Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, November 13, 2015 at 2:30 p.m.
Stevenson Event Center
ORDER OF BUSINESS

1. Approval of Draft Minutes
    a. Draft Minutes of May 29, 2015 (AS/SCM/312)

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:

5. Reports of Special Committees (none)

6. Reports of Standing Committees
    a. Committee on Emeriti Relations   p. 101
        i. Report on the Dickson Emeriti Professorship Award on the UCSC Campus
            (AS/SCP/1814)
    b. Committee on Teaching
        i. Oral Report: Update on the Center for Innovations in Teaching and Learning
    c. Senate Executive Committee   p. 103
        i. Joint Senate/Administrative Task Force on Graduate Growth Report and
            Recommendations June 2015 (AS/SCP/1817)

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
    a. Dickson Award Resolution (AS/SCP/1815)   p. 130
    b. Resolution for Appointing the Emeriti Association President Ex Officio Member p. 132
        of CER (AS/SCP/1816)

November 4, 2015

Academic Senate
Santa Cruz Division

Dear Colleagues;

I write to invite you to the November 13th Academic Senate meeting, 2:30 at the Stevenson Event Center. 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/2015-2016/2015-November-13-Meeting/index.html

This meeting will mark the 50th anniversary of Santa Cruz Senate meetings, the first of which was convened in fall quarter, 1965. This meeting will be sure to highlight how much the Senate at UCSC has changed over the years, and also perhaps a few humorous instances of how things also stay the same.

The meeting will be focused on the Graduate Growth Joint Task Force Report. It is my hope that the short presentation will engender a spirited and informative discussion by the body, which the Senate Executive Committee, Graduate Council, and the Dean of Graduate Studies can take into consideration as we consider various implementation plans proposed in the report.

The Committee on Teaching (COT) will provide an update on the status of their proposal to establish a Center for Innovations in Teaching and Learning (CITL).

The Emeriti Association has proposed two resolutions, one related to the Dickson Professorship Award and a change to the membership of the Committee on Emeriti Relations (CER). CER has included a report in the Call which may contextualize the history and current status of the Dickson Professorship Award.

I look forward to seeing you there on Friday, November 13th. I hope you can stay for the reception - there's a great deal to celebrate!

Regards,

Don Brenneis, Chair
Academic Senate
Santa Cruz Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 29, 2015 Senate Meeting

The draft minutes from the May 29, 2015 Senate meeting were distributed via email on October 30, 2015 and will be presented for approval at the Senate Meeting on November 13, 2015. 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 12, 2015.** They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to senate@ucsc.edu.

Heather Shearer, Secretary
Academic Senate
Santa Cruz Division

October 31, 2015

COMMITTEE ON ACADEMIC FREEDOM
Annual Report, 2014-15

To: Academic Senate Santa Cruz Division

Executive Summary
The Committee on Academic Freedom (CAF) met when business presented itself for the committee to discuss and review. Last year the committee set up procedures for academic freedom complaints and updated the website to reflect a more user friendly interface. CAF worked directly with the Director of Information Practices to include an area for faculty to reference when public requests for information on research have been received. CAF and the Committee on Computing and Telecommunications (CCT) sent a memo updating senate faculty on freedom of information act (FOIA) requests. Finally, members reviewed drafts of APM-210-1-d, Review and Appraisal Committees with regard to equal opportunity and diversity when faculty members' personnel files are evaluated for appointment, advancement and/or promotion.

UCAF and Civility Issues in the UC System
CAF Chair Glass continued his participation in discussions at the University Committee on Academic Freedom (UCAF) concerning academic freedom and civil speech. The Committee's concern is that the desire for civility could lead to undue constraints on both free speech and academic freedom. Indeed, when reasonable people in university classrooms or events address controversial topics about which there may be deep and well- founded disagreements, their speech may sometimes be regarded by some as uncivil. While being civil is generally a desired faculty and student behavior, speech that some regard as uncivil may not breach the standards of academic freedom. For the complete definitions of academic freedom, visit:
http://senate.ucsc.edu/committees/caf-committee-on-academic-freedom/FAQ_CAF_124.pdf

UCAF concluded that some speech may actually be warranted in being uncivil, and that dissent and vigorous contestation strengthen debate and academic freedom. Therefore standards of civility should not be allowed to dampen debate and intellectual diversity, and university classes and events should encourage diverse individual points of view and modes of expression to be heard and not punished.

This year members discussed speech expressed through digital social media. Questions were raised about this speech and its protections or relations to academic freedom and free speech rights. Social media speech may fall in a gray area distinguished from speech in the classroom and private speech. Academic Freedom Committees in the UC System have monitored a number of cases that have emerged nationally, and in particular that of Professor Steven Salaita; who was apparently denied a tenure appointment with the University of Illinois based on his tweets concerning the Israeli- Palestinian conflict. UCAF met with UC Counsel who advised that social media speech may not be fully protected by academic freedom rights and that there are complex contextual and legal factors that are not yet fully worked out. In some cases, social media speech can, for example, be taken into account as a reflection of a faculty member's collegiality when that faculty member is being reviewed for merit or promotion. CAF intends to work with other campus academic

freedom committees to get these issues clarified, and to make information about these issues available to faculty.

Enhancement of Website Presence:
For the past couple of years committee membership has strongly recommended updating the committee website with an educational approach for academic freedom information. This year members created a FAQ (frequently asked questions) section with regard to academic freedom principles, freedom of information act public records requests and relevant links to appropriate policies, procedures and references. Visit our website here for more information:
http://senate.ucsc.edu/committees/caf-committee-on-academic-freedom/index.html
For freedom of information act public records requests, there is a section for faculty members to reference here:
http://infopractices.ucsc.edu/faqs/faculty-faq.html

Review of the UCOP Proposed Revised Presidential Policy on Sexual Harassment and Sexual Violence Request from UCAF
The UC Office of the President requested UCAF divisional representatives to review and comment on this proposed interim policy, which will be reviewed again next year as the effective date ends December 31, 2015. Members reviewed and discussed the revised proposal and found the language to be informative and unproblematic, adequately addressing the academic freedom issues. CAF members did wonder if information on sexual harassment and resources are being presented at the student orientations after learning of student testimonials on lack of public information on procedures or policies on the UCOP or individual campus websites.

Review on APM 210-1-d: Personnel Review Committee
The Committee discussed the final proposed revisions to APM 210-1, which amended the language related to evaluating contributions to equal opportunity and diversity in personnel reviews. CAF did not object to the final language in the proposed revisions, though it did affirm its view that faculty members' contributions to equal opportunity and diversity in their research, teaching, and service are singularly important to the University's core mission to form an educated democratic citizenry, and are therefore worthy of recognition and reward.

Systemwide review of draft Equity Exchange Guidelines
The committee was asked to review and comment on the draft proposed guidelines for the pilot program whereby the university would be able to accept and manage equity from companies in exchange for access to University facilities or services. The guidelines in the document itself did not pose any issues with regard to academic freedom. However, CAF raised concerns that faculty entering into these business partnerships would do well to keep in mind the content of the contract before signing. The contractual agreement between a faculty member and outside corporate, business, military, or other partners is something faculty members agree to by choice, and because CAF sees some potential for these contracts to require that the faculty members surrender certain aspects of their research and/or publication rights, CAF strongly cautions faculty members

about such possibilities and urges any faculty member to first obtain legal advice before entering into these contracts.

Respectfully submitted;
COMMITTEE ON ACADEMIC FREEDOM
Jennifer Derr
Karlton Hester (W&S)   Robin King, NSTF
Hongyun Wang
Ron Glass, Chair

August 18, 2015

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
Annual Report, 2014-15

To the Academic Senate, Santa Cruz Division:

The Committee on Admissions and Financial Aid (CAFA) continued the critical work evaluating the outcomes of the 2014 admissions cycle and taking into consideration the changing admissions playing field for 2015 admissions. Areas of specific focus included: 1) adapting to a new frosh admission review tool; 2) refinement of appeals policy; 3) tiebreak criteria; 4) selection modeling; 5) non-resident scholarships and 6) transfer major preparation. Due to the increase in our campus' selectivity and the transition away from using UC Berkeley and UC Los Angeles reader scores, CAFA has closely monitored the impact of these changes, as well as the stress legislative uncertainty and systemwide admissions targets can cause for our campus. Given these factors CAFA has tried to adjust where necessary to mitigate negative outcomes. The committee was disappointed by the overall size of the non-resident (out-of-state and international) enrollments as well as the large gap between the enrollment forecasting target recommended by Noel-Levitz (consultant firm) and the actual SIR outcome. Both may further damage campus culture and financial health.

Work of CAFA in 2014-2015
Committee Foci
1. *Holistic Review*
As was decided in 2013-14, the Holistic Review rubric was updated for fall 2015 admissions to reflect greater academic rigor and the campus' rising selectivity level. As expected, these updates yielded a fall 2015 class with substantial increases in academic indicators (GPA—grade point average, test scores, and SSI—student success indicator).

The most impactful change this year was that UCSC did not utilize UC Berkeley or UC Los Angeles Holistic Review scores. UC Santa Cruz readers read all our campus' applications, and did so using a new review tool, provided by UC Davis. By reading all applications, we have seen less variance in scoring outcomes.

We utilized a rigorous adjudication review that prompted second reads by senior readers where necessary. This adjudication review helps to guarantee that readers score applications according to the CAFA Holistic Review criteria, and normalizes the reading process overall.

2. *Non-resident Admissions*
The campus's increased international engagement efforts, including recruiting and admitting a growing international and out of state student body, signaled CAFA's extensive engagement with internationalization this year.

In fall 2015, CAFA received an orientation from AVC of Enrollment Management Michelle Whittingham on the Admissions Office International Recruitment Plan, which emphasized a multifaceted process of recruitment, but primarily focused on direct recruitment and working with "influencers." The recruitment plan included a mix of marketing relationship/partnership building

to tap into current and future student personal and institutional networks, but no clear analysis of what the target populations should be has been articulated.

The committee also reviewed and responded to three administrative proposals: the Brazil Scientific Mobility Program, an international pathway (3+1+1) program proposal, and the Undergraduate Dean's Awards and Scholarships. The Brazil Scientific Mobility Program is intended as a pilot program for non-degree seeking undergraduate students. The program supports Brazilian undergraduate and graduate students in becoming visitors at institutions internationally, and was proposed by Vice Provost and Dean of Undergraduate Education Hughey as a one quarter program on the campus. CAFA supported the piloting of the program at UCSC, with the following conditions: TOEFL scores should be re-evaluated at the end of the first year of the program, and raised if necessary to ensure students demonstrate strong English skills, and the program should address a potential capacity challenge by establishing and communicating a clear priority for enrollment of degree-seeking students for impacted areas of study.

Senior International Officer Joel Ferguson sought CAFA approval (June 2015) for his proposed guidelines for implementation of 3+1+1 programs for International students on the UCSC campus, in which students from the first (sending) university enroll in the second (host) university to complete their bachelor's degree from the sending university and earn their master's degree from the host university. SIO Ferguson also proposed piloting one such program between Nanjing Audit University (NAU) and the Economics department for the creation of a master's 3+1+1. Given the timing of the request, and lack of campus guidelines, CAFA did not approve the admission of prospective students for the Economics Master's 3+1+1 for fall 2015. However, CAFA noted its enthusiastic support for the creation of an Economics pipeline. In its response, CAFA recommended the development of campus guidelines and provided specific feedback for working with both the Senate and relevant administrators on campus, as well as a recommended timeline that would allow review of both the guidelines and the Economics proposal in time for implementation by fall 2016. CAFA expects to continue to collaborate with the Senior International Officer in 2015-16 on the development of 3+1+1 programs for International students.

During winter and spring quarters 2015, CAFA reviewed a proposal by the administration to make changes to the Undergraduate Dean's Award for International students. From an enrollment strategy viewpoint, the award can be considered a tuition discount. The proposal sought to implement changes that would reduce this nonresident tuition discount rate to 10% by 2020, and to create a tiered award structure ("awards" and "scholarships"). CAFA supported the strategy to use the Undergraduate Dean's Award to target high performing nonresident students with either a scholarship or award, and to take into account family income and geographic diversity (May 2015). CAFA further recommended that the Undergraduate Dean's Awards and Scholarships be reviewed annually in late fall by CAFA, the Committee on International Education (CIE), and the Committee on Planning and Budget (CPB). The review should include the prior year's admissions/awards outcomes, and a proposal by Undergraduate Education for any changes to the award distributions. CAFA expects to review the outcomes based on the new Awards and Scholarships structure in fall 2015, and will take comments of CIE and CPB under advisement as it directs this program for the next cycle.

Finally, CAFA provided a response to the annual systemwide BOARS request for campus "Compare Favorably" data (January 2015), which seeks to ensure that admitted nonresidents compare favorably to admitted California residents at each campus, based on academic profile including GPA and test scores. In its response, CAFA noted that the data provided by UCOP for our campus (narrowly focused on academic indicators) showed a discrepancy in admission rates for non-residents and California residents. Several circumstances led to the discrepancy, including the campus's aggressive targeting of nonresident and international students in context of the campus applicant pool and yield rate. However, the increased nonresident targets should also be viewed in context of our sister campuses, where UCSC is clearly behind the curve in its recruitment and admissions of nonresident and International populations. CAFA strongly supports the development of collaborative pipelines and partnership with higher education institutions around the globe in order to expand the diversity of our national and international applicants, and as our campus enrollment targets for nonresidents increase, CAFA will continue to ensure that academic preparedness is a focus of the non-resident selection process. CAFA will continue to collaborate with the Office of Admissions to balance meeting enrollment targets, increasing the probability of student success, and addressing BOARS compare favorably standards.

3. Transfer Admissions Pathways
The UC Transfer Pathways initiative is intended to streamline transfer from the California Community Colleges (CCC) to the University of California through identification of a common set of lower-division courses for each major that would make students competitive for UC admission as a junior level transfer. The UC Office of the President initiated the Transfer Pathways during the 2014-15 year, intended to support President Napolitano's Transfer Action Team recommendations.

The initiative focused on ten majors during 2014-15. These ten majors are: Anthropology, Chemistry, Economics, Mathematics, Physics, Sociology, and four Life Science majors (Biology, Cell Biology, Molecular Biology, and Biochemistry). The UCSC campus approved all ten major transfer pathways by spring quarter 2015, although some departments raised specific concerns about the pathways. The committee also raised concerns about the impact on specific majors, including about the "super-set" approach to the pathways, which present one set of requirements that are in some cases, more than what is required at individual campuses. This was the case, for example, for the Physics transfer pathway requirements. While each campus retains the capability to list campus specific requirements on its website if they differ from the Transfer Admissions Pathway, the committee raised concerns about whether this is enough to mitigate the potential negative impact on students. The committee raised concerns that the pathways encourage students to take additional courses they might not need, which could potentially discourage students from applying to the UC or delay their transfer unnecessarily.

The committee also critiqued the process by which the campuses were asked to respond to the Transfer Pathways initiative, directly to the Academic Council Chair rather than via the systemwide BOARS, although BOARS endorsed the effort to streamline transfer pathways. Campus administrators were asked to identify people on their campus responsible for determining the expectations for preparation for the top twenty-one UC undergraduate majors, including faculty and academic administrators and/or staff. As the initiative progressed, the Academic Council Chair communicated directly with CAFA on the progress of the ten major pathways.

UC plans to develop transfer pathways for eleven additional majors next academic year. CAFA expects to continue to engage with the transfer pathways initiative and the issues raised through campus review. CAFA works closely with UCEP and CEP on transfer pathways.

Sub-Committee Efforts

1. *Appeals subcommittee*

In 2015, the Cancellations Appeals Review Committee (CARC) was chaired by Michelle Whittingham (Associate Vice Chancellor of Enrollment Management), and included three members of CAFA: Mark Carr, Ted Warburton and Megan Moodie. Cases were presented to the committee by Director of Admissions, Michael McCawley. To date, CARC had 11 in-person meetings ranging from 2-4 hours each and approximately 2-4 informational conference calls. All cancellations and reviews were conducted without regard to the students' residency status. The total numbers of cancellations, appeals and approvals as of August 24, 2015 are presented in the table below.

All	Cancels		Appeals		Approved	
	N	%	N	% of Cancels	N	% of Appeals
Academic Shortfall	268	33.7%	154	57.5%	22	14.3%
Admit Conditions Not Met	3	0.4%	3	100.0%	2	66.7%
Missed Deadline	524	65.9%	370	70.6%	251	67.8%
Total	**795**		**527**		**275**	

Many cases were based on cancellations due to academic shortfalls, but the vast majority was missed deadlines for receipt of official transcripts. The number of cases reviewed this year was inordinately high because of our new strict adherence to the July 1 UC-wide records submission deadline. Many cancellation cases were found to be related to the inability of institutions (e.g. high schools) to meet the July 1 deadline and these cancellations were delegated to Admissions to revisit, without further review by CARC. Students were approved if they clearly demonstrated the late arrival of the required record(s) was for no fault of their own. Any of these cases that revealed academic shortfalls were subsequently reviewed by CARC. Many of the remaining cases were associated with failure to submit college transcripts by the deadline and in some cases were due to late final high school transcripts with grade changes. CARC reviewed appeals as soon as they were processed by the Admissions Office and Enrollment Management throughout the summer.

Since finalizing the review of the appeals for fall 2015, CARC has continued to evaluate the impacts of the new strict enforcement of the of the system-wide July 1 records deadline of having records received by the Office of Admissions. As a result, CARC will be offering enrollment beginning winter 2016, rather than requiring re-application for a future term for impacted students. CARC's decision is based on the student's academic achievement, appeal, and the understanding that students received mixed messages regarding the deadline from individuals outside of the UC Santa Cruz Office of Admissions (e.g., high school guidance counselors who did not realize that deadlines were going to be much more strictly enforced across the system). The appeal and final

official records must have demonstrated our expected level of high academic achievement and the other conditions of admission. Because of the inordinately large number of cases this year and the significant impacts on students, CARC intends to visit admissions policies with CAFA and Admissions in fall 2015.

2. *Data Subcommittee*
The data subcommittee continued work to understand and respond to our previous cycle outcomes, and generated data throughout the year which helped the full committee to tailor our Holistic Review (HR) process to applicant and campus needs. This year, this meant UCSC did not use other UC reader scores, and the use of the SSI to test the accuracy of reader scoring and applied as an adjudication measure which triggered second reads by senior readers. 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.

In the future, we hope to see CAFA's data request plan routinized such that it informs the campus admissions process by correlating ongoing performance data with the academic indicators of our applicants. The data subcommittee will also adjust adjudication thresholds as needed on an ongoing basis, and review selection modeling.

Issues for the Near Future
- Continued assessment of SSI, tiebreak and selection implementation.
- Review academic and demographic outcomes from fall 2015 selection.
- Review the non-resident awards for efficacy and impact on enrollment across regional and family income.
- Assess campus outreach & recruitment strategies for all students.
- Transfer Major Preparation Implementation and expansion.
- 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.
- 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.

Admissions and Financial Aid for Fall 2014
A. *Admissions*
This year, systemwide reporting on admission data experienced delayed release in comparison to other years. A brief summary of UCSC data excerpted from the UC systemwide release, the most recent available to CAFA as of the writing of this report, is included below. These data are preliminary and subject to subsequent change. All data below, unless otherwise noted, was compiled from reports publicly available from the UC Office of the President.

UC systemwide data indicates that UCSC admitted a total of 23,284 undergraduate students for fall 2015. The admission rate for all frosh was 51.1%.[1] The average high school GPA of admitted frosh was 3.88 (on a 4.0 scale) representing an increase from fall 2014. UCSC admitted a total of 2,500 out of state and 3,196 International frosh, for an admit rate of 83.9% and 70.2% respectively. UCSC admitted a total of 4,684 transfers for fall 2015.

Statement of Intent to Register (SIR) data for fall 2015 indicates that frosh student acceptance of offers of admission totaled 4,238 students, a 9.2% decrease from fall 2014. Of this group, 290 out of state and 408 International students accepted their offers of admission. SIR data for transfer students indicates a total of 1,328 students accepted their offers of admission, including 13 out of state students and 49 International students.

Official campus enrollment figures are expected to become available in November 2015.

B. *Financial Aid and Scholarships*
The demand for financial aid continues to increase steadily, with about 81% of UC Santa Cruz students receiving some type of financial aid in 2014-15 (including grants, scholarships, fellowships, loans and/or work-study assistance.) In 2014-15, support has been provided to 13,035 undergraduate students and 1,530 graduate students.

Political and Budgetary Impacts
There continues to be 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. 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.

The 2014-15 year saw the first awards for the state Middle Class Scholarship program, which will not be fully funded until 2017-18. This program 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, UCSC had 1,331 students receive an average of award of $999, with a total disbursed amount of $1,330,000.

The increased workload associated with these regulatory changes and the new award programs, as well as the larger number of students applying for aid, has required the Financial Aid and Scholarship Office to continuously seek efficiency improvements. Document imaging, Peer Advising, and task prioritization have contributed to the efforts to meet regulatory requirements while providing customer service to students and their families. And we have decreased the percentage of student files selected for verification process, although the continued increase in aid applicants has kept the verification workload at nearly a constant level.

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[1] This preliminary data can be accessed at the UCOP Institutional Research and Academic Planning site:
http://www.ucop.edu/institutional-research-academic-planning/data-reports/key-reports/student-workforce-data.html

Verification of FAFSA data is critical and is performed to protect university grant funds, as the need analysis under the current federal methodology is inadequate. The FAFSA methodology, as defined by federal regulations, ignores the ability of non-custodial (divorced) parents to contribute, it ignores home equity, it ignores retirement investments (where savings can be sheltered), it ignores geographic differences in cost of living, and it automatically classifies a student as independent at age 24 resulting in no reporting of the financial data for their parents.

