti panel for this event.

Respectfully submitted;  
COMMITTEE ON EMERITI RELATIONS  
Linda Burman-Hall  
Peter Kenez  
Barry Bowman, *ex officio*  
Roger Anderson, Chair

August 4, 2014

## **COMMITTEE ON FACULTY WELFARE Annual Report 2013-2014**

To: Academic Senate, Santa Cruz Division

The Committee on Faculty Welfare (CFW) met bi-weekly throughout the academic year; members also represented CFW on several other Senate and campus committees—the Transportation Advisory Committee (TAC), the Committee on Emeriti Relations (CER), Senate Executive Committee (SEC), and the University Committee on Faculty Welfare (UCFW).

CFW's work in 2013-14 provided an updated analysis of UCSC faculty salaries and focused attention on new developments both on campus and system-wide with regards to health care, retirement benefits, and online education. CFW presented reports at both the winter and spring Senate meetings, intended to keep faculty updated on the issues of childcare, retirement, faculty salaries, and online education.

### **Health Care**

CFW's activities concerning health benefits were focused on the implementation of UC Care, the university's venture into self-insurance. The UC Care plan was offered as the primary alternative to the Health Net HMO plan, which was discontinued as of January 1, 2014. In the fall quarter, CFW sponsored a resolution that voiced our concerns that UC employees were being given inaccurate and incomplete information about the UC Care plan and other new plan options. The resolution requested an extension of the open enrollment period. The resolution passed and the extension was granted.

Like the Health Net HMO plan, UC Care offers access to the medical providers in the Palo Alto Medical Foundation (PAMF), but with a significant reduction in insurance premium rates. After enrollments were complete we found that a larger proportion of UCSC employees had enrolled in UC Care than on any other UC campus. The big difference from the previous Health Net HMO plan is that UC Care is a PPO plan, not an HMO. The key distinction is that the PPO plan allows access to a larger group of doctors, but at extra cost for those not in the "tier one" designation or for emergency room and ambulance services. Next year, it will be important for the campus to determine how many employees incur significant out-of-pocket expenses under the new UC Care plan.

### **Faculty Salary**

In February 2014, CFW presented an updated analysis of faculty salaries ([http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014\\_february\\_19\\_senate\\_meeting/cfw2.pdf](http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014_february_19_senate_meeting/cfw2.pdf)) comparing UCSC with other UC campuses. Two major factors affect salaries: the rate at which individuals advance in rank and step, and the effective salary scale for each rank and step. We did not have the data to update our analysis of the rate of advancement, and encourage next year's CFW to conduct this analysis.

Historically, the major difference in salaries at different UC campuses arises from the size of the average “off-scale” increment. In 2012, 85% of all faculty, including UCSC faculty, were either “off-scale” or Above Scale (*i.e.* above Professor, Step IX). For many years, UCSC had the lowest salaries among UC campuses. In response to a joint Administration/Senate Task Force on Salaries, in 2008-2009 the administration, in cooperation with the Committee on Academic Personnel (CAP), initiated a “Merit Boost Plan”. Our data show that this action has had a significant positive effect.

The average UCSC professor on the regular salary scale was \$4,150 off-scale in 2009 and \$9,200 off-scale in 2012. UCSC had the lowest salaries in 2009. In 2012 UCSC salaries were slightly higher than those at UC Davis and UC Riverside. A cluster of UC Santa Barbara, UC San Diego, and UC Irvine had average salaries approximately \$3,000 higher. UC Berkeley and UC Los Angeles were clearly outliers, with average salaries \$15,000 and \$22,000 higher than at UCSC. For faculty on the Business, Economics, and Engineering scale (BEE), the relative position of UCSC compared to other campuses was similar to that seen for “regular scale” faculty.

One surprise in the data was the growing inequity of salaries for faculty at the same rank and step. For example, the top 1% of faculty (Steps 1-9, not counting Above Scale) had an average off-scale increment of \$128,000. Most were in Business, Economics, and Engineering departments and almost all were at UCLA or Berkeley.

UCSC differs from other campuses by having lower off-scale increments at the higher ranks. In other words, Assistant Professors at UCSC (regular scale) have salaries approximately \$2,500 below the UC average, while the difference at Professor 8 or 9 is approximately \$6,500.

Overall, our salaries, relative to other UC campuses, have improved over the last few years and UCSC faculty are no longer the most poorly compensated faculty. However, the cost of living in the Santa Cruz area is very high, even compared to other regions in California. To retain and attract faculty we need to have an effective salary scale at least equivalent to that at UC Santa Barbara, UC Irvine, and UC San Diego, all coastal communities like Santa Cruz.

Our major recommendation is to continue with the Merit Boost Plan. We may have to do so just to maintain our current position. The campus should also address the problem that our senior faculty are still receiving salaries lower than those on all other UC campuses.

### **Child Care**

In 2012, as a significant indication of support, CP/EVC Alison Galloway allocated \$150,000 a year for up to five years, retroactive to 2010-11, from central campus funds to develop childcare services for faculty and staff. In the event these funds have not yet been spent for this purpose by 2015-16, CFW hopes that the existing pool of funds remains intact or is employed for the purpose of developing faculty and staff childcare.

Various campus constituents 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 2011 Childcare Task Force Report<sup>1</sup> of an arrangement with a third party vendor at an off-site facility. The particular off-campus facility under review was deemed unsuitable for a number of reasons. Although the third-party option has continued to be investigated, the results from a recent survey of other UC childcare facilities<sup>2</sup> 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 on campus. This committee worked through the summer and fall quarter in 2013 to develop a fiscally responsible, academically sound, and closely vetted proposal for a pre-K program for faculty and staff children. Committee members included UCSC staff and faculty and members of 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 that CFW urges be given serious consideration.

Childcare for faculty and staff has long been acknowledged to be a pressing need at UCSC. At present, UCSC is the only campus with no employee childcare option. 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.

### **Housing**

As in previous years, CFW monitored the campus's faculty/staff housing programs with an eye toward affordability. The committee is also concerned about whether an adequate supply of housing will be available for faculty in the future. With UCSC resuming a steady pace of hiring, and with prices rising again in the local real estate market, both affordability and supply are essential if we are to remain competitive in attracting and retaining the most talented faculty possible.

CFW reviewed several documents and quarterly reports concerning Employee Housing. On March 6, 2014, the committee met with Steve Houser, Director of Capital Planning and Employee Housing at Colleges, Housing & Educational Services (CHES), and John Thompson, Manager of Faculty and Staff Housing. The committee's April 17, 2014 meeting with CP/EVC Alison Galloway also included housing issues.

As of January 31, the on-campus neighborhoods of Hagar Court, Cardiff Terrace/Hagar Meadow, and Ranch View Terrace each had no more than one unit owned by the campus awaiting resale to an employee. (Laureate Court had seven campus-owned units, but these can only be purchased with MOP loans, not via Fannie Mae mortgages.) Thus, the stock of housing available for purchase is limited. Still, according to Houser, waiting lists are also short; very short compared to the situation ten years ago. There is no serious shortage of on-campus housing at present. But the question remains how the housing program will expand to meet anticipated future needs. Both Houser and Galloway indicated that the campus could not build Phase II of Ranch View Terrace (which would include 39 new units adjacent to the 45 existing homes there) at an affordable price. Galloway spoke in general terms about three possibilities: incentive programs (buyouts) to encourage long-term owners of campus housing to move elsewhere when they retire; partnering

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<sup>1</sup> University of California, Santa Cruz Child Care Task Force Report, February 28, 2011

<sup>2</sup> Project Report: Planning Faculty-Staff Child Care at the Granary and Family Resource Centers at UCSC (January 23, 2014), page 7.

with a builder to create new off-campus housing on the city's West Side; and including some faculty units in the renovation of family student housing.

In the 2014-2015 CHES UCSC Re-Pricing Program Recommendation<sup>3</sup>, CHES recommended a 2.6% price hike on for-sale housing units in the employee housing program in all campus neighborhoods except Ranch View Terrace. This would continue a series of annual increases under the Resale Pricing Program, begun in 2008, which sells homes to new buyers at a price higher than the previous owner's resale price and uses the difference to fund transaction, remodeling, and carrying costs. In its response to this proposal<sup>4</sup>, CFW noted that prices have already risen substantially in the course of this program. The committee recommended that instead of the proposed hike, prices be frozen or increased by a smaller amount, and that in the longer term, the campus reevaluate the Resale Pricing Program. Price increases threaten to undermine the affordability and attractiveness of campus housing for current and prospective faculty members.

### **Senate Summit on Pedagogy and Inline Education**

This year, CFW was charged by Senate Chair Joe Konopelski to hold a Senate Summit on Pedagogy and In-line<sup>5</sup> Education to discuss how teaching is likely to change in the next few years and to anticipate changes in pedagogy that may change the nature of the work of faculty as professors. The summit was held on January 31st, 2014, and representatives from the committees on Faculty Welfare (CFW), Educational Policy (CEP), Graduate Council (GC), Teaching (COT), and Computing and Telecommunications (CCT) attended. CFW suggested that new methods of teaching (such as online texts and hybrid courses) may require that issues of intellectual property, workload, compensation for additional teaching, resources, and privacy issues for students, be addressed. The summit allowed for an in-depth conversation on the topic, which spans the purview of several Senate committees.

### **Online Education**

During the last two years, CFW has expressed concerns that our campus appears to be making a substantial commitment to online education without due consideration of the resources required and without a sufficient understanding of the effectiveness of this approach to teaching. This year the discussion of online education has elicited comments from President Napolitano and from administrators on our campus that express the same concerns. In June 2014, the Academic Senate was asked to comment on draft campus requests for online course proposals for cross-campus enrollments and Coursera. As 2013-14 draws to a close, there are a number of outstanding questions about the requests for proposals and the campus's online education initiatives that require clear answers.

1. Are the online courses resulting from the requests for proposals to be part of a larger plan, or are they isolated pilot projects that can be used to judge faculty interest and teaching

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<sup>3</sup> UCSC Re-Pricing Program Recommendation (2014-2015), February 13, 2014

<sup>4</sup> Bowman to Galloway, 4/22/2013, Re: UCSC Employee Housing Re-Pricing Program Recommendation (2014-2015)

<sup>5</sup> "In-line" meaning all tools and technology available for use in the classroom, ranging from overhead projectors to online versions of textbooks.

effectiveness? To what extent are these courses part of a longer term commitment to online education?

2. To what extent will the Academic Senate be involved in the selection and approval of these courses? The guidelines for the Coursera courses, for example, describe a major change in pedagogy that must be reviewed by the Senate.
3. What level of resources, in terms of money, primary instructors, and teaching assistants, is the campus committing to online courses? CFW is concerned that development of online courses may further erode the support provided to current teaching in the classroom.
4. Will the proposals for online courses provide an accurate estimate of the amount of time needed for face-to-face and email contact with students? One of the major reasons for pushing forward with online courses is the claim that UC can teach more students with fewer instructors. We need a rigorous evaluation of that claim.
5. The precise relationship between the Innovative Learning Technology Initiative (ILTI) and the UCSC Cross-Campus Enrollment Online Courses remains opaque.
6. By what standards will we evaluate the effectiveness of an online course? CFW is concerned about a commitment to offer a course multiple times when there is no information or data regarding the overall success of the course.

### **Retirement**

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 rose to 8% of salary, and the UC contribution as employer rose to 14%. Both contributions together equal 22%. If UCRP were fully funded, the total contribution needed (employee + employer) would only be 17%. The difference between 22% and 17% constitutes “extra” money that is being put into UCRP to help pay down the deficit. Unfortunately, the current 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 proposed to partially shrink the UCRP deficit by borrowing money from the UC’s own short-term investment funds. This proposal was endorsed by the UC Academic Council. One scenario was to borrow \$1.9 billion over two years, and then pay back the university, with interest, over the next 10 years. Fortunately, UCFW and the UC financial officers appear to be in agreement that such a borrowing plan could significantly help UCRP without endangering the financial health of the university. At

their July 16-17, 2014 meeting, the UC Board of Regents endorsed a version of the borrowing plan.

### **Transportation and Parking**

Parking fees have remained flat at UC Santa Cruz for the past 8 years. During that time, parking revenues have declined by over 1% a year, resulting in a cumulative loss of nearly \$1 million. Meanwhile, Transportation and Parking Services (TAPS) has subsidized various forms of alternative transportation (for example, the vanpool and bike shuttle). There has been an increase in program costs across the board, including fuel, maintenance, insurance, and employee benefits. As a result, the \$1.5 million TAPS reserve has now essentially been depleted; going forward, TAPS will be operating in the red.

In view of these financial considerations, the need for TAPS to increase various fees is clear. The CFW representative reported that the Transportation Advisory Committee (TAC) voted to significantly increase the cost of the vanpool, and also to increase the monthly cost of Faculty/Staff SCMTD bus passes from \$8.75/month to \$12/month over a four year period. It should be noted that TAPS worked hard to both educate vanpool users about the financial realities of the vanpool program (including the large subsidy by TAPS) and also to solicit feedback through surveys of vanpool riders on the potential effect of fare increases on ridership. TAPS will be creating a proposal for the vanpool and bus pass fee increases with the hope of implementation before fall 2014.

During the next academic year, TAPS is also planning to put forth a proposal to increase parking permit fees across campus. The proposed increases could be significant, equaling about 50% over a 4 year period. While CFW understands the need to increase fees given the current economic climate and the near decade-long hiatus in fee increases, it is vital for TAPS to recognize that significant fee increases will likely face strong opposition throughout the campus, including from faculty. We therefore urge TAPS to engage in a thorough, transparent, and detailed process of educating the campus community on the financial realities facing TAPS, with comparisons of parking fees at UC Santa Cruz to other UCs and other local universities. The campus should be provided with a detailed accounting of how the parking increases will stabilize the TAPS budget, and how parking fees are utilized by TAPS. Furthermore, surveys should be given to learn the effect that fee increases will have on behavior, and to gauge financial hardships that could arise as a result of fee increases. Only after such a thorough process could CFW support increases in parking fees.

Finally, we note that TAPS has proposed that the university create an events group that coordinates events on campus, which includes a representative from TAPS, to ensure the availability of parking. CFW supports this proposal; it would allow TAPS to coordinate parking on days when multiple events are taking place on campus, and would tie in well with the new University Events Calendar. This seems like an important proposal with the many events scheduled to take place to celebrate our 50<sup>th</sup> anniversary this coming year.

### **Acknowledgments**

The committee analyst, Jaden Silva-Espinoza, has provided outstanding support for CFW. She played a major role in preparing agendas and reports, in organizing voluminous documents for the committee, and in maintaining an accurate and complete record of the committee's discussions. Additionally, we wish to thank those who consulted with and/or provided information to the committee this year - Steve Houser and John Thompson (Faculty Housing), VPAA Herbie Lee, Michael Tassio, Frank Bäuerle and Tony Tromba (Online Education), Frank Trueba (Health Care), the Academic Personnel Office (Salary Data), Chancellor Blumenthal, and CP/EVC Galloway.

Respectfully submitted;

COMMITTEE ON FACULTY WELFARE

Noriko Aso

Samit Dasgupta

Donna Hunter (F, W)

Michael Isaacson

Sean Keilen

Jennifer Poole (F)

Ben Read (W, S)

Roger Anderson, *ex officio*

Barry Bowman, Chair

August 6, 2014

## **COMMITTEE ON INTERNATIONAL EDUCATION Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

### **Introduction**

The Committee on International Education (CIE) advises the Senate, the Chancellor, and the Dean/Vice Provost of Undergraduate Education on matters related to international education on the UCSC campus and initiates, reviews, and assists in the formulation of policies regarding international education at UCSC. This year, CIE's work directly addressed the need for increased faculty engagement with campus internationalization efforts.

The dramatic increase projected next academic year for international enrollments and the hiring of a new Senior International Officer at the Associate Vice Provost level this summer, indicate renewed campus interest in, and progress made, in global engagement. In the last two years, CIE played a role encouraging international enrollment and initiated discussion about a more senior faculty director for international questions. This year, the Committee on International Education has laid the foundation for increased faculty engagement with campus internationalization. We expect to continue this work next year to engage faculty to collaborate in building a vision of internationalization appropriate for the needs and concerns of this campus. During 2013-14, the committee focused on three areas aimed at eliciting faculty input and engagement 1) conducting the UCSC International Experiences and Contact Survey, 2) conducting department visits to elicit faculty feedback across all divisions on campus, 3) planning a Senate forum focused on Internationalization at UCSC. The committee also continued to work on developing ideas for, and gauging faculty interest in, developing an International Studies minor. Finally, CIE participated in divisional senate business and consulted with numerous members of the campus community about issues related to internationalization.

### **UCSC International Experience and Contacts Survey (CIE Faculty Survey)**

A major focus for CIE in 2013-14 was the "UCSC International Experience and Contacts Survey." The purpose of the survey was twofold. First, CIE wants to find out the range and extent of faculty international contacts and experiences. This data will help identify the latent connections of faculty, and may provide information that will help promote and further develop international recruitment and retention efforts as well as international research collaborations. Second, CIE anticipates that the survey will be useful in building a faculty driven vision of internationalization at UCSC. The survey includes questions about faculty's personal international experience (where they have lived, countries regularly visited, languages spoken), professional/research experience (international scholarship focus, international grant application activity, international teaching/research experiences), and open ended questions about their opinions on UCSC internationalization (how campus should facilitate faculty international work, general comments about internationalization at UCSC).

The survey was first sent to all senate and non-senate faculty at UCSC in October 2013. By June 2014, survey respondents totaled 134.<sup>1</sup> Early preliminary analysis of the survey during fall 2013,

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<sup>1</sup> Of the total 134 respondents, 107 identified as Senate faculty and 27 as non-Senate faculty (NSF).

indicated that faculty respondents have lived in seventy countries, regularly visit sixty-three countries, speak thirty-eight different languages, and have taught or researched in eighty-nine countries.

The survey remained open through June 2014. Now that the survey has closed, CIE expects to analyze the complete survey data when the committee reconvenes next academic year. CIE anticipates that the survey will help the committee build a useful database of our faculty's internationalization experiences and expertise, identify themes and issues that are important to faculty, and direct further internationalization efforts on campus.

### **Department Meeting Visits**

A second major focus for CIE in 2013-14 was reaching out to all academic departments on campus to schedule a department meeting visit. The purpose of department visits was to engage faculty on what “internationalization” means for them, in context of their role as faculty within their departments/divisions. CIE further aimed to provide outreach/education to faculty on the status of internationalization on the campus, summarize CIE's role in further developing internationalization, and elicit faculty questions and comments on the issues presented. After each visit, the CIE member who conducted the department visit logged the notes from the visit, including questions raised by faculty, major themes of the discussion, and concerns and suggestions.

At each 15-20 minute department visit, CIE presented a timeline of internationalization at UCSC, discussed CIE's recent work and efforts, discussed recent initiatives and efforts from administration, and opened the floor to faculty questions and discussion. The committee's visits were scheduled during winter and spring quarters.

CIE visited a total of fifteen departments spanning all five academic divisions (Arts, Humanities, Physical and Biological Sciences, Social Sciences, and Baskin School of Engineering). CIE discussed major themes emerging from the department visits in winter and early spring quarters. These preliminary discussions from the data indicated that there were a few prominent themes: some faculty were unclear about the current state of international initiatives on campus, faculty expressed concern about available support for international undergraduate and graduate students, and faculty expressed concern about the strain of an increased international population on campus without adequate academic and cultural support.

Now that department visits have concluded, CIE expects to analyze the data collected next academic year. This data provides a second important way to identify themes and issues that are important to faculty and will inform further internationalization efforts on campus. The committee will discuss how to best present and disseminate the data from the department visits, and how to best support continued faculty engagement on this issue, during 2014-15.

### **Forum on Internationalization**

During 2013-14, CIE engaged in the planning process for a forum focused on Internationalization on the UCSC campus. The forum continues to build momentum and faculty engagement on the topic of internationalization that began with CIE's faculty survey and department visits this year.

The forum will focus on developing a conversation on campus about internationalization, and developing ideas and a vision for UCSC that is faculty driven and in collaboration with campus administration.

CIE expressed interest in further developing and promoting a broad vision of internationalization that helps define campus priorities for global engagement. CIE is particularly interested in faculty research collaborations, strategic partnerships, increased opportunities for graduate student research (outgoing and incoming), and building sustainable academic structures for internationalization. Toward the end of the academic year, the committee discussed giving the forum and international engagement a slant toward social justice.

CIE's planning process included finalizing a structure and format for the forum, identifying goals, identifying potential speakers, and developing a timeline for a fall event. CIE's structure will feature plenary speakers, faculty respondents, small group sessions to identify faculty priorities for international engagement, and a plenary report back to share ideas at the end of the forum. The list of speakers was finalized early in the summer. CIE continued to work on the logistics of planning the forum over the summer. The forum will take place in early fall 2014.

### **International Studies Minor**

CIE worked consistently over the course of the year to develop ideas for an undergraduate minor focused on international education and knowledge. What began as a committee interest in a certificate program developed into an interest for supporting the development of a minor in International Studies. The aim is to provide a track for committed students to formalize their focus in international issues in a way that may not be legible within an individual major. To date CIE has identified courses in each division that might enable some component of such a minor. The committee has discussed different potential directions that such a minor might take and how to name it or distinguish it, and raised the question of whether an international studies minor might even comprise different possible sub-tracks such as international entrepreneurship, multicultural humanities, or international social justice. CIE has considered what kind of minimum requirements such a minor might have with respect to language study and/or study abroad. The committee Chair has also consulted with the Committee on Educational Policy. There remains significant work to do, principally, to identify a small group of committed faculty around campus who could propose and guide the minor, since this is something that is beyond the capacity of CIE itself. CIE agreed to form a sub-committee of three members who will finalize the potential faculty list and approach these faculty regarding the work of starting a minor. The committee expects to approach faculty early next year, and anticipates that a group of core program faculty will take the lead in launching a minor. CIE expects to continue to monitor progress on this issue during the next academic year.

### **Divisional Business, Consultations**

CIE discussed and responded to the following divisional issues:

#### *UCSC International Recruitment Assessment Draft Report (October 2013)*

CDB Solutions was contracted by UCSC to assist with campus effort to assess the potential of increasing international student enrollment. CDB conducted a review of campus activity related to



the core function and recruitment of international students. The report, prepared by Ian Little of CBD solutions, was reviewed by CIE.

CIE expressed support for Mr. Little's involvement with UCSC and was pleased with the range of conversations occurring around campus regarding international recruitment and internationalization in general. The committee, however, raised several concerns in response to the draft report. CIE was unable to determine the level of consultation done in the course of drafting the report, but noted that it appeared that some units had been consulted extensively (Office of Admissions), while others did not have adequate consultation (International Education Office). CIE reiterated that internationalization at UCSC is not limited to the recruitment of international students and must be tackled by more than the Office of Admissions. CIE supported the report's proposed structure for international education that reports to the Executive Vice Chancellor via a high-ranking international officer on campus, as many aspects of internationalization have to occur outside of the umbrella of undergraduate education. However, the committee noted that the report lacked a clear prioritization of positions and a timeline for implementation. Finally, CIE noted that the report lacked information on key areas such as graduate recruitment and faculty research connections. These areas are key to international recruitment and internationalization in general.

*Proposal for Support of International Student Growth and Campus Globalization (January 2014)*

CIE reviewed VPDUE Hughey's proposal for Support of International Growth and Campus Globalization, which included a funding formula, a proposed new Associate Vice Provost position, and other initiatives. The committee's response to the proposal included feedback on a number of specific points in the report, and also highlighted key broad concerns. CIE noted the committee's strong support of ongoing campus conversations on how to internationalize the campus, and also expressed support for the creative way in which the VPDUE has risen to the challenge of thinking through what internationalization might mean for the campus.

CIE noted that there was limited consideration in the proposal for opportunities for recruitment of international graduate students and for support of international research, and this highlights the challenges of the current location of internationalization under the Division of Undergraduate Education. Along with other Senate committees, CIE suggested a 2-4 year transition shifting internationalization out of the Division of Undergraduate Education to a location drawing more broadly on Divisions, notably the Graduate Division and Office of Research. The committee also noted the challenges of coordination between the Senior International Officer/AVP and the Special Advisor to the Chancellor for International Initiatives. CIE suggested that this relationship will need to be evaluated to ensure continuity and coordination between the two positions.

Further highlighting important omissions, CIE pointed out that the proposal only sparingly addressed areas key to comprehensive internationalization, including opportunities to increase international graduate enrollments, support for international scholars and non-degree students, international faculty exchange, partnerships with foreign universities, support for international faculty research, and language support.

CIE, however, noted its support for the priorities reflected in the proposed use of tuition funding to support global engagement. The committee appreciated the opportunity to comment on the proposal and will be active in continued conversations on this issue.

### *Consultations*

To increase its understanding of campus efforts at global engagement, CIE consulted with the following:

- Special Advisor to the Chancellor for International Initiatives Anuradha Luther: on her charge from the Chancellor and plans for her position, identifying areas of potential cooperation with CIE (October 2013)
- International Education Office (IEO) Director Anne Butler: annual update from IEO (November 2013)
- College 9/10 CAO Deana Slater and Colleges 9/10 Provost Campbell Leaper: on the colleges' international initiatives (January 2014)
- IEO Assistant Directors Alice Hancock and Gina Ippolito and AVP Jessica Fiske Bailey: updates on international scholars and student services and programs abroad (March 2014)
- UCEAP Dean Jeffrey Stoppel: on UC Education Abroad Program (March 2014)
- Vice Chancellor for Planning and Budget Peggy Delaney: on non-resident tuition (NRT) financial projections (March 2013)
- Chancellor George Blumenthal and Associate Chancellor Ashish Sahni: on the topics of internationalization at UCSC, administrative support for internationalization, and current and future internationalization initiatives (May 2014)

### **Continuing Issues for 2014-15**

- UCSC International Contacts and Experiences Survey analysis
- Department Visits data analysis
- Senate Forum on Internationalization—forum will take place in fall 2014
- Continue to assess and monitor how to best support and encourage faculty engagement on the issue of campus internationalization
- Collaborate with the newly hired Senior International Officer on further internationalization of the campus
- Work to identify core program faculty with an interest in developing an International Studies Minor proposal and monitor progress
- Assess how to best support and build on efforts to establish, develop, and institutionalize international research collaborations

Respectfully submitted;

COMMITTEE ON INTERNATIONAL EDUCATION

Arnav Jhala

Peter Limbrick

Rasmus Winther

Joel Ferguson, *ex officio*

Ben Crow, Chair

Egill Bjarnason, GSA

Tony Hoffman, NSTF

Tony Tsujisaka, SUA

August 31, 2014

## COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

### Annual Report 2013-14

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) worked throughout 2013-14 to understand the rapidly evolving climate for our library. The committee explored a variety of ways to adapt library services to the changing academic environment. COLASC also consulted on a Faculty Start-Up proposal, which would link start-up packages to both one-time and ongoing library collections funding.

#### **I. Library Budget & Services**

Currently, the Library budget is split primarily between operations (including staffing) and collections. In 2013-14 there were approximately 65 employees running the entire library operation, which limits its ability to respond to departmental and individual staff requests.

UCSC receives digital content through both systemwide and local licensing agreements. The CDL manages the systemwide license agreements, and UCSC currently pays ~\$1.97 million annually for these subscriptions. These are packages including thousands of titles from which UCSC cannot necessarily pick and choose. Systemwide licenses are beneficial to campus in two ways: they are cheaper than local licenses and they give the campus access to CDL staff and support.

COLASC was concerned about the rationale behind the library budget cuts over the last five years. The committee was surprised to learn that other UC campuses have as much as eight times the staffing levels of the UCSC Library. Many library operations, such as interlibrary loan, are difficult to run with only a few staff members. The increase in graduate study on campus (especially with the current graduate growth mandate tied to Rebenching) has not come with any increase in funding for library services.

COLASC contends that the library's collection budget is currently as low as it can possibly go, given that campus needs ~\$2 million for systemwide subscriptions through CDL and the total collection budget is only ~\$2.3 million.

#### **Library Operating Hours**

Although library operating hours have been relatively stable after the infusion of some new central funding in 2012-13, it is clear that with the current demand for study-space on campus, it would be beneficial to come as close as possible to 24/7 service in the library. COLASC is encouraged that the current plans for the Science and Engineering Library remodel incorporate the possibility of creating space, perhaps even an entire floor, which can be open for student use late nights and weekends. We look forward to the outcome of this planning process.

### **Faculty Start-Up Proposal**

COLASC consulted with Planning & Budget to develop a proposal which would transition the campus from a one-time allocation of library startup funds to some permanent allocation of funding per ladder rank faculty hire.

The committee believes that the best mechanism to fund the Library collections is via a permanent allocation from the overhead funds that are generated from campus research grants, as well as tuition and gifts. This would directly tie the amount to the number of students served, and to the research produced. Many other UCs support the library via overhead funds, something that is not happening at UCSC.

Although the proposal was reviewed by related Senate committees, it has not yet been approved. COLASC itself recommended several alterations to the draft policy, and we look forward to continued discussion in 2014-15.

## **II. Open Access**

On July 24, 2013, Academic Council voted to approve the UC Open Access Policy that was discussed at length by COLASC in 2012-13. COLASC assisted with the testing the new faculty interface for eScholarship, the online repository for scholarly articles. The new interface is much easier to use than the previous version. Early drafts of the Open Access Policy called for mandatory upload of articles regardless of a publisher's disposition on open access. The final version of the policy, though, allows faculty to opt out of the upload of any scholarly articles.

COLASC reviewed two related issues, eScholarship and the campus Biobibnet. The committee was not certain that pursuing this connection is a worthwhile use of resources.

COLASC believes that harvesting eScholarship to populate Biobibnet would lead to extra work for faculty, who would have to cross-check the harvested publications against their own master list to ensure that everything is included for the personnel review.

## **III. Other COLASC Business**

As a part of the UCSC Librarian candidate selection process, members of the Committee on the Library & Scholarly Communication (COLASC) met with each of the three candidates. The three conversations focused on the following topics:

- How to make the libraries more visible and relevant to the whole campus.
- Decision-making strategies.
- Determining library priorities.
- Determining how to provide services that relate to faculty, researchers, graduate students, and undergraduates.
- Fundraising.
- Past experience (notable achievements, areas of expertise).

COLASC discussed and commented on Presidential Policy on Copyright and Fair Use which was circulated in spring.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

Roberto Bogomolni

Donna Farkas

Jennifer Horne

Richard Montgomery (F, W)

Anthony Pratkanis (S)

Elizabeth Cowell, *ex officio*

Luca deAlfaro, Chair

Christy Caldwell, LAUC

Lucia Orlando, LAUC

August 31, 2014

## COMMITTEE ON PLANNING AND BUDGET Annual Report 2013-14

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) had a productive year thanks to close working relationships to our Senate colleagues, to Campus Provost and Executive Vice Chancellor (CPEVC) Galloway, to Vice Chancellor Planning & Budget (VCPB) Delaney, and to other administrators.

### **2013-14 Budget and Budget Process**

The year 2013-14 was pivotal as well as productive, due to a sea-change in the budget outlook for the state, UC and our campus. For the first time in about five years, the campus did not have to take targeted cuts to academic and administrative support units, and no campus-wide budget review was initiated this year.

CPB was therefore able to turn its energy and focus away from budget cutting, and instead actively consult on how the campus should operate in the current “steady-state budget environment.” This environment has two sides. On the revenue side, the campus cannot expect a return to pre-crisis levels of state funding. Fiscal health therefore requires that the campus increase revenue in areas we control: summer session, extramural funding, masters and professional degrees, non-resident tuition, and development. CPB discussed and provided feedback to the CPEVC and VCPB on revenue enhancement strategies.

On the expenditure side, we should still look for ways to do our work more efficiently, but now have the opportunity and the duty to make modest investments in our future. This year, most new investment went to new faculty lines and graduate growth support, the top campus priorities as articulated by CPEVC Galloway. Going forward, CPB will continue to play a proactive role in developing these priorities as part of a campus academic plan.

The next several sections review the major issues CPB dealt with this year. The last section will discuss CPB priorities for next year.

### **Faculty Recruitment**

The Committee on Planning and Budget reviewed the divisional requests for faculty recruitment and met with each Dean individually. The campus target this year was to fund up to 16 new FTE. The CPEVC’s call letter stated “11 positions will be used to support campus strategic investments (minimum 1 per division), three FTE will be available for LSOE/LPSOE<sup>1</sup> hires, and at least two FTE will be allocated for the initiation of cluster hires”. We submitted our recommendations to the CPEVC on May 19, 2014 and were pleased to see that her decisions announced June 17, 2014 were largely consistent with our recommendations, while expanding the number of new FTE to 18. This increase helped to service the numerous clearly articulated

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<sup>1</sup> LSOE - Lecturers with Security of Employment / LPSOE - Lecturers with Potential for Security of Employment.

divisional requests for LSOE/LPSOE hires, which CPB was gratified to see taken seriously as a campus priority.

While discussing our deliberations with the CPEVC, we were encouraged to take a more holistic, academic planning approach to faculty recruitment. The CPEVC call encouraged the Deans to propose cluster hires, defined as comprising two to four faculty hires over two or three years. With the opportunity provided by a more stable funding environment, the idea is to develop world-class excellence by leveraging existing strength in important areas of teaching and research. CPB supports the strategy of leveraging strengths, and explored models for developing clusters outside of the usual divisional recruitment process. CPB members played a key role in developing the Senate's Faculty Initiated Group Hire (FIGH) initiative, which solicited faculty proposals for multiple hires in an interdisciplinary area. Criteria for FIGH preproposals were similar to those of the CPEVC's clusters. The Deans proposed about a dozen clusters, and the FIGH process produced 19 preproposals.

In sorting through all the cluster proposals and preproposals, we found that a majority fell into broader categories that we will refer to as interdisciplinary themes. The logic behind clusters readily extends to these themes: creating a cluster in one specific area can often leverage several adjoining clusters. In some cases, the opportunity to achieve world-class excellence becomes clear only at the interdisciplinary thematic level and crosses divisional boundaries. CPB members identified three interdisciplinary themes that we see as the most promising for UCSC over the next 5-10 years: Cultural Crossings, Data Science, and Environmental Sustainability. These are spelled out in the CPB memo to the CPEVC "Identification of Interdisciplinary Themes and Academic Planning Process," which can be found here - <http://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/reports/fte-recommendations/interdisciplinary-themes-1415.pdf>.

### **Graduate Growth**

As part of the systemwide Rebenching effort, UCSC was allocated additional funds to bring our graduate enrollments up to numbers similar to other UC campuses. The graduate growth initiative is now in its second year. CPB has followed graduate growth developments closely all year and consulted with Vice Provost & Dean of Graduate Studies (VPDGS) Tyrus Miller on two occasions. CPB provided input on the draft Master's Incentive Program, intended to implement a tuition revenue sharing model in Masters enrollments to incentivize enrollment growth and new program development and to create revenue that can support Ph.D. enrollment growth. CPB also reviewed CPEVC augmentations to the Graduate Division's resource allocation for the purposes of funding additional graduate support. We understand and appreciate the substantial jump in Ph.D. enrollment at UCSC last fall, but understand that preliminary data suggests fairly flat Ph.D. enrollment and some increase in M.S. enrollment for Fall 2014.

In consultations with VPDGS Miller, we expressed concern that the specific strategies and impacts of the Graduate Division's graduate growth efforts (the "ground game") were not widely known and understood among all faculty. To rectify this, we recommended that VPDGS Miller author a White Paper which explains the variety of incentive, student support, and institutional support strategies which he has negotiated with various departments for Ph.D. growth over the

past two years. We also recommended that information on the impact of the Masters Incentive Program and the trends in Masters and post-doc populations as well as Ph.D. populations be included. VPDGS Miller indicated such a document would be available for review sometime during summer 2014.

### **Internationalization**

International (and, to a lesser extent, domestic non-resident) student enrollment growth has been a major issue for our campus for several years. CPB has been actively engaged and has provided considerable feedback to the relevant administrators through consultation and in writing. We began the year evaluating the international consultant's "International Recruitment Assessment" as well as a report prepared by the Undergraduate Education (UE) Division, "International Student Growth and Campus Globalization." These reports assess the current status of international student recruitment and support, and propose strategies to cultivate our reputation and recruitment in particular regions as well as build campus support structures for our current and prospective international students. CPB's responses can be found in [Appendix C](#) of this report.

While Senate committees have not yet had time for a full review, CPB was able to respond to a draft version of the joint UE/Planning & Budget document "International Support Resource Plan" (ISRP) (June 2014). This document at last begins to specify the campus funding commitment to support recruitment, yield, and retention efforts of international students to meet or exceed LREP planned growth through 2017-18. We regard this document as a good starting point. Our response made three recommendations:

- Accelerate the hire of the leadership team, the Senior International Officer and the Director of the International Education Office. Ideally they will be in place by Fall 2014, to deal with the large influx of new international students and to build sustainable structures for recruitment and retention.
- Identify as soon as possible a central location ("one stop shop") for international students to access resources and support personnel.
- Develop a central funding model for necessary support courses such as college core, writing and Academic English courses, to replace the current ad hoc approach.