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

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. This year, a change to the EFM model was approved, allowing the usage of current year (Fall) data as a part of the formula governing the distribution of centrally held funds. This has benefited UCSC, as we are a campus experiencing rapid growth in our need based aid recipients. We have been behind the curve with the previous model, which relied solely on 3 prior years of data for determination of funding.

For the 4th year in a row, the system-wide in-state tuition and fees remain relatively unchanged, this year having a small increase of $48 to bring the new amount to $12,240. Other elements of student budgets have continued to increase, for example health insurance. With no increased RTA from tuition revenue, we have been 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.

However, over the past 2-3 years, an increasing number of students are falling into the category of "full-payers", and this population is contributing to the RTA and not receiving any funds from the pool. As this full-paying population becomes a larger percentage of the overall student population, the aid to the grant eligible population is able to be increased.

The average cost for a student living on campus in 2015-16 will be about $35,082. Under EFM, 2015-16 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 2014-15 the Financial Aid and Scholarship Office administered $273 million in financial assistance to about 80% of UCSC's undergraduate students, as compared to $273 million / 77% in 2013-14.

2013-14 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	76%	$190,000,000	$ 15,305
UC Santa Cruz Scholarships*	9%	$ 3,358,000	$ 2,228
Federal Pell Grants*	47%	$34,461,000	$ 4,521
Student and Parent Loans	56%	$81,041,000	$ 8,896
Federal Work-Study	10%	$ 2,425,000	$1,537
* Included in gift aid			

Recent UC Santa Cruz graduates who enrolled as first-time frosh have an average debt of nearly $22,583, but the debt ranges up to $31,000 – the federal cumulative maximum amount an undergraduate student may borrow. Nationally, 69% of seniors graduated in 2013 had student loan debt, with an average of $28,400 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 13.7% for 2010 (per Dept. of Ed.).

The rate for our campus has been exceptionally low in recent years but did spike in 2010-2011, possibly due to the recession.

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%	5.7%
2012	*	*	3.5%	Not Yet Avail.
* 3-Yr default rates were not calculated prior to 2009, 2-Yr Default rates are being phased out				

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	122	$ 591,333	$4,847
Campus Merit Scholarships	220	$ 273,734	$1,244
Pister Leadership Opportunity Awards	22	$ 188,580	$9,148

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*

Acknowledgements

Respectfully submitted;
COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Mark Carr
Jean E. Fox Tree   Joy Hagen, NSTF
David Helmbold   Lila Blackney, Undergraduate Representative
Megan Moodie (*W, S*)   Victor Garcia-Zepeda, Undergrad Representative *(F)*
Deanna Shemek (*F,W*)   Sophia Mauricio, Undergraduate Representative *(W,S)*
David Smith   Justin McClendon, Undergraduate Representative
Ted Warburton
Yi Zhang
Minghui Hu, Chair

August 31, 2015

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
2014-15 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) undertakes studies of policies and practices regarding affirmative action, diversity, and equity, 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, equity, and inclusion. CAAD has primarily concentrated on issues pertaining to faculty climate, diversity, and inclusion. A major focus for CAAD this year has been the policy and process for Senate faculty waivers of open recruitment, and the committee has collaborated extensively with the administration to bring about changes to the campus policy (CAPM 101.000). CAAD has also focused on addressing issues of campus climate and microaggressions, with a focus on familiarizing itself with the scholarship on microaggressions and its impacts on both individuals and institutions as well as best practices for addressing microaggressions at the campus level. The committee has also continued its annual monitoring of campus faculty data, and reviewed the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015). As part of the committee's routine business, CAAD has issued statements on diversity implications of proposed policies and programs at the local and systemwide levels.

CAPM 101.000: Waiver of Open Recruitments for Senate Faculty Positions
A major focus for CAAD this year has been the issue and process for campus waivers of open recruitment. This issue was brought to the fore by three factors: the increased number of waiver of open recruitment proposals reviewed by CAAD in recent years, lack of clarity about CAAD's role in the waiver review process and how committee input is taken into consideration as it advises the Chancellor on waiver proposals, and questions about the impact of waivers of open recruitment on faculty diversity. CAAD's concerns with this issue originated before this academic year; for example, in 2013-14, CAAD reviewed earlier proposed changes to the campus policy on waivers for open recruitments and recommended that all candidates for proposals of waivers of open recruitment submit a diversity statement to be included in the proposal, and CAAD remarked that the proposed CAPM 101.000 policy, as then articulated, marginalized the significance of contributions to diversity in relation to the policies it sought to replace (January 2014).

CAAD's analysis this year began with a review of the current process and internal deliberation about how to increase the effectiveness of the committee's advisory role. CAAD requested and received data from the campus Academic Personnel Office (APO) on diversity of waiver of open recruitments in relation to diversity of the campus as well as an updated summary of waiver of open recruitment searches and hires by division for the past five years.

The committee also worked collaboratively with the administration to bring about changes to CAPM 101.000 that redress problems institutionalized in the previous revisions to the policy. In December 2014, CAAD consulted with Chancellor Blumenthal on this broad set of issues, and also recommended changes to CAPM 101.000 for the Chancellor to consider, including 1) requiring candidate diversity statements as part of the waiver proposal, and 2) requiring that both Target of Excellence (TOE) and Spousal/Partner waiver proposals be treated consistently in

waivers and that both types "must" include a discussion of past and/or potential diversity contributions in teaching, research and service. Currently, CAPM 101.000 policy states that TOE requests "must" address and Spousal/Partner requests "should" address this issue. The consultation helped the committee better understand how its feedback is taken into account during the waiver process, and Chancellor confirmed support for both of these recommendations. In follow up communication with Chancellor Blumenthal (December 12, 2014 and February 27, 2015), the committee requested response on the two issues noted above and asked the Chancellor to review the committee's planned communication to Deans and Chairs on the issue of diversity contributions in waiver of open recruitment proposals. The committee has noted that proposals do not consistently discuss the diversity contributions of waiver candidates in their proposals, as called for in CAPM 101.000, and this communication to deans is intended to clarify this aspect, as well as CAAD's role in its review of waiver proposals. CAAD also obtained a commitment from Associate Chancellor Sahni (present at this consultation with the Chancellor on December 1, 2014) that the Office of Diversity, Equity, and Inclusion would track data on the diversity of waiver of open recruitment hires compared to open hires, and present this data annually to the committee.

In parallel with this administrative collaboration, CAAD decided that waivers of open recruitment review responses would now include comments tracking the number of waiver requests reviewed by the committee, as well as the frequency of waiver requests for the past five years for the requesting division, drawn from the data provided by APO. The letters would also explicitly note when deans and chairs submit proposals without discussion of past and/or potential contributions to diversity in teaching, research, and/or service of the candidate, which hinders the committee's ability to fulfill its charge of evaluating past or potential contributions to diversity. This change is intended to help the administration stay abreast of the possible impact of the waiver process on fair hiring and to increase the effectiveness of the committee's advisory role.

CAAD sustained its focus and collaboration with the administration on this issue, and Chancellor Blumenthal communicated his revised decision to CAAD on April 16, 2015, in which he reiterated earlier support for requiring TOE candidate diversity statements in waiver of open recruitment proposals. However, he noted that this requirement would not be extended to Spousal/Domestic Partner waiver proposals.

On April 27, 2015, the Senate was asked to comment on a new set of proposed revisions to CAPM 101.000. The revisions included 1) the requirement of a divisional permanent faculty provision for all proposals, 2) requirement for TOE proposals to include a statement from the candidate addressing their past and/or potential contributions to diversity through their research/creative work, teaching, and/or service, 3) changes to the process for reviewing and submitting proposals. In its response, CAAD made the following specific suggestions for a revised CAPM 101.000 policy:

▪ Correction of an oversight agreed to by the administration and missing in the revised policy: Chancellor Blumenthal expressed support (confirmed via email by Associate Chancellor Sahni), that the new policy would explicitly state that proposals for both TOE and Spousal/Partner waivers "*must* include a discussion of how the individual either contributed to diversity through their research, teaching, and /or service in their past work, or how they may contribute to diversity through their research, teaching, and/or service in

their position at UCSC" (emphasis added). Currently TOE proposals state "must" and Spousal/Partner waivers state "should" include the discussion.

▪ Correction of a second oversight: Section G of the proposed revised policy states that, "As noted above, departments are also encouraged to ask candidates to consider submitting a statement addressing their past contributions to diversity through research/creative work, teaching, and/or service, and their plans for contributing to diversity at UCSC." This section is inconsistent with the rest of the policy and should clarify that candidate diversity statements are *required* for TOE waiver proposals.

▪ Clarification of CAAD review in Spousal/Partner waivers: Section B.2.a. reads in part, "If the recruitment or retention is in a department other than the hiring department, the dean shall address the situation leading to the request for a waiver…" CAAD recommended that the following be added to "including the diversity contributions of the recruitment or retention candidate." Deans and Chairs should be able to comment, and CAAD should be able to evaluate and comment on, the retention case's contributions to diversity. CAAD has reviewed examples where the diversity contributions of the faculty member being retained clearly strengthen the waiver proposal. Under the current language of CAPM 101.000 it is not clear whether these contributions can be considered, but CAAD's position is that they should be.

▪ Recommendation for Informing Stakeholders of CAAD Review Decisions: Under current practice, Senate committee responses to waiver of open recruitment proposals are addressed to the EVC, with cc's to the Chancellor, reviewing Senate committee Chairs, and APO analyst. CAAD recommended that the practice be amended so that cc's also include the proposing Deans and Department Chairs. Deans and Department Chairs should be aware of committee input into the process. CAAD has found that despite policy requirements, Deans and Chairs do not consistently include a discussion of diversity contributions of the candidate in their letters, and receiving CAAD's responses would be a positive step toward raising awareness of the importance of making sure all proposals are compliant with CAPM policy requirements.

While CAAD noted there were other changes proposed to CAPM 101.000, including changes to the process for reviewing and submitting proposals, the committee did not comment on these changes. The committee has delayed its planned communication to Deans and Chairs until the newly proposed revisions to current CAPM 101.000 policy are finalized, expected in fall 2015. The committee will continue to monitor this issue in the next year. In addition, the committee will also review data on how waiver of open recruitment hires contribute to diversity during its annual winter quarter consultation with Associate Chancellor Sahni on faculty diversity.

Microaggressions and Campus Climate
The committee reviewed the UCSC Climate Study (2014) findings, a major focus for the committee in 2013-14. In spring quarter 2014, the committee requested further disaggregated data from the Office of the President, via Vice Provost of Academic Affairs and Campus Diversity Officer for Faculty Herbie Lee, but did not receive any additional data this academic year. The committee praised the efforts that went into the study, as well UCSC's plans to take measurable actions in response, and also raised several issues of concern after review of the findings report. The committee's 2013-14 annual report provides a summary of its review.

This year's committee reviewed the study findings again in an effort to deliberate next steps for the committee's goal of addressing faculty climate, an issue of high priority for the committee. Members discussed addressing the issue of microaggressions as one important aspect of campus climate. The committee's focus on microaggressions included review of research on the topic and literature on best practices, and consultation with faculty and administrators on campus working on issues of microaggressions (Associate Chancellor Ashish Sahni, Professor Christy Byrd, Assistant Campus Diversity Officer Sheree Marlowe). The committee is interested in identifying best practices at the institutional level, including institutional and group initiated spaces of support, as effective measures to reduce the experiences of microaggressions and improve the qualitative experience of campus climate for women and underrepresented groups. The committee will continue to work on this issue in the coming year.

Campus Faculty Data
CAAD annually consults with Associate Chancellor Sahni, who presents faculty data, including data comparing faculty incumbency to national availability statistics. This year, CAAD also reviewed the *UCSC Affirmative Action Plan for Academic Employees (January –December 2015)*. This document provided the committee with insights that helped it to better understand and contextualize information on faculty incumbency, and in the future, the committee plans to review the *Affirmative Action Plan* prior to this annual consultation.

CAAD's review of the Affirmative Action Plan, a campus compliance document, raised among members both appreciation for the work being done by the campus to track progress on the recruitment and retention of a diverse faculty, and also a sense that more progress could be made to improve faculty diversity. CAAD expects to continue to actively address this issue. For example, the committee notes that the Affirmative Action Plan (page 10) calls for CAAD to meet "periodically with the Provost to discuss how to incorporate affirmative action and/or diversity into current efforts on campus. Examples are the campus's long range planning efforts and the implications of potential budget cuts on affirmative action." CAAD looks forward to the opportunity to provide input on the administration's approaches and plans for increasing faculty diversity. CAAD has also requested additional data for its annual consultation with Associate Chancellor Sahni, including data on Senate faculty by division over time to show trends in underrepresented faculty, data which could help elucidate impacts of past and current policies. The committee expects that review of this data as part of the annual consultation will allow for more in-depth discussions about faculty diversity, what progress we have made, and possibly, where work remains to be done as a campus. The committee looks forward to a broader and more proactive conversation with the administration on campus plans that address shared goals for increasing the diversity of our faculty in the next year.

Faculty Salary Equity Study Report
CAAD reviewed the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015) during winter and spring quarters. The report resulted from a campus study conducted at the request of the Office of the President that sought to determine the relationship between gender and/or race/ethnicity and faculty advancement in terms of promotion or salary.[1] One key set of analyses included the faculty member's department as an explanatory variable. The report concluded that after taking into account department, "regression analysis did not find statistical evidence of any systematic difference in promotion growth by gender or race/ethnicity."

CAAD reviewed the report and critiqued the narrowly focused scope of the study for its limited ability to address the broader context of the continuing underrepresentation of women and minority faculty in some departments and at higher ranks. The committee also critiqued some of the conclusions drawn from the analyses, including the report's conclusion that some departments simply hire faculty near the top of their fields, in essence, that some departments hire "more excellent" faculty (who are hired at higher salaries and promoted more rapidly), while by implication other UCSC departments are not attracting excellent candidates. The committee is concerned with disparity in salary and promotion rate across departments as well as within. CAAD contends that this pattern needs to be probed further, and the campus ought to examine whether differences among departments in the culture of hiring and promotion are contributing to gender and racial inequities across our campus.

CAAD also critiqued the report's conclusion that "It is possible that departments with more women have stronger cultures of service, with more faculty doing *excessive service* that takes time away from their research" (emphasis added). The phrase "excessive service" is unhelpful in promoting a culture of shared governance and in recognizing multidimensional contributions to university excellence. Such contributions can in fact contribute to a positive campus climate and the enhancement of diversity. As a campus, we have an explicit commitment to rewarding excellence in research, teaching, and service, and the report as written inadvertently undermines this stated commitment.

Finally, to CAAD, the faculty salary equity study underscored the importance of aggressively promoting diversity and access in the fields that are high-paying and historically male dominated. Interestingly, at UCSC this is not only a problem in the STEM fields but was seen in the data across multiple divisions.

CAAD members are interested in how the report will influence practices on our campus that address differences in the culture of hiring and promotion. The report represented an opportunity to highlight both what the campus already does and what the campus plans to do to address the issue of faculty equity (for example, the mentoring program for faculty, and diversity training for hiring committees), and to communicate these efforts more widely across the campus. CAAD

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[1] The study report was prepared by the UCSC Institutional Research, Assessment and Policy Studies Office, and led by a steering committee chaired by VPAA Herbie Lee and including the 2013-14 chairs of several Senate committees (CAAD, Committee on Faculty Welfare, and Committee on Academic Personnel).

expects continued campus conversations on faculty salary and promotion equity in the next academic year.

Statements on Diversity Implications of Proposed Policies and Programs
Local and Systemwide Issue Review:
In addition to the issues discussed in earlier sections of the report, the committee reviewed and commented on the following issues and/or policies:

Systemwide:
- Doctoral Student Support Proposals and Recommendations (November 2014)
- Final Review of APM 133-17-g-j (November 2014)
- Presidential Policy on Open Access (January 2015)
- Final Review of APM 210-1-d (May 2015)

Local:
- WASC Final Draft Report (January 2015)
- Senate Executive Committee's Framework for International Engagement (April 2015)
- Accessible Technology Plan (April 2015)
- Black Experience Team Vision Statement (May 2015)
- Campus Faculty Salary Equity Study Report (June 2015)
- ODEI Co-Funding Program (June 2015)
- UCSC Affirmative Action Plan: January-December 2015 (June 2015)

CAAD also reviewed eight waiver of open recruitment proposals (three Target of Excellence and five Spousal/Domestic Partner proposals). The committee raised concern about the number of proposals reviewed this year, and about how often proposals did not include a discussion (based upon clear evidence) of diversity contributions of the waiver candidate, limiting the committee's ability to comment on past and/or potential contributions to diversity in the areas of teaching, research, and/or service.

Consultations
CAAD consulted with Chancellor Blumenthal on waiver of open recruitment proposals (December 2014), with Hispanic Serving Institution (HSI) Task Force Co-Chairs Professor Poblete and Director Reguerín (January 2015), with Associate Chancellor Sahni on the campus response to the Moreno Report (November 2014) and on campus faculty data (February 2015), with Psychology Professor Byrd on her research on microaggressions (April 2015), and with Assistant Campus Diversity Officer Marlowe on the campus Black Experience Team (BET) initiative and the Mentoring Program for Faculty (May 2015).

CAAD Representation
Chair Parker 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 Parker represented CAAD on the Chancellor's Advisory Council on Campus Climate, Culture, and Inclusion, on the Martin Luther King Jr. Convocation organizing committee, and on the selection committee for the Chancellor's Achievement Award for Diversity, and at the

training workshop "Fostering Inclusive Excellence: Strategies and Tools for Department Chairs and Deans."

Member Steve McKay represented CAAD on the Divisional Senate Executive Committee during fall quarter.

Continuing Issues for CAAD in 2015-16
Campus Climate
The committee will continue to assess how to best support and build on campus efforts to address climate, including through the examination of issues that have been demonstrated to impact climate: microaggressions, faculty mentoring, and campus support initiatives.

Faculty Equity and Inclusion
The committee will consult with VPAA Lee on its response to the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015) and anticipates participating in continued systemwide discussion related to best practices for ensuring diverse applicant pools and diverse hires.

Waiver of Open Recruitment Proposals
CAAD will continue to monitor the progress of proposed revisions to CAPM 101.000 and proactively engage the administration, deans, and departments on this issue.

Monitor trends in faculty diversity
CAAD will collaborate with Associate Chancellor Sahni to monitor trends in faculty diversity over time.

Respectfully submitted;
COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
Rebecca Braslau (*W, S*)
Steve McKay (*F, S*)   Yolanda Venegas, NSTF (*W, S*)
Dejan Milutinovic   Christine Brown, Graduate Representative
Micah Perks   Daniel Iglesias, Undergraduate Representative (*S*)
Ronaldo Wilson
Ingrid Parker, Chair

August 31, 2015

COMMITTEE ON CAREER ADVISING
Annual Report, 2014-15

To: Academic Senate, Santa Cruz Division

The Committee on Career Advising (CCA) was reconvened for a full committee schedule in 2014-15, having last convened in 2006-07. The committee was reconstituted to enhance the likelihood of faculty promotion and retention. As a key component of this goal, the committee focused on mentorship practices on the campus, intent on enhancing both the mentorship for faculty internal and external to the departmental structure. One component of CCA's work was collaboration on the establishment of a faculty mentoring program that we believe will be very beneficial to UCSC faculty. An important goal of the committee is to build a positive culture of mentorship on our campus, and we believe that starting with formal mentorship for newly hired faculty is a good foundation on which to build this. Providing newly hired faculty with a thorough introduction to our campus is another element of good mentorship. This year CCA was instrumental in re-establishing a full day orientation for newly hired faculty. Jointly organized by the Office of the Vice Provost of Academic Affairs and CCA, this event will take place in September 2015.

Faculty hiring is an investment, and a strong faculty mentoring program will help to continue to foster this investment as our assistant and associate professors become full-service faculty. Many grant opportunities for younger faulty are also contingent on proof of formal mentorship. A system of rewards/incentives will be an important factor in encouraging (senior) faculty to become mentors – Committee on Academic Personnel (CAP) recognition, service credit, departmental rewards, inducements, course releases for multi-year commitments (which would also enable long-term training), and funding back from the presidential post-doc program, are all examples of the types of incentives that could be incorporated into such a program. CCA is working to determine the appropriate structure for this system of incentives. We plan to work with CAP in 2015-16 to determine how best to reward mentorship service.

Mentorship Program
In fall, CCA reviewed the UCSC Mentoring Program for Faculty proposed by the Vice Provost of Academic Affairs (VPAA) Office and the Office for Diversity, Equity and Inclusion (ODEI). Throughout the year we worked to refine, develop and mount the program. The committee is enthusiastic about further development of this mentoring program, and also wants to better understand the context of mentoring and support that already exists on campus.

The aim of this program is to provide mentoring to retain a diverse, high quality faculty at UCSC, help new faculty to achieve and maintain a high level of career satisfaction, and assist them with career advancement. During meetings CCA held with junior faculty this year, we learned that new faculty desire assistance with a spectrum of issues that could best be addressed through a mentoring program. Advice from a well-respected mentor can be an invaluable supplement to the guidance and assistance that a Department Chair provides during the early years at a new university. Therefore, our initial goal was to complement any existing departmental mentoring programs, and assign mentors from outside the faculty member's department.

Starting in the fall of 2015, CAA in collaboration with the Office for Diversity, Equity, and Inclusion, will be launching the second phase of the UCSC Mentoring Program for Faculty. (Phase 1 consisted of confirming membership and providing access to online resources provided by the National Center for Faculty Development and Diversity). Phase II will offer an outside department mentor to junior faculty in their first 4 years at UCSC. CCA has paired mentors and mentees with initial introductions to take place in fall 2015. During 2015-16, CCA intends to evaluate, improve, and expand this nascent Mentorship Program.