### **Impaction and Undergraduate Student Success**

CPB formed a joint subcommittee with CEP to focus on the issue of impaction of majors. It came to the conclusion that the most important aspect of impaction was its effect on students' timely graduation and retention. To better understand impediments to timely graduation, the subcommittee examined data on time to degree by major (supplied by VPDUE Hughey's office but not certified by Institutional Research) and over enrolled classes (supplied by the Registrar). These data along with the following recommendations for future actions were conveyed to CPB at its May 29, 2014 meeting:

- The administration's Student Success Steering Committee is the best avenue to pursue the issue of impaction, and the CPB/CEP subcommittee should be disestablished. The SSSC should report to CPB on progress quarterly.
- A faculty member with expertise in statistics should be added to the SSSC to help establish the best practices for data collection and analysis.



- The SSSC, led by Undergraduate Champion Jaye Padgett, should work with Summer Session to help alleviate over-enrolled gateway classes and majors that have many students taking longer than the average time to graduate.
- AIS wait lists should be utilized for all classes so that all over enrolled courses can be systematically tracked.

### **Summer Session**

The CPB Subcommittee on Summer Session examined how Summer Session might meet the CPEVC's twin goals of its helping to improve graduation and retention rates and doubling enrollments. UCSC Summer Session is under-enrolled relative to other UC campuses, enrolling about 15% of FWS average enrollments versus the other UCs, which enroll 22% to 27%. UCSC undergraduates make up 90% of Summer Session students. In a recent survey students pointed to the high cost of housing, the limited financial aid available, and the small number of courses offered by regular faculty, as major reasons they do not take summer courses at UCSC.

Summer Session Director Monica Parikh is making a wide range of low-cost reforms aimed at serving both campus goals. These include:

- Summer Session enrollments in 2014 will be added to AY enrollments in determining TA allocations for the academic year, and the Central Administration will distribute 48-60 new TAs to Divisions in 2014 and 2015.
- Financial aid will be increased somewhat to a limited number of high-need students in 2014.

While those changes promise to improve Summer Session enrollments, we think more aggressive reforms (some of which are already under consideration) are needed to make real progress. These include:

- Putting a 15-unit (or lower) cap on tuition paid for Summer Session.
- Fast-track pathways for high-impact majors using Summer Session and enabling students to graduate a year earlier. One or two should be piloted next year.
- Removing other ways Summer Session is under-resourced or disadvantaged relative to AY quarters, e.g., TA salaries.

CPB has two main recommendations at this point:

- The goal of doubling Summer Session enrollment is unrealistic and should be relaxed somewhat. Reaching parity with other UC campuses – increasing enrollments by 50% – would require the more aggressive reforms mentioned above.
- Director Parikh should continue to convene a Summer Session Strategy Group to review progress and make plans for the following year. It might help to add faculty and academic division members, who may serve as liaisons during the year. She should work with the VPDUE and VCPB on an eight year plan that works towards increasing enrollment and improving Summer Session's contribution to UCSC academic mission.

A CPB report on Summer Session can be found on [Appendix B](#) of this report.

## **Silicon Valley**

For the last decade or so, the campus has debated when, how, and at what scale to develop a Silicon Valley presence. Besides continuing individual faculty relationships with Silicon Valley firms and the UARC contract, the apparent strategy recently has been to offer new professional masters programs through the Engineering School, and to somehow build on those. Of the two such programs launched last year, it appears that the Game Design M.S. program has met some success, but the Technology Management program remains in the pilot stage. The way forward is unclear.

Last fall, CPB urged the administration to convene a small informal meeting with key Senate and Administration players right away, to try to develop the rudiments of a more coherent strategy. The administration agreed, but the meeting didn't take place until April 20th, and it was a much larger and more formal affair than the "working group" CPB envisioned. The only product of that meeting so far is a one page statement of principles, found in [Appendix D](#) of this report.

We hope to see far more rapid progress next year on planning UCSC's future in Silicon Valley.

## **Regular Committee Business**

### FTE Review

CPB reviewed the divisional requests for faculty recruitment authorizations for 2014-15, including (as noted earlier) requests for 16 new centrally funded positions. The divisions made 41 total requests, 27 of which were for the 16 new slots. The committee consulted and made recommendations on several partner-hire requests, and waivers of open recruitment. CPB also reviewed and made recommendations on four Target of Excellence (TOE) appointments and one Presidential Post Doc appointment.

### Program Review

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

CPB also reviewed proposals for the establishment of the Languages & Applied Linguistics Department and the Computational Media Department; for the establishment of a new B.A. program in Critical Race & Ethnic Studies, an M.F.A. program in Environmental Art and Social Practice, an M.S. program in Scientific Computing and Applied Mathematics, an undergraduate minor in Sustainability, and a Joint Bachelor/Juris Doctor Program with Hastings Law School, as well as the disestablishment of the American Studies Department.

## **Other Campus Reviews**

CPB also reviewed the following:

- Campus Online Education Course Agreements
- Waivers of Open Recruitment Policy
- Faculty Start-Up Funding (Library Collections)
- Master's Incentive Program Proposal
- Online Course Proposals - Cross Campus & Coursera
- Overseeing Deans of Academic Programs

- Silicon Valley Academic Plan Review
- UCSC Faculty Mentoring Program
- Campus WASC Accreditation Review

#### ‘External’ Review of Administrative Divisions

In recent years, the campus has fostered a practice of reviewing administrative divisions and/or units at a rate of approximately one per year. These reviews follow a protocol similar to that for reviews of academic departments, featuring a self-study, review committee findings, constituency review which includes Senate Committees, and a chance for the division to comment and close on the findings. Recent reviews which provided detailed and useful data were completed for Information Technology Services and Office of Research. Unfortunately, no such review was carried out in 2013-14. CPB strongly urges that the administration re-start this practice, and create a prioritized schedule for the review of our campus administrative divisions. This practice is especially important in the emerging environment of stabilizing budgets.

#### **Systemwide Issues**

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

- Revisions to the Compendium
- Professional Degree Supplemental Tuition (PDST) Policy Proposal
- Bylaw 55 Proposed Revisions

#### **Continuing Issues for CPB 2014-15**

Next year should be as productive as 2013-14. Beyond continuing efforts with enrollment planning (especially international and domestic non-resident students), CPB anticipates engaging with the administration’s major academic planning exercise. We expect the exercise to include faculty recruitment plans that integrate the divisional, cluster, and FIGH processes. The top priority should remain building the campus’ overall profile in research and teaching, but we hope to see more attention paid to departmental teaching loads.

CPB also anticipates engaging with the administration as it reworks the existing model for allocating funds to the academic divisions to support instruction and research. Several deans want to break the tight link between new FTE slots and I&R funding increments, but the appropriate alternative model is not yet clear.

As the campus adapts to the new steady-state budget environment, CPB would like to participate in an in-depth rotating annual review of important segments of the campus budget. The idea is to address the budget proactively and avoid responding only to emergency situations or proscriptive budget cuts.

One budget segment we have in mind for next year is the recharge system. CPB has been concerned about recharges for several years, see for example our 2012-13 annual report ([http://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/minutes-agendas/12\\_13cpb\\_ar.pdf](http://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/minutes-agendas/12_13cpb_ar.pdf)). Next year we hope to renew our focus, probably starting with Information User Charges (IU) which have caused seemingly unwarranted difficulties at least to Academic Divisions. The effort to understand and reallocate Divisional resources should provide an opportunity to re-address IU. More generally, CPB is concerned that in some areas recharges

may create excessive workload for staff that we can no longer afford. We will seek ways to streamline and realign the recharge system with the new budgetary environment.

Another segment of the campus budget we hope to deal with next year concerns new housing and capital planning. Significant growth in faculty and graduate students, together with modest growth in the undergraduate population will require new construction, but the whole process seems a bit rusty after years of retrenchment, and needs a fresh look. We need to understand how our construction costs compare to those in private industry and to those of other campuses, and how we can get better value for our investments in physical capital.

Respectfully submitted;

**COMMITTEE ON PLANNING AND BUDGET**

Zsuzsanna Abrams

Sue Carter

E.G. Crichton

Susan Harding

Suresh Lodha

Eric Porter

Abel Rodriguez

Susan Schwartz

Don Brenneis, *ex officio*

Joseph Konopelski, *ex officio*

Dan Friedman, Chair

Whitney DeVos, GSA

Guillermo Rogel, Student Rep.

## **APPENDIX A**

### **HOW CPB FUNCTIONS**

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

## **APPENDIX B**

### **SUMMER SESSION REPORT**

The CPB Subcommittee on Summer Session examined how Summer Session might meet the EVC's twin goals of its helping to improve graduation and retention rates and doubling enrollments by 2021. We consulted with VPDUE Richard Hughey, Summer Session Director Monica Parikh, Faculty Advisor to the EVC Jaye Padgett, CPB colleagues, and staff from Planning and Budget and the Faculty Senate. We also reviewed VPDUE Hughey's April 2014, draft report, "Summer Session 2015: Additional Strategies for Growth"; information from the Class Availability Student Survey (2014) pertaining to Summer Session, and additional documents produced by Planning and Budget and Summer Session.

UCSC undergraduates make up 90% of Summer Session students. Undergraduates responding to the recent CLASS survey cited the following as primary reasons for taking summer session classes:

- To take major classes (94%)
- To graduate on time or sooner (89%)
- To take GE courses (58%)
- To participate in an internship/field study (53%)
- To take an elective (49%)
- To participate in an academic summer program (42%)
- To remain in the area because of my job (40%)

Despite such interest, UCSC Summer Session is under-enrolled relative to other UC campuses, enrolling about 15% of FWS average enrollments versus the other UCs, which enroll between 22% and 27%. Moreover, enrollments have been declining steadily since 2010.

Students responding to the CLASS survey emphasized the high cost of summer session and summer housing as well as the limited financial aid available as major reasons they do not take summer courses here. Anecdotal information suggests we're at a disadvantage because Santa Cruz is small and proportionally fewer of our students live here than, say, in LA, San Diego, or the Bay Area. We've also learned of student dissatisfaction with the course offerings during Summer Session and with the relatively small percentage of regular faculty found in Summer Session classrooms. In 2013, for example, only 16% of instructors of Summer Session classes were regular faculty.

Changes underway to meet the EVC's goals include:

- Director Parikh is making a wide range of low-cost reforms aimed at serving both campus goals (for example, in curriculum planning and content; communication with other units and students; TA allocations; and by increasing impacted courses offered).
- In 2014, Summer Session enrollments will, for the first time, be added to AY enrollments in determining TA allocations for the academic year, and the Central Administration will distribute 48-60 new TAs to Divisions in 2014 and 2015. This will motivate Departments to offer more large courses in Summer, assuming the TAs are distributed to Departments in proportion to their Summer enrollments.
- Financial aid will be increased somewhat to a limited number of high-need students in 2014.

These changes promise to improve the quality of Summer Session and seem likely to increase enrollments. Departments have offered more courses for 2014, and preliminary figures suggest modest growth in student headcount and numbers of units they are taking on average. Such growth, however, is not on track with the ambitious enrollment goals proposed by the EVC, and more can be done to link summer session to the campus's academic mission and, particularly, to the goals of improving time to degree and retention.

We think more aggressive reforms (some of which are under consideration by Jaye Padgett, VPDUE Hughey, Summer Session, and Planning & Budget, and all of which require funding of some sort) are needed to make real progress. They include:

- Putting a 15-unit cap on tuition paid for Summer Session across both sessions. The fact that the summer program is broken into two sessions for purposes of the cap (ie, students might end up paying for 20-25 units over the two sessions rather than for a "cap" of 15 for both sessions) is likely a major factor in our relatively low enrollments/units taken. Summer Session and Undergraduate Education are also considering various plans for offering discounts for units taken above an even lower cap. The "pay for 12" plan discussed in the VPDUE's draft report seems to be the variant with the most potential. Although it would cut the "margin of profit" for the Center, it might make up for that by substantially increasing enrollments and making Summer Session a livelier and more attractive option. We strongly recommend that the VPDUE and Planning and Budget collaborate to put such an arrangement in place for 2015.
- Fast-track pathways for high-impact majors using Summer Session and enabling students to graduate a year earlier. Data from the CLASS survey suggest that there is significant interest in 3-year tracks. Almost half (44%) of four-year students said they "would be" interested in pursuing a fast track version of their major and 40% said they "might be

interested.” 92% of current freshmen said they would or might be interested in pursuing a fast track version of their major. VPDUE Hughey and Director Parikh both seem to favor moving forward by piloting fast tracks in two or three high impact majors. We urge them to begin working on this immediately, perhaps in coordination with Faculty Advisor Padgett, who has expressed interest in this approach to improving time to degree. Piloting fast tracks will require, 1. administrative commitments and financial incentives for departments, including extra staffing during summer, and 2. incentives for more faculty to teach during summer.

- Removing the various ways Summer Session is under-resourced or disadvantaged relative to AY quarters, for example: equalize financial aid available with AY quarter aid; increase on-campus housing; enable regular faculty to count Summer Session teaching as part of their AY workload (instead of additional 1/9<sup>th</sup> salary); equalize Summer TA and GSI with AY pay (it's 77-80% now); increase rebates to Departments for Summer Session teaching; incentivize all Departments to think about Summer Session more actively in their AY curriculum planning. Removing these impediments will require better coordination among various groups on campus. Toward that end, we recommend that Director Parikh continue to convene a Summer Session Strategy Group (adding faculty/Division, who may serve as liaisons during the year) to review progress and make plans for the following year, and that she work with the VPDUE and Planning and Budget on a detailed 8 year plan that works toward the EVC's goals and improving Summer Session's contribution to UCSC academic mission.
- Increasing Summer Session staff. None of these aggressive reforms can be undertaken without more robust staffing of the Summer Session office. Director Parikh has only had one full-time staff member at her disposal, and that person has recently resigned. We have learned that the VPDUE has considered increasing Summer Session staff to three full-time positions. If he has not already undertaken this step, we recommend that he do so immediately.

While the EVC has set a target of doubling enrollment in eight years, we think that goal is unrealistic and likely counterproductive. We recommend focusing attention on reforms that serve Summer Session students and improve its academic mission. As these reforms are carried out, we may see a more plausible rate of growth and perhaps some, though certainly not all, of the budgetary benefits envisioned by the more aggressive growth estimates.

## **APPENDIX C**

### **INTERNATIONAL MEMOS**

The CPB was encouraged to see progress on plans for campus internationalization, and we are happy to respond to your request quick feedback on the interim draft report. To that end, the following comments recap some of the key issues you raised in that report and in your consultation, and include our suggestions and follow-up questions.

1. We agree that (a) internationalization of the campus is an important goal in its own right, and (b) non-resident growth targets (for budgetary reasons) can only be achieved by rapid internationalization of campus.

- CPB continues to emphasize the need for appropriate support structures for international students. The revenue they do and can bring in must be used in part for establishing adequate resources for them in terms of pre- and post-admissions outreach, recruitment, advising, curricular supplements (e.g., L2 writing and language courses, possibly targeted core courses, etc.), amongst others.
  - To this end, CPB would like to receive updates regarding the current cohort's grades in writing and mainstream courses as soon as fall grades are available, and regular updates on hiring staff in crucial support positions (e.g., in the International Education Office).
  - CPB also feels that "early alert" mechanisms need to be established to monitor the performance of international students in their courses. Waiting until grades are available at the end of the quarter to make decisions and intervene appears to the committee to be a recipe for disaster.
2. It is a useful exercise to ponder internationalization impacts on UCSC's emerging identity: how we think of ourselves as an international campus.
- Updates on international efforts should include the following: What outreach is being made to spread the UCSC brand overseas, which is crucial for attracting excellent international applicants? What internal inquiries are being made to ensure that effort is supported by all stakeholders on campus (students, faculty, staff, alumni, etc.)?
  - Since Dr. Anuradha Luther Maitra's position is limited to a two-year term, we would like to know how faculty will be involved in the recruitment and program-building process, to ensure the program's continuity, ergo viability.
3. We were pleased to hear the developments in Summer Session that will provide essential scaffolding for international students, such as courses, and an orientation program more integrated with both the students' and UCSC's needs.
- We would like to hear more details about the way resources will be allocated for grants and return-to-departments from non-resident tuition (you mentioned 2%), for study abroad (5%) and for prospective student recruitment (10%). Specifically, we'd like to know more about how these percentages were determined and what measures will be used to assess whether these are the most effective uses of these funds.
4. CPB remains quite concerned about leadership positions for internationalization, specifically, that roles are currently unclearly distributed among various individuals, with apparently limited communication between them and other stakeholders (e.g., college advisors, provosts, IEO staff, etc.).
- We support your goal of appointing one person with a 100% appointment. Some committee members felt that your proposal to split the appointment with 75% attention to inbound students, and 25% to outbound students may make it difficult for either issue to receive adequate attention. At the same time, some committee members are concerned that establishing this position so early at this level may reduce flexibility as we learn more about campus needs. Perhaps this structure will need to be re-evaluated a year or so down the line in terms of long-term effectiveness.



- Near term, we would like to see the job description for the head of internationalization (title TBD) as soon as it is available. It is essential that that this person has enough authority to communicate and implement important steps in internationalization across the entire campus.
  - We would like to see regular, physical meetings between key stakeholders to make the internationalization process transparent and as smooth as possible, especially over the next year or two. At the very least, there should be regular meetings for admissions, faculty who do recruiting, pertinent departments, the VPDUE's office, and perhaps SEC representatives, as we deal with (and learn from) the first cohort that is already here and work on recruiting the next cohort. Effective communication is key to success.
5. The committee agrees that developing a “go-to office” for international students (and possibly for faculty and staff information about international students) is a key next step. The Senate should be consulted in the process of design and implementation:
- This location should have enough staff resources to provide thorough information to students (e.g., about visas, course-work, advising, etc.) and a staff sensitive enough and trained to deal with international students' concerns.
  - The office must also have authority and resources, as well as provide a social “home” for international students. This is crucial for making international students feel safe. This location should be functional by the arrival of next year's cohort at the latest.
6. We ask that the VPDUE's office continue to examine what programs may have the biggest impact on increasing our international student population. How can recruitment be made more effective? How can existing connections with overseas programs be made stronger and new ones be created? What communication plans will be the most attractive and competitive for attracting top-notch international students?
- CPB feels that there should be an individual responsible for communications in the Office of Admissions to work specifically with international student populations. This position should be expected to work closely with the head of internationalization as well.
  - We ask that the Ambassador Fellowship Program (draft) be examined for potential use with undergraduate students (in addition to or as an alternate to graduate students).
  - The amount and distribution of scholarships to international students needs to be revisited to ensure that the \$4,000/\$6,000 amounts are the most effective at recruiting and retaining international students. CPB would like to know more about how this effectiveness is measured and what changes are considered as data becomes available. In particular, the committee feels that a flexible scheme for financial aid to international students should be developed to eventually replace the current uniform grants.