New Faculty Orientation
During the long period of budget retrenchment, a previously offered full day orientation for newly hired UCSC faculty was discontinued. CCA successfully lobbied for reinstating an information rich orientation in fall 2015 for new faculty that will take place. Our committee worked with VPAA Lee to organize an orientation that includes an introduction to University structure and functionality, but also incorporates information on best practices in teaching and research presented by senior faculty. Input from our assistant professor CCA member was critical in designing the orientation agenda.

Topical Lunches for New Faculty
After soliciting and receiving newly hired faculty feedback during winter quarter, the Committee on Career Advising (CCA) launched a new series of "brown-bag" lunch workshops for new faculty in April and May 2015. These lunches focused on different topics of interest and included administrative experts, Senate colleagues, and peers. Next year, we plan to institute a schedule of 5-7 of these lunches to occur monthly throughout the academic year.

Possible lunch workshop topics for 2015-16 include:
- Setting up your research lab
- Budgeting start-up funds
- Managing/working with grad students in the classroom and/or lab
- Top ten mistakes in the personnel review process
- Departmental culture
- When/where/how to volunteer for campus service

Center for Teaching Excellence
At the November 7, 2014 Senate meeting, the Committee on Teaching (COT) presented a report calling for the reformation of a Center for Teaching Excellence. Based on work which the CCA has engaged in throughout the year, CCA now lends its strong support to this proposal, and would like to know the status of efforts to re-initialize the provision of teaching resources to faculty.

During winter quarter, CCA met with most of the junior faculty hired within the last three years in informational sessions intended to solicit feedback on their experiences as new faculty at UCSC, and to gauge their interest in extra-departmental faculty mentorship. During these meetings, the committee found that one of the most resonant concerns among new faculty was the lack of pedagogical guidance and instructional support available on campus. For faculty just

beginning their careers, or just starting at UCSC, this is a difficult issue. Many of these faculty are asked to teach large courses in their first year, and this lack of support inhibits their ability to effectively teach and support the students in these courses. Lack of support for teaching students with disabilities has also been identified. Additional resources would be helpful in alleviating these issues.

A Center for Teaching Excellence is paramount to relieving these concerns, among others, and the committee is fervently supportive of the reinstitution of this center.

Respectfully submitted;
COMMITTEE ON CAREER ADVISING
Rebecca Dubois
Kathy Foley
Kim Lau
Barbara Rogoff
Susan Schwartz, Chair

August 31, 2015

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS
Annual Report, 2014-15

To Academic Senate, Santa Cruz Division:

Executive Summary
The Committee on Computing and Telecommunications (CCT) reviewed and updated its charge, including coordination of a name change, and monitored the changing landscape of UCSC's learning management system (LMS), eCommons, which will require oversight with the new vendor agreement. The Canvas LMS research project was successful with a small cohort of faculty hosting courses on the University of California Online Education (UCOE) Canvas website. Members considered a number of important requests from faculty members concerning timely computer upgrades and support for faculty in certain divisions to the need to identify a much needed space for another computer lab. We were kept up to date on various campus technology issues throughout 2014-15.

Committee Charge Change
This year members of the committee discussed their purview and workload with regard to the description in the committee's charge. CCT members wanted to re-examine the committee's charge and determine if the description actually reflected the committee's current activities and engagement with the campus. This year the Senate Chair and co-chair suggested considering reviewing and possibly revising the committee charge, which was last changed in 2006.

Members reviewed the charges of similar committees in the UC System and, after discussion, decided the committee's role was not accurately represented by its charge. However, the committee did not want to follow the lead of some other UCSC campuses and focus exclusively on instructional technology, which is predominantly the purview of the Committee on Teaching at UCSC. CCT oversees a diverse range of IT issues, including: campus wiring or infrastructure, web content management systems, learning management systems, fiber optics, telecommunications including telephones, and reviewing policies for electronic functions.

Technology's role in the university has expanded dramatically since the committee's charge was revised in 2006, and the current language seemed unclear and outdated. The charge is specific to the committee reviewing and commenting on issues, but at times it seems the issues have been decided before coming to the committee due to scheduling time tables, severely limiting meaningful Senate oversight of processes with significant influence on the educational and research environments. Other issues have long carry over periods, like the multi-year infrastructure/wiring project or long term data storage solutions.

Informational IT systems that affect the major mission of the university are not in the purview of any other committee. CCT has the responsibility to report the state of IT Issues to the Senate and could present a quarterly update at future senate meetings. The revised committee charge [URL] was passed at the May 29, 2015 Senate Meeting and included approval to change the name of the committee to the Committee on Information Technology (CIT).

UCSC's Learning Management System (LMS), eCommons
This year's CCT consulted with the Director of Learning Technologies (LT) on last year's eCommons survey results, which were produced after the 2013 – 14 CCT committee stopped meeting. Members were disappointed with the summary, survey questions, and response rates. We expressed concerns about some aspects of the organization of the survey and the phrasing of some of the questions. We discussed measures that could improve future surveys instead of analyzing the results, and recommended that for future surveys the Faculty Instructional Technology Center (FITC) staff reach out to faculty with extensive research experience in survey design. Faculty with this expertise may be willing to offer their services to assist Learning Technologies in the development of future survey questions.

UCSC's learning management system, eCommons, uses the Sakai platform. CCT has been monitoring UCSC's learning management system for the past several years and recommended exploring other systems after several major universities pulled out of the Sakai community. Last year's committee interest in changing the (LMS) eventually lead to the research project started this year in the Canvas learning environment.

The LT Director consulted with members on the recent vendor change of our LMS, eCommons. The original vendor, Rsmart, could not deliver what was promised so they reduce their fees, then several years ago the vender changed to ANI who eventually sold the service contract to VERT Capital[1]. ITS staff are not impressed with the support we are receiving and have rated the delivery of our service a C minus. UCSC will not want to engage in any long term contract obligation with this vendor. Until a decision can be made the FITC staff will be tracking performance in eCommons. This process is seamless from a faculty perspective, the level of service will remain the same but if change is needed, it could take up to 6 months to move things into a new learning management system and this would, ideally, be seamless. CCT will follow up in the fall.

Canvas Research Project
Overview
The current UCSC'S Learning Management System (LMS), branded as eCommons,[2] is based on the Sakai platform, and was introduced to the campus in the fall of 2010. The Canvas Research Project was initiated at the request of the 2013-14 CCT. The project gave a dozen UCSC faculty hands on experience with a highly regarded LMS, and identified possible gaps in functionality or ease of use between eCommons, the current Sakai-based LMS, and Canvas. The primary outcome of the Canvas project is a report based on exit interviews with the participating faculty and the minutes of biweekly Canvas "touch base" meetings.

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[1] http://www.vertcapital.com/
[2] http://its.ucsc.edu/ecommons/

There is no expectation that UCSC will adopt a new LMS in the immediate future as a result of this study. The results of a recent campus survey suggest that faculty are for the most part either satisfied with or neutral regarding eCommons. However, the aggregate LMS landscape is rapidly changing, while replacing a specific LMS implementation is typically a multi-year process; there are compelling reasons to be forward-thinking and consider other options. The current contract term for eCommons ends in summer 2016; the information gained from the Canvas project will influence both the assessment of our current LMS implementation in Sakai and decisions made over the next three to five years.

Why Canvas?

Diverse LMS's are currently available: Blackboard[3] (1997), Moodle[4] (2001), and Sakai[5] (2004) are well known, widely used systems; these systems were all considered in the LMS selection process leading to UCSC's adoption of Sakai as the LMS underlying eCommons. Other systems, including BrightSpace[6] by Desire2Learn[7] (1999), are available, but less popular for university use. Canvas, introduced by Instructure[8] in 2011, is a relative newcomer with a rapidly expanding client base. Google Classroom[9] is a novel instructional tool, but not a full LMS.

Canvas was chosen as the experimental LMS because of its stellar reputation, widespread use within the UC system, robust hosting, and availability for realistic testing through University of California Online Education[10] (UCOE).

Canvas is known for its ease of use, flexibility, and aesthetic appeal. Instructure posits[11] that the key question determining LMS selection should be: Will it get used? The key six subsidiary questions they propose are:
1. Is it easy to use?
2. Does it do what teachers/students need it to?
3. Does it provide easy mobile access?
4. Is it dependable?
5. Does it make teachers/IT/administrators' jobs easier?
6. Does it save time?

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[3] http://www.blackboard.com/
[4] https://moodle.org/
[5] https://sakaiproject.org/
[6] http://www.brightspace.com/
[7] http://www.d2l.com/
[8] http://www.canvaslms.com/about-us/
[9] https://classroom.google.com/welcome
[10] http://www.uconline.edu/
[11] http://www.canvaslms.com/higher-education/

These performance goals aligned with CCT's priorities for LMS performance. Open APIs allow substantial IT customization of each implementation, while the existence of a large collection of add-on resources that can be easily linked to Canvas-hosted courses allows further course-by-course customization with relatively little IT staff effort. Instructure uses Amazon Web Service, which offers robust, cost-effective hosting.

Canvas is currently used by Berkeley (bCourses[12]), Merced (CatCourses[13]), and UCOE[14]. Davis (SmartSite[15]) and Irvine (EEE[16]) are piloting Canvas; Davis' current LMS is Sakai, while Irvine's EEE is "homegrown". Los Angeles (CCLE[17]) and Santa Barbara (GauchoSpace[18]) use Moodle, while Riverside (iLearn[19]) and San Diego (Ted[20]) use Blackboard.

We recognize considerable contributions by the Office of Learning Technologies (LT) and the Faculty Instructional Technology Center (FITC) staff. The arrangement with UCOE was negotiated by LT Director Phillips, most of the courses in the Canvas project were hosted by UCOE, using the Canvas implementation UCOE developed for their courses. This gave project participants experience with a customized version, particularly the enrollment management and score-reporting features.

Implementation

UCSC approached UCOE about hosting the courses in the UCSC Canvas project. UCOE agreed to host a limited number of courses in fall 2014 and winter 2015; the agreement was extended to spring 2015. Eleven faculty participated in the Canvas evaluation project; an additional faculty member provided detailed feedback on her experience developing and teaching an online course using Canvas as part of the Learning Technologies Initiative (ILTI) program. Thirteen of the courses were hosted by UCOE. Four very small courses (fewer than 20 students) were implemented on Instructure's free public platform, which allowed evaluation of some Canvas features not supported by UCOE. In the fall and winter, the courses selected for the project had very low enrollment, to minimize the negative consequences for students if there were any problems. In spring, one of the courses in the project was both large (389 students) and media-rich. The UCOE courses developed by UCSC faculty in the ILTI program were not part of the Canvas project, but these courses have been implemented in Canvas, and feedback on Canvas from the instructors of one of the ILTI courses is included in the report.

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[12] https://bcourses.berkeley.edu
[13] https://catcourses.ucmerced.edu/
[14] http://www.uconline.edu/
[15] https://smartsite.ucdavis.edu/
[16] https://eee.uci.edu/
[17] https://ccle.ucla.edu/
[18] https://gauchospace.ucsb.edu/
[19] https://ilearn.ucr.edu/
[20] http://acms.ucsd.edu/faculty/ted/

The Canvas project was supported at UCSC by Learning Technologies (LT) and FITC staff, who also handled negotiations with UCOE. The Director of Faculty Instructional Technology Center (FITC), and the LT Director, allocated FITC staff resources committed to the project. The FITC staff help support one of the project participants during spring quarter as well as providing training to FITC staff, who were introduced to the product during the test. The CCT Chair and analyst, coordinated recruitment of faculty participants, the working group meetings, and project reporting. The project working group, consisting of representatives from the offices of FITC, Academic Senate, Learning Technologies, and the Vice Provost of Academic Affairs who met biweekly for updates and planning sessions. CCT recognizes considerable contributions by these offices without their support the project could not have moved forward.

Courses
The courses in the project ranged from Writing 2 to a second year graduate course in Mathematics. Course enrollments ranged from 3 to 389. Faculty from the Arts, Humanities, Physical and Biological Sciences, and Social Sciences Divisions participated in the project. (A prospective participant from the School of Engineering dropped out shortly before the start of the quarter.)

- Economics 197: Economic rhetoric
- Earth 3: Geology of national parks
- Greek 100: Introduction to Greek literature
- History 159: Temple and city: The Egyptian New Kingdom and the city of Thebes
- History 173C: Brave new world? Scientific and technological visions of utopia and dystopia in Russia and the Soviet Union
- History 196: Special topics in history
- Latin 100: Introduction to Latin literature
- Math 208: Introduction to manifolds
- Math 212: Differential geometry
- Music 11C: Popular music in America
- Sociology 199: Participatory democracy in Japan (2x)
- Writing 2: Rhetoric and inquiry

Seven of the participating instructors have extensive experience with eCommons. One has moderate experience, two minimal experience, and one no experience using eCommons to support their courses.

Exit interviews
CCT worked with ITS instructional designer staff to develop an exit interview covering faculty responses ranging from specific capabilities to overall impressions (see Appendix A). Faculty reactions are summarized below:

Overall experience
Faculty comments:
- Canvas is head and shoulders above any other CMS that I've seen.
- Sakai is like a Prius, and Canvas is like a Tesla.
- I have adored it.
- This seems to be built with teaching in mind.
- It definitely enhanced the class.
- I always thought that eCommons was hard to read.
- I would transfer Sakai courses to Canvas.

All participants
- felt that Canvas met or exceeded their expectations
- achieved their pedagogic goals
- would use Canvas again
- preferred Canvas over eCommons(Sakai based LMS)
- would recommend Canvas (one participant didn't address this)

Several participants praised the esthetics of Canvas. Eight participants would miss Canvas if it were no longer available, two wouldn't miss it.

Functionality
Six of the participants characterized the range of Canvas functionality used in their course as extensive. Two described the range of features used as moderate, and two more as minimal. The remaining participants didn't address this question. Four identified specific gains in efficiency, four saw the potential for improved efficiency, and one reported no gain. Six found Canvas easier to use than the current Sakai system, two found it to be about the same, one didn't address this question, and one found Canvas to be harder than the current system.

Features used, with number of faculty who mentioned use of the feature given in parentheses if more than one:
- Announcements (7)
- Assignment submission (7)
- File upload (7)
- Content pages (6)

- Speedgrader (6)
- Grade weighting/rubrics (2)
- Quizzes (2)
- Audio and video comments
- Collaborative documents
- Discussion forum
- E-textbook integration
- Linked calendar
- Media library
- Peer review
- Piazza LTI
- Zaption

Praised features:
- Content organization, including cross-listed content, multiple points of access, and modular structure
- Ease of content creation, particularly the page editor, the LaTeX editor, and the possibility of non-Latin alphabet display
- Quizzes
- Speedgrader: efficient, versatile PDF mark-up, rubrics, and multiple options for efficient feedback, including audio messages
- Collaborative document creation.
- Calendar, including automated push of events to external calendars and content links within calendar entries
- Tracking and statistics
- Gradebook
- Integration with Piazza for group interactions
- Peer review, video messages
- Navigation and user interface
- Discussion forums
- Announcements and notifications, email communication

Desired functionality:
- Allow GIFT files in quiz construction
- Collaborative spreadsheets
- Drag-and-drop columns in gradebook
- Notes in gradebook that are visible only to instructors
- Option for HTML in email and announcements
- Screen recording in video comments

Criticism:
- Limited student view
- Navigation can be confusing
- Tutorials and documentation; non-intuitive labels and navigation

A few faculty would have liked access to some features of Canvas that are not included in the UCOE configuration (e.g., the ability to "masquerade" as a specific student to replicate a situation).

Transformation of teaching
- Less writing on the board; less time spent on grammar (because of quizzes); better organized content
- Posting materials ahead of time; better organization of materials; more flexibility; less formality in distributing materials; coaching rather than grading
- Online-only teaching
- More options for feedback; richer and more efficient peer review experience
- Recorded feedback

Enrollment and rosters
To support the large course offered in Canvas during spring quarter, automated enrollment feeds between UCSC and UCOE were implemented. This required coordination among the project participants, project committee members, FITC staff, UCOE staff, and the UCSC registrar's office. The feeds for a few courses were delayed by one or two days. These were predictable issues as this new process was figured out. The FITC support team reports that subsequent courses being offered in the Summer session have been successfully implemented and had rosters attached in very short timeframes, now that the essential steps are in place and the players are informed.

A few courses were implemented using Instructure's free Canvas hosting, and were not integrated with UCSC's AIS. Enrollment of students in Instructure's 'vanilla' version of Canvas is more flexible than in the courses hosted by UCOE; in particular, auditing students could easily be added by the instructor.

Looking ahead

ITS Director of LT has arranged with UCOE for Canvas support to continue through the 2015-16 academic year. UCOE will host up to 15 courses per term, with a maximum cap of 1000 students per term. Ongoing support for the courses developed in the Canvas project is recommended.

CCT recommends that as UCSC evaluates its contract with ANI for Sakai support, we compare the advantages and costs (both direct and embedded) of retaining Sakai to those involved in moving to a new LMS platform. While we do not see an immediate need to change systems, we believe a viable Plan B is an essential component of a strong bargaining strategy when working with our current Sakai provider, and a valuable guide in short- to mid-range long term planning.

Requests to CCT

A Professor of Psychology sent in a request to CCT to advocate for better IT support, timely equipment replacement, and services for faculty in the Social Sciences Division. CCT did not take up this issue as the Committee on Research was already working with Divisions on this topic.

Several Senate committees received a request from a Professor of Computer Sciences regarding the capacity of campus computer labs. Computer lab space use has increased by 43% over the last 5 years and this trend is likely to continue. Lab use has evolved; increased instructional use has resulted in reduced availability for student use outside of official lab sections. The increased demand for lab space is severely straining the current infrastructure. There is an urgent need for at least one additional large computer lab, as was promised with the funding of a new building, but was suspended due to lack of state funding. We agreed there should be a clear plan to find space and equipment for another large computer lab. A large lab space with 50 seats configured for a "pair programming" learning paradigm, with two seats per desktop computer and additional monitors and keyboards for students who bring their own laptops, could be a very cost-effective option. If adequate resources were available, two new labs would meet the anticipated demand.

We understand that creation of a new computing lab would involve additional set-up costs for printers, projectors, and screens, as well as ongoing expenses for staffing and supplies. However, the computer labs provide essential opportunities for interactive, collaborative learning; the proliferation of personal electronics does not reduce the value of group work in a consistent, robust computing environment. We are also concerned that with the increased use of the labs as classrooms, there is less opportunity for students to work in the labs outside the structured lecture/lab context; the informal oversight and peer guidance available in the labs are invaluable for students developing their skills in problem solving, effective exploitation of system features, and debugging.

ITS Updates on Projects
Faculty Website for Resources
The Director of Academic Divisional Computing consulted with CCT on the new ITS resource website for faculty.[21] members. Director Hesse explained the organizational structure for faculty to reference with regard to each division while navigating on the ITS website. The faculty-friendly website includes tutorials, and quick links to campus systems faculty may want to access. Areas of interest include: Instructional Services, Research Support and Best Practices.

Wireless Coverage on Campus
The Vice Chancellor of Information Technology (VCIT) updated the committee on the increased workload for ITS staff due to the large volume of wireless access devices installed on campus by students and others. This phenomenon denies users access to the internet as well as in classrooms with wireless access. This is caused by frequencies interfering with each other and ITS is working on rotating frequencies to alleviate the problem.

Data Storage and Data Center
Chair Lewis expressed interest in following up on the broader issue of data storage costs at a data center versus cloud storage and development of a clear comparison made with costs from the campus versus an outside vendor. The VCIT volunteered that ITS has such a report for members to review at a future meeting. CCT did not have time this year for such a review and will request the report with a recommendation for next year's committee to take up.

Creation of GERI Privacy Issues Committee
The new UCOP Security Program includes areas with regard to network, data scanning, audits, and servers. UC Provost and Executive Vice President for Academic Affairs created a new committee, called GERI, for issues related to privacy, ethics and risk. UCOP is requesting an annual report from these divisional committees.   The membership representatives have expertise from the general counsel's office, ethics, compliance and audit service, risk management, and information technology services. ITS did not create this committee as our campus has a committee on Security that includes these representatives. This year there have not been any privacy issues; the committee will prepare a report on their activity this year. CCT will be provided with a summary to review in fall quarter.

ITS Security Policy Revisions for Review
ITS periodically updates and or reviews these policies every three years. CCT reviewed four policies this year. The first was the Acceptable use policy (AUP), which must follow the UCOP policy so there was not much discussion or changes to be made by the committee. The second policy was based on the minimum requirements of a device's connectivity software requesting to join the UCSC network. The connectivity policy requires that any personal device used on campus meet UCSC minimum connectivity or be banned. Members found no issue with the red line additions and changes. The password policy is a routine reminder with updated standards for security and password strength and

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[21] http://its.ucsc.edu/faculty/index.html

was also unproblematic. Members discussed the policy for routine monitoring of systems and users. While the language may not be ideal, some members felt this type of language was necessary for the operations and mission of a research university. Members agreed the policy changes seemed reasonable and appropriate to recommend approval.

Campus Infrastructure TIU Project
The Committee consulted with the Director of Core Technologies on the progress with the Telecommunications Infrastructure upgrade project (TIU) on campus. The infrastructure upgrade is divided into four phases, phase A & B are now at completion. The following buildings have new infrastructure: Arboretum, College 8, Kerr Hall, Kresge College, Oakes College, Physical Sciences, and Porter College, Sinsheimer, and Thimann Labs. The next phase, phase C is planned for July 2015.