The Committee on Planning & Budget (CPB) thanks Vice Provost & Dean of Undergraduate Education Hughey for circulating the *Proposal for Support of International Student Growth and Campus Globalization* (December 20, 2013), and the associated job description for an Associate Vice Provost of International Education. We heartily agree with the goals stated in the report title and elsewhere in the report, but respectfully disagree with the approach these documents take to confronting our challenges.

We write to you now (with copy to CP/EVC Galloway) because the issues concerning international education are campus-wide and interconnected, and are not fully contained within the purview of the Undergraduate Education division. We are recommending a different course than that outlined in the documents circulated by the VPDUE, a course that we believe will bring greater success at lower cost.

The current proposal and job description lack two indispensable ingredients: a clear description of what a successful international operation would look like at UCSC five years from now, and an early infusion of expertise to bring coherence in dealing with our multiple challenges. So far the campus response to our challenges has mainly been asking staff whose primary responsibilities lie elsewhere to work with each other on an ad hoc basis. We see the same approach implicit in the current documents. Specifically,

1. The job description for an AVP of International Education keeps the current administrative structure intact, and expands an existing position reporting to the VPDUE from 50% to 100% time. The AVP would have responsibility for outbound undergraduates (EAP) as well as incoming undergraduates, and would connect to Admissions only through overworked officers higher on the organization chart. The AVP would not have the mandate to work with dimensions of campus globalization beyond undergraduate education, such as building pipelines that include graduate student and research components. It seems to us that this job configuration will do little to bring coherence to our internationalization efforts.
2. CPB recommends, by contrast, that the next international officer hired be placed higher in the administrative structure, perhaps as a Vice Provost, and have primary responsibility for building our international programs for undergraduates, graduate students and faculty. The point is that our needs are interconnected and extend beyond the scope of the Undergraduate Education division. Our recommendation is consistent with that in the recent consulting report by Ian Little. More importantly, many other campuses have mounted successful international programs in recent years and, to the best of our knowledge, all of them have a campus-wide chief international officer (CIO) with broad responsibilities and professional expertise. We attach typical job descriptions as an appendix to this memo.
3. To elaborate on the last point, we believe that it is essential that the CIO address immediate and ongoing issues in communication and collaboration in and beyond the Undergraduate Education Division. The CIO must handle the logistical (e.g. legal and pipelines) issues and implementation. The proposed AVP position satisfies neither of these roles, and might over-complicate the process of implementing this preferred structure in the future.

4. The proposed AVP position continues to conflate EAP (abroad) roles and responsibilities with those of international recruitment and partnerships, which CPB views as non-aligned goals for one position to manage without clearer articulation of the other support positions involved.
5. The CIO needs to have a clear mandate for Senate collaboration and interaction. The current AVP job description includes no such mandate.
6. Plans must be clearly articulated for establishing and maintaining diverse international student pipelines. Experience here and elsewhere shows that such pipelines stabilize enrollment growth and greatly improve international student success at all levels. The VPDUE report implicitly assigns pipeline responsibility to the Special Advisor to the Chancellor position, under the unlikely assumption that that position will be in place for up to 10 years. Although the Special Advisor may help initiate pipelines and international partnerships near term, it seems evident that other administrative structures will be necessary for maintaining them even in the medium term.
7. We would like to see a clear analysis of how the lower level hires within UE and the EAP office will be handling the administrative work and provide support for the VP/AVP. This is a key concern given the difficulties in communications within the current structures.
8. It is essential that physical space be purposed as a hub for international students, faculty, and staff. This area will provide the scaffolding of essential community for this population, and perhaps be proximate with support services. This recommendation also is clearly articulated in the consultant report, but seems not to have been heeded.
9. We do not yet have a clear business plan. Surely some direct return of resources from non-resident tuition (NRT) to international operations is reasonable. The current proposal calls for certain percentages of NRT to be plowed back in specific ways. We await the analysis of the funding formula from Planning and Budget and understand that you cannot make decisions without it, but in the meantime we have two general points to make.
  - b. Some initial investment is required up front. At present, this investment is scattershot, with many individuals asked to acquire bits and pieces of international expertise, and to coordinate their efforts, at the cost of taking time away from their regular tasks. Retention and transmission of expertise is problematic, further raising implicit costs. Explicit expenditure on a single individual with the necessary expertise would greatly reduce these costs, and save money in the long run and perhaps even (with full accounting for implicit costs) in the short run.
  - c. As NRT revenues expand, a decreasing fraction of them will be needed for operations.

For the last several years, CPB has been discussing issues regarding non-resident enrollment and internationalization with increasing frequency and urgency. We know that the VPDUE and other leaders in the administration take these matters seriously and we respect their thinking. Nevertheless, the discussions within CPB have led to a strong consensus opinion that:

- A. We have an immediate need for a plan of the desired administrative structure when international enrollments approach steady state numbers and other aspects of globalization begin to mature, perhaps five years from now. In other words, we need to know now where we are headed, and let that guide our immediate actions.
- B. The next filled administrative position must function to coordinate all campus efforts, and bring expertise across the many areas involved. Therefore we recommend giving priority to a professional (career) position that will become part of a future sustainable international structure, rather than to the AVP position as presently defined. Again, to clarify the difference, we attach several sample job descriptions we harvested online.

## **APPENDIX D**

### **VISION FOR UC SANTA CRUZ IN SILICON VALLEY**

As the closest UC campus to Silicon Valley, UC Santa Cruz should serve its population and utilize its vast expertise, facilities and innovative spirit to enhance our research, teaching, and service mission. A physical presence in Silicon Valley will bring closer collaborations between UCSC faculty and students with Silicon Valley professionals and researchers. For students living in the Bay Area, it provides research and training opportunities that are better balanced with their work and family demands. Due to Silicon Valley's global reputation, UC Santa Cruz's physical presence in Silicon Valley will increase our international and regional profile, helping to attract additional non-resident and summer school students. Finally, a physical graduate campus in Silicon Valley will allow us to pursue new growth opportunities in research and instruction that are currently limited (by the LRDP) to 19,500 on-campus student FTE and the lack of affordable housing in Santa Cruz.

Our research mission in Silicon Valley will focus on areas that benefit from access to Silicon Valley expertise, instrumentation, technology, and facilities provided by industry and government agencies. These areas of research could include: high performance computer, software, semiconductor, and energy technologies; research in aeronautics, space technology, geology, oceanic, and atmospheric science in collaboration with government agencies (NASA Ames, USGS Menlo Park, NOAA); research that utilizes government-run synchrotron and materials facilities (LCLS, SSRL, SLAC, MACS at NASA Ames, Stanford Nanofabrication Facility); and research and creative activity that takes advantage of the vast cultural and ethnic diversity, international communities, urban infrastructure, museums, libraries, and performing art venues available in Silicon Valley.

Our teaching mission in Silicon Valley will complement our research mission, and include professional masters and doctoral programs that may uniquely serve Silicon Valley or be co-offered with a main campus program, academic masters and Ph.D. programs that are primarily based on the main campus but involve internship or research components in Silicon Valley, internship and practical training for upper division undergraduates from the main campus, and continuing education opportunities for Silicon Valley professionals in collaboration with UC

Santa Cruz Extension. Organized internship and collaborative programs with Silicon Valley industry and government organizations will open up opportunities for our students for on-the-job education, learning of new skills, and financial support.

Our service mission in Silicon Valley will align with our research and teaching mission and enable our faculty to apply their expertise for the good of the local communities, such as assisting with sustainable planning for urban cities, providing expertise for policy decisions involving education and the environment, and serving the needs of diverse communities in Silicon Valley. Working more closely with the entrepreneurial community in Silicon Valley will provide valuable resources and experience that will benefit entrepreneurship on the main campus and result in job creation in Silicon Valley, Santa Cruz and Central Coast enabled by UC Santa Cruz innovation.

## **COMMITTEE ON PREPARATORY EDUCATION**

### **Annual Report 2013-2014**

To: Academic Senate, Santa Cruz Division

#### **Introduction**

The Committee on Preparatory Education (CPE) met throughout the academic year to discuss specific issues related to its charge. Members' discussions focused on a pro-active agenda with regard to strategies for writing, writing resources, ELWR, native and international student progress, and the online Mathematics Placement Exam. The work and accomplishments of the Committee during the 2013-14 year are summarized below.

#### **New International Baccalaureate (IBH) Exam English A: Literature for C1**

CPE reviews writing composition issues and concerns with regard to C1 satisfaction and has purview over decisions in consultation with the Committee on Educational Policy (CEP). This year CEP approved the International Baccalaureate (IBH) English A: Literature exam to satisfy C1 and ELWR with a score of 5, 6, or 7. UCOP announced earlier that such scores would also satisfy ELWR. Due to time restraints, CEP was not able to consult with CPE before making this decision.

#### **Online Math Placement Exam (MPE)**

CPE has been closely involved with the Mathematics Department's version of an online math placement exam by participating in reviewing annual data reports and test questions. This year the committee requested the test questions for review and comment. It is our understanding that each question on the exam is drawn from a pool with 43 questions. The exam chooses randomly from the pool so the answer is the same but the questions are varied. Members agreed the exam could use editing and revision of the order of questions. Ideally, the test should be global with key placement of multiple choice questions, increasing in difficulty as the test progresses to avoid brain fatigue. Committee members sent a request for suggested changes and received a response from the Mathematics Department Undergraduate Chair Debra Lewis who shared these concerns. The Department plans to create a committee during the summer which will review the questions and recommended changes. CPE will follow up with the Mathematics Department in fall quarter.

During our discussion, members raised the question of which UC campuses offer online math placement exams. Committee members learned that only four campuses do not offer an online math placement exam: Irvine, Riverside and Santa Barbara.

#### **International Student Growth and IO Staff Position Review**

CPE was asked to review and write a response to the Senate Executive Committee (SEC) on VPDUE Hughey's proposal for support of international student growth and campus globalization, including the job description for a potential Associate Vice Provost of International Education. The committee was impressed with the comprehensive proposal and financial planning for international growth, faculty initiatives, need-based financial aid and scholarships, diversity, recruitment, and retention initiatives. But members' concern was focused on the proposed Associate Vice Provost of International Education job description. CPE

members all agreed this position should be at the Vice Provost level filled by someone with expertise in the area of international student issues. Further, this senior administrator should be afforded authority over resources. Members are concerned the proposed budget maybe inadequate given the challenges in this area.

### **Entry Level Writing Requirement (ELWR) Writing Update**

ELWR is a UC Systemwide writing requirement. The committee discussed exam scores and AP course credit to satisfy the Analytical Writing Placement Exam (AWPE) and in light of the ways in which these tests have changed CPE agreed that the International Baccalaureate (IBH) English A: Literature or AP Literature exam is fine for ELWR satisfaction, but not the SAT exam due to changes in the essay presentation. At UCSC, there was a study of SAT scores regarding the correlation to placement for ELWR. After the study, no correlation between scores and placement in Core courses was found. The score of 680 on the SAT does satisfy ELWR, but many students still required help with developing writing skills.

ELWR Coordinator Hope–Parmeter updated members on students who were not ELWR satisfied and need to be enrolled in ELWR classes (writing courses) to satisfy the requirement before their fourth quarter or face having enrollment problems the subsequent quarter. Students are not signing up to take the required courses. The present email notification does not seem to be working. Several ideas were presented such as setting prerequisites or placing holds on enrollment. After the end of their fourth quarter, students face being barred from enrollment but can pass the C1 requirement by passing the AWPE Exam on campus during spring quarter, or taking a Community College course (and then take the AWPE.) The data that was provided to the committee also included the passing rate of international students and it is not yet clear if this group needs more support. Members had planned to review the data at the end of spring quarter, and will review it thoroughly in fall quarter. Members sent a request to Registrar Sanger for other possibilities that can be developed in AIS, and CPE will consult with him in fall quarter.

### **International Student Concerns with Support for Writing and ELWR Satisfaction**

Members were advised from writing instructors that international students have different sets of skills and styles of English composition due to their cultural backgrounds, for example: academic writing in the U.K. is very different from American academic writing. Writing for American academic standards tends to be very challenging for students accustomed to other academic cultures.

This year the Analytical Writing Placement Exam (AWPE) scores were very low due to the prompt, which students found confusing. The level of student participation also dropped and their overall essay passing rate was down. The normal passing rate is 50%, this year, only 39% passed. Furthermore only 13% of the international student population passed. CPE members requested data on international student progress at UCSC, but unfortunately, the report came in after the committee stopped meeting for the year. The report will be reviewed by the 2014 -15 committee membership. Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey has offered to consult next year on the outcome of the report. He points out the study does raise significant concerns with respect to satisfaction of the Entry-Level Writing Requirement (ELWR), an issue that all UC campuses are struggling with. 43% of the international students who were ELWR-unsatisfied at the start of fall quarter satisfied the requirement by the start of

spring quarter; in comparison to 75% of the domestic students who began as ELWR-unsatisfied. CPE has adopted the following initiatives for undergraduate international students, starting fall 2014: month long summer sessions for international-students ten-day orientation, international-specific ELWR-unsatisfied writing courses, specialized language courses in English, alternative Core course structures, and a peer mentor program. These initiatives are aimed at achieving our ultimate goal of international student graduations. The Language and Applied Linguistics (LAL) Department (formerly the Language Program) has also been working with Admissions to advertise a course on writing linguistics to help the students after they arrive. Among those course offerings, there will be three 3-unit summer session courses: Writing, Conversation, and Navigating the Research University. The instructors are creating writing sections of 14 – 15 students each, based on materials related to international students' interests. Last fall the LAL Department introduced grammar and editing classes especially for international students to meet their needs.

### **Follow Up on Retention with Faculty Assistant on Matters of Retention and Time to Degree Jaye Padgett**

CPE members consulted with Professor Jaye Padgett, who is a special assistant to CP/EVC Galloway on issues of student retention and success rates in our majors. He presented issues for student success and offered a list of recommendations the steering committee will address this year that came out of the report last year by the Undergraduate Student Success Task Force (USSTF). Some of the recommendations included:

- Creation of community
- Campus life
- Communication between units on campus
- Degree audit progress
- Mobile Apps adoption
- Predictive analytics: should the campus purchase data mining software from an outside vendor?

CPE will follow up on the report in fall quarter.

### **Recommendations for CPE 2014-15:**

- Follow up in fall quarter with Special Assistant Padgett on the Student Success Steering Committee Spring 2014 report.
- Review new data on the MPE online results in table format from last year. The Mathematics Department will form a task force in the summer to review the question types and order for the MPE exam and will update CPE in fall quarter.
- Review the report on additional writing course sections, if any, with regard to progress of international students and ELWR.

Respectfully submitted;

COMMITTEE ON PREPARATORY EDUCATION

Gabriel Elkaim

Abe Stone

Bruce Cooperstein, Chair

Sarah-Hope Parmeter, ELWR Coordinator

Stephen Sweat, NSTF

August 31, 2014



## **COMMITTEE ON PRIVILEGE AND TENURE**

### **Annual Report 2013-14**

To: Academic Senate, Santa Cruz Division

#### **Grievances**

One grievance was filed with the Committee on Privilege and Tenure (P&T) this year. The committee did not find *prima facie* for the grievance.

#### **Charges**

No charges against any member of the faculty were presented by the administration to P&T this year.

#### **Policy Review**

P&T provided advice on several proposed changes to both the system-wide Academic Personnel Manual (APM) and the Campus Academic Personnel Manual (CAPM). Most notably, during the 2012-13 academic year, substantial restructuring to the APM 600 series was proposed. P&T pointed out numerous errors and unclear wording in the draft and asked that the draft policy be withdrawn and recirculated once edited. This year, P&T found the resubmitted draft for review to be more consistent throughout and responsive to many of the concerns raised last year. Implications of the revisions, however, raised a concern that the inconsistency between UC salary scales may make it more difficult for individual faculty members to benefit from salary increases with intercampus transfers if they come from campuses on the lower end of salary scales. The same unevenness may make it difficult for the lower-paying campuses in negotiations and recruitments. P&T also raised concerns about the proposal to amend Senate Bylaw 55 to allow the extension of departmental voting rights on academic personnel actions to non-Senate faculty in the Adjunct Professor or Health Sciences Clinical Professor series. P&T could see the potential for privilege and tenure issues to arise where a majority of voting faculty are non-Senate and are not experiencing the same faculty life or being evaluated with the same expectations as a Senate minority.

At the campus level, P&T made recommendations on several proposed revisions to the Campus Academic Manual (CAPM), including those to CAPM 402.200 – Deferral and Mandatory Review, and proposed new CAPM 101.000 – Waivers of Open Recruitment for Senate Faculty Positions. The committee also reviewed a draft Campus Online Education Course Agreement in April 2014. The agreement, intended to protect both the university and faculty, was thorough in anticipating important issues that might arise. However, P&T raised some questions and concerns about term definitions, particularly with regards to “modifications” to a course. The committee noted that if “minor updates” and/or “modifications” made to an online course by the University could include modification to prerequisites or other changes that could potentially affect the preparedness of the students in a course, such modifications could become a P&T issue. The modifications could affect the success of a course and the evaluations generated by the students, which may in turn affect an instructor’s merit reviews and/or promotions. Therefore, P&T recommended that the University and the division sponsoring the course, provide the instructor with ample time (more than 17 days) to adapt to the modifications and rework the course materials and learning outcomes as necessary.