UC Path
The VCIT updated the committee during the year on the progress of the system wide payroll database called, UC Path. UC Path seems to be delayed yet again with regard to data collection and implementation for the system. There are many compatibility issues with this conversion, as there are 10 unique payroll systems and each has its own issues depending on the campus structure. UCSC may explore creating a smaller version with a couple of other UC campuses. As of spring quarter there has been little progress with the payroll system but the next pilot group will be the UCLA campus. Staff at UCLA will try and build their processes around the proposed structure and send these demos to UCSC and UCM to evaluate before going forward with full implementation. As UCLA is one of the more complex campuses, the idea is to have UCLA mirror the findings, run an analysis and then move on to the next step for full implementation.

DMZ for Faculty
ITS applied for a grant to create a high speed internet connection, known as a Science Demilitarized Zone (DMZ), to help faculty move large amounts of data over the internet. This internet connection sets aside part of the campus network for the exclusive use of researchers. The existing TCP network on campus could not support transferring large amounts of data without slowing down campus business needs as well as disrupting transfers. One of the goals was to create a new network that could support large volumes of data, could be upgraded at minimal cost, and wouldn't require large amounts of bandwidth to move the data. CCT members invited ITS Director of Faculty Partnerships for an update and consultation on the Science DMZ (Demilitarized Zone). After Deans and Assistant Deans have been notified, ITS staff will visit divisional liaisons to coordinate a presentation for interested faculty.

ITS is reaching out to all faculty members who would benefit from this service and is even thinking of putting together a tutorial or workshop class. Members were impressed with the 100Gig internet connection and the convenient user interface. Globus is the software interface on the Web for data transfers, there is also a testing site. The testing and experimenting of tools for best practices has evolved into a Graduate student project. One of the first adopters of the DMZ is the Genome Project

in BSOE, and another machine is housed in the Data Center. Other departments and disciplines that could benefit from this network include Theater Arts, Dance, and Music.

During a demo of the DMZ at a CCT meeting, 10GBs of data was transferred in less than a minute; the standard time is 10 minutes. The DMZ can offer a 40 Gigabit connection for faculty participants.

UC campuses will soon be a part of the National Science Foundation (NSF) smart internet innovation program with data, called, Data Infrastructure Building Blocks (DIBBs). This proposal will provide content centered networking models; data will move through the system without encountering bottlenecks. The projected date for availability is the end of March 2015.

CCT/COT Subcommittee
CCT members want to work in tandem with the Committee on Teaching (COT), for online education oversight. Both committees want Senate oversight of online tools, software, course guidelines, and infrastructure needed for online education. CCT declared last year that the committee's role with online education would revolve around software and infrastructure for campus systems such as the learning management system. COT, would be more involved with hands on tools with tutorials for faculty to reference, and pedagogical strategies. The subcommittee was not created this year but we recommend the 2015-16 committee consider this next year.

Summary of Routine Business
Members served as representatives on the following administrative committees during the year: Capital Planning and Space Management Classroom Sub Committee, Advisory Committee for Information Technology (ACIT) and the ITS Security Committee.
Members reported back on the following topics:
- Campus directory profiles are now stored in a database and anyone can update their profile easily
- The Online directory has been integrated with the identity management system and only appears once on the web
- Mobile devices are now able to access the UCSC website with iPhone, iPad, etc. within house software that IT staff have written to accommodate the campus population.
- Freedom of Information Act (FOIA) requests for faculty
- UCLA IT Summit

Senate Committees were asked to comment on the UCOP Open Access Policy for Non Senate Members and the draft Accessible Technology Plan (AT).

Recommendations for 2015-16 CCT:
- CANVAS Pilot hosting continuation for interested faculty members
- Web information on Online Education tools for faculty jointly with COT
- Data Center request report on analysis

- Review Consultants analysis of the UCSC Website

Respectfully submitted;
COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS
Alan Christy
Hiroshi Fukurai   Mary Doyle, Vice Chancellor ITS
L. S. Kim   Abram Stern, Graduate Representative
Jim McCloskey
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Debra Lewis, Chair

August 24, 2015

APPENDIX A

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS
Canvas Evaluation Questions

Comparison to eCommons
- Does Canvas seem better, worse, or about the same as eCommons?
- Do you prefer using Canvas or eCommons?
- Are there specific features in eCommons that you prefer to what is available in Canvas?
- Are there specific features in Canvas that you prefer to what is available in eCommons?

Functionality and Features
- Were you able to accomplish all of your pedagogical goals with Canvas?
- Which pedagogical goals, if any, weren't accomplished?
- Did using Canvas allow you to save time or effort in teaching or course development?
- Did using Canvas increase the time or effort you expended in teaching or course development?
- Which features did you use in Canvas?
- Were there any features that you chose not to use?
- Were there any features that Canvas was missing?
- Are there any features in eCommons that you couldn't find in Canvas?
- Are there features that you used in Canvas that aren't available in eCommons?

Possibilities for Innovation
- Were you able to do anything new in your teaching with Canvas?
- Did any of the features of Canvas inspire you to try something new in your teaching?

Students
- What did students tell you about their experience with Canvas?

Demand
- Would you use Canvas again if it were available?
- Would you recommend Canvas to your colleagues?
- Will you miss Canvas?

Experience

- What excited you most about Canvas?
- What frustrated you most about Canvas?
- Was Canvas easy or hard to use?
- Was it easy or hard to navigate through Canvas?
- Were there any specific features in Canvas that were particularly easy or hard to use?
- Did you like or dislike the way Canvas looks?
- How would you describe your overall experience with Canvas?
- What feature or features about Canvas worked better than in eCommons?
- Were your expectations met or exceeded?

COMMITTEE ON EDUCATIONAL POLICY
Annual Report 2014 -15

To: Academic Senate, Santa Cruz Division

Executive Summary
The Committee on Educational Policy's (CEP) responsibilities include the review of campus academic programs, program statements, new courses and revisions to courses; consultation with other committees and administrative units; and the consideration of student petitions. In addition to these routine activities, CEP spent a considerable amount of time discussing the review of non-degree academic programs and two issues that have a long history with our campus and the committee: grading policies and writing instruction.

Expanding Grading Options
For largely historical reasons, our campus is the only one in the UC System that does not allow instructors to assign C- grades, and one of only two that do not allow D- or D+ grades. CEP has observed adverse impacts on students, and especially on student aid, stemming from the absence of the C- grade. Moreover, CEP observes that the absence of D- and D+ limit the options available to faculty for characterizing a students' performance. The D- and D+ grades would also give faculty the ability to assign grades that more accurately reflect the quality of each student's work. Consequently, CEP concluded it was time to change our grading options to include the grades of C-, D+, and D- in the options available to faculty when issuing final grades in courses. For more information about the rationale for this change, please refer to the document CEP prepared for the Senate meeting on February 18.[1]

Based on the positive feedback at the Senate meeting, CEP proposed legislation to add the above-mentioned grading options.[2] The revised grading options were approved by the Senate on April 22, 2015. The expanded grading options will go into effect in the fall quarter of 2015. It is important to note that the new C- grade will not satisfy course pre-requisites, major or minor requirements. C- grades should only be issued to students whose academic performance would have been at the high end of the D range of the old grading scale.

Non-degree academic programs
CEP discussed several non-degree programs, including the Summer Academies for incoming International and STEM students; the Honors and Challenge Programs; the Multilingual Program for International students; and various other College and certificate programs. CEP reviews undergraduate courses associated with non-degree programs, but the programs themselves are sometimes launched without consultation with Senate committees. This is a particular concern for programs that are not described in the department program statements and other sections of the general catalog that are routinely reviewed by CEP. After discussing this concern with VPAA Herbie Lee, it was decided that non-degree academic programs should be reviewed using the procedure used for other academic programs, including majors and minors found in the VPAA's

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[1] The document may be viewed at http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014-2015/2015-february-18-meeting/1776%20-%20CEP%20grading%20options%20whitepaper.pdf

[2] The legislation may be viewed at http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014-2015/2015-april-22-meeting/1783%20-%20CMinus_Chap_Changes%20Chp%20_9_10.pdf

Policies governing the establishment, disestablishment and change of academic units and programs.

After reviewing an update from Honors Director Matt O'Hara about the Honors and Challenge programs, the committee discussed how the programs should be handled administratively, so as to ensure that these programs can continue to operate on more secure footing. The committee recommends that the college provosts formally establish honors programs as academic programs, submitted to the Vice Provost for Academic Affairs.

Writing Instruction and the College Core courses
CEP spent a considerable amount of time discussing instruction in writing while participating in the recent external review of the Writing Program. The Writing Program's self-study raised concerns about UCSC's writing requirements. The external review committee noted that the Writing Program is not solely responsible for the requirements and felt that campus-wide effort will be required to assess their effectiveness. This feedback prompted the Committee to re-examine our writing requirements.

Campus writing requirements consist of the Entry-Level Writing Requirement (ELWR),[3] the lower-division Composition 1 and 2 (C1 and C2) requirements and the upper-division Disciplinary Communication (DC) requirement. The C1 and C2 writing requirements were integrated with the required College core courses in 2005 and are now administered by the Colleges and the Writing Program in the Humanities Division. The DC requirement replaced the W requirement when the new UCSC general education requirements were implemented in 2010; the courses that satisfy this disciplinary writing requirement are administered by the programs that sponsor students' majors.

The C1 and C2 requirements are intended to prepare students to become effective participants in spoken and written university discourse.[4] In 2005, the C1 and C2 requirements were integrated with the required college core courses. To satisfy C1, a student must satisfy ELWR *and* earn a grade of C or better in one of the 80A or 80D core courses, each of which is supposed to provide instruction in critical reading, analytical writing, and speaking in seminar. Rhetoric and Inquiry courses that satisfy C2, including the 80B core courses and Writing 2, are supposed to provide further instruction in these areas and in academic research skills.

Students can satisfy C1 before entering UCSC by earning an acceptable score on the AWPE or other standardized tests, or by passing an acceptable college or university English composition course at another institution. Students must satisfy both the C1 and C2 requirements prior to their

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[3] All students admitted to the University of California must demonstrate an acceptable level of ability in English composition by fulfilling this requirement. Students can satisfy ELWR before entering UCSC based on their SAT, ACT, IB or AP scores; passing an acceptable college or university English composition Examination (AWPE). Although ELWR is an "entry level" requirement, it is not required for admission to UC campus. A student can satisfy ELWR after entering UCSC by passing the AWPE or a portfolio review conducted by the Writing Program. Students who fail to satisfy ELWR by their fourth quarter are barred.

[4] With few exceptions, sections of 80B (C2) Core are taught by faculty hired by the colleges; sections of 80A (C1) for those who enter ELWR-satisfied are also taught by faculty hired by the colleges; and sections of Core for those who enter not yet having satisfied ELWR 80A/80D (C1) are taught by faculty hired by the Writing Program.

7th quarter of enrollment.

The path by which a student satisfies the college core course, ELWR, C1 and C2 requirements is determined by their writing proficiency upon entering UCSC and their college affiliation. Several pathways for satisfying the requirements have evolved over time, which complicates first-year advising. The Colleges and Writing Program do an excellent job of guiding students toward the appropriate courses based on their academic background and test scores and help them satisfy the requirements in a timely manner.

Approximately 40% of incoming students do not satisfy ELWR before entering UCSC as frosh. This problem is not restricted to our campus[5] and is likely to worsen as we enroll increasing numbers of international students. After completing and passing the core course (which carries C1 outcomes), a surprisingly large number of students fail to satisfy ELWR based on their performance on the AWPE and/or the portfolio review.

Additionally, the C1 and C2 outcomes have not been revised in light of recent research on the teaching and learning of writing, nor were they revised in response to the DC requirement. In other words, there has been no move to create a vertically designed writing curriculum that would structure students' learning from the point of entry to the point of exit. This leads us to question whether our lower-division writing requirements are providing an adequate foundation for the Disciplinary Communication (DC) general education requirement and writing in other upper-division courses.

Another concern is that the number of courses and credits required to satisfy the lower division writing requirements ranges from one to five courses and 5 to 25 credits, not including additional courses required by some colleges. Preliminary data suggest that roughly 20% of incoming freshmen must take 3 lower-division writing courses; about 7% must take 4 or more writing courses. These students may find it difficult to satisfy other GE requirements; address potential deficiencies in mathematics; or take the foundational courses required for their major. Most departments do not appear to be taking these challenges into account when developing advising plans and sample schedules for their majors.

Any discussion of the campus writing requirements is complicated by the integration of the writing and college core course requirements. In addition to providing instruction in writing, the core courses serve an important community-building role, and these courses are presented as a unique feature of this campus. CEP is committed to a thorough review of these requirements in close consultation with other Senate committees, the college provosts and the administration next fall.

During the spring quarter, CEP reviewed a proposal from VPDUE Hughey and the Dean of Humanities for a series of writing classes for international students (the Multilingual Curriculum).The proposed curriculum addresses an important population of students currently underserved at UCSC: the classes are designed for English language learners from other countries,

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[5] Information about the percentage of students admitted to the University of California who do not satisfy ELWR prior to entry can be found at ucop.edu/elwr.

and thus contain pedagogical approaches best tailored to these students. CEP believes that this sequence will be more effective for this population than the current sequence of courses (Writing 20, 21, and 23) that most international students currently take if they do not satisfy ELWR in their Core courses in the Fall. The committee also recognized, however, that many questions about this program remain unanswered, and concerns remain about the effectiveness of this program and its consequences in terms of the relation between these courses and other writing and college requirements.

The Committee would have preferred to consider the Multilingual Curriculum in the context of the broader discussion of the campus writing and core course requirements that will take place next year. However, CEP was convinced that the proposed courses are in the best pedagogical interests of international students and must be available to international students entering as freshmen next fall. Based on the pressing need for these writing courses, and the willingness of the Colleges to develop core courses tailored to the needs of international students, we recommended approving the curriculum for one year. The extension of the program will be dependent on data about the performance of students in these classes and the outcome of on-going discussion about the relationship of the lower-division writing courses to the College Core courses.

Questions about whether domestic students should take these courses, or whether there should be more consultation with relevant Senate committees must be addressed, but should not delay a program that appears to be in the best interests of students. CEP strongly recommended approval of this program for a year, given that it deems that these courses are important for the success of international students, even though a great many questions remain unanswered.

"Double-counting" of general education requirements
According to regulations, only one general education (GE) designation can be placed on a single course unless a specific exception is granted by CEP. By preventing overlap between GE designations, each GE course can focus on a single educational objective. Preventing overlap between GE designations also encourages students to choose courses based on their interests and educational goals, as opposed to a desire to satisfy as many requirements as possible. Course-sponsoring programs must therefore choose a single GE requirement for any course that satisfies the objectives of more than one GE requirement.

In response to requests from faculty in the Division of the Arts, CEP revisited the "double-counting" issue this year. CEP appreciates the difficulty of assigning only one GE designation to certain courses, including those dealing with ethnicity, race, or cross-cultural issues in the context of the arts. Although CEP remains opposed to allowing students to satisfy multiple GE requirements by taking a single course, the committee acknowledges that this policy is problematic for a small number of courses. We therefore agreed to place multiple GE designations on a small number of courses in the Division of the Arts on a trial basis, with the condition that a student can only satisfy one GE requirement by taking a single course. Only one GE designation will be listed for the courses in the catalog, but students will be allowed to satisfy the other GE by petition if they so choose. During the trial period, the department will select a default GE. Students who wish to have the second GE associated with the specific course will petition CEP for a substitution. If

the trial proves successful, CEP will consider expanding this option to other courses the following year.

Major qualification policies

CEP has approved numerous major qualification policies over the past few years, with their continued use dependent on the submission of a satisfactory report describing the impact of the policy on student success and the size and diversity of the majors after two years. After reviewing two such reports from large undergraduate programs (MCD Biology and Psychology), the committee concluded that it is difficult to evaluate a major qualification policy that has been in effect for such a short period. The committee therefore extended the deadline for submitting these reports to four years. During the coming year, CEP will work with the Student Success Steering Committee, Institutional Research, and other units to develop mechanisms for generating the data departments need to evaluate their major qualification policies.

Scheduling of final examinations for undergraduate courses

CEP is concerned about the impact of final exam schedules on students. In many cases, students must take two or three exams in a single day. Because the final exam schedule provides a three-hour block for each examination, some students are subjected to up to nine hours of testing on a single day, often with minimal breaks between the exams. This poses significant challenges for students with disabilities who are given extra time to complete exams. To help address these problems, CEP reminded instructors that they are not required to use the entire three-hour period listed in the final exam schedule if the duration of the final exam is clearly stated in the course syllabus and strictly enforced. Furthermore, testing accommodations should be based on the length of the exam stated in the courses syllabus, as opposed to the final exam schedule.

Academic Calendar

When reviewing the academic calendar for future years, the committee noted that the final day of instruction in the winter quarter falls on a Monday and final examinations beginning the next day. The committee determined that it is not in the best interest of students to have final examinations immediately after the last day of instruction. We therefore modified the academic calendar for the winter quarter so that classes will end on Friday and exams begin on Monday. These changes will go into effect beginning with the 2015-16 academic year.

Routine Business

The committee participates in external reviews of academic departments and programs, new program proposals, changes to existing programs, course approvals, catalog materials, undergraduate student petitions, and requests to appoint graduate and undergraduate student instructors.

This year members reviewed proposals submitted during fall and spring quarters and recommended approval for the following proposals:
- Bachelor of Art in Games and Playable Media
- Multilingual Curriculum Program

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 three certificates were renewed for another five years: Administrative & Executive Assistant, Business Administration, and Marketing Management.

These certificates needed an extension: Technical Writing and Communication and Marketing Management, which will be reviewed during fall quarter.

Two certificates had a change in administrative home: Ecological Horticulture and Advanced Ecological Horticulture.

Statistics
In addition to course proposals and requests for general education designation on course proposals, CEP members reviewed 161 new course approvals (including two online courses) and 484 course revisions, 79 program statements, and 4 posthumous degrees.
The Chair reviewed the following:
- 455 undergraduate student petitions
- 47 requests for Graduate Student Instructors;
- 10 requests for Undergraduate Student Instructors;
- 4 requests for Individual Major.

CEP benefited from the expertise of an impressive group of invited guests, including the Associate Registrar, the Academic Preceptors representative; Admissions staff and Vice Provost and Dean of Undergraduate Education.

Finally, we thank Susanna Wrangell and Barak Karkauer for their outstanding work as CEP's analysts this year. It would have been impossible for the committee to function without their phenomenal support and detailed knowledge of our campus's undergraduate programs, policies and procedures.

Respectfully submitted;
COMMITTEE ON EDUCATIONAL POLICY
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Sean Keilen   Max Hufft, Undergraduate Representative
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John Tamkun, Chair
August 31, 2015

COMMITTEE ON EMERITI RELATIONS
Annual Report 2014-2015

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met once each quarter during the academic year. CER's work in 2014-15 focused largely on information gathering, monitoring several changes to retiree health care, and drafting a survey of Emeriti to be distributed in 2015-16. During the spring quarter, and along with the Academic Personnel Office (APO), the committee also co-sponsored the annual Pre-Retirement Planning Workshop for faculty planning their retirement, which was well attended.

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 Santa Cruz emeriti issues to the table.

Healthcare
In August 2014, the Office of the President (UCOP) conducted a Medical Plan Survey of UC employees. While the results showed that retirees seemed satisfied with their health plans, Emeriti participation in the survey was quite low. The total response rate was 26%, however, retirees represented under 0.5% of respondents although they make up about 7.5% of enrollment. CER would like to gather more information regarding health plan satisfaction of UC Santa Cruz Emeriti and plans to survey UCSC Emeriti on the topic.

Survey of Emeriti
This year, CER drafted a survey for Emeriti with the hopes of sending it out in 2015-16. This survey will assist the committee in identifying the unique needs of UCSC Emeriti and assess Emeriti retirement benefit satisfaction. The survey will also touch on opportunities for service. Over the course of 2014-15, the committee identified a few potential issues with changes to health plans, and a lack of local pre-retirement counselling. CER would like to gather data on the topics in order to study the issues further. With the survey drafted, next year's committee will be able to distribute the survey, review the results, and consider the next steps for CER.

Other Committee Business
This year, CER reviewed the Dickson Professorship Award criteria and selection process. The Edward A. Dickson Emeriti Professorship Endowment was created in 1955 to support and maintain special annual professorships for retired faculty members. In 2003, the endowment was reallocated into ten campus-specific endowment funds. At UCSC, the award is used as a teaching award to recall Emeriti, and the professorships are filled on a rotating basis among the academic divisions, based on a 2006 recommendation of CER at the time. This year, CER began to question whether the award and the endowment is being optimally utilized at UCSC and noted that other campuses have various models for the award in terms of management and use, with some treating the award as a great honor with a formal announcement and reception for the recipient.

CER met with Emeriti Association President Michael Nauenberg on May 7, 2015 to discuss the award. The parties agreed that the Emeriti Association will create a proposal for improvements to the award, including selection criteria, and the recipient selection process. CER will review the proposal and consider endorsement before it is sent to the administration for consideration. CER looks forward to receiving this proposal in early 2015-16.

The committee also discussed the Employee Wellness Program offered fitness classes to staff, faculty, and Emeriti, which have recently been eliminated. Next year's committee may use the Emeriti survey as an opportunity to gauge whether these courses were highly utilized by campus Emeriti, research why these classes were eliminated, and consider whether there is a need that should be addressed.

Respectfully submitted;
COMMITTEE ON EMERITI RELATIONS
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Peter Kenez
James Zachos, *ex officio*
Roger Anderson, Chair

August 31, 2015

COMMITTEE ON FACULTY WELFARE
Annual Report, 2014-2015

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 2014-15 provided an updated analysis of UCSC faculty salaries and the effects of the Merit Boost Plan, 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
The University of California health plans are monitored by the UCFW Health Care Task Force (HCTF). No major changes in plan offerings are anticipated for 2015-16. Increases in premiums are expected to be modest for both Health Net and UC Care. Beyond 2015-16, plans are still being explored for adding an HMO option to UC Care. A key concern in designing any new plans will be the unique situation of UCSC employees, who have few choices of healthcare networks in the local healthcare market, and who therefore overwhelmingly make use of the Palo Alto Medical Foundation (PAMF) network run by Sutter Health. At UCSC roughly 1,200 employees are enrolled in UC Care, and 325 in Health Savings and Core combined. It is not clear whether the main alternative network Physicians Medical Group (PMG) in Santa Cruz County has a sufficient number of doctors who are accepting new patients to accommodate a large influx of UCSC employees, should a new UC Care HMO require them to switch networks. These potential problems regarding access and affordability will have to be addressed should UCOP elect to expand UC care to include an HMO option (and drop Health Net). The CFW will continue to make the unique needs and concerns of the UCSC campus known through the University Committee on Faculty Welfare (UCFW) and supports the administration in doing the same.

Faculty Salaries
For many years, UCSC salaries were among the lowest in the UC system. Analyses indicated that this was primarily a consequence of the increased use of off-scale salaries by campuses to attract and retain faculty, with some campuses acting more aggressively than others. In response to a joint Administration/Senate Task Force on Salaries, in 2008-09 the administration, in cooperation with the Committee on Academic Personnel (CAP), initiated a "Merit Boost Plan." The stated goal was to bring UCSC to the UC salary median. Because salary differences between campuses lie mainly in the off scales, we decided to focus this year's analysis primarily on the off-scales.

Annual analysis by CFW over the subsequent years indicated that the Merit Boost Program had an initial significant positive effect, but our review of the most recent data from October 2013 seems to indicate a potential pause in trend, when compared to 2012 and previous years. Most importantly, with other campuses initiating similar programs, we have yet to achieve the plan's initial goal of reaching the system wide median.

Another issue that should be addressed is the inversion and compression of salaries across ranks and scales. Our analysis shows that off-scale salaries are relatively flat or even inverted over rank and scales at UCSC, a pattern that has emerged partly out of the need to offer more competitive salaries in recruiting junior faculty as UC on-scale salaries have fallen well below market, especially considering total remuneration and the value of the Tier 2 retirement package (2% below that of the Tier 1). For faculty who undergo normal merit review and promotion, there is no "market pressure" to award an "appropriate" off-scale. Members of the committee feel that such compression of salaries is counter to rewarding loyalty, or exceptional work later in career.

In light of our salary analysis, as well as the findings of the recent UC Total Remuneration Study, CFW strongly recommends that the Merit Boost Plan be continued until UCSC salaries reach the UC median. Continuing the Merit Boost Plan would bring our salaries in line with other coastal campuses, such as UCSB, UCSD, and UCI, where the cost of living is comparable. The plan could also be modified to address compression and inversions, particularly in meritorious cases.

Child Care
CFW submitted a February 4, 2015 report (see Appendix A) that briefly recapped the history of efforts to establish employee childcare at UCSC, which is the only UC that does not offer such support. At the winter senate meeting, EVC Galloway confirmed that the $730,000 seed money for employee childcare remained reserved for this purpose, but that a proposal submitted in January 2014 for employee child care utilizing the Granary would not be approved.

During CFW's consultation with EVC Galloway on April 2, she stated that both the Campus Welfare Committee and the Child Care Advisory Committee would be re-established in fall 2015. CFW underscores the importance of broad representation of faculty and staff in the CCAC, the initial focus of which should be concrete steps toward establishing some form of employee childcare in 2016-2017. EVC Galloway also stated that Sarah Latham, Vice Chancellor of Business and Administrative Services, has been designated as the point person for employee childcare. CFW suggests that the administration present regular reports to the CCAC, so that planning is not undermined by incomplete information. The CFW subcommittee on childcare met with VC Latham in the spring and will do so again in September to discuss a forthcoming BAS report on the financial and legal aspects of such options as an off campus facility or a reimbursement program.

CFW further urges that active steps are taken to secure the still existing UCOP funds to support employee childcare on the various UC campuses, which could include resumption in 2015-16 of increasing the previously mentioned reserve of $730,000 by $250,000 a year to attain the level of matching funds necessary to access the UCOP monies in five years. Finally, CFW seconds the March 20, 2015 letter from UCFW to the Vice President of Human Resources that raised concerns

regarding affordable employee childcare across the system, and recommended investigation of best practices at "Comparison 8" campuses[1].

Housing

In the current academic year, the Committee on Faculty Welfare (CFW) has focused on three main questions with regard to housing:

1. Are the campus funds for recruitment allowances being utilized in the most effective way?
2. Is the Resale Pricing Program functioning as was originally proposed?
3. Are there additional actions the campus can take to make acquiring a home easier for faculty?

The following is a condensed version of CFW's "Report on Faculty Housing and the Campus Resale Pricing Program" of May 15, 2015.

With respect to the recruitment allowance, CFW has heard anecdotal evidence that the allowance is not being used uniformly across the campus and that amounts vary greatly by division. If this is true, it is of great concern to CFW. Considering that recruitment allowances are available to help all new faculty purchase a home on or off campus, we believe that it is the campus' best mechanism for helping faculty become homeowners. CFW recently requested information from CP/EVC Galloway regarding how recruitment allowances are distributed. Next year, CFW plans to look at this data and determine if modifications to the recruitment allowance program are necessary to help new hires purchase a home, particularly given the recent run up in median home prices.

This year, a CFW Housing Subcommittee had several productive consultations with CHES staff and took a close look at the Employee Housing Resale Pricing Program. CFW has determined that overall, the program is functioning as originally planned with the exception of serving the goal of creating funds for the Low Interest Option Supplemental Home Loan Program (LIO-SHLP), the terms of which were modified by the Office of the President such that they became unattractive.

CFW plans to continue to review two aspects of this program in particular. First, there is approximately $983,000 in revenue from the program and it is unclear what it will be used for. So the question of what to do with the liquid assets of the program still remains. One option for this revenue, which CFW considered at length this year, would be to put the funds toward the building of Ranch View Terrace Phase 2. CFW will continue to work with Steve Houser, Director of Capital Planning and Employee Housing at Colleges, Housing & Educational Services (CHES) to explore alternative options for moving forward. Second, CFW will continue to review recommendations and proposals for increases in pricing. This year, CFW has worked with Director Houser to improve the annual Employee Housing Resale Pricing Program recommendation proposals, and has requested more detailed figures on costs to homebuyers and a clear rationale for any price increase over the Consumer Price Index (CPI). This year, CFW recommended approval of the 2015-2016 proposed increase (~1.5%), which is in line with the current CPI. Future proposals with requests that exceed CPI will need to quantify the primary basis of price changes for each year and provide a clear rationale for for an increase.

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[1] The "Comparison 8 Institutions" include four private and four public institutions (Harvard, MIT, Stanford, Yale, Illinois, Michigan, SUNY-Buffalo, and Virginia).

Finally, CFW has considered two additional ways to help more faculty own a home. First, one way in which progress may be achievable is to reinstitute the 40-year MOP loan. CFW is currently working with the University Committee on Faculty Welfare (UCFW) to assess this possibility, and hopes to have more to report on this topic next year. Second, another factor that can ease home ownership in an expensive market is partner employment. CFW is looking into the development of an information packet for departments and the creation of a database of current faculty partners in various fields willing to give advice to partners of new hires.

In summary, on-campus housing is an important asset for attracting and retaining exceptional faculty, enhancing overall faculty welfare, and ensuring a high quality of life. Considering the recent increases in off-campus housing prices, sufficient inventory needs to be maintained if we hope to remain a vibrant research and teaching community. Current campus housing waitlists are short, suggesting that the present inventory is adequate, though this could change with the anticipated acceleration in retirements. If the need for affordable housing increases, the campus must react quickly with higher recruitment allowances, expansion of inventory (i.e. RVT 2), and support for spousal hires to name a few. CFW will continue to assess the housing program, and provide recommendations as required.

Silicon Valley Initiative
Following the April 22, 2015 Academic Senate Meeting, which focused largely on the UCSC Silicon Valley Initiative, CFW considered various issues related to research, teaching, salaries, housing, and academic community, that might be particular to a Silicon Valley (SV) campus if UCSC moves forward with the initiative. Members agree that long-term success of the initiative will hinge, in part, on the ability to attract and retain exceptional faculty to the Silicon Valley Campus, and that advanced planning for general strategy and necessary resources is prudent.

In their correspondence of July 15 2015 to Chancellor Blumenthal and CP/EVC Alison Galloway, CFW recommended that in order to have a genuine intellectual presence in SV, the programs and courses should be mostly taught by tenure track faculty, but recognized that a lack of access to Ph.D. students may affect faculty productivity. CFW recommended that some accommodations be made for SV faculty to sponsor Ph.D. students on the main campus if so desired and that a different set of standards might be required in the evaluation of research merit of SV faculty relative to the research done by those on the main campus.

The committee recognized that many faculty are here due to the high quality of life offered by the natural environment of Santa Cruz, despite the lower total remuneration and high cost of living. CFW noted that attracting top faculty to SV will create distinct challenges for UCSC particularly in terms of housing, since housing in the valley is more expensive and faculty will likely need additional support, either in the way of higher salary and/or other benefits, such as housing allowances, MOP loan limits, and possible campus housing or rental units in SV. Further, if in order to cover curricular needs at the SV campus, some Santa Cruz based faculty might be required or given the opportunity to teach in SV, additional considerations (i.e. financial incentives) might be required to address the impact of commuting.

CFW proactively raised these issues so that they may be addressed during the planning stages for Silicon Valley. The committee recommends that full program proposals for the SV Initiative be clear about the resources required and consider all program expenses, including those associated with faculty welfare, recruitment, and retention.

Online Education
Over the past three years, CFW has urged ongoing and substantive analysis of the resources and shared governance arrangements necessary for the development and maintenance of high quality online education at UCSC. In last year's annual report, CFW offered such questions for consideration as: 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 effectiveness? Is there a long-term campus plan? 2) To what extent will the Academic Senate be involved in the selection and approval of these courses? 3) What is the relationship of resources the system and campus commits to online courses with those for teaching in the classroom? 4) Has the claim that UC can teach more students with fewer instructors been rigorously analyzed, and if it does not hold, what are the implications for campus planning for online courses? 5) What is the relationship between the Innovative Learning Technology Initiative (ILTI) and the UCSC Cross-Campus Enrollment Online Courses? 6) By what standards will we evaluate the effectiveness of an online course and will both the measures and results be shared?

In 2014-15, clarification was received regarding some of the questions above, while others remain to be addressed.   The senate was brought into the online course proposal assessment process at two points: the Online Education Proposal Review Committee (OEPRC) and CEP. CFW lauds these developments, although further coordination might smooth out procedural hurdles. For example, a representative of CEP should probably be part of the OEPRC. As for long-term planning, the campus appears hampered by the rigid preference of the ILTI program for fully online courses, which does not match UCSC's activity profile. While there is a great deal of experimentation with online technology and hybrid classrooms on this campus, there is no groundswell toward fully online courses. Accordingly, there were only two ILTI proposals for OEPRC to review and forward to CEP. These proposals were tentatively approved. There were no new Coursera proposals. The campus remains reactive rather than proactive in long-term planning. VPAA Herbie Lee seeks to encourage more faculty proposals, and to this end offers development support with the assistance of Aaron Zachmeier, campus instructional designer. There has also been some movement toward further discussion of the labor involved in online course development and maintenance, in that the university's online proposal forms and contracts request that faculty spell out their labor commitments in greater detail than had been required earlier, and also in administration and senate discussion of compensation models. It is CFW's position that the labor-intensive and teamwork-based pedagogy of online course development and maintenance needs to be more fully analyzed, with contracts and compensation reflecting such understanding.

There is considerable work remaining for an adequate assessment of what online teaching means in and for UCSC. In addition to the questions raised in last year's report, we would like to add one more: what is the relationship of UCSC's online instructors and courses in Silicon Valley to the central campus?

Retirement
The University of California Retirement Plan (UCRP) is monitored by the University Committee on Faculty Welfare (UCFW) Task Force on Investment and Retirement (TFIR). The funding status of the plan continues to improve with recent market returns well above the actuarial assumption of 7.5, and employee and employer and employee contributions representing 14% and 8%, respectively, of covered compensation for the 1976 tier (employee contributions are 7.1% of covered compensation for those hired after July 1, 2013, with the exception of employees represented by certain collective-bargaining agreements). The 22% total contribution exceeds the normal cost of the plan by just under 4% of covered compensation, and the additional contributions go toward reducing unfunded liability.

As of August 20, 2015, the UCOP Chief investment officer has yet to post the 2015 quarterly reports on the funded status of UCRP, which on June 30, 2014 was roughly 80% (on an actuarial basis). The $700 million contributed to the Plan by borrowing from the University's short-term investments funds (STIP) (to be paid back from an assessment on covered compensation, added to the employer's contribution) in August, 2014, coupled with another year of 14%/8% contributions, also reduces the unfunded liability, and means that the University is essentially contributing the full ARC (Annual Required Contribution) for 2014-15; ARC is determined by the Regents funding policy and it represents that amount that must be contributed to move toward 100% funding. Assuming that the Plan continues to earn 7.5% and state contributions are not lowered, 100% funding could be achieved by as early as 2035.

On July 24, 2015, the UC Regents convened to consider a budget package negotiated between the state and UC in June that will provide additional funds for UCRP, contingent upon the implementation of a Tier 3 retirement plan with reduced benefits. The latest budget update includes a "promised" contribution of $436 million to the unfunded portion of the UCRP over 3 years, but with only $96 million firmly committed in the first year, the remainder to be allocated in subsequent years. Complete details of the Tier 3 plan have yet to be finalized, but it would have an inflation indexed PEPRA limit ($118k in the current year) as opposed to the IRS limit of $265k currently used by UCRP. Employees would have the option of a Defined Benefit (DB) plan and a supplemental Defined Contribution (DC) plan with the PERPA cap applied to the DB portion of the plan, or they could opt for a full DC plan without cap. When implemented, the proposed Tier 3 would only apply to faculty hired after 2016.

Transportation and Parking
This year, a CFW representative served on the Transportation and Advisory Committee (TAC) which met several times during the year. In addition, CFW was asked to comment on proposed increases to the vanpool and bus pass fees, as well as a three year fee increase proposal that would affect the majority of parking fees and program fares. During fall 2014, CFW recommended approval of the proposed increases to the vanpool and bus pass fees as the increases appeared reasonable, but raised concerns about the lack of budgetary information provided with the proposal. CFW recommended that future TAPS fee increase proposals be accompanied by complete budget information including the approximate expenses and level of subsidy provided to each service and/or program being considered so that the committee could provide informed assessments.

During the spring quarter of 2015, CFW reviewed the proposed three year fee increase proposal, which did not include complete budget information as requested, and raised several concerns and questions for the committee regarding budget details, program support, and a lack of a clear set of guiding principles to explain the proposed increases, justify programs, and guide reviewers in assessing the appropriateness of the proposed increases and existing programs. CFW determined that although TAPS fee increases may be inevitable, neither the TAPS fee increase proposal, nor additional requested information made available, clearly justified the proposed three-year increase. CFW recognized that many students and employees have no other option than to drive to campus and cannot afford to pay higher parking fees, and recommended that more research be done to determine what possible effects such increases would have on parking and program usage and sales and suggested that options to reduce budget expenses should be considered more fully, including the level of subsidy to programs. The committee further noted that a set of guiding principles could help to determine what programs could be adjusted or eliminated to reach this desired goal.

Total Remuneration
In fall 2014, UCOP released the results of a comprehensive Total Remuneration (TR) study of UC system-wide Ladder Rank Faculty (LRF) based on data from 2009 and 2013. Total Remuneration evaluates the current competitiveness of UC's compensation and benefits for general campus, ladder-rank faculty (LRF) when compared to market, defined as the "Comparison 8 Institutions," comprised of four private and four public institutions (Harvard, MIT, Stanford, Yale, Illinois, Michigan, SUNY-Buffalo, and Virginia). TR reflects total compensation, factoring in the value/cost of health and welfare and retirement benefits in addition to salary.

In 2009, total remuneration for UC system-wide LRF was just 2% below that of the COMP 8. However, by 2014, total remuneration for the UC system declined to -10% relative to the COMP8. This was primarily a consequence of a precipitous drop in the total value of the UC retirement package as individual contributions were raised to 8% in the aftermath of the financial crisis, while salaries remained relatively flat. In 2009, the pension benefits were nearly 29% above market, in 2014 it is 2% below market. Medical benefits are 7% below market. The one benefit that raises the TR relative to market is the retiree health, which is 61% above market, though this is a relatively small % of the TR. For faculty hired with Tier 2 retirement benefits, overall TR is about 2% lower than old Tier. Some of this is being offset by higher salaries.

In April 2015, at the request of several campuses, UCOP released the campus-by-campus breakdown of the TR study. As expected based on salary data, TR relative to the COMP8 varies widely between UC campuses, from a high of +2% for UCLA to lows of -20 and -21% for UCSC and UC Riverside, respectively (excludes UC Merced). This disparity in TR, however, highlights the significance of salary differences between the low tier and high tier UC campuses, differences that are amplified through the value of retirement benefits. Any future modifications to plans that shift a greater % of the contribution to faculty, and/or reduces the benefits, lowers TR in the absence of offsetting increases in salaries.

Acknowledgments
The work of this committee would not be possible without the unwavering support and patience of senate analyst Jaden Silva-Espinoza, for which we are very grateful. We also thank those who

consulted with and/or provided information to the committee this year. Steve Houser and John Thompson (Faculty Housing), Frank Trueba (Health Care), the Academic Personnel Office (Salary Data), VC Sarah Latham (CC), Chancellor Blumenthal, and CP/EVC Galloway.

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August 18, 2015

APPENDIX A

COMMITTEE ON FACULTY WELFARE
A Brief History of Employee Child Care at UCSC and Recommendations for Moving Forward

To: Academic Senate, Santa Cruz Division

UCSC is the only UC campus that does not offer a child care program for faculty and staff. There is widespread consensus that child care would significantly contribute toward recruitment, retention, and help address equity concerns. Accordingly, in 2004, and 2009, the Academic Senate voted in favor of resolutions to provide more child care for faculty and staff.

In 2001, UC President Atkinson authorized up to $1.25 million to be made available as a matching, one-time allocation for creating a dedicated child care facility for each campus (*www1.ucsc.edu/currents/00-01/04-09/childcare.html*). UCSC committed matching funds as part of an application for Atkinson's child care funds. UCOP accepted that proposal and made a commitment of those funds to our campus.

In the early 2000s, a limited number of faculty and staff children could enter the university's student-centered child care program. However, in 2010, faculty and staff children were no longer eligible for inclusion.

In 2011, the Child Care Task Force (CCTF) issued a February 28 report, which recommended 1) quick-wins such as a web-based campus family resource network; 2) funding for initial development and operations; 3) an executive sponsor in our administration to coordinate and propel action; and 4) conversations with service providers to actively pursue both on-campus and off-campus options. In response to the CCTF report and further discussions with CFW, EVC Galloway agreed to set aside $150,000 annually for five years to support faculty-staff child care development, totaling $750,000.

In 2012-13, the university conducted informal discussions with an off-site child care facility downtown, but the arrangements were deemed unsatisfactory. There was also informal contact with the company Bright Horizons, which provides service to a number of other UC campuses. However, these UC campuses have since noted that Bright Horizons has raised its prices to the point that many faculty and staff cannot afford them.

In 2014, the UCSC Child Care Campus-Community Planning Team, supported in part from said reserved funds, issued a January 23 project report entitled, "Planning Faculty-Staff Child Care at the Granary and Family Resource Centers at UCSC." The planning team included Senate faculty members, the Early Education Services Director at the time, representatives of the Chancellor's/EVC Office, Colleges, Housing, and Educational Services (CHES), Planning and Budget, and representatives of various Santa Cruz County child care related programs. The report further reflected direct consultations with child care directors at other UC campuses. The core of the report was a feasibility study and detailed business plan (that emphasized sustainability) for a Pre-K program for faculty-staff children to be operated at the Granary building, located at the base of campus.

On November 20, 2014, CFW consulted with CP/EVC Galloway. The committee was informed that $730k of the original $750k remains and CP/EVC Galloway made a commitment to continue to hold the remaining funds for its intended purpose only, to fund child care for faculty and staff. The committee was disheartened to hear that after surveying the location, the UCSC Child Care Campus-Community Planning Team proposal for a Pre-K site at the Granary is no longer being considered due to problems with the building layout and costs associated with correcting the issues. However, the committee was encouraged to hear that the matching offer from UCOP made in 2001 is most likely still available.

CP/EVC Galloway informed the committee that the current student child care center in Family Housing will be temporarily relocated when Family Student Housing is renovated, and that a new facility will eventually be built to provide child care for a greater number of students, and potentially a number of faculty and staff. Although this sounds promising, with the chronic shortage of space on campus, the high expense of campus construction, and lack of a specific start time for breaking ground on the Family Student Housing renovation, this solution for child care seems remote.

There is no plan to remedy UCSC being the only UC campus with no child care for employees. Given the high cost of living and challenges of raising children in Santa Cruz, a permanent solution could help with recruitment and retention of faculty. Faculty demographics predict substantial hiring of new faculty in the coming years. Child care is an attraction in recruiting, but also vital to retaining the new faculty in whom we invest so much. It is not just faculty that we recruit and retain but families. There now appears to be monetary resources to get faculty/staff child care off the ground, what is needed is the will to immediately make good on a commitment to our faculty and staff.