### **P&T Grievance Procedures**

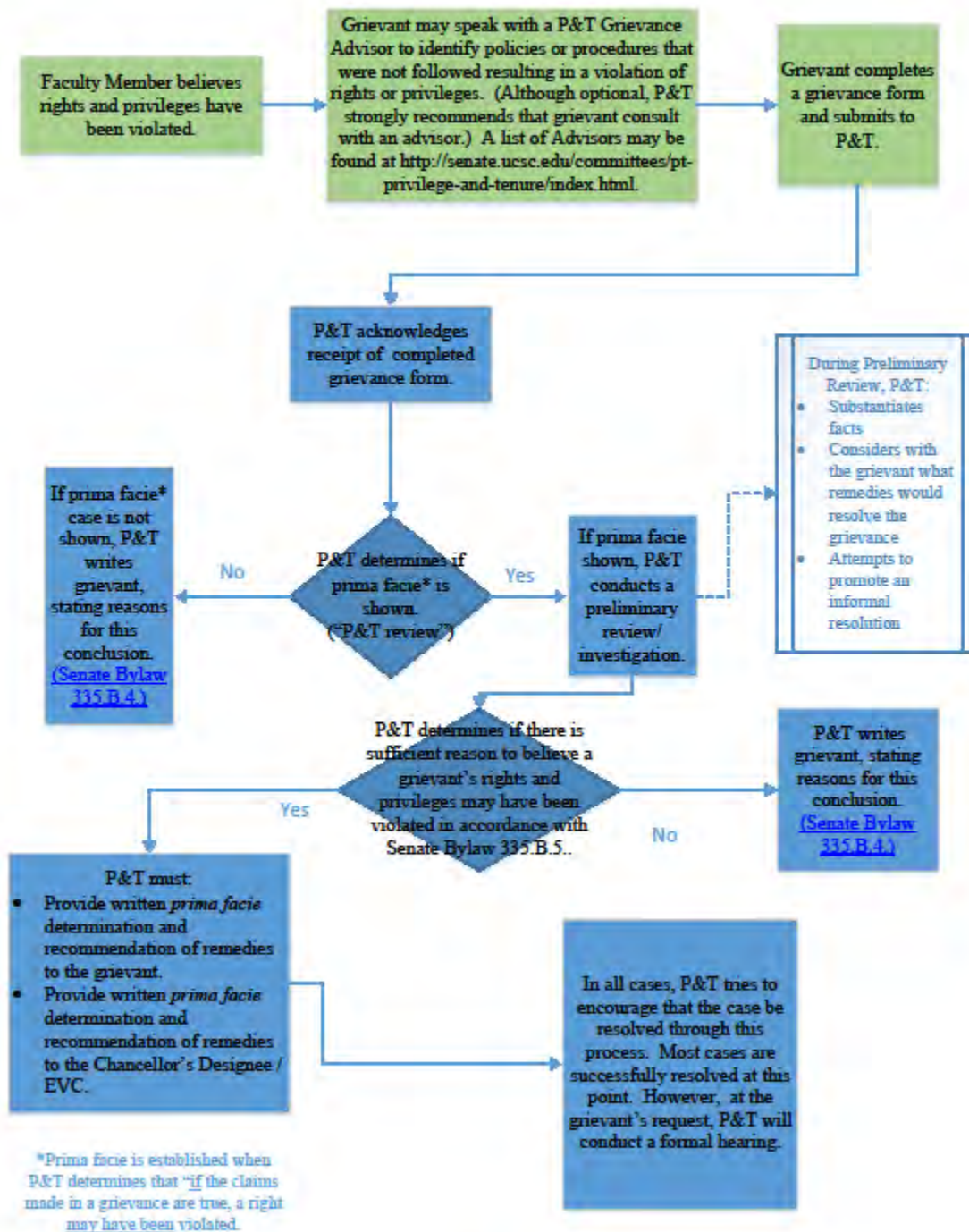
This year, P&T worked to streamline P&T grievance and hearing procedures and has created a [procedural flowchart](#) that clearly illustrates how grievances are received and processed. For convenience, this flowchart may also be found on the P&T link on the Academic Senate Website located at <http://senate.ucsc.edu/committees/index.html>. The intention of this document is to make the P&T process more transparent to faculty. The committee would like to emphasize that although optional, P&T strongly recommends that grievants consult with a P&T Grievance Advisor. A list of current Advisors may also be found on the P&T webpage (<http://senate.ucsc.edu/committees/pt-privilege-and-tenure/index.html>). In all grievance cases, P&T tries to encourage that the case be resolved in the informal stage. Most cases are successfully resolved informally and do not require a hearing.

P&T also benefited tremendously this year from the able assistance of Jaden Silva-Espinoza, who made the work of the committee run smoothly through numerous personnel changes and attempts to rethink P&T process. We would like to thank her here once more for that excellent service.

Respectfully submitted;  
COMMITTEE ON PRIVILEGE AND TENURE  
Doris Ash  
Raoul Birnbaum (F)  
David Kliger (W, S)  
Piero Madau  
Onuttom Narayan (F)  
Alex Pang  
Nirvikar Singh (W, S)  
Lisa Sloan (F)  
Gina Dent, Chair

August 31, 2013

### P&T Grievance Procedures



## **COMMITTEE ON RESEARCH Annual Report 2013-2014**

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) worked diligently during 2013-14, evaluating proposals and making awards through our various faculty research grant programs (NFRG, FRG and SRG) using our newly revised application and review system and consulting with the new Vice Chancellor of Research and the academic deans in an effort to assess and enhance the research environment at UCSC. The committee monitored evolving systemwide negotiations regarding composite benefit rates, presenting our concerns about the potential impact of proposed options on faculty research budgets and graduate student support to the Senate at the February 2014 meeting. In addition, COR followed up on the work started by the 2012-13 committee by examining how university opportunity funds are being used to support campus research through the Office of Research, the academic divisions and the Baskin School of Engineering, which we reported on to the Senate at its Spring meeting.

### **I. COR Activities Regarding Matters of Research Policy**

#### **COR Investigation into the University Opportunity Fund**

In recent years, the combination of decreased state funding and increased faculty research productivity has resulted in indirect cost receipts (ICR) becoming the primary source of internal research support at UCSC. Given this situation, COR supports the need for increased transparency and accountability for how such funds are distributed and used across campus. 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 (UOF); and General Fund Support. The percentage of the annual incremental change in ICR (relative to a base budget set in 2009) that is added or subtracted to each bucket (20%, 36%, and 44% respectively) is set by systemwide policy. Currently, 36% of the annual 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, and 5% goes to COR to fund the faculty research grants (NFRG, FRG and SRG) and scholarly travel fund programs (Figure 1). Given recent cuts in state funding, these opportunity funds now make up approximately 98% of COR’s annual budget for support of faculty research and scholarly travel.

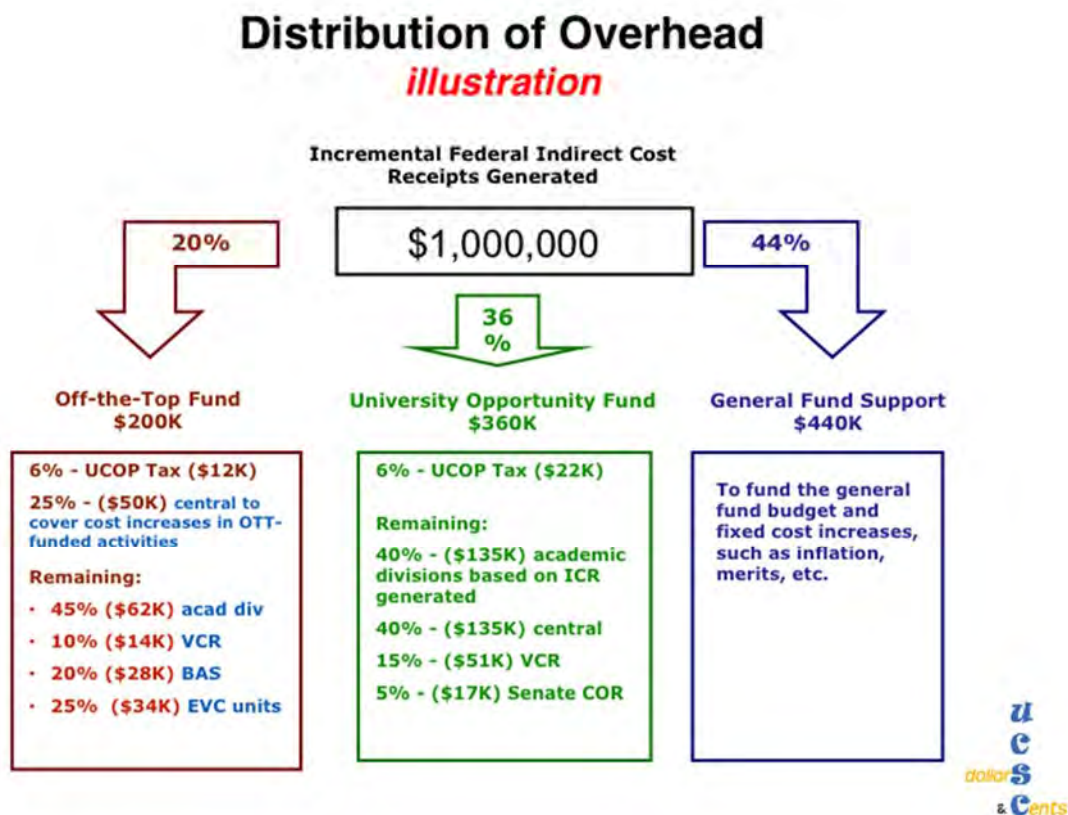


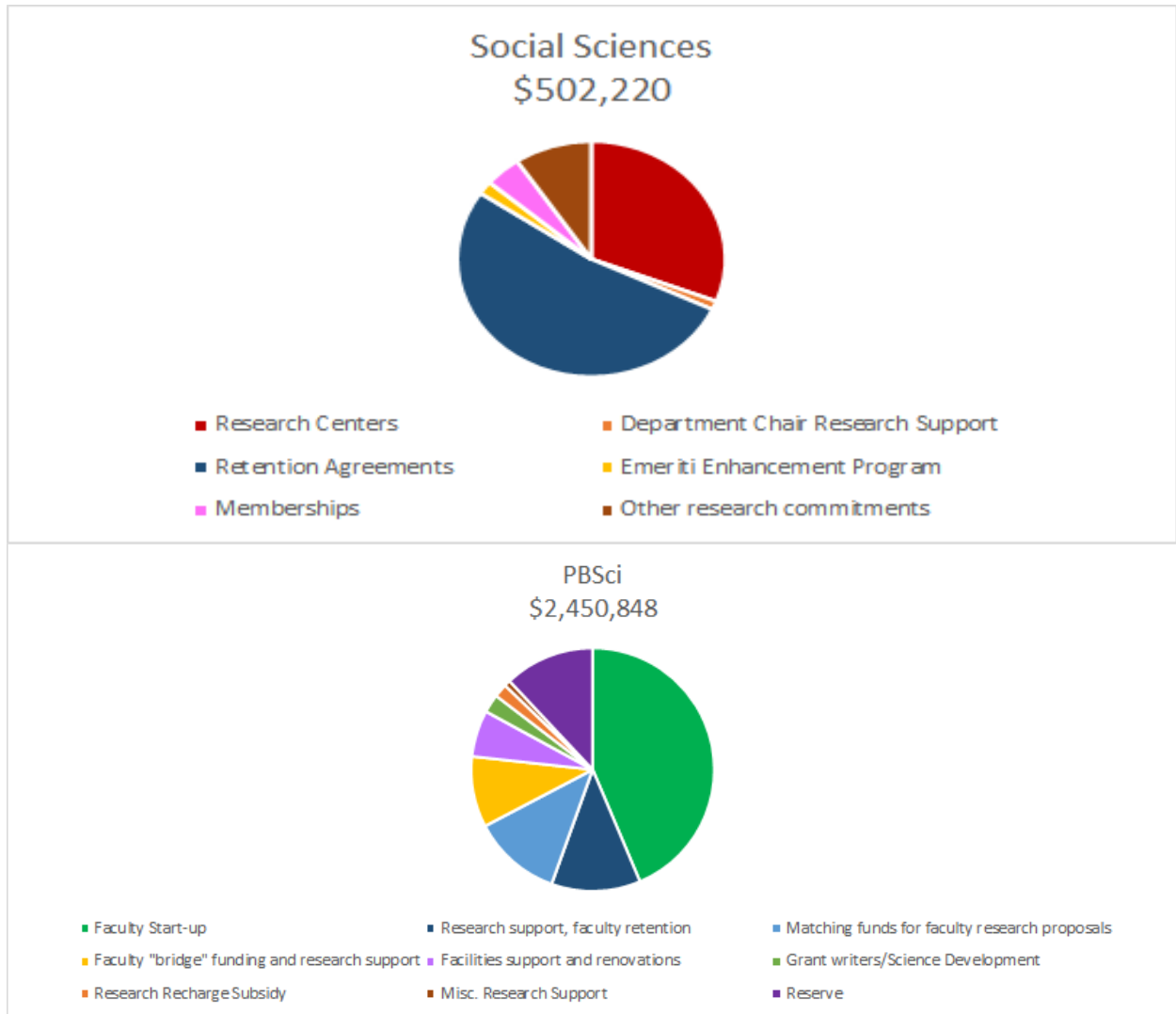
Figure 1: Illustration of distributional model for allocating incremental Federal Indirect Cost Receipt (ICR) revenues.

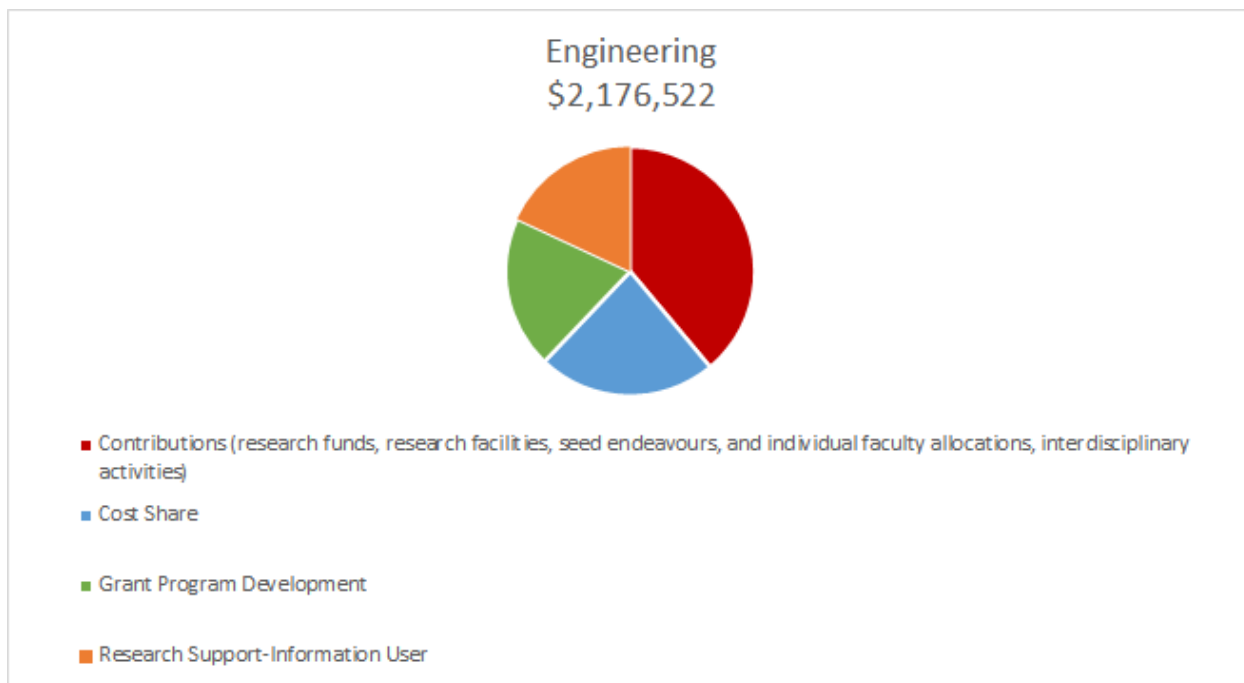
As noted in COR’s 2012-13 Annual Report, the distribution of the University Opportunity Fund (UOF) had not previously undergone Senate review and the rationale for the current 40/40/15/5 split has never been clearly articulated. In addition, the original UOF base budgets, set in 2009 without Senate consultation, have never been substantively examined or justified. Moreover, while COR’s use of opportunity funds regularly appears in the committee’s annual report (see below), summaries of how the central administration, Office of Research or the divisions utilize their allocations of UOF are not publicly available. Since support for faculty research is increasingly scarce, we should be confident that our campus is making optimal use of 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 who use these funds need to be publicly accountable to the faculty that generated 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 and reporting practices make it extremely difficult to present a

simple, unified summary of divisional use of UOF. COR intends to work closely with the central administration, Office of Research (OR), the divisions and Baskin School of Engineering (BSOE) to develop a more standardized reporting system for UOF that can be made publicly available annually.

Figure 2: Use of UOF by Soc Sci, PB Sci and BSOE, cumulative 2008-2013





COR's review of the information provided by OR, the divisions and BSOE indicated that these recipients of UOF generally use these funds to positively enhance the research enterprise of the university. In a report to the Senate in May 2014, COR highlighted what we found to be some of the most successful and potentially impactful uses of UOF. However, we also raised questions about other uses. Our goal is to begin a campus-wide discussion focused toward 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 also 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 short-term 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 and research centers and institutes. 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 and campus-wide incentive programs that reward faculty who generate ICR. On the other hand, COR also appreciates that in units that 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 twelve GSR positions, this program provides seed funding for faculty researchers, enhancing their ability to pursue external ICR generating grants.

#### 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 information on how these funds are distributed between the divisions and OR and a lack of clarity on procedures for requesting such funds.

#### Faculty Retention:

PB Sci reports using 12% of its most recent 5-year UOF allocation for faculty retention, while Soc Sci 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 large proportion of UOF revenues across these two divisions were going to support a relatively small number of individual faculty retention cases (6 in PB Sci and 6 in Soc Sci). 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. COR appreciates the limited options available to deans in these situations but believes that this is an issue that requires more campus-wide discussion.

COR plans to continue consultations with the central administration, Office of Research, academic divisions and the Baskin School of Engineering to develop shared 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. In addition, COR plans to follow up with consultations with EVC Allison Galloway about the central administration's use of UOF, the rationale for the current 40-40-15-5 allocation strategy, and the potential for this funding formula to be re-evaluated.

#### **Composite Benefit Rates**

After a lengthy review that spanned multiple academic years, the Office of the President and the system-wide Academic Council reached an agreement on May 8, 2014 with regard to the implementation of composite benefit rates (CBR) under UC Path. The agreement increases the number of rates for each campus, compared to earlier proposals, allowing for greater campus flexibility in accommodating the varying needs of different types of faculty researchers,



particularly in regards to how benefits are assessed to summer salary under UC Path. The latter was a point of considerable discussion and extended consultation between the Academic Council and OP. COR was deeply concerned about the potential negative impact on research budgets of earlier CPR proposals, which would have substantially increased the cost of benefits charged to external contracts and grants. COR consulted with Director of Costing and Data Management Troy Lawson in December 2013 about these issues and presented a report to the Senate at its Winter meeting in February 2014 outlining our specific concerns about the potential impact of CBR on research funding. The final CBR agreement substantively addressed most of these concerns. In particular, under this agreement separate benefit rates for faculty will be established for summer salary and 9-month salary. Both 9-month and summer salary benefit rates will include charges for payroll taxes and DCP, however UCRP and health benefits will only be charged to 9-month salary, as is current practice. In addition, these changes will not be made retroactively to on-going grants. The agreement also includes provisions for a study group to examine how UC charges benefit expenses against grants.

### **Changes in Office of Research and Consultations with Vice Chancellor Research**

Following a failed external search in 2012-13, EVC Alison Galloway appointed Scott Brandt, professor of computer science and associate dean of research and graduate studies in the Baskin School of Engineering, as interim Vice Chancellor of Research, effective July 1, 2013. This appointment was made permanent in January 2014. In consultation with COR, VCR Brandt explained that EVC Galloway had charged him to encourage greater transparency in OR and to build a stronger relationship with the Senate and COR in particular. To this end, VCR Brandt met regularly with COR and candidly answered questions regarding operations within the Office of Research.