In its January 16, 2015 post-consultation memo to CP/EVC Galloway, CFW recommended that an interim solution be immediately implemented using the $730k remaining from the seed money committed by the CP/EVC until a more permanent solution is found. CFW suggested that a portion of the $730k could be applied toward child care vouchers for employees with children under the age of 12, following the eligibility requirements of the new Childcare Reimbursement Program for graduate student employees that began in July 2014. CFW recognized that there must be a cap on such an expense. As such, the committee recommended that a set number of vouchers be offered each year to employees, based on eligibility, with criteria set by the Senate. A lottery could be used to determine which of the eligible applicants would receive vouchers.

Concurrently, CFW suggested that the options of an off-campus facility (managed by UCSC) be explored before the end of the 2015-16 academic year, as the options of a third party vendor and an existing building on campus have been explored and deemed unviable. An off-campus location purchased or leased and managed by UCSC has yet to be explored and could offer a more practical solution than building a new facility on campus. In addition, CFW recommends that the Child Care Advisory Committee be reinstated.

CFW invites faculty to share their thoughts on the topic at the Senate meeting on February 18, 2015.

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

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February 4, 2015

COMMITTEE ON INTERNATIONAL EDUCATION
2014-15 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on International Education (CIE) advises the Senate and campus administration on matters related to international education on the UCSC campus, initiates studies as well as 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.

In 2014-15, CIE focused its efforts on ensuring that faculty input and engagement remains central in developing and promoting a vision and infrastructure that supports UCSC's internationalization. The committee continued to build on data collection efforts initiated during 2013-14, and this data informed its recommendations to the administration. The committee's work was highly visible this year, and included:

- A forum on Internationalization and Social Justice (fall 2015)

- A Senate presentation on the findings from the committee's examination of the campus process for international collaboration agreements (February 2015)

- Contributions to the Senate Executive Committee's report *Proposal for a Framework for International Engagement* (February 2015)

- Two reports in May 2015 from CIE directly to the Senate:
  - "Principles, Processes, and Questions for Global Engagement: Lessons from CIE's 2013-14 Faculty Survey and Department Visits"
  - "Making International Collaboration Agreements Swift, Flexible, and Open".

This annual report highlights the key themes that emerged from the fall forum, they key recommendations from the committee's research on the campus process for international collaboration agreements, and key findings from the 2013-14 faculty survey. The report also highlights the committee's participation and review of divisional and systemwide issues and its consultations with the administration about issues related to internationalization.

Fall Forum on Internationalization and Social Justice
CIE began the academic year by organizing and hosting a Senate forum, titled "Forum on International Engagement and Social Justice: Identifying Campus Priorities" (October 2015). Planning for this event began in 2013-14, as part of the committee's commitment to further developing and promoting a broad vision of internationalization that helps define campus priorities for global engagement. The forum was structured to facilitate a collaborative conversation with faculty and other campus constituencies about the vision and direction of internationalization for the campus, and particularly to engage with the idea of a social justice as a possible guiding framework that is uniquely suited to the campus. The forum featured Dr. Yenbo Wu, AVP of International Education at San Francisco State University (SFSU). Dr. Wu delivered the keynote

talk on the process of developing a vision and strategy for social justice-focused internationalization at SFSU. Anjali Arondekar, UCSC Professor of Feminist Studies, and Senior International Officer Joel Ferguson responded to the talk with, respectively, faculty and administrative perspectives on international engagement at UCSC. The forum featured three faculty facilitated breakout sessions, which engaged session members in discussions about campus internationalization. Participants were provided with a handout prior to the session that listed seven dimensions of international engagement that emerged from the committee's 2013-14 faculty survey and Department meeting visits, as a starting point for further discussion. Members were also asked to think about additional themes or dimensions not listed in the handout. Each breakout session then reported back to the general audience.

Several themes and needs were identified during the breakout session discussions, including: research collaborations and opportunities to connect researchers and funding for faculty led seminars and programs, diversifying sites of collaborations, the creation of an International Center to serve students, writing program and language competency, and communities of support for students. The fall forum provided both an opportunity for a campus-wide conversation about internationalization, and to articulate key ideas, priorities, and a vision for its development. It also established that more could be done to create a "culture" for internationalization, and helped shape the committee's work and direction for the rest of the year.

International Collaboration Agreements
Through multiple efforts to better understand faculty concerns, issues, and priorities for internationalization,[1] CIE learned that international research collaborations are of great interest to faculty. However, CIE found that the process for establishing collaborations on campus is neither transparent nor clear to faculty members. At a time when the UCSC campus is focused on internationalization through increased international enrollments and the establishment of international university partnerships, the lack of faculty involvement in the process serves to inhibit faculty driven research collaborations, which should be at the core of the internationalizing mission of the campus.

In order to assess what gaps exist and how to make the process of establishing pipelines and collaborations more transparent, CIE researched the process for establishing agreements for international collaborations at UCSC, and how the campus process compares to other UC campuses and institutions, with an eye toward identifying how the campus process can be improved and become more accessible for faculty interested in international collaborations. The committee also consulted with Senior International Officer Joel Ferguson and with Special Advisor to the Chancellor for International Initiatives Anu Luther on the topic, asking each of them about their knowledge of, involvement in, and recommendations for improving the existing campus process.

CIE's findings were presented at the February 2015 Senate meeting, and a report titled "Making International Collaboration Agreements Swift, Flexible, and Open," was completed in May 2015. The report highlighted existing processes, identified weaknesses in the current process, and made recommendations for a more open, transparent process that included:

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[1] As noted elsewhere in this report, CIE conducted a faculty survey and a series of department visits in 2013-14, and organized and hosted a Senate forum on Internationalization and Social Justice in fall 2014.

- ▪ Updating campus guidelines;
- ▪ Making an open web based summary of existing collaborations available to faculty ;
- ▪ Designation of a central office for supporting and shepherding international agreements;
- ▪ A central archive for agreements;
- ▪ Developing a process for top-down and bottom-up agreements;
- ▪ Providing faculty incentive to report and document ongoing international collaborations; and developing processes that both fit the mission of the university and manage risk.

The committee also expects to continue to work with faculty and the administration, and particularly the senior campus officer on internationalization, as the campus develops and updates its processes for establishing international collaboration agreements in the next academic year.

Findings from 2013-14 Faculty Survey

In 2013-14, CIE conducted the "UCSC International Experience and Contacts Survey" in order to assess the range and extent of faculty international contacts and experiences and inform the committee's broader goal of identifying and promoting a faculty driven vision of internationalization at UCSC. All Senate and non-Senate faculty were invited to respond to the survey (launched in October 2013 and accessible through June 2014).

The committee analyzed the data from the survey this year. A total of 134 faculty responded, 107 of which were Senate faculty and 27 non-Senate faculty. All divisions were represented, with the highest responses from the Social Sciences (n=43), Humanities (n=39), and Physical and Biological Sciences (n=32), and the lowest from Arts (n=10) and the Baskin School of Engineering (n=9).
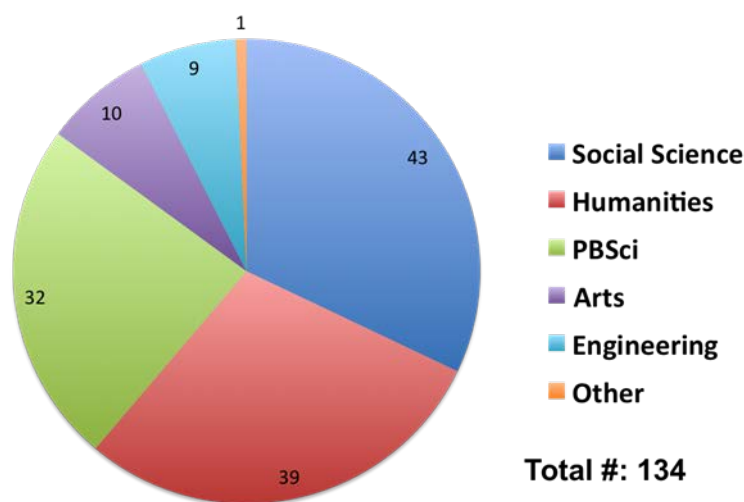
CIE 2013-14 Faculty Survey: Respondents by Division

The survey indicated that campus faculty have a wide range of international contacts and experiences, with participants citing that they have worked, lived in, or have connections across eighty-five countries and collectively, speak thirty-nine different languages other than English. Survey participants have collectively taught and/or researched in ninety-seven countries. CIE put together a database of "Faculty by Country" from the faculty survey data, listing faculty name and departmental affiliation, with connections they indicated in the survey, by country and region.[2] This provides an initial list of faculty geographic experience and concerns enabling the campus to build geographic connections and strengths.

Throughout the year, the committee has been pondering how best to facilitate motivated and sustained faculty involvement in building overseas connections. The idea of **Faculty Regional Work Groups** was mooted in the SEC *Framework for International Engagement*[3]. In an initiative parallel to CIE discussions, the EVC hosted a series of lunches in winter and spring discussing how best UCSC can engage with key countries, including China, India and Japan. CIE would like to see faculty regional work groups expand beyond the purpose of overseas collaborations and recruitment, to include the goal of strengthening regional expertise and interdisciplinary connections with the potential to improve the quality and breadth of both research and teaching on campus. That is, faculty regional work groups could also become a space for faculty with overlapping geographic connections to both build community and share knowledge resources for their international research and teaching interests. CIE has outlined a plan for minimally time consuming, networked faculty groups for building regional and country connections across the campus and hopes to implement that in the coming year.

CIE's faculty survey also contained open-ended questions about how the campus should enable faculty international work, and general comments about campus internationalization. CIE analyzed these first by the frequency of topics raised and then with an examination of their content.

Frequency of topics: The most frequent responses from participants regarding support included funding and travel funds for research, collaborations and conferences; funding support for research, area studies and international issues; increased support for graduate students through reduction of non-resident tuition and summer internships; language training at all levels; housing support; and support for navigating/simplifying visa processes. Summary comments and their frequencies are listed in the table below.

Themes in faculty comments: Several themes emerged when participants were asked to comment generally about UCSC internationalization. Some faculty expressed worry that a renewed focus on international projects not take away from UCSC's core mission of public higher education, and while many faculty noted how incoming international students enrich the campus and raise the quality of our programs, the faculty also cautioned against using international students as a revenue stream, and noted the importance of supporting students from a variety of backgrounds. Faculty also noted the importance of providing support for international scholars at all levels, citing the

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[2] This list omits the names and affiliations of faculty who noted in the survey that they did not want to be identified or further contacted.

[3] The Senate Executive Committee's report, *Proposal for a Framework for International Engagement* (February 2015) called for the campus Senior International Officer to establish faculty regional work groups to facilitate international outreach and collaboration.

cost of housing, issues with visa processing, and the complexities of advising international students.

Topic	# of Comments*	Summary
Travel funds	20	Travel for research, collaboration and conferences
Funding - support	13	Funding for research, collaboration, international conferences, area studies and international issues at UCSC
Collaboration	10	Facilitate collaboration and agreements, faculty exchange programs
Inbound Grad students	8	Reduce Non Resident Tuition, summer internships
Language	7	Languages at all levels and training to fit faculty schedules, more languages
Housing	7	Housing for visiting scholars and short term visitors
Visas	7	Simplify visa procedures for international postdocs, students and scholars. Single yr. appointment of postdocs hassle
Support from admin	4	Support for research collaborations, international summer program, clarity on risk planning
Inbound international undergraduate	4	Ensure well prepared, English speaking
Framing internationalization	3	Broad, include human rights, and need more faculty teaching international issues
Inbound faculty	3	Simplify procedures for hosting faculty from overseas
Outbound undergrads	2	Better articulation, support, and scheduling for science students
Expansion of contacts	2	Indonesia and France
Faculty led programs	2	Support for faculty led programs taking undergraduates overseas
Outbound faculty	2	Sabbatical for teaching as well as research. Need contacts database
Other	2	Need workshop on internationalization; faculty also active in international professional groups
Outbound grad students	2	Develop collaborations so students have network, small research/travel grants for students
Sum	98*	

CIE Faculty Survey 2013-14: Open-Ended Comments Summary
*Comments with only one supporter have been omitted. Not all faculty made comments. Some made more than one.

The most notable trend in the responses, however, was overwhelming support for further international initiatives at UCSC. There were many comments noting that such initiatives are "much needed." One faculty member commented that "I think it is a fantastic ambition to make UCSC a more international, more outward looking campus." Faculty also provided significant comments on a vision of what internationalization entails, including expanding UCSC's focus on area studies. Many of these focused on regions where people are already invested in research and exchange, for example, one faculty member noted "[we should] provide more funding for programming in area studies, particularly South Asia—that is linked not only to arts, culture, and business, but directly addresses questions of gender, development, and globalization."

The survey responses suggest that faculty have a vision for internationalization that is in tune with a wide range of perspectives, including the benefits of internationalization and the potential pitfalls of internationalization that is not carefully envisioned and strategically implemented, and at its core suggests that research should be at the leading edge of our internationalization efforts.

Changes to Campus Administrative Structure for Internationalization
At the Senate meeting of May 29, 2015, the CP/EVC announced plans for the creation of a Vice Provost for International Engagement position on the campus, which is planned to oversee Education Abroad programs, recruitment of undergraduate and graduate students, research affiliations for faculty, and international agreements for collaboration (e.g. MOUs) on campus. The committee took the opportunity to respond to the announcement by reviewing key ideas that have emerged from the Senate's discussion of internationalization this year, and that the committee would like the CP/EVC to consider as the new Vice Provost job description and administrative structure for internationalization is developed by the campus. In a memo dated June 18, 2015, CIE articulated recommendations under four broad themes/needs for the campus:
- The *challenge to build a strategic and collaborative process for global engagement*, which includes the need to institute a deliberative process that can draw faculty, departments, and the Senate into conversation with the administration to institute necessary changes and develop an Office of International Engagement,
- *Research as the leading edge of our outward move*, which includes international collaborations and activities that connect research, teaching, recruitment, and partnerships,
- *International undergraduate and graduate recruitment*, which includes expanding the pool of qualified undergraduate and graduate applicants through cultivation of collaborative pipelines combining research and recruitment, expanding the geographic and socio-economic diversity of the applicant pool, and providing social and cultural support needed for international students once they arrive on campus, and
- *Building faculty regional work groups* with the goal of strengthening regional expertise and interdisciplinary alliances, in order to improve the quality and breadth of both research and teaching on the campus. The committee will continue to monitor this issue and engage with the administration as the changes to the campus structure for internationalization are envisioned, developed, and implemented.

Local and Systemwide Issue Review
In addition to the issues identified in earlier sections of the report, the committee reviewed and commented on the following issues and/or policies:

- Doctoral Student Support Proposals and Recommendations (November 2014)
- Presidential Policy on Open Access (January 2015)
- Review of Proposed Amendment to SB 182: UCIE Bylaws (May 2015)

Consultations

CIE consulted with Senior International Ferguson (SIO) on his vision for global engagement (November 2014), with Special Advisor to the Chancellor for International Initiatives (SACII) Anu Luther on the issue of strategic international partnerships and the direction of UCSC international partnerships (March 2015), and jointly with SIO Ferguson and SACII Luther on their roles, collaborations, and perspectives on campus internationalization and processes for establishing international agreements (February 2015). The committee also consulted with Vice Provost and Dean of Graduate Studies Tyrus Miller on the issue of proactive recruitment and support for international graduate students, including non-resident graduate tuition (January 2015).

Continuing Issues for CIE in 2015-16

- *Promoting a Faculty Driven Vision for Internationalization:* the committee will continue to engage, collaborate, and participate in issues, activities, and discussions that advance and promote a collaborative, cross-campus, faculty driven vision for internationalization, including:
    - Administrative plans for the creation of a new Vice Provost position for International Engagement and a new administrative structure for internationalization
    - Development of Faculty Regional Work Groups
    - Campus plans for internationalization and graduate growth

- *Monitor Development of Administrative Process for Campus International Agreements:* the committee will continue to proactively engage the administration on this issue.

Respectfully submitted;
COMMITTEE ON INTERNATIONAL EDUCATION
Rosa-Linda Fregoso *(F)*

Qi Gong	Ellen Newberry, NSTF *(F)*
Yat Li	Egill Bjarnason, Graduate Representative
Tanya Merchant	Nicolette Gregg, Undergraduate Represenatative *(S)*
Rasmus Winther	

Arnav Jhala, *ex officio (W, S)*
Ben Crow, Chair

August 31, 2015

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
Annual Report 2014-15

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) worked throughout 2014-15 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 discussed the library's budget and whether it should request to receive a share of Indirect Cost Recovery funds, the implementation of the Open Access Policy and its extension to the broader campus community.

Library Budget

The committee discussed the state of the library budget, which is split between operations (which includes staffing) and collections. Funding for both of these categories is extremely low: the library is still being run at staffing levels greatly reduced by budget cuts, and extremely small compared to other UC campuses, and its collection budget is only about 10% greater than what is required to fund its subscriptions through the California Digital Library (CDL). The committee notes some encouraging signs for the library as well: the library received an endowed chair in 2014-15, for example. The committee also notes that discussions are continuing about funding the library through the start-up funds of new faculty members.

COLASC still holds, however, that the best way to fund the library collections is via a permanent allocation from the overhead funds that are generated from campus research grants. This would directly tie the amount to the number of students served to the research produced. Furthermore, given that the Library and its collection directly supports the research mission of the campus, it would be logical to fund the library with the overhead funds generated by research grants. Many other UCs support the library via overhead funds, and it would be wise for UCSC to give this proposal greater consideration.

The committee looks forward to continued discussion of these issues in 2015-16.

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. This policy requires Senate faculty to upload their scholarly articles to an open access database, unless they opt out of doing so. COLASC recognizes that implementing this policy poses a large challenge: the campus must ensure that this initiative is embraced by faculty members in order for the policy to be effective. To this end, committee members discussed the importance of publicizing the policy widely, including at department meetings in the following year.

The committee also discussed the various methods of populating eScholarship with research articles. Faculty members can upload their materials manually through eScholarship, email their papers to library staff who will upload the papers, or make use of an automatic "harvester" that will upload papers. Committee members were concerned that this automatic harvester could result

in extra work for faculty to ensure that the results it produces are reliable, but will continue working with the library as it introduces these services.

Committee members noted that some confusion about the implementation of this policy remains. For example, members were unsure which versions of their articles should be submitted, what kinds of research activities constitute a "scholarly article," and whether an article should be uploaded to the open access database if it embeds other copyrighted material. The committee looks forward to continuing these discussions and helping educate the campus community about this policy.

Other COLASC Business
COLASC laid the groundwork to hold an online forum on copyright and intellectual property. The committee hopes that this event will be held early in the next academic year.

COLASC also discussed and commented on the Senate Executive Committee's Graduate Growth Principles, surveys of library use distributed to faculty and to undergraduate students, and the draft Accessible Technology Implementation Plan.

Respectfully submitted;
COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
Donka Farkas
Howard Haber   Frank Gravier, LAUC Vice Chair
Jennifer Horne (*F, W*)   Deborah Murphy, LAUC Chair
Anthony Pratkanis   Karina Tavares Perez, Undergraduate Representative
Luca deAlfaro, Chair   Tara Thomas, Graduate Representative

August 31, 2015

COMMITTEE ON PLANNING AND BUDGET
Annual Report, 2014-15

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) worked hard on many fronts during the past year. These include:

- Strategic Academic Planning and the Silicon Valley Initiative. We proposed a radical departure from the traditional way of allocating open faculty positions, and encouraged the Chancellor to modify the timeline on and criteria for his Silicon Valley Initiative.

- Long Range Enrollment Planning (LREP), Graduate Growth, and Student Success. These are central to our teaching mission and affect a large portion of the campus budget. During the past year CPB proposed reforms for LREP and participated actively in ongoing efforts to build graduate education capacity and to improve undergraduate retention and reduce average time to degree.

- Reforming the consultation process between the Senate and Administration. To facilitate more fruitful consultations than have been possible in recent years on LREP, capital planning, faculty position allocation and general budget decisions, CPB worked closely for the last several months with the CPEVC to create a review calendar for 2015-16, which includes very specific deadlines and expectations for providing data to CPB to guide consultations.

- Following up on major issues addressed in previous years. These include campus internationalization, the Envision UCSC process, capital planning, and the operation of Business and Administrative Services (especially parking permits and programs, and recharge fees).

- Routine business. As always, CPB this past year reviewed new program proposals; participated in external reviews for several academic departments; reviewed proposals for reorganizing administrative units; responded to systemwide review requests; proposed policy and procedural changes; and commented on requests for off-cycle, Target of Excellence, and President's Postdoctoral Scholar appointments.

Absent from the list is the general budget review that traditionally has been requested by the Office of the Campus Provost and Executive Vice Chancellor (CPEVC). This is the second consecutive transition year with neither budget reductions nor general augmentations on the table, and so no general review was requested.

The remainder of the report elaborates on these activities, and then lists anticipated issues for 2015-16. An Appendix reviews the rules governing the membership and functioning of CPB.

Strategic Academic Planning

As noted in our April 20, 2015 memo to the CPEVC, the campus is about to enter a new environment that demands a new approach to academic planning. We expect significant new resources from rebenching for only two more years, and at best modest increases in state funds thereafter. Faculty demography, on the other hand, suggests an increasing stream of open FTE slots due to separations over the next decade and beyond. At the same time, we expect rapid changes in the research landscape and in teaching techniques. The current approach to academic planning returns virtually all open slots to the division where separations occurred. To survive and prosper in the new environment, we must break that tradition and use available resources to respond to new opportunities.