VCR Brandt reported to COR that OR has a budget of approximately \$400,000 a year to support campus research. VCR Brandt noted that the VCR's discretionary budget was reduced in the recent budget cuts to the point that it is too small to provide all the matching funds necessary to obtain many grants. He is asking the EVC for more funding so that his office has sufficient budget to cover these cost sharing obligations rather than having to request matching funds from her office on an ad hoc basis. VCR Brandt explained that one major problem with internal research funding is that it is broadly distributed through multiple funding streams (COR, OR, Divisions) and that few faculty know who and how to ask for support. COR and VCR Brandt agreed that there needs to be a more coordinated campus-wide effort to publicize the availability of internal research funding and how to request it.

COR would like to see greater transparency in how nominations for major grants are made, more input from COR in selection of proposals to go off campus and more timely notification to faculty of major grant deadlines. As with the FIGH initiative developed by CPB, COR believes that it is important to encourage faculty-initiated research collaborations from the bottom-up as a way to balance divisional and campus priorities.

The committee also discussed the VCR's frustration with OR's inability to collate and assess a wide variety of data that would be useful in evaluating the campus research enterprise and develop informed strategies for improving the campus research environment. VCR Brandt outlined his plans to implement a new database system for OR. COR supports the goals of this

initiative, however, the prospect of this process taking more than two years is worrisome as many short-term solutions should be available to gather necessary data to make the best strategic decisions. VCR Brandt also informed COR about some reorganization in the Office of Research, including consideration of adopting an enterprise system (CAYUS) used by many other UCs. This is a workflow system with more functionality than current systems in place in Office of Sponsored Projects (OSP) and OR and that can communicate more effectively other campus systems. The system would have a budget builder for principal investigators (PI) that allows modeling of different budgets and is meant to allow PIs to develop preliminary budgets that the OSP would only need to check. The new system will take about a year to put in place, and six months for faculty PIs to be fully trained in its use. The expectation is that some OSP staff effort that is currently used for this type of budget development can be directed toward other priorities such as industry relations and grant development. COR recommended that such a system should also have functionality to simplify post-award reporting.

VCR Brandt also reported to COR that he is creating capacity in his office for enhanced research development that would support such activities as developing boiler-plate descriptions of the campus and developing easily accessible summary data of the type that is required for a variety of major foundation awards and major grants, such as training grants. VCR Brandt also described the new Broader Impacts Office in OR, which assists researchers with the preparation of high quality broader impact statements for all federal agency grants.

#### University Affiliated Research Center (UARC)

About 160 UCSC employees work on and support NASA science projects through our University Affiliated Research Center (UARC) partnership with NASA Ames Laboratory. This 10-year, \$300 million contract was extended for one year in 2012-13. The campus is currently competing to continue this relationship through NASA Academic Mission Support (NAMS), a five-year, \$250 million contract that will potentially support more collaborative academic research and greater faculty and student engagement. As of October 1, 2013, OR began overseeing the University Affiliated Research Center (UARC). In March 2014, Quentin Williams, professor of Earth and Planetary Sciences, was appointed as associate Vice Chancellor for Research (VCR) with the primary responsibility for managing our academic relationship with NASA and overseeing the current re-bid process. In May, VCR Brandt reported to COR that the UARC contract continues to function as an extension until the current re-bid process, which is currently on hold, is completed.

#### **Relationship between Graduate Growth and Research**

COR views campus plans for doctoral graduate growth as closely tied to the research mission of the university since Ph.D. students often act as research assistants on faculty research projects and conduct original research for their dissertations. In November 2013, COR consulted jointly with Dean of Graduate Studies Tyrus Miller and VCR Scott Brandt regarding plans for graduate growth at UCSC. Dean Miller explained that 2012-13 was the first full year of implementing the graduate growth mandate that came with the Rebenching process. Without time for much preparation, UCSC spurred graduate growth using one-time funds and conversations with different departments about their capacity for growth. More one-time funds will be used to continue this growth, but a more sustainable model must be found. Dean Miller explained that the sustainable model he envisions is one in which research funds are leveraged for graduate

growth in the same way core funds currently are. Faculty must be encouraged to use more of their existing research funds to support graduate students. Currently, most granting agencies do not incentivize or put a premium on graduate support, emphasizing research output over training and thus making it appear to be more cost effective and efficient to hire post-docs rather than GSRs. High non-resident tuition rates also loom large on faculty minds when admitting out-of-state students and hiring GSRs. Faculty are more inclined to fund graduate students in their second and third years than in their first year. Many faculty with external funding will dedicate one quarter of graduate student researcher (GSR) support, which will cover a stipend and resident tuition. Very few of these awards will pay non-resident tuition. This situation means that core block allocations are being eaten up by non-resident tuition. Strategically delivering funds to departments could incentivize support for graduate students from research grants and take this burden off of block funding. Dean Miller detailed three ways that other UCs are currently incentivizing GSRs:

- UC San Diego uses a blended tuition rate, using a percentage of non-resident tuition and charging all grants the same rate. UCSC's Ocean Sciences department attempted implementing this model, but experienced some faculty opposition;
- UC Davis has a flat buy down on the tuition. At UCD this 25% buy down functions as a subsidy to grant-funded students. Dean Miller would want to see a higher percentage buy down for UCSC, if such a model were adopted on our campus<sup>1</sup>;
- UC Berkeley offers outright non-resident tuition grants. UCSC currently offers approximately 21 fellowships across the divisions that buy out up to two years of non-resident tuition. Recently at Berkeley, it was announced that for every quarter that a faculty member supports a non-resident tuition student, campus will put up a matching fellowship quarter.

VCR Brandt argued that any strategy adopted at UCSC needs to incentivize the use of grant funds to bring in new students. Many departments depend almost entirely on block funding for the first two years, meaning that their growth depends entirely on their block money. A new model should encourage departments to seek more grants that would then leverage increased core funding. VCR Brandt explained that the current system of block funding is not sustainable given UCSC's growth goals. The composition of graduate support needs to change, as does the assumption of the weight of graduate study in the overall profile of the university. COR asked about support for training grants, which offer high levels of support for graduate students but require specific grant-writing skills and institutional support to be successful. VCR Brandt responded that he and Dean Miller have been discussing this problem and agree that the campus needs to pursue training grants with more central support. Resources and staff are needed to acquire these grants. Although the campus is not yet in a position to hire training-grant support, this is a goal of both VCR Brandt and Dean Miller.

After consultation, COR remains frustrated that a long-term, campus-wide plan for sustained graduate growth has yet to be articulated. We are sympathetic to the constraints under which Dean Miller has been operating and appreciate the modest success that he has achieved in

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<sup>1</sup> Our consultation with Dean Miller took place before the 2013-2014 graduate recruitment cycle, during which the graduate division offered the following incentive: 75% of the NRT for any out of state student GSR from an external grant. This was confined to students entering in 2014-2015.

collaboration with specific departments. However, to date graduate growth initiatives appear to be small, incremental, and highly localized. We were encouraged that both VCR Brandt and Dean Miller expressed support for expanding campus resources for assisting faculty who want to pursue larger research and training grants.

## II. COR Grant Programs

In 2013-14, COR had two funding sources: the University Opportunity Fund (UOF)—with three components—and a small amount from the Earle C. Anthony Endowment (Figure 4).

Figure 4. COR Budget Sources and Expenditures for 2013-14

Budget Source	Amount
Opportunity Fund (UOF) – ICR from federally funded grants	\$311,061
Education Fund (UOF) – ICR from privately funded grants	\$61,865
ARRA Funds (UOF) – American Recovery and Reinvestment Act	\$12,278
Earle C. Anthony Endowment	\$7,891
<b>TOTAL</b>	<b>\$393,095</b>

Expenditures	Amount
Faculty Research Grants (FRGs)	\$147,662
Special Research Grants (SRGs)	\$155,457
New Faculty Research Grants (NFRGs)	\$20,179
Scholarly Meeting Travel (SMT)	\$133,400
<b>TOTAL</b>	<b>\$456,698</b>

### **Faculty Research Grants (FRGs) and Special Research Grants (SRGs)**

Each year, COR solicits applications for its three research programs: New Faculty Research Grants (NFRGs), Faculty Research Grants (FRGs) and Special Research Grants (SRGs). These grants often provide seed funding for new research and especially help new faculty as they establish their individual research careers. The grants are funded based on peer review (Figure 5). Without these grants, many faculty would need to choose between covering their research

expenses out of pocket or abandoning their projects. COR dedicates much of its time in the fall quarter to updating the guidelines and application for the two research grant programs and reviewing applications for the NFRGs. Guidelines and fundable expenses were streamlined in order to make the application process as faculty-friendly as possible. In addition, with the considerable help of ITS, COR was able to develop and implement a new on-line application and adjudication system that made the entire grants process more straightforward and efficient from both the applicant and reviewer perspective.

After evaluating comments from many faculty and reviewing the results of the 2013-14 competitions, COR has decided to remove the ban on applying to both the FRG and the SRG program for the same project. COR agreed to return to the old rules, that faculty can apply for the same project for both the FRG and the SRG grants, but that they cannot receive funding for the same project from both programs. The larger of the two awards, usually a SRG, will be funded.

This year COR engaged in extensive discussions during the adjudication process about the appropriateness of COR funding for computers. Faculty report decreased support for computing equipment by federal funding agencies and due to budget cuts on campus faculty computers are no longer upgraded on a regular or consistent basis within divisions. Thus, COR gave careful consideration to requests for computing equipment and software in NRG and SRG proposal budgets. Only if a faculty researcher could make the case that the specific, specialized equipment or software necessary for the proposed project was beyond the scope of what should reasonably be provided by the divisions were these expenses considered allowable. COR needs to remain adamant about this position, since it is the administration’s responsibility to provide faculty with the computing equipment and software necessary to engage in basic teaching, research and service activities. Providing the resources and infrastructure necessary to meet the standard expectations of faculty duties should not be pushed onto project based research funding, since funding such basics will come at the expense of other aspects of the project and is generally considered by funding agencies as the responsibility of the institution. After all, these are just the sort of resources that are supposed to be covered by “overhead” and should be covered by the other “buckets” of ICR funding that are distributed across campus. COR agreed to track these basic equipment requests and demonstrate to the administration, if applicable, a fundamental shortfall in what is provided to faculty.

Figure 5. FRG/SRG Applications and Requested Funds 2008-09 to 2012-13

	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14
FRG	146	128	127	84	112	125
SRG	53	45	45	24	47	42
<b>TOTAL Apps</b>	<b>199</b>	<b>173</b>	<b>172</b>	<b>108</b>	<b>159</b>	<b>167</b>
FRG Funds Req.	\$252,036	\$205,306	\$253,479	\$130,386	\$181,244	\$196,838
SRG Funds Req.	\$687,456	\$526,108	\$423,438	\$158,706	\$324,362	\$255,353
<b>TOTAL Funds Req.</b>	<b>\$939,492</b>	<b>\$731,414</b>	<b>\$676,917</b>	<b>\$289,092</b>	<b>\$505,606</b>	<b>\$452,191</b>

Figure 6. Summary Statistics on the 2014-15 FRG and SRG Awards (adjudicated in 2013-14)

Division	SRG apps requested	SRG apps funded	SRG amount funded	FRG apps requested	FRG apps funded	FRG amount funded
Arts	12	8	\$42,709	27	19	\$27,452
Engineering	1	1	\$8,000	2	1	\$1,500
Humanities	6	3	\$15,800	33	26	\$41,412
PBSci	7	6	\$41,337	15	11	\$17,170
SocSci	13	9	\$47,611	48	38	\$60,088
<b>Total</b>	<b>39</b>	<b>27</b>	<b>\$155,457</b>	<b>125</b>	<b>95</b>	<b>\$147,622</b>

### New Faculty Research Grants (NFRGs)

In order to give new faculty immediate access to research dollars, each year COR runs the New Faculty Research Grant (NFRG) program. Unlike the FRGs and SRGs, which are awarded for the following fiscal year, NFRGs are awarded for the current fiscal year. Essentially, an NFRG award gives new faculty access to the previous year's FRG program, because they were not faculty at UCSC at the time FRG applications were due. Of the 13 NFRG requests, 10 were full-funded and one partially. Total funds disbursed increased from \$13,840 to \$20,179. (Figure 7).

Figure 7. Summary Statistics on the 2013-14 NFRG Awards

Division	NFRG apps requested	NFRG apps funded	NFRG amount funded
Arts	2	2	\$3,805
Engineering	2	2	\$4,000
Humanities	3	2	\$3,950
PBSci	1	1	\$2,000
SocSci	5	4	\$6,424
<b>Total</b>	<b>13</b>	<b>11</b>	<b>\$20,179</b>

### Scholarly Meeting Travel (SMT)

The other grant program offered by COR supports faculty travel to scholarly meetings throughout the world (Figure 8). Senate faculty may apply for a \$700 award once per academic year, provided the travel meets eligibility guidelines.

**Figure 8. Summary Statistics on the 2013-14 SMT Awards**

Division	SMT apps funded	SMT amount funded
Arts	29	\$20,300
Engineering	13	\$9,100
Humanities	48	\$33,600
PBSci	30	\$21,100
SocSci	70	\$49,300
<b>Total</b>	<b>190</b>	<b>\$133,400</b>

**Intercampus Travel Fund**

In addition to supporting faculty travel to scholarly meetings, COR also offers limited support for faculty and graduate student travel to encourage cooperative use of the research facilities, library resources, and field stations of the UC system. These funds are also to encourage collaboration with colleagues at other UC campuses.

- Applications must be submitted online at least fourteen (14) days in advance of travel.
- Funds may only be used for transportation and lodging, to a maximum amount of \$250.
- Faculty may receive intercampus research funds only once every two years.
- Faculty sponsorship of a graduate student will count as that faculty’s biennial award.
- Eligibility is limited to full-time members of the Academic Senate and graduate students advanced to candidacy under the sponsorship of a member of the Academic Senate.
- Post travel reimbursement forms are due to the faculty’s divisional business office ten (10) days after they return to campus.

**III. Other COR Business**

**Outstanding Dissertation Award Proposal**

During 2013-14, COR and Graduate Council, at the request of VCR Brandt and in consultation with the Dean of Graduate Studies, collaboratively developed a proposal to establish an annual awards program to recognize outstanding dissertation research and writing in each of UCSC’s four academic divisions and the school of engineering. These awards would come with substantial recognition on campus as well as financial compensation for the winner of a campus-wide competition among the divisional winners. The Graduate Division will administer the review of the divisional winners to select an overall campus awardee. Funding for the campus-wide award has already been secured through a gift from the Steck Family Foundation. These awards will provide a substantial “feather in the cap” to young academics searching for employment after completing their doctoral degree. Awards of this kind also serve to motivate students to conduct innovative graduate research. Winning dissertations will be publicly displayed on campus and dissertation summaries posted on appropriate university website(s).

The announcement of annual awards will serve to honor the achievement of the winners as well as to aid in recruitment of excellent future graduate students. COR expects these awards to be presented for the first time in 2014-15.

### **Silicon Valley Academic Plan**

In November 2013, COR reviewed the Silicon Valley Academic Plan, an update of the version reviewed by the Senate in May 2012. The plan calls for UCSC faculty to be housed in Silicon Valley and COR questioned where these faculty would conduct their research. Faculty members potentially conducting research in a corporate laboratory or privately-held space could be a serious concern. Also, if the majority of the new programs will offer only masters degrees, COR wondered how ladder rank faculty will have access to Ph.D. students with whom they can conduct research. In addition, the proposal indicated that Ph.D. students will be conducting research in corporations, sometimes with the financial support of these corporations. COR raised many concerns with this model, especially pertaining to intellectual property rights. Also, the committee wondered if a student could, in the context of a private company, conduct research that is sufficiently innovative and original to merit a Ph.D. from UCSC.

### **Reports of the Portfolio Review Group**

UC Committee on Research Policy (UCORP) requested that the divisional CORs review the two final reports produced by the systemwide Portfolio Research Group (PRG). The PRG was constituted by the Vice President of Research and Graduate Studies at UCOP to review the research portfolio of the systemwide Office of Research. PRG has made recommendations for multi-campus programs that should be cut, those that should continue to receive systemwide funding and those which should move to campus support. COR noted that it was difficult to assess the report because although the recommendations of the PRG seemed reasonable, we did not have access to the original data and reports on which these decisions were based and thus had no independent means of evaluating these recommendations.

### **Library Start-Up Funds**

In April, COR reviewed the Library's proposal to alter the methodology for allocating library start-up funds for new faculty. The Library proposes to eliminate start-up funds for library collections from faculty packages by distributing half of the allocation as permanent funds to the library (for new FTE) and half as one-time funds (for successful recruitments on existing open provisions). Fundamentally, COR agrees with the proposal's primary principle, that the library should receive a basic augmentation every time new faculty is hired. However, COR notes that by disconnecting the funds from the hiring process, the current proposal effectively eliminates new faculty's control over purchase decisions. The result is an overall reduction in the amount of startup offered to prospective candidates. COR recognizes as sincere the proposal's assertion that the Library "will work with the faculty member to ensure his/her needs are met," but the fact is that the Library is no longer resourced to fully meet this need. Having a clear (and finite) amount listed in a startup package creates an explicit expectation about what the Library can provide for new faculty. While we understand the efficacy of not tracking specific purchases to specific startup accounts, we wonder if there is not some other way to lessen this accounting burden without eliminating faculty discretion over how those funds are spent. Overall, the proposal



needs more refinement and COR did not recommend its implementation.

### **Revisions to the Compendium**

COR conducted a review of proposed revisions to the Compendium, a policy document that formalizes systemwide review processes to establish, transfer, consolidate, disestablish and discontinue academic programs, schools, colleges and research units. COR focused on the section about Multi-campus Research Units (MRUs). COR identified two issues with the revisions: 1) for MRUs there were concerns about the appointment process for MRU leadership; and 2) for MRPs the policy seems to be silent on the decision structure for determining funding and adjudication of MRPI proposals. While MRUs have always had a high level of engagement of the Senate and its committees in adjudicating proposals, COR noted a lack of faculty engagement process for vetting MRPs. In documenting the process for adjudicating the proposals, this revision to the Compendium should include a clearly articulated role for faculty in determining what proposals get funded. As it stands now, the Compendium only includes the Senate in developing what criteria are set forth in the call for proposals. This appears to be a diminution of faculty involvement compared to the MRU process, where the administration looks for Senate approval of proposals before funding them. The Compendium clearly articulates a process for vetting MRU proposals and should do so for MRP proposals as well. COR asserts the basic principle that faculty should be setting the research vision of the institution.

Respectfully submitted;  
COMMITTEE ON RESEARCH  
Pranav Anand  
Sharon Daniel  
Yat Li  
Jason Nielsen  
Paul Roth  
Matt Wagers  
Steve Whittaker  
Fitnat Yildiz  
Judith Habicht-Mauche, Chair

August 31, 2014

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**  
**2013-14 Annual Report**

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (CRJE) met quarterly in 2013-14. This report summarizes the Committee's work during the year.

**Advice and Interpretation of Legislation:**

*Systemwide Bylaw 55*

CRJE reviewed two difference versions (Fall and Winter) of the proposed amendment to systemwide Bylaw 55, intended to extend departmental voting rights to faculty in the Health Sciences Clinical series. CRJE did not recommend approval of the changes as written, instead recommending carving out a more specific exception to existing policy, rather than extending tenured faculty rights to non-career Clinical series faculty at the Health Sciences campuses.

**Special Committee on Development and Fundraising:**

CRJE reviewed the Senate Executive Committee's proposal to create a Special Committee on Development and Fundraising for a period of three (and possibly four) years. CRJE finds no matters of concern, and was primarily interested in confirming that there are no overlapping duties with standing committees.

**Santa Cruz Division Manual updates:**

SCB 4.1-4.3, 4.5, 4.61, 4.62, 4.7, 4.8, 5.1, and 13.22.1 were amended at the May 21, 2014 meeting of the Academic Senate. The SCB changes will be implemented in the 2014 manual per Senate Bylaws.

Additionally, a resolution to create a Special Committee on Development and Fundraising was approved at the May 21, 2014 meeting.

Respectfully Submitted;

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

Dave Belanger

Julie Bettie (W, S)

Nancy Chen

Jorge Hankamer (F)

Thorne Lay

Anthony Aguirre, Chair

August 31, 2014

## COMMITTEE ON TEACHING Annual Report 2013-14

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met every other week throughout the academic year to conduct business regarding an agenda related to their charge to foster and promote good teaching, to recommend and evaluate methods of assessing teaching performance, to oversee instructional support services on campus, and to advise the Academic Senate as requested.

At the start of the year, we set out to:

- Work with the administration and University Relations to fund the Center for Transformative Learning (CTL)
- Query faculty to learn more about what support for teaching is being offered by departments and/or divisions
- Sponsor quarterly campus-wide discussions on pedagogy
- Discuss Massive Open Online Courses (MOOCs) and how UCSC might produce or consume them
- Provide guidance to faculty interested in “flipped” courses
- Review instructor evaluation forms
- Review learning management systems that might replace eCommons

Our actual accomplishments for the year in summary include:

- A proposal to fund the CTL as part of the comprehensive campaign was generated.
- Thanks to the efforts of Michael Tassio, in 2014-15 a student with CUIP will be working with COT on issues directly related to CTL. These are two small but tangible positive steps towards creating a CTL to replace the Center for Teaching Excellence that was a casualty of the budget cuts in recent years.
- There was a forum in the fall, jointly sponsored by COT and the Learning Technologies Committee where faculty could learn about recent upgrades and improvements to Learning Technologies Services, including eCommons, general assignment classrooms and labs, and webcasting.
- The forum, “So you think your lecture class is better than a MOOC,” originally planned for winter quarter, had to be postponed until spring quarter due to a number of last minute cancelations from presenters. The spring event was well attended and is available for viewing at <http://senate.ucsc.edu/senate-meetings/senate-forums/2014-april-23-forum.html>
- Selected eight winners for this year’s Excellence in Teaching Awards from a list of 154 faculty nominated by students in 249 separate nominations (see <http://news.ucsc.edu/2014/06/excellence-in-teaching.html> for more information).
- Examined response rates for On-line Course Evaluations, reviewed the research, and discussed possible next steps (see below).
- Initiated a pilot project to evaluate Canvas as a possible replacement for the Sakai based eCommons. (See below for the summary of a satisfaction survey regarding eCommons.)

COT was asked to review a variety of documents throughout the year. These included:

- UCSC International Recruitment Assessment Draft Report
- Council of Provosts proposal to improve response rates for on-line course evaluations (see more below)
- UCSC Affiliation with Punjab Technical University
- VPDUE Proposal for Support of International Enrollment Growth
- Campus Online Education Course Agreement
- Draft Presidential Policy on Copyright and Fair Use (see <http://copyright.universityofcalifornia.edu> for more information)
- WASC Accreditation Draft
- VPAA Draft Request for Proposals: UCSC Coursera Course
- VPAA Draft Request for Proposals: UCSC Cross-Campus Enrollment Online Courses

### Online Course Evaluations

In a preliminary analysis of response rates for on line course evaluations at UCSC, we looked at the Fall 2013 data. The average response rate was about 42%. There are some departments with large classes that have much better than average response rates, most notably BIOE with a 60% response rate for 1300 students and SOCY with a 61% rate for 1500 students. In general the college core courses also had very good response rates (as high as 79%). There were also some departments with large enrollments that had very low response rates (e.g. 28% for 2400 enrollments). By the same measure there were small enrollment programs with both excellent response rates (as high as 88%) and low response rates (as low as 28%). It is our hope, that using these data, next year’s committee will be able to approach some of these outliers (on both ends) to come up with best practices to raise the response rates for all programs.

There was an extensive study conducted at UCLA by their Office of Instructional Development. That study compared the numeric and written responses for one year of online evaluations and the prior 5 years of paper evaluations. As the title of the report suggests, the response rate dropped from 80% to 40%, however, neither the numeric scores nor the written evaluations changed in a significant way. Although not published, their findings are consistent with another report we found online from the University of British Columbia, Vancouver, “Student Evaluation of Teaching Response Rates,” (<http://teacheval.ubc.ca/files/2010/05/Student-Evaluations-of-Teaching-Report-Apr-15-2010.pdf>).

### eCommons Satisfaction Survey

There were 181 faculty responses to the eCommons Satisfaction Survey sent out by ITS late spring. The responses to “How satisfied are you with the ease of using your eCommons site(s)?” were:

<b>Totals (n = 181)</b>	<b>Number</b>	<b>% of 181</b>
<b>Satisfied</b>	40	22%
<b>Somewhat Satisfied</b>	57	31%
<b>Neutral</b>	21	12%
<b>Somewhat Dissatisfied</b>	29	16%
<b>Dissatisfied</b>	19	10%
<b>No Response</b>	15	8%

The responses to “Please rate your overall satisfaction with eCommons were:

<b>Totals (n = 181)</b>	<b>Number</b>	<b>% of 181</b>
<b>Satisfied</b>	45	25%
<b>Somewhat Satisfied</b>	59	33%
<b>Neutral</b>	21	12%
<b>Somewhat Dissatisfied</b>	25	14%
<b>Dissatisfied</b>	16	9%
<b>No Response</b>	15	8%

And the responses to “If you are less than satisfied with eCommons, would you like to see the campus move to another system? Replacing a tool like eCommons takes significant effort and resources, how important is it to you for ITS and Learning Technologies to plan to replace eCommons with another tool?” were:

<b>Totals (n = 181)</b>	<b>Number</b>	<b>% of 181</b>
<b>Very Important (replace it this year)</b>	10	6%
<b>Somewhat Important (replace it soon)</b>	10	6%
<b>Neutral</b>	49	27%
<b>Not that important (give us a couple years)</b>	32	18%
<b>Not at all important (we should stay with eCommons)</b>	39	22%
<b>No Response</b>	41	23%

### **COT’s active agenda for 2014-15**

The committee developed a list of issues to recommend next year’s committee take up, including: drafting a best practices summary for online course evaluations, doing an overview of learning support services on campus, working with CAAD on climate issues in the classroom, looking into increasing capacity by using video for students at remote locations, and continuing efforts to establish a Center for Transformative Learning.

Respectfully submitted;  
 COMMITTEE ON TEACHING  
 Michael Chemers  
 Maria Elena Diaz  
 Kirsten Silva Gruesz  
 Matthew McCarthy  
 Charlie McDowell, Chair

Anjali Dutt, GSA Representative  
 Annapurna Pandey, NSTF Representative  
 Jim Phillips, Director, Learning Technologies

August 31, 2014

## GRADUATE COUNCIL Annual Report 2013-14

To: Academic Senate, Santa Cruz Division

### **Introduction**

The Graduate Council (GC) coordinates all academic policies and procedures at UC Santa Cruz that bear on the conferring of higher degrees. The Council's primary responsibilities include the review of proposed and existing graduate programs, proposals for new courses and the revision of existing courses, and changes to graduate programs and policies. Council regularly consults with other Senate committees, administrative units, divisions, and departments about a broad range of issues pertaining to graduate education. An overview of the Graduate Council's work in 2013-14 is provided below.

### UCSC Graduate Growth

Sponsored by the Senate Executive Committee, Chair Schumm led a group of three Senate committee chairs (Committee on Educational Policy, Committee on Academic Personnel, Graduate Council) in the development of draft principles to guide the growth of graduate education on our campus. Unfortunately the initiative began too late in the year to bring the process of developing the Principles for Graduate Growth to fruition, which in the opinion of the group should include endorsement by the Executive committee followed by a review by the full Senate. The draft principles have been put before the Executive Committee; it is the hope of the group that the issue will be taken up first thing in Academic Year 2014-2015.

### Graduate Proposals, Programmatic Revisions, and Reviews

#### **New Program Proposals**

The Graduate Council reviewed and approved a proposal for a Master of Science (M.S.) in Scientific Computing and Applied Mathematics (SciCAM) from the Department of Statistics and Applied Mathematics (May 2014).

#### **New Department Proposals**

The Graduate Council reviewed a proposal to establish a Department of Computational Media (CM) in the Baskin School of Engineering (May 2014). The proposed department would be composed primarily, at least initially, of faculty that are currently members of the Computer Science Department. The Council advised that department establishment should be postponed until the report from the Computer Science external review committee is available next year. The Council's role in this matter is advisory, with approval of department establishment coming from the CPEVC.

#### **New Designated Emphasis Proposals**

Three Designated Emphasis proposals were brought before the Council this year:

- Proposal for a **Designated Emphasis in Social Documentation** from the Department of Film and Digital Media, approved by the Council in January 2014.
- Proposal for a **Designated Emphasis in Mechanistic, Structural and Chemical Biology** from the Department of Chemistry and Biochemistry. The Council reviewed this proposal in fall quarter, and consulted with Professor Rubin from the Department of Chemistry and

Biochemistry (and GC member). Professor Rubin concurred that the proposal might be better suited as a concentration, and committed to address issues raised by the Council with his department and revisit the proposal at a later date.

- Proposal for a **Designated Emphasis in Critical Race and Ethnic Studies (CRES)** from CRES program faculty, approved by the Council in June 2014.

### **New Graduate Certificate Proposal**

The Graduate Council reviewed and approved a proposal for a Graduate Certificate in Science and Justice from the Science & Justice Center in the Division of Social Sciences. Campus approval of the certificate program was granted in May 2014.

### **Graduate Program Changes and Catalog Statement Revisions**

Each year the Graduate Council reviews graduate program changes and catalog statement revisions. While many of the proposals are for minor catalog revisions that are quickly approved, some require the Council's full consideration. The following proposals were discussed at length by the Council in 2013-14:

- Digital Arts and New Media—Proposal to extend MFA from 2 to 3 years (October 2013)
- Electrical Engineering—Proposal for a second Master's track with a project based capstone (March 2014)
- Masters in Applied Economics and Finance: Request to give applicants to the program the option of substituting the GMAT for GRE (May 2014)
- Computer Engineering—Proposal for a second master's track with a project-based capstone and changes to catalog copy (February, May, June 2014)
- History—Changes to catalog copy reflecting course changes (February 2014)
- Philosophy—Proposal to add a new course and a "substantial paper" to program requirements and the addition of a Logic requirement for the Ph.D.(February/March 2014)
- Biomolecular Engineering—Proposal to revise curriculum requirements and shorten normative time requirements (February 2014, June 2014)
- Science Communication—Proposal to remove previously required subject-area GRE exam for applicants (February, April 2014)
- Chemistry and Biochemistry—Proposal includes changes to grad courses, exam requirements, and other minor changes to shorten time to degree (February 2014)
- Ecology and Evolutionary Biology—Proposal for graduate program curriculum change, adding one core graduate course to Master of Science curriculum (February 2014)
- Economics—Proposal to streamline timelines for program benchmarks (March 2014)
- Sociology—Proposal to require an oral dissertation defense for the Ph.D. (March 2014)
- Mathematics—Proposal to eliminate the oral defense requirement (April, June 2014)
- Computer Science—Proposal clarifying required course sequence for Master of Science degree (April 2014)
- Feminist Studies—Proposal to eliminate the teaching requirement from the Designated Emphasis (June 2014)
- Technology and Information Management—Graduate Council reviewed program degree requirements, capstone requirements, and curriculum staffing plans (October, November, February, April, May). The Council approved the transfer of the TIM graduate programs

(Ph.D. and Masters) to the Technology Management (TM) Department (May 2014). The Council identified a set of criteria for the TIM programs to meet to avoid suspension in the next academic year (May 2014). See further discussion below.

- Education—The Council reviewed degree requirements and curriculum, including a proposal for a single track Ph.D. program, curricular staffing plans, changes to M.A. credential program (February, March, April, June). The Council reviewed a request from the Education Department to suspend admissions (December 2013) and identified a set of criteria for the Education Department to meet to avoid suspension beginning with the 2015-16 year (February 2014).

### **Course Approvals**

A subcommittee of three Graduate Council members reviewed 39 new graduate courses and 73 course revisions.

### **Program External Reviews**

The Graduate Council participated in the external review of four programs in 2013-14: Science Communication, Environmental Studies, History of Art and Visual Culture, and Philosophy. The Council responded to the draft charges for upcoming external reviews in Electrical Engineering, Literature, Latin American and Latino Studies, Theater Arts, History of Consciousness, Mathematics, Molecular, Cellular and Developmental Biology, Technology Management, and Ecology and Evolutionary Biology. The Council also reviewed the mid-cycle report from the Music Department.

### **Fellowship Review**

Throughout the year, subcommittees of Graduate Council members advised the Vice Provost and Dean of Graduate Studies on the selection of Cota Robles (Gould, Poblete, Schumm, Tan) and Dissertation Year (Bowin, Garaud, Kletzer, L. Miller) Fellowships.

### **Local and Systemwide Issues**

Graduate Council discussed and responded to numerous campus and systemwide issues. A few issues are highlighted below, followed by a listing of the local and systemwide issues and proposals reviewed by the Council in 2013-14.

### **TIM Graduate Programs**

In Academic Year 2012-2013, the Council was consulted about the formation of the Technology Management (TM) Department and the transfer of the TIM graduate programs (Ph.D. and professional Masters) from the Baskin School of Engineering (BSOE) into the TM Department. The Council saw these as two distinct actions, for the first of which the Council's role is advisory, while for the second the Council (and if warranted, the systemwide Coordinating Committee on Graduate Affairs) maintains plenary authority. In AY 2013-2014 the Council wrote a letter of support for the formation of the TM Department, but withheld its approval of the transfer of the TIM graduate programs into the TM Department until further review could take place.

During the course of the 2013-2014 academic year, the Graduate Council spent considerable time assessing the TIM program and discussing the ramifications of transferring its administrative home



from the Baskin School of Engineering (BSOE) into the TM Department. During the course of the discussion, the Council was visited by BSOE Dean Ramirez as well as TIM core faculty member Akella. Council Chair Schumm also had numerous one-on-one consultations with VPAA Lee, TIM Director Haddad, and the two other remaining TIM core faculty (Musacchio and Zhang). The Senate analyst and Chair Schumm also extensively researched the records of the Graduate Council over the years since the TIM proposal was first approved in order to reconstruct a history of Graduate Council actions relating to the TIM program from then until the current time. After this lengthy process, the Council concluded that the best home for the TIM program – the administrative locus within which it is likely to get the greatest support and enjoy the greatest likelihood for success – is within the newly-formed TM department, and granted its approval. The systemwide CCGA concurred with the Council's decision in June 2014.

In approving the transfer, however, the Council noted that it had not developed comfort with the state of the TIM graduate programs. The Council was deeply concerned about the ability of the program to staff a UC-quality curriculum for its M.S. and Ph.D. programs, and to attract qualified students to them. The TIM graduate programs have struggled along a lengthy obstacle-ridden path since activity first began on their development over 10 years ago. In the view of the Council, campus investments in the area of TM/TIM have not to date produced a faculty with the capacity to support the two TIM graduate degrees at a level commensurate with UC quality. This assessment was supported by the Technology Management External Review Committee Report (May 2014). Thus, the Council set forth a series of issues of concern and watch-points that it intends to monitor closely over the next few years, and has conditioned its approval of continued admissions to the TIM graduate programs to be contingent upon an appropriate degree of progress in satisfying these concerns.

### **Education Ph.D. Program**

The Graduate Council received a request from the acting chair of the Education Department to consider suspending admissions to its Ph.D. program for at least two years (December 2013). Since that time and over the course of the academic year, the Council has extensively monitored and reviewed the Education Department's graduate degree program, requirements, and curriculum staffing plans, as well as consulted with the receiver Chair and faculty from the program regarding the suspension request.

The consideration of suspension of admissions to the Education Ph.D. program was initiated due to concerns that the department faculty could not mount the appropriate courses to move students toward the degree, the potential competition for resources with the MA/C and Ed.D. programs, and overall ability of the department to govern itself effectively. After appropriate deliberation and consultation, the Council decided not to suspend admissions, and in correspondence to the Education Department, outlined a set of criteria for the department to meet in order to avoid suspension (February 20, 2014). The Council further requested that the Education Department provide an annual report appraising the Council of the status of the Education Ph.D. program (April 18, 2014). This report will be submitted to the Council by September 20<sup>th</sup> each year, from September 2014 to September 2017, with the possibility of extending the annual report requirement as determined by the Council. The Graduate Council approved the Education

Department's degree requirements, catalog copy, and curriculum staffing plan (June 18, 2014). The Council also acknowledged the department faculty's responsiveness and work on the issues reviewed by the Council during the 2013-14 academic year. The Council will continue to monitor the Education Ph.D. program in the coming year.