Our April memo therefore recommended that the campus as a whole harvest a fraction of the faculty slots that come open, perhaps one of every three, and recommended a set of principles for allocating those slots. The allocation process should be *accessible*, enabling all faculty to propose new cluster or group hires in strategic areas where our campus can excel, and should be *transparent* in stating the criteria for campus excellence by which allocations are made. We recommended opening a new round of competition, akin to the 2014 FIGH and cluster hire process, in fall 2016. We understand that the Administration agrees in principle but, before implementing such a process, seeks to resolve issues regarding staff funding in Academic Divisions, which currently is tied formulaically to the allocation of faculty FTE.

Silicon Valley

In a surprise announcement in Fall 2015, the Chancellor launched an Initiative to establish new Masters programs based in Silicon Valley, using resources associated with fourteen of the new faculty lines the campus will receive as part of rebenching. CPB members welcomed the opportunity to consult on this matter, given our longstanding interest in the question of how UCSC can best take advantage of its proximity to a diverse, dynamic urban center in a manner that leverages its existing strengths and furthers our mission in a fiscally responsible way. We were, however, concerned about what seemed to us a lack of adequate attention to and planning for the considerable infrastructure, staff, and support costs that running such programs at a remote site would entail.

Initially, the intention was to include the Silicon Valley Initiative in the 2014-15 Call for Recruitment Proposals; we were pleased by the administration's subsequent decision to proceed more slowly, setting aside this year's FTEs to generate revenue to cover infrastructural expenses. This gave us an opportunity to think through the issues and give more considered advice on selection criteria. CPB formed a subcommittee tasked with compiling an oral history of UCSC's experience in launching academic programs in Silicon Valley. On the basis of this research and our conversations with the administration, we arrived at a set of principles to be considered moving forward:

- Three traits greatly improve the chances of a Master's program's success in Silicon Valley: (a) appeal to international students interested in gaining employment in Silicon

Valley; (b) the use of lecturers with strong industry connections; (c) a committed and effective leader devoted to promoting the program.

- Resilience should be a central criterion for assessing Masters programs. Programs supported by UCSC must be viable in downturns as well as in booms, and they should not depend too much on a single partner in industry or government.

- Although the Silicon Valley Initiative is not primarily designed as a revenue-generating endeavor, it must be a sustainable one. The administration must subject all programs to a periodic financial review and create a sunset process for winding down programs that don't prove to be viable.

- In launching Masters programs, the administration should not lose sight of our broader goal: to build a durable presence in Silicon Valley that best furthers the UC mission of research, teaching, and service on both sides of the hill. To achieve this goal, we need to leverage existing assets, including UCSC Extension, the partnership with NASA, and the numerous collaborations of individual faculty to create a central hub of activity.

- An attractive and accessible location will be crucial to our success in building an intellectual critical mass. Adequate resources for support services, including transportation, administrative staffing, and student health care will also be key.

On the basis of these principles, CPB evaluated the six pre-proposals submitted in response to the Administration's Call. We recommended two for further development: A linked set of programs based in the Department of Computational Media, and an interdisciplinary program in Data Science. CPB also favored proceeding cautiously with the Aeronautics program if the NAMS proposal is successful.

Graduate Growth
Graduate growth has been a long-standing campus goal. The UC systemwide rebenching formula announced in 2013 included a mandate to increase Ph.D. enrollment at UCSC to 12% of undergraduate enrollment by 2017-18. Because graduate growth impinges on all academic and research activities, including Divisional faculty FTE requests, program reviews, and budget recommendations, CPB has followed this issue closely and is particularly interested in funding strategies to support graduate growth. Last year the Senate Executive Committee proposed Guiding Principles for Graduate growth and recommended that a Joint Senate/Administrative Task Force be developed immediately to assess current efforts to meet the 12% mandate, and to offer analysis and recommendations for strengthening graduate education and research at UCSC. The Task Force, which included three CPB members, completed a report in June that analyzes the capacity of programs for growth, the allocation of current resources to encourage growth, the incentives to increase faculty participation in graduate education, and the current practices and needs for graduate student professional development. A set of prioritized recommendations is included for consideration next year by appropriate Senate and Administrative constituencies.

In preparation for this process, CPB consulted with Vice Provost & Dean of Graduate Studies (VPDGS) Tyrus Miller, asking about the Graduate Division's recent investment experiences at

our campus and lessons learned. CPB was also interested in graduate growth strategies at other UC campuses, and how the Graduate Division models costs and benefits of the major type of graduate student funding, such as external funds, fellowships, TAs, etc. The discussion focused on specific strategies in five departments over the last couple of years, and, more explicitly, the nature, size, and impact of investments and the implications for the overall graduate growth. The viability and cost of making multi-year commitments to graduate students, like those offered recently at UC Irvine, were also discussed.

Undergraduate Student Success
Improving student success continues to be a major topic on our campus. Starting this year UCOP provided $1.6M for four years to increase undergraduate retention and graduation rates at UCSC. The campus Student Success Steering Committee (SSSC), led by Jaye Padgett and including two CPB members along with many representatives from the Division of Undergraduate Education and elsewhere, advises on how the UCOP funding and other available resources can best be utilized to attain these goals. The SSSC recommended that the UCOP funding be used to purchase computer software described below, as well as 1) to establish a Student Success Center with relevant staff; 2) to improve the first-year experience, curricular success, and enrollment management; 3) to enhance academic support services; and 4) to improve retention, graduation, and interventions.

CPB consulted with Jaye Padgett twice this past year to learn about the committee's observations and recommendations. These consultations discussed implementation of the Envision goals pertaining to student success (February 19 meeting), the progress on the search for a proper information system to evaluate student success (February 19 meeting), and the proposed spending plan and metrics to assess outcomes (February 19 and May 21 meetings). Other topics of discussion included how summer session could be utilized more effectively, perhaps through affordable summer housing.

The main focus of SSSC this past year was to select a computer system that could 1) identify students who are at risk of dropping out in order to intervene in a productive fashion (early alert), 2) mine student information system data to provide a model for predicting risk factors for students dropping out (predictive analytics), and 3) increase the coordination of intervention and advising (case management). At the end of spring quarter SSSC recommended investing in the Student Success Collaborative (SSC) of the Education Advisory Board (EAB), which incorporates all three functions.

CPB members expressed some concern about the cost, suggesting that it might be possible to develop predictive analytics software in house rather than purchasing an expensive system that the campus would not retain if UCSC decided to terminate the contract with EAB. At minimum, the CPB recommends that while adopting the EAB SSC product, the campus should also explore developing the predictive capability in house with the assistance of faculty and students. CPB also expressed concern that too much of the UCOP funds is being directed toward analytics and advising and not enough spent on the academics. CPB members also felt that student success would benefit from using some of the funds to improve the social climate for students.

Enrollment Planning
Last year's CPB annual report noted that we were not able to provide any meaningful input on the Long Range Enrollment Planning (LREP) projections because the committee was brought into the process too early, before any relevant information was available, and then too late, namely, after decisions were made. In October this year, CPB proposed a schedule for the review of previous and future campus enrollment targets. Despite several subsequent requests, no enrollment data were forwarded to the committee until the end of January, against a backdrop of an official campus deadline for submission of the LREP to UCOP that very week.

Nevertheless, CPB wrote an urgent memo to the CPEVC on this matter (February 3, 2015). We were especially concerned about the potential budgetary impact of UCOP enrollment mandates, particularly of a very sharp reduction in the incoming cohort of California residents. Although increasing the number of non-resident students would bring additional revenue to campus, not to mention welcome multicultural diversity, we were concerned that the benefits would be partially offset by financial (and reputational) costs associated with supporting underprepared non-resident students. Our concerns were reinforced by the Committee on Admissions and Financial Aid (CAFA) analysis of the "Data Comparing Selective Admissions Credentials of Resident and Nonresident Freshmen at Santa Cruz: 2006-2014" report generated by UCOP Institutional Research and Academic Planning (October 29, 2014). CAFA pointed out that the high admission rate for non-resident students brought to campus a significant number of students with academic records insufficient to indicate a high probability of success. Unless the pool of non-resident applicants were to improve significantly, growing the population of non-resident students would likely result in more unprepared students. Indeed, a sharp rise in non-resident admissions would displace California residents and run contrary to the spirit of the state's Master Plan for Higher Education. After reviewing the draft LREP targets circulated by Planning & Budget on January 22, 2015, we ran models showing the budgetary implications of different mixes of admitted students. Based on this modeling, we recommended that admissions targets be revised as follows: 1) maintain stated LREP target of 3000 California residents rather than dropping that number to 2800 as current plans then indicated; 2) drop the non-resident admission target from 600 to 500 to help maintain quality.

Consultation Process
The problems mentioned above in obtaining timely information apply not just to the LREP process, but also to Capital Planning (as further discussed below) and to general budget review. On February 5, CPB wrote a sharp memo to Senate Chair Brenneis describing the breakdown of the traditional process by which the Senate advises the Administration on these crucial matters. The memo attributed the problems mainly to changes external to the campus that disrupted the normal schedule, and it emphasized the need to rebuild the consultation process to function well in the current and likely future environment.

We were very encouraged by the positive and forthcoming response of CPEVC Galloway. CPB staff have worked with Planning and Budget Vice Chancellor Delaney and her staff over the last several months to develop a specific calendar of information collection and transmission that will enable timely and useful consultations for general budget review, LREP, Capital Planning and faculty recruitment authorizations. At the time of this writing, we have full agreement on the broad outlines and most of the detail. We await a memo from the CPEVC (being drafted by the

VCPB) describing the broad outlines to administrators who consult with CPB regularly.

Business and Administrative Services (BAS)

CPB had two brief but productive consultations with VCBAS Latham on a range of topics, including the following.

Budget. BAS consists of several heterogeneous units with varying objectives, many of which operate largely independent of each other. These units are funded through different sources – central (or core) funds, housing fees, parking fees, and student fees – and some of these units are self-supporting while others are depend largely on core funds. Historically these units have reported their budgets in different and inconsistent ways. There may be no single budget format that can communicate coherently to BAS as a whole as well as to CPB and to Planning and Budget (P&B).

In spite of these challenges, CPB made some progress this past year in understanding the BAS budgets. Going forward, we recommend (i) organizing the BAS budget by arranging the 20+ BAS units into perhaps half a dozen clusters whose constituents can use the same reporting format, and (ii) creating a set of consistent budget documents that enable all readers (the individual unit, BAS central, and P&B as well as CPB) to understand the functioning of each BAS unit.

Transportation and Parking Services (TAPS). CPB spent considerable time trying to get current information on the TAPS budget and eventually in reviewing the multi-year parking fee increase it proposed on March 31, 2015. After considerable work by the CPB representative on the Transportation Advisory Committee and by BAS and P&B staff along the lines of (ii) above, CPB was able to review the TAPS budget in April 2015. We observed major inconsistencies remaining between various documents for critical numbers, especially on reserves, which varied from negative to more than half a million dollars.

On May 8, 2015 CPB wrote a memo opposing the proposed parking fee increase. Although fee increases may indeed be required to support parking operations, the information in the request packet was inadequate to explain or justify the proposed overall fee increases. We are also concerned with proposed structural changes that would disproportionately impact sustainable commuters who use a combination of vanpool, bus pass, bike, and scratch-off A permits. A third concern is an unvetted plan to extend on-campus parking fees to off-campus parking areas such as Delaware and Schaffer Road.

We were pleased to hear that in June 2015 TAPS agreed to reformulate their proposal with proper justification and vetting next year. We expect that TAPS will (1) provide adequate information on reserves to establish the need and justification for parking fee increases, and will project the extra revenue needed for the next 3-5 years and its usage; (2) consider a range of options for differential fee increases and structural changes and explain their advantages and disadvantages; and (3) going forward, will compare annually the actual revenue by permit type with the projected revenue in order to assess whether the structural changes are making any impact (positive, neutral, or negative) on revenues and accessibility.

Reorganization and Efficiency. It has been difficult for CPB to provide suggestions for increased reorganization and efficiency across BAS units without understanding the budget. However, one potential area of reorganization appears to be accounting where different accounting practices and formats are followed in each individual unit without much communication with each other, resulting in potential duplication.

Recharges. As in several previous years, CPB again tried to tackle recharge issues. Basic economic principles tell us that the campus should not try to provide services that can be obtained locally at lower cost, and that the campus should pay directly for non-discretionary services whose usage a unit cannot control. Recharge should be used only in other cases, and sparingly even there because the system is costly to use, especially in terms of staff time. Just today, the author of this paragraph signed off on a $220 recharge that required an email thread of 11 sends by 4 staff members plus several completed forms. The time cost was probably more than $20 per send, and the recharge was for an activity that cost the receiving unit nothing to provide.

Besides the primary question of which activities belong in the recharge system, we have become aware of a subtle secondary issue. In recharge-based units, staff upgrades and salary increases can be funded by raising recharge rates or holding them constant while service expands, whereas most other campus budgets are less flexible and have been subject to cuts. There is a perception that this asymmetry has led to lower pay for academic staff and others outside the recharge-based units, although we are unaware of any clear evidence that this is the case.

CPB members believe that the time has come for a high-level review of the campus recharge system. We are pleased that BAS leadership has indicated that they will be happy to have CPB participate in such a review, if one were scheduled.

Physical Planning and Construction (PP&C). As noted elsewhere, CPB has become concerned with PP&C operations as they relate to the overall campus system of Capital Planning. We became aware last summer that an external review was scheduled and so delayed making our own inquiries about PP&C. We met with the external review committee on April 16, 2015, and asked that BAS forward their report to CPB when available. This is clearly an area for continued CPB attention.

Capital Planning
CPB devoted considerable attention this past year to issues associated with capital planning, maintenance and construction. The campus faces significant challenges due to expanding the faculty and opening new programs, meeting the LRDP requirements as our student numbers continue to increase, and addressing problems arising from aging facilities, particularly in Kresge College and Family Student Housing. Compounding the challenge, the Office of the President will now provide funding for no more than half of approved campus capital projects, with the remainder coming from increased debt burden or private sources.

CPB provided membership to three capital-planning committees. The Academic Space Plan (ASP) Task Force considers issues associated with the allocation and development of campus

space assigned to academic functions, including both teaching and research. The Campus Housing Planning Committee (CHPC) develops proposals for new housing development, in parallel with considerations about maintenance and refurbishment of existing housing facilities. The Campus Planning and Stewardship (CPS) committee considers the "big picture" of the capital planning and maintenance process, considering reports and recommendations from groups such as ASP and CHPC and providing a critical review, and eventually forwarding its recommended capital projects proposal to the EVC.

CPB members involved in these committees voiced several concerns. Senate involvement in CHPC must be maintained or even increased next year as the mix of lower-division, upper-division, and graduate housing must be worked out for rebuilding Kresge and Family Student Housing. Likewise for ASP as it allocates the warm-shell space to be developed at 2300 Delaware among various academic groups. CPB's input to CPS has been missing the last few years, but it is crucial as CPS develops the 10-year capital projects plan that is forwarded annually to the Office of the President. This input is an important component of the consultation process reform noted earlier.

CPB believes that the whole capital planning system needs fundamental reconsideration given the challenges noted above. As explained in our memo of July 8, 2015, during the coming year reforms should be put in place that transform the current cumbersome compliance-oriented system into a more nimble process whose clear goal is to find cost-effective ways to meet campus goals of undergraduate and graduate teaching, research and service.

Internationalization
CPB continues to strongly support the internationalization of the campus and has remained engaged with budgetary and planning activities to that end. In particular, CPB concurred with CP/EVC Galloway's administrative reorganization plan to establish a new position for a Vice Provost of Internationalization, a move consistent with CPB recommendations to the Senate Chair (copied to the CP/EVC) in January 2014. Besides recruiting more international undergraduates, we see internationalization as including recruiting and supporting international graduate students as well as faculty collaborations extending beyond national borders. Such activities are mutually reinforcing and cut across existing campus structures, so a new administrative unit under a separate Vice Provost seems appropriate. It will give more prominence to the campus' internationalization efforts and also provide more focus and coherence to efforts in this area which to date have been rather scattered and ad hoc. This reorganization should free up resources in the Undergraduate Division and elsewhere, and so need not require a major net infusion of new resources.

CPB would like to see an increase in international undergraduate enrollments, but not by reaching too deep into the existing applicant pool for marginally qualified students. Instead, for several years CPB has emphasized the need to develop pipelines to potential feeder schools abroad that can be relied upon to consistently provide us with well-prepared students. Efforts by individual faculty in countries such as China suggest that with a proper investment in time and planning, these efforts should meet with success. CPB hopes that the interim and the new Vice Provost for Internationalization will give very high priority to such targeted outreach so that, over time, the quality and size of the pool of international students will increase.

At the end of the year, CPB was asked to provide feedback on a new Multilingual Writing Curriculum, a four-course sequence designed especially for international students. CPB agrees that once the campus admits students, it has the ethical obligation to provide them with the tools they need to succeed. However, CPB felt that its ability to comment on this proposal was compromised not only by the fact that it came late in the academic year, but even more seriously by the fact that it was not accompanied by a prospective budget nor any indication of the source and disposition of the funds that would support it.

Envision UCSC
CPB reviewed the Envision UCSC goals as enumerated on the campus website, as well as a draft of the CPEVC's presentation at the February 18, 2015 Senate Meeting. We were pleased to see this collaborative planning process coalescing into a suite of specific goals addressing serious issues. However, we are unable to detect real progress towards implementing action plans. CPB was and remains concerned that the innovative thinking in the vision conferences will be diluted or lost as goal implementation is assimilated into administrative processes. Additionally, the committee expressed concern about the vagueness with which graduate student issues (notably success and support) were described in the Student Success and Research goals. Clearer commitment and more decisive action in this critical area is essential if we are to realize our stated commitment to graduate growth.

Regular Committee Business
<u>FTE Review</u>. CPB reviewed the divisional requests for faculty recruitment authorizations for 2015-16, including for 17 new centrally funded positions. Of these, four were reserved for development of academic programs in Silicon Valley. The thirteen remaining positions will be allocated for recruitment in 2015-16, of which four positions were to be used to complete cluster hires initiated with the 2014-15 recruitments. The divisions made 36 total requests, 15 of which were for the 13 new slots. The committee consulted and made recommendations on several requests for partner-hire, Target of Excellence (TOE), Presidential Postdoctoral Scholar and waivers of open recruitment.

Over at least the last decade FTE allocations have been very roughly equal across the five academic divisions. There is a logic to this since all divisions are experiencing new challenges and opportunities, and one of the very few ways in which divisions receive new resources (Instruction and Research funding, I&R) is through FTE allocations. However, a more expansive interpretation of equity must take into account the fact that student/faculty ratios vary widely across departments and divisions. Also, the established divisions (Social Sciences, PBSci and Humanities) currently hold and/or can expect many more open slots due to retirements than a new unit such as Baskin School of Engineering (BSOE), launched in 1997 and since stunted by two periods of state economic crisis. This past year CPB recommended a disproportionate share of the 13 new slots go to BSOE departments on these broader grounds of equity, as well as grounds of opportunity for the campus.

<u>Program Review</u>. CPB reviewed proposals for the establishment of new B.A. programs in Applied Linguistics and Art and Design: Games and Playable Media, and M.S. and Ph.D. programs in Computational Media. Additionally, the committee provided a recommendation on

the TM department's request to self-suspend the Technology & Information Management M.S. program.

<u>External Reviews</u>.
CPB prepared universal charge questions for the departments of: Anthropology, Computer Engineering, Computer Science, Economics, Film & Digital Media, and Microbiology and Environmental Toxicology. Committee responses to the external review reports for discussion during closure meetings were prepared for the departments of: Electrical Engineering, History of Consciousness, Latin American and Latino/a Studies, Literature, Mathematics, Molecular, Cell, and Developmental Biology, Physics, Theater Arts, Technology Management, and the Writing Program.

On the administrative side, in addition to the PP&C external review mentioned above, the committee also submitted questions for consideration during the Bookstore external review. Neither report was finalized at the time this annual report was prepared.

Continuing Issues for CPB 2015-16
Next year promises to be at least as busy as the year just passed. Major continuing issues include: 1) implementing consultation reforms, 2) reforming the capital planning process in light of the PP&C external review, 3) monitoring the parking fee increase proposal from TAPS, 4) working with P&B to reform financial reporting in BAS units, 5) developing a comprehensive process for enrollment planning that addresses the readiness of non-resident students while achieving campus financial goals, 6) development of a new campus long-range development plan, and 7) monitoring the graduate growth task force recommendations.

Perhaps even more important, it may be time to follow the lead of some of our sister campuses in reforming the dual currency model (FTE/ dollar amounts) of faculty resource allocation, or at least to change the established model of tying I&R (Instruction and Research) support to the divisions to FTE allocation.

Respectfully submitted;
COMMITTEE ON PLANNING AND BUDGET
Suresh Lodha
Loisa Nygaard   Whitney DeVos, Graduate Representative
Rick Prelinger   Guillermo Rogel, Undergraduate Representative
Eric Porter   Hannah Tuong, Undergraduate Representative
Danilyn Rutherford
Abel Rodriguez
Bruce Schumm
Jin Zhang
Don Brenneis, *ex officio*
Ólöf Einarsdóttir, *ex officio*
Dan Friedman, Chair

July 20, 2015

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.