### **Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy**

Graduate Council reviewed two versions of the proposed revised Self-Supporting Graduate Professional Degree Programs Policy (December 2013, June 2014), which provides guidelines for programs that generate revenues from student charges to support all costs of the programs and costs incurred by departments/schools and campuses on behalf of the programs. The Council expressed concern that the expansion of non-state supported programs, if not done in a responsible fashion, may erode the principle of universal access to higher education across California's diverse citizenry that lies at the very core of the state's commitment to public higher education. The Council noted that while the SSGPDP draft did include language about financial accessibility, and while consideration of the issue is required of any group proposing the creation of or conversion to a self-supporting program, the draft policy was not able to be specific as to what will be expected of SSGPDP programs. The Council was deeply concerned that attention to access at the program-by-program level may, in aggregate, lead to an unrecognized degradation of access to the totality of graduate professional programs. To this end, the Council referred to a study of access to professional degrees conducted several years ago by the UC Office of the President, at the request of the Academic Senate. A follow-up memo from CCGA, endorsed by the Academic Council and forwarded to the President, recommended a specific set of demographic data that should be required of all professional degree programs, and that this data be collected and used to inform a study of access on a periodic basis. This recommendation was not followed through upon; in its response to both versions of the policy, the Council recommended that this memo be revisited. The Council felt strongly that the University, in its refusal to monitor the "big picture" of access to professional degree programs, is flirting with a negligence that if left unchecked could undermine the very nature of public graduate education in California. The Council also notes that the recommendations of the CCGA memo were developed in collaboration with UCOP analysts and designed to be of minimal burden to the institution and its programs.

### **Local and Systemwide Business, Consultations**

#### **LOCAL**

- Draft Proposal for a Masters Incentive Program (October 2013)
- UCSC International Recruitment Assessment Draft Report (October 2013)
- Revised Strategic Academic Plan for Silicon Valley (November 2013)
- Economics Department: Request for External Review Deferment (November 2013)
- Proposal from Earth and Planetary Sciences for a Departmental Spousal/Relationship Policy on Graduate Committees (November 2013)
- Committee on Planning and Budget (CPB): Cluster Hire Principles (November 2013)
- Request from Education Department to Suspend Admissions to its Ph.D. Program (December 2013)
- Committee on Research (COR): Proposal for UCSC Outstanding Dissertation Awards (December 2013)

- VPDUE Proposal for Support of International Student Growth and Campus Globalization (January 2014)
- VPAA Request: Program Learning Outcomes (PLOs) (February 2014)
- VPAA Request: Overseeing Deans of Academic Programs (February 2014)
- Microbiology and Environmental Toxicology Request to allow use of an old program title on a Ph.D. degree (February 2014)
- Review of the Five-Year Perspectives 2014-15 to 2018-19 (February 2014)
- Proposal to change Language Program to Department of Languages and Applied Linguistics (February 2014)
- Film and Digital Media: Request for External Review Deferment (February 2014)
- Review of Faculty Recruitment Requests 2014-15 (March 2014)
- GPA Calculation for Graduate Students Repeating a Course: Request for clarification of policy from the Registrar and VPDGS Miller (April/May 2014)
- Draft WASC Accreditation Institutional Report (May 2014)
- American Studies Disestablishment and Associated Program Discontinuance (May 2014)
- Review of Music Department Mid-Cycle Review Report, Request for response on length of review cycle from VPAA (May 2014)
- Campus Requests for Online Course Proposals: Cross-Campus Enrollments, Coursera (June 2014)

#### SYSTEMWIDE

- Proposal for Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy (December 2013)
- Revised Proposal for Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy (June 2014)
- Coordinating Committee on Graduate Affairs (CCGA) Proposed Guidance on Degree Titles (January 2014)
- Proposed Revisions to Professional Degree Supplemental Tuition (PDST) Policy (January 2014)
- Review of the Academic Planning Council's (APC) approved changes to the Compendium (April 2014)

#### CONSULTATIONS

- Dean of Graduate Studies Tyrus Miller: on draft guidelines and policy regarding graduate student transfers to other UCSC programs (October 2013)
- Dean of Graduate Studies Tyrus Miller: on Masters Incentive Program proposal (November 2013)
- Professor Seth Rubin: on the proposal for a Designated Emphasis in Mechanistic, Structural, and Chemical Biology (December 2013)
- Education Department Chair Dana Takagi: on the request that GC consider suspending admissions to the Education Ph.D. program (January 2014)
- Education Department Professors Ron Glass, George Bunch, and Rod Ogawa: on the request that GC consider suspending admission to the Education Department Ph.D. program (January 2014)

- BSOE Dean Art Ramirez: on transfer of TIM program to TM Department (March 2014)
- TIM Program Faculty Ram Akella: on transfer of TIM program to TM Department (April 2014)

**Continuing Issues in 2014-15**

- **Graduate growth**—continue working collaboratively within the Senate to develop graduate growth principles; continue to assess how to best monitor and support campus progress at achieving graduate growth
- **Education Ph.D. program**—continue to monitor program
- **Technology and Information Management Graduate Programs**—continue to monitor programs

Respectfully submitted;  
GRADUATE COUNCIL

John Bowin

Pascale Garaud

Deborah Gould

Ken Kletzer

Leta Miller

Juan Poblete

Seth Rubin

Wang-Chiew Tan

Tyrus Miller, *ex officio*

Bruce Schumm, Chair

Christy Caldwell, LAUC Representative

Erin Ellison, GSA (W, S)

Micha Rahder, GSA

August 31, 2014

**SENATE EXECUTIVE COMMITTEE**  
**Guiding Principles for Graduate Growth**

To: Academic Senate, Santa Cruz Division

Many committees of the Academic Senate have closely followed the campus efforts toward increasing our Ph.D. growth to 12% of undergraduate enrollments. (For the purpose of this document, Ph.D. will include all terminal degrees, like the M.F.A.). It is vitally important that we use the resources specifically allotted for this purpose very wisely. Because UCSC received from UCOP (University Office of the President) an extra subsidy for six years in order to reach a graduate enrollment of 12%, not achieving this target could create a future budgetary shortfall; several years ago, the campus did not meet the non-resident targets set by UCOP, and UCSC had to live within a budget that was several million dollars shy of what UCOP set. Monetarily, the goal is important, but there are many other advantages of relevance to our academic mission, such as increasing our research excellence and reputation, enhancing our undergraduate education, and increasing our graduate education profile. The Senate Executive Committee (SEC) set out to create guiding principles that seek to re-assert the aspiration for graduate growth, maximize the benefits, and acknowledge the potential trade-offs. The Joint Senate/Administrative Task Force on Academic Structures provided a thoughtful analysis in its report of May 2013 ([http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP\\_Full%20Report.pdf](http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP_Full%20Report.pdf) - graduate growth section starts on page 11), which SEC discussed extensively in 2013-14. The six principles articulated below are intended as broad guidelines for keeping sight of our values while in the pursuit of our graduate growth aspirations.

***The primary driver of UC Santa Cruz graduate student growth must be our academic mission.***

Increasing the proportion of graduate students enrolled at UCSC is seen as an important component of UCSC's efforts to further its reputation and impact and has been a long-standing and explicitly-stated goal of both the administration and Academic Senate. In 2002 the Senate passed a resolution (<http://senate.ucsc.edu/archives/resolutions-page/CPBenrollResolut.pdf>).

**THAT** UCSC commit itself to growth in graduate and professional programs, both existing and new, with the goal of attaining a student population containing at least 15% graduate students; and

**THAT** the UCSC Senate and Administration jointly develop a plan aimed both at establishing this student population and guiding the annual targets.

While the campus readily adopted the 15% target in 2002, a jointly developed plan to reach it was not created. The debate to identify the desired mix of Masters and Ph.D. within the 15% also did not occur.

The impetus for campus growth in graduate enrollments must align with a proper understanding of our academic mission as a public institution. As such, UCSC is expected to produce knowledge and creative works that further the common good and promote social equality, mobility, and intercultural understanding. Doctoral student research is an integral part of knowledge creation and helps increase UCSC's research impact and reputation. Graduate student

contributions to teaching support undergraduate education. Furthermore, the California Master Plan for Higher Education mandates access to higher education, including graduate education for all Californians. This mandate is particularly significant in light of California’s increasingly diverse demographic population, for which access to higher education remains a key avenue to social mobility.

UCSC set itself on the graduate growth trajectory long before the more recent developments resulting from the university-wide “rebenching” program that identified UCSC to receive additional funds to reach a 12% aspirational doctoral student growth target. We must take care to use these additional resources well in achieving our long-stated goals.

***Implementation of graduate growth will enhance undergraduate education.***

An increased presence of graduate students will lead to a greater opportunity for instruction and mentorship of undergraduates and more opportunities for them to participate in research. This type of indirect benefit to undergraduate education has been largely unrecognized and understated in campus discussions about graduate growth. The addition of TAs support undergraduate teaching. We must carefully monitor the effects of graduate growth to assure that it does not detract from the undergraduate experience but creates additional prospects for undergraduates and enriches their learning environment.

***Resources for graduate growth will be used to foster excellence.***

The process of expanding existing and developing new graduate programs will entail potential trade-offs between the growth of graduate instruction and other campus goals. To be successful, graduate programming must be expanded in a principled way so as not to “starve” existing programs of distinction, not to create new programs too under-resourced to succeed, nor to undermine faculty initiatives across disciplines. The focus must be on programs, not departments. Allocations must be used strategically with a multi-year vision of developing areas of scholarship that can be leveraged to enhance the entire graduate education mission.

Doctoral growth is closely tied to our research mission, and it is imperative that we maximize support for faculty research. Hiring top tier research faculty and supporting the research infrastructure for existing UCSC faculty will create an environment that draws resources to the research mission. Faculty must be protected from clerical or bureaucratic work that does not require their expertise so they can put their effort directly into the research that will create distinction, enhance reputation and bring funding.

***Planning for and monitoring progress of graduate growth will be organized at the center.***

Reaching 12% Ph.D. enrollment is a balance not only of undergraduate and Ph.D. percentages, but the underlying financial structure must include a balance of many intricately linked factors,

such as non-resident undergraduates, fee-paying Masters enrollments and tuition increases or caps.

The May 2013 Report of The Joint Senate/Administrative Task Force on Academic Structures ([http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP\\_Full%20Report.pdf](http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP_Full%20Report.pdf)) concluded:

The Task Force believes it important that the Division of Graduate Studies be supported to finalize the study by the Graduate Division mentioned above, examining and perhaps expanding its underlying assumptions, and make its findings widely available to the campus community. It is difficult to discuss the various impacts, positive and negative, of the graduate growth initiative without at least an approximate sense of the evolving fiscal landscape associated with increasing graduate enrollments. In this light, the discussion of any proposed model of graduate growth, and indeed the appropriateness of the aspirational goal itself, can only be undertaken in an informed manner if the concrete fiscal implications can be understood through the sort of study initiated by the DGS.

The administration must put its resources to making explicit, published strategies and targets for each of these elements so that faculty and staff can understand how to fit their efforts into this framework for growth. The Senate must engage as a full partner in the graduate growth initiative process.

***Faculty incentives, both financial and intellectual, will increase graduate enrollments.***

Increased attention to incentives that will encourage faculty to participate in graduate education will be a primary factor in UCSC's success towards our aspiration of graduate growth. The Graduate Dean has developed multiple programs to create inducements to increase enrollments. These provide direct support to graduate students like Graduate Dean Fellowships and Non-Resident Tuition Fellowships, or incentives, such as the Masters Incentive Program and the change in block allocations enabling multi-year offers. It is clear that existing state and campus funding will not be sufficient to match our growth aspirations. It is incumbent upon faculty to increase their efforts to secure extramural funding from whatever sources are available within their discipline. However, increased grant writing and mentoring of additional graduate students demand substantial effort from faculty, who compete for the resources to put these incentives in place, such as staff assistance for grant preparation or realistic teaching loads that acknowledge graduate education workload. The incentives must be transparent and equally accessible to all faculty.

***Graduate education supports scholars in a variety of career trajectories.***

Faculty through their departments, divisions and programs will need to develop elements in the graduate programs that prepare academic graduate students for their post-UC Santa Cruz lives in a world with limited full-time academic positions. The faculty are well aware of the daunting prospects for recent Ph.D. graduates poised to enter the academic marketplace. Yet, at the same time, our planet needs people who can deeply analyze complex problems and devise creative

solutions, people like our Ph.D. graduates. Hence, we need to prepare them not only for a life of scholarship in the academy but also how to apply those same skills for meaningful and fulfilling intellectual lives existing in many other venues beyond higher education. The Graduate Dean has already put some resources into Graduate Division programming to help students gain leadership skills and think more broadly about applying their education in other contexts. Faculty need time to put some energy toward new curriculum development that better prepares our students for the rapidly changing job markets of the 21<sup>st</sup> century, even if it is only to make students aware of alternate applications of their degrees. A graduate education environment with this expanded view brings the benefit of fostering diversity of thought. Programs that do not see the applicability of their degrees in other careers should consider constraining their enrollments to match academic position availability.

## **MOVING FORWARD**

We are half way through the period for receiving UCOP funds for this aspirational enrollment growth. Senate Committees over the last few years have had varying degrees of success in engaging the administration on planning for graduate growth. The Joint Task Force Report of May 2013 made a strong call for transparency around planning and reporting progress toward goals. SEC recognizes that responsibility for achieving the 12% target lies with both the faculty and the administration and so recommends the formation of a Joint Senate/Administrative Task Force on Graduate Growth, to be convened immediately and charged with charting a clear course toward 12% Ph.D. enrollment at UCSC.

Respectfully Submitted;  
SENATE EXECUTIVE COMMITTEE  
Carolyn Dean  
Ólöf Einarsdóttir  
Dan Friedman  
Patty Gallagher  
Judith Habicht-Mauche  
Minghui Hu  
Junko Ito  
Catherine Jones  
Ken Kletzer  
Steve McKay  
Paul Roth  
John Tamkun  
James Zachos  
Don Brenneis, Chair

October 14, 2014



## COMMITTEE ON TEACHING Reinvesting in Teaching at UCSC

To: Academic Senate, Santa Cruz Division

UCSC has always been proud of the quality of its undergraduate instruction. The first line of the summary statement on our webpage says that we've "earned national distinction as a university with high-impact research and an uncommon commitment to teaching." These two roles are intertwined with faculty creating cutting-edge research opportunities for undergraduates, with graduate students serving as teaching assistants, and with instructors bringing their research findings into their classrooms. With increased numbers of undergraduates, particularly those from traditionally underserved populations, high quality teaching is imperative. Yet, administrative support for the teaching mission at UCSC has dwindled precipitously.

The Center for Teaching and Learning (CTL), formerly the Center for Teaching Excellence, under the office of the VPDUE, has been disestablished for several years. The mission of the CTL was to support UCSC instructors in their efforts to improve their teaching and enhance student learning. The center, with its full-time director, provided in-class and in-person instructional support to the campus community, including resources to faculty and graduate students for developing courses and syllabi, discussions of appropriate pedagogy and classroom climate, assistance in evaluating teaching and learning, training workshops for graduate teaching assistants and graduate student instructors, and the planning and organization of annual Convocations on Teaching. In the past, the CTL played a particularly important role in providing guidance to new professors and first-time instructors. The Committee on Teaching (COT)'s traditional role of providing direction to the CTL disappeared when it lost its permanent director in 2008-2009. After unsuccessful attempts to hire a high-level administrator to direct the CTL, its support and presence on campus evaporated. There is no longer any location on campus for instructors or TA's to receive the kind of targeted pedagogical support offered by a center for teaching and learning.

Until 2011, the COT also adjudicated *Instructional Improvement Grants*, which fostered innovation and experimentation by instructors in their classrooms. These grants were meant to motivate and encourage faculty to think seriously about how they teach and how the learning experience of undergraduate students could be improved. These grants had a direct and positive impact on the campus. They provided support for instructors to develop interdisciplinary courses and new GE courses that addressed campus priorities, they offered mentoring to graduate students in appropriate teaching pedagogy, they allowed instructors to implement new technology in courses, and much more. The budget for this program, administered by the office of the Vice Provost and Dean of Undergraduate Education (VPDUE), began contracting in 2003-2004, when \$129,552 in grants were given to 26 programs. The last year these grants were offered was 2011-2012.

Most recently, COT was informed this fall that the funds and administration for the Excellence in Teaching Awards, which were reduced to a total of \$2,000, would no longer be

funded or administered by either the Vice Provost and Dean of Undergraduate Education (VPDUE) or the Vice Provost Academic Affairs (VPAA). These awards are tangible signs of recognition and appreciation for outstanding instructors, and outstanding undergraduate teaching. The administration has offered the Senate one-time funding of \$2,000 to develop a program of its own choosing, but these funds will be eliminated after this year.

Of course, we understand that cuts to instructional support were originally prompted by extraordinary budget cuts, and we appreciate that the administration must make the most of its limited resources. We would like to note that the VPDUE has recently placed great emphasis and financial support on fostering student success, though none of this support seems to be tied to improving the *teaching* of students. There is also the Faculty Instructional Technology Center (FITC), which provides support for the integration of technology into teaching. Unfortunately, the personnel in FITC have no pedagogical knowledge to offer instructors and graduate students, and the use of educational technology is only one facet of what teachers do in the classroom. Subject specific grants, such as the instructional improvement grants focused on Disciplinary Communication, help support particular aspects of teaching, as do the campuswide TA training sessions which focus on compliance with campus policies. But, neither of these initiatives provide the type of generalized pedagogical support that translates to overall teaching success for the benefit of the entire campus community.

There has been a cumulative disinvestment in campus-wide systems which support new instructors in appropriate pedagogical practices in all areas, honor and celebrate high quality teaching, and assist graduate students who serve as teaching assistants. We are particularly concerned with the disconnect between undergraduate and graduate student growth, and the lack of support for training graduate students as teaching assistants and instructors.

We believe that supporting the teaching mission of the university is critical. Eliminating the Center for Teaching and Learning, the Instructional Improvement Grants, and Excellence in Teaching Awards strikes at the heart of this mission. The COT would also like to note that *all* of other UC campuses retained their centers dedicated to the improvement and support of high quality teaching during this period of budget constraints. The cumulative impact of the budget cuts on our campus sends both a symbolic and a tangible message that teaching quality and systematic support for appropriate pedagogy are low priorities for this administration.

Despite this lack of administrative support for high quality teaching at UCSC, the COT will do what it can to support our instructors and graduate student in their instruction. While the Senate cannot bring back the CTL on its own, we have plans to create virtual spaces to encourage innovative teaching and share the results of effective pedagogical practices on campus. We'd also like to host teaching forums and other events to bring the instructional community together to share ideas and insights about teaching. At this point, COT is soliciting ideas from the rest of the Senate and campus community about how to foster teaching innovation given the current lack of funds and support. Our students depend on us for high quality instruction. We hope to work with the Senate, the administration and the development office to find creative solutions to renew our commitment to excellence in teaching and learning. We sincerely hope that together we can make good on our promise of being a research institution with an "uncommon commitment to teaching."

Respectfully submitted;  
COMMITTEE ON TEACHING  
Viqui González-Pagani  
Phil Hammack  
Marc Mattera  
Matthew McCarthy  
Judith Scott, Chair

Kevin Bell, NSTF Representative  
Christopher Kan, GSA Representative  
Jim Phillips, Director of Learning Technologies

October 24, 2014