COMMITTEE ON PREPARATORY EDUCATION
Annual Report 2014-2015

To: Academic Senate, Santa Cruz Division

Executive Summary
The Committee on Preparatory Education (CPE) had a late start this year and started meeting during winter quarter. One of the member's discussions focused on the mathematics online placement exam changing to the self-paced online ALEKS PPL program for students to work in for more accurate placement into mathematics courses. We agreed this may be an improvement to the placement exams we have had in the past and look forward to the data report in fall quarter and recommend follow up for next year's committee. Another topic in our committee purview is that of writing satisfaction. Many students enter UCSC without satisfying the required entry level writing requirement or (ELWR) satisfaction. Members reviewed pilot programs focusing on writing courses (Crown 79) and a proposal for international students on academic English. This proposal's final version was named the Multilingual Curriculum proposal, which CPE, in agreement with the Committee on Educational Policy (CEP), determined students should be ELWR satisfied before attempting to complete a C1 general education writing course requirement. Members were supportive of the proposal but would rather see writing courses that address the needs of all our student populations including: natives, first generation, multilingual language learners, international, etc. We will recommend next year's committee request a report on the Multilingual Curriculum pilot next year.

ALEKS PPL and the Online Math Placement Exam (MPE)
The Mathematics Department in an attempt to improve math placement for incoming frosh ran a test pilot using ALEKS PPL as a replacement for the online mathematics placement exam (MPE) during fall and winter quarters. Students were encouraged to work in the database to refresh themselves on weaker exercises in math. After CPE reviewed the data submitted by Undergraduate Curriculum Chair Debra Lewis, members found this approach to be better than what is currently offered but were skeptical that self- serving modules or programs only meet the needs of a certain type of student comfortable working independently. The overall outcome of the progress report that the committee reviewed clearly showed student placement to be closer in accuracy than the online versions used in the past. For example, the weaker students who worked for five hours or more in their Learning Module (LM) showed improvement on reassessment over stronger students, who may have spent less than 5 hours in their LM. CPE recommends next year's committee follow up with a request for a report on the final outcome of the first cohort of students who finished in spring quarter.

Multilingual Proposal for International Students
We consulted with Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey, Senior International Office Ferguson and Writing Program Chair Shearer on the overview of changing the core curriculum to meet the needs of international undergraduates who need additional instruction in academic English. This population of students can catch up but others have the same issues with writing as our native populations on campus and require additional help with writing before ELWR satisfaction and taking college core. Members supported the course overview for the proposal. Later in spring quarter were given the opportunity to review

the draft proposal and found the four course offering to be unproblematic and much needed for international students to become part of our campus community and acculturated to U.S. culture. CPE will work with CEP next year on the integration of these courses and the success in colleges with regard to ELWR, C1, C2 and core course satisfaction.

Follow Up Report on Crown College: Crown 79: Winter Writing Course Pilot
Members reviewed the report on the Crown College core course pilot this fall and winter quarters, while the pilot was not exactly successful and students did not meet the objectives, the sponsors did learn from the experience and have re-designed the next version to be offered again in fall and winter quarters for the upcoming year. The pilot had two components: 1) shift the college core course to winter, 2) move Writing 20 to fall quarter for ELWR satisfaction and Crown 79 then take Core. Honors students and Writing 20 students had the option to enroll in Crown 79 (a 2-unit course) during fall quarter. Offering the course in winter quarter increased the number of enrollments, as many students were ELWR satisfied, had adjusted to university life, and were ready to address writing topics found in college core courses, but the delay did not help with community building. Some students also ran into the 19 unit maximum for courses.
On the positive side, Crown students improved their campus percentages for ELWR satisfaction rates over the other colleges.

Members found the advantages hopeful, but with such a large cohort of students, and no writing sections, we are pleased with the addition of writing groups and peer evaluation in the course revision. Members agreed that introductory writing should be separated from core, so offering core in winter makes sense, but for the students who didn't need to take Writing 20, this delay with writing may have disadvantaged them, as during fall quarter there was no course to engage them with writing and critical thinking.

We agree this type of experimentation should continue, learning from the results of the first cohort. CPE is concerned that ELWR unsatisfied and satisfied students are not having their writing needs addressed. The evaluations were mixed: some students found Writing 20 boring while most of the Honors students liked it. Still, the overall satisfaction rate of 27% was better than the overall rate of 15% for the other nine colleges. In CPE's response to Crown Provost we recommend a range of writing classes at a higher level for ELWR satisfied students to continue being engaged with writing while waiting to take the core course. Committee members agreed students should not enroll in a college core before ELWR satisfaction. We are convinced that incoming international students need to acquire the skills to satisfy ELWR first and then the C1 and C2 general education requirements. CPE suggested having both a C1 and Core course instead of the traditional combination. We look forward to reviewing future reports on the success of this pilot.

Summer Session Academy
The committee was consulted by Special Assistant Padgett and VPDUE Hughey on the creation of the first credit bearing Summer Academy pilot. This preparation curriculum is being sponsored by Summer Session and the International Education Office and has a focus on language, writing, and navigating the research university. The program, this year, has been renamed Summer Academy and has two versions: Summer Academy for entering domestic students and Summer Academy International for entering international students. This year's

academy is focused on STEM students (from both populations). Many students enter the university unprepared and ultimately, are not successful. The plan is to recruit about 60 to 70 students and focus on students who meet a particular data driven logarithm of criteria, then tracking the students to see if they remain in the STEM field. Members will review an in-progress report at the end of spring quarter 2016.

Recommendations for CPE 2015-16:
- Follow up with VPDUE on the actions resulting for the Summer Academy programs.
- Review data on the ALEKS PPL database for students to reference before being placed in to a mathematics course.
- Review data on the success of the Multilingual Curriculum pilot

Respectfully submitted,

COMMITTEE ON PREPARATORY EDUCATION
Kimberly Helmer
Abe Stone   Phil Longo, NSTF
Gabriel Elkaim, Chair *(W, S)*   Sarah-Hope Parmeter, ELWR Coordinator

August 31, 2015

COMMITTEE ON PRIVILEGE AND TENURE
Annual Report 2014-15

To: Academic Senate, Santa Cruz Division

Grievances
One grievance was filed with the committee during summer 2015. The Committee on Privilege and Tenure (P&T) will review the grievance during the 2015-16 academic year.

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

UCSC Disciplinary Process
In order to gain a deeper understanding of the administrative disciplinary process and the Committee on Charges, P&T consulted with Susan Fellows, Director of Academic Employee Relations during winter quarter, 2015. P&T would like to have a better sense of the number of cases settled prior to the point where a letter of "Intent to Discipline" is sent. Cases resolved in this way currently do not come into Senate view.   P&T's concern is that the disciplinary process may be experienced as overwhelming to faculty and the committee worries that as a result, faculty may not be aware of their rights early on in the process, or the procedures peculiar to the disciplinary process as a whole. In order to make the process more transparent, P&T requested that the committee be apprised of membership on the Committee on Charges, and that a flowchart of the administrative disciplinary process be posted on both the Academic Personnel Office and P&T websites. P&T further requested an annual report from the administration on disciplinary cases in order to gain a sense of whether settlements are occurring and how the practice of CAPM 002.015 – Faculty Conduct and the Administration of Discipline – is working. Director Fellows initially indicated when she met with P&T that the report could be sent. Yet as of the drafting of this report, P&T has not yet received it. The committee recommends that next year's committee follow up with the administration and once a report is received, consider the implications of the data in relation to the overall effectiveness of the campus disciplinary process.

Collaboration with the HDPIU
This year P&T consulted with Tracey Tsugawa, Title IX Officer and Director of the new Harassment and Discrimination Prevention and Investigations Unit (HDPIU), to share internal processes, and discuss how the two parties could work collaboratively to best serve Senate faculty. Director Tsugawa noted that due to several new state and government laws and regulations, her office is working to update and revise some campus policies and procedures in order to reflect the changes and new requirements. At the request of P&T, Director Tsugawa agreed to include the Academic Senate in conversations regarding any new processes or change to policies that may affect Senate faculty. Continued collaboration with the HDPIU will ensure that changes to relevant policies and procedures which impact the HDPIU and Senate faculty will appropriately and effectively meet the needs and rights of parties involved in harassment and discrimination complaints. Next year's P&T committee should work collaboratively with the HDPIU specifically to clarify procedures concerning cases in which there are concurrently P&T grievances and complaints of harassment or discrimination.

Respectfully submitted;
COMMITTEE ON PRIVILEGE AND TENURE
Dimitris Achlioptas
Maureen Callanan
Dave Kliger
Norman Locks (*W&S*)
Amy Lonetree (*W&S*)
Nirvikar Singh
Paul Roth, Chair

July 27, 2015

COMMITTEE ON RESEARCH
Annual Report 2014-2015

To: Academic Senate, Santa Cruz Division

In 2014-15, the Committee on Research addressed a broad range of issues of significance to campus research policy and infrastructure. Most importantly, we completed our multi-year analysis of the structure and use of indirect cost receipt (ICR) allocations, culminating in an informative and useful consultation with Campus Provost and Executive Vice Chancellor (CPEVC) Galloway. We began a campuswide survey and evaluation of shared research equipment and facilities, which will require follow up by the 2015-16 COR. COR continued to consult with Vice Chancellor Research (VCR) Brandt about changing policies and structures within the Office of Research (OR) and other issues related to the research climate on campus, including implementation of the Envision UCSC strategic planning goal to support research excellence, new OR guidelines for seed funding and cost sharing, revised Office of Sponsored Projects (OSP) proposal preparation deadlines, the rollout of Cayuse proposal management software at OSP, and the NASA Academic Mission Support (NAMS) proposal to continue our campus' involvement with NASA-Ames. Much of the Committee's time, particularly during Winter Quarter, was spent evaluating proposals and making awards through our various faculty research grants programs (FRG, SRG, NFRG). In addition, COR collaborated with the Sustainability Office to evaluate proposals for the 2015-16 Campus Sustainability Champion award, funded by the Office of the President. Finally, we discussed various proposed changes to campus and UC-wide policies, procedures, and guidelines. Most significantly we provided critical feedback on the proposed campus Accessible Technology Plan and system wide Guidelines for Accepting and Managing Equity in return for access to University facilities or services.

COR Activities Regarding Matters of Research Policy
Analysis of Indirect Cost Receipts and University Opportunity Funds. Over the last three years, COR has been examining how indirect cost receipts (ICR) from contract and grants are used on our campus. We have paid particular attention to that portion of ICR that is directed to University Opportunity Funds (UOF), but also have been investigating how other categories of "Facilities and Administration" (F&A) fees get allocated. COR is particularly interested in the uses of ICR because these funds are generated directly by faculty through their research efforts. Thus, how these funds are allocated and used should be readily transparent to the faculty and should be used as directly and effectively as possible to support existing research and leverage new research opportunities on campus.

According to Systemwide policy, after the removal of Pre-Off-The-Top (Pre-OTT) funds by the Office of the President, the remainder of campus generated federal F&A fees are returned to the campus and divided three-ways into roughly 20% Off-The-Top (OTT) funds, 44% General Funds, and 36% University Opportunity Funds (UOF). While this general structure is mandated by UCOP, how funds within each category are used is left to the discretion of individual campuses. OTT funds are specifically designated for expenses directly associated with the administration of federal contract and grant activities. *Off the Top Funds:* These funds are

somewhat limited in that they may not be used for capital expenses. At UCSC, 25% of these OTT funds go directly into the campuses General Fund. Of the remaining 75%, an additional 25% are allocated to support central administrative units under the direct control of the EVC. An additional 20% of the remaining 75% goes to Business and Administrative Services (BAS), another central administrative unit. The remaining 55% (of 75%) is divided among the academic divisions (45%) and the Office of Research (10%). <u>While OTT funds are designated specifically for administrative costs, COR remains concerned that such a large portion of OTT goes to the central administration and general fund, far from where most of the direct administration of contracts and grants actually takes place on our campus.</u>

General Funds: The largest portion of F&A fees that is returned to campus (44%) goes directly into the General Fund. According to COR's consultation with EVC Galloway on May 19, 2015, no attempt is made to track these funds separately from other sources of general funding nor to use them specifically to support campus research infrastructure or administration. While COR appreciates the value to the University of maintaining flexibility in its use of ICR contributions to General Funds, we would encourage the administration to be more mindful of and accountable for how F&A funds are used and prioritize using them to support the research enterprise whenever possible.

University Opportunity Funds: In regards to the University Opportunity Funds (36% of F&A fees returned to campus), COR over the last two years has examined specifically how these funds are used by the Office of Research, the Academic Divisions, the Central Administration and COR. Of the three categories of ICR funding, UOF should be used most directly to enhance campus research capacity and excellence.

At present virtually all of COR's funding comes from its allocation of UOF, which represents about 5% of UOF or about 1.8% of all federal F&A funds returned to campus. All of this funding goes directly to reimburse faculty for scholarly travel to research conferences or support faculty research projects (New Faculty Research Grants [NFRG], Faculty Research Grants [FRG] and Special Research Grants [SRG]). In our reviews of FRG/SRG proposals, which have become increasingly selective, we pay particular attention to whether previous COR support has leveraged external funding and/or resulted in significant scholarly works or performances. The allocation of COR's UOF and their impact is publically reported each year in our Annual Report to the Academic Senate (see Section II below). Reports on individual faculty grants are also sent annually to the Deans of each Academic Division and School.

Last year, COR's analysis of the other (non-COR) uses of UOF by the Office of Research and the Academic Divisions suggested that for the most part these funds were being used effectively to support faculty research and infrastructure. <u>Our only significant concern was with the rather large proportion of UOF that was being used to support retention efforts for a small number of faculty in one or two of the divisions</u>. COR argued that UOF was best used in ways that were based on competitive merit, yet broadly and equitably accessible.

This year, at the request of COR, EVC Galloway and her staff provided detailed information on the allocation of UOF by the Central Administration (EVC to COR, December 18, 2014). As with our review of the Office of Research and the Divisions, COR was pleased to see that the

portion of UOF allocated to the Central Administration is predominately used to directly support campus research and infrastructure. However, we do have some concerns about the significant use of UOF to support University Relations/Development (UR). In 2013-14, UR received over 8% of total campus UOF. In comparison, COR, which returns all of its funding directly to faculty research, only received 5%. More clarity is needed about how UOF is used by UR to directly support campus research and infrastructure and if this level of funding for UR from UOF represents a short-term increase associated with the Comprehensive Campaign or a more permanent shift in funding priorities by the administration. If the latter, then future CORs need to follow up with the administration to understand the reasoning for this shift in the use of UOF away from what would appear to be more direct funding and support for faculty research. Also alarming was the fact that the portion of UOF designated for support of faculty start up and facilities maintenance dropped to below 2% in the 2013-2014 budget. This drop may be explained, at least in part, by the low number of faculty recruitments in recent years. However, why more of UOF was not allocated for research equipment and facilities support, some of which are in critical need of maintenance and repair, remains troubling.

After our extensive multi-year review of UOF, we have a clearer and broader sense of how COR funding fits within the larger structure of the uses of ICR to support campus research. While COR would welcome more funding for our NFRG/FRG/SRG and Scholarly Travel programs, we do not view increases to these programs as among the campus' most pressing needs in the area of research support. Some critical areas of research support need that surfaced in our discussions of UOF and in our annual reviews of faculty grant proposals and where COR feels more campus support are required include:

- *Support for faculty computers and other core technology.* While requiring that faculty purchase their own computers may make sense in some fields where large external grants are the norm, in other disciplines the loss of funding for replacement computers and support of associated software and technologies has essentially shifted these basic infrastructural costs for doing our job onto the faculty themselves. In the last few years, COR has seen a steady increase in requests from faculty for replacement of basic computer and printing equipment, especially in the Humanities and Social Sciences. While we routinely deny these requests, we are deeply concerned that these basic faculty needs are not being met. COR feels strongly that a basic-level of computing support is essential to all faculty research across the disciplines and should be backstopped by ICR.

- *Replacement, repair and maintenance of research equipment and facilities.* As noted above, COR is concerned to see the percentage of UOF committed to facilities support drop over the last few years. Allowing research facilities to fall into disrepair may be "penny wise, but pound foolish" as cost of upkeep may be significantly less than replacement. Also, having old and out of date facilities without adequate technical staff support may make it more difficult for PIs to be strongly competitive for major contracts and grants. While purchase of new equipment should come from direct costs on contracts and grants, general repair and maintenance of equipment and facilities rightfully should be supported by ICR.

- *Waivers for Non-Resident Tuition on GSRs and TAships.* Currently PIs supporting graduate students who are required to pay NRT must cover that tuition in quarters where the student holds a teaching assistantship and not a GSR. However such tuition waivers of TAships cannot be charged directly to grants.

▪ *Incentive rebates to faculty who yield large contract and grants.* These discretionary funds are critical to many PIs to support expenses that are not allowable under federal guidelines—for example payment of NRT for TAs. They would also be highly motivational to those faculty.

COR hopes that our comprehensive review of UOF, and ICR more broadly, will open a campus dialog among COR, the Office of Research, the Academic Divisions, and the Central Administration about the most effective use of these funds and how they may best be used to support campus research and leverage increased research funding and ICR.

Implementation of Envision UCSC Strategic Planning Research Infrastructure Goal. The Envision UCSC strategic planning process identified support for research excellence as one of the primary areas of focus for the campus moving forward. Overall, COR found the research goal articulated on the Envision UCSC website (http://cpevc.ucsc.edu/envision-ucsc/goals/research/index.html) to be of interest and we are in general agreement with its intended aim to improve campus infrastructure in support of increased research capacity and excellence. However, COR was somewhat disappointed to see the extent to which the wide ranging discussion in the 'research vision statement' was truncated and homogenized in the final goal statement. The Committee had expected that the Envision planning process would help the campus reach some level of consensus on what priorities should be singled out for strategic investment. It is not clear that this has happened. Towards that end, we hope that the implementation process reincorporates some major priorities which were articulated earlier in the Envision UCSC process. COR recognizes the broad scope of these goal statements and we are committed to working with the Office of Research and other units tasked with implementing the research infrastructure goal. The details for how best to achieve this goal will hopefully be addressed more fully in the rollout of the anticipated specific action plans associated with Envision UCSC and we await the opportunity to review specific proposals related to improving research infrastructure as they are developed.

In the short term, COR was pleased to see that the central administration has committed approximately $3M in one-time funds and around $175K/yr in new permanent funds of support of the research infrastructure goal of the Envision UCSC strategic plan (CPEVC Galloway to VCR Brandt, October 30, 2014; VCR Brandt to Campus, April 17, 2015). This increased support will be used to staff new initiatives within the Office of Research in the areas of Research Development and Entrepreneurship, Industry Relations and Economic Development and to upgrade software systems in OR.

In addition, new research funding also includes $500,000 in one-time funds for three-years (2014-15 to 2016-17) to temporarily seed-fund new research programs, provide matching funds and cost sharing for external grants, including major training and equipment grants, and overall enhance the research enterprise, at the discretion of the VCR. COR applauds this substantial, if short-term, re-investment in seed-funding and cost sharing, which should help our campus leverage more and larger external awards. In turn, increased indirect cost receipts from these awards should help to create a more permanent base for such funding campus-wide. However, more coordination is needed between OR, the divisions, departments, and COR to ensure that all faculty know when, where and how to appropriately access seed and matching funds. The Office

of Research's recently updated policy on "Campus Research Seed and Cost Sharing Funds" (see discussion below) is a good start, but individual divisional and departmental policies on accessing such funds continue to be disparate and opaque. The campus also needs better data and reporting on the impacts of seed funding and cost sharing so that these limited on-campus funds can be directed toward efforts that have the greatest potential to leverage outside funding and/or to lead to significant and impactful research outcomes (COR to EVC, October 27, 2014).

COR noted that the Envision UCSC research excellence goal referred almost exclusively to infrastructure within the Office of Research and did not engage with research infrastructure more broadly across campus. Overall, shared research infrastructure and facilities in the divisions need to be better staffed and maintained. During recent budget cuts, research facilities and the staff and resources to maintain them were very badly undercut. Large-scale equipment and shared research facilities are increasingly becoming old, broken, or inaccessible, preventing faculty from carrying out their research priorities. Examples include the closure of the scanning electron microscope facility and the non-maintenance of the aging electron microprobe in PBSci and the dismantling of the Social Sciences Media Lab. Institutional cost-sharing could be (re-)implemented to help alleviate the costs of skilled technical staff and maintenance upkeep. In particular, as noted above it may be necessary to reevaluate how ICR funding is distributed on campus in order to address these critical issues of research facilities maintenance and technical staff support. Careful campus-wide planning will be necessary to assess the best means for resource allocation in order to achieve the most impactful resource investments.

Finally, COR has noted a growing tension between teaching and research on campus. Tenure-line research faculty at UCSC do more teaching, both in terms of courses and students, than their colleagues at most comparable institutions. Campus standards in regards to what constitutes teaching versus research need to be clarified, especially in terms of supervising undergraduate research and graduate and post-doctoral mentoring. Plans for graduate growth, particularly in the number of Ph.D. per faculty member, will add to the workload of research faculty in ways that are not now clearly captured in campus metrics for teaching effort. Workload incentives and disincentives for research and graduate training must be widely discussed and addressed, and the scale and scope of possible support for research faculty better articulated. We are encouraged by the initial efforts to address these issues in the Report of the Joint Task Force on Graduate Growth.[1]

COR is looking forward to engaging with these workload issues as part of any detailed implementation plan for the Envision UCSC Support Research Excellence Goal.

Shared Research Facilities and Equipment. COR would like to find ways to make the existence and availability of shared research facilities more visible to campus researchers (both students and faculty), as well as prospective faculty hires, post-doctoral candidates, and graduate students. In a joint request from COR and the VCR, we asked for an accounting from the Academic Divisions for all their shared research equipment and facilities. With these data, we hope that the Office of Research can curate a campus-wide catalog of shared research facilities and resources. We will work with OR and the divisions to make sure that information about

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[1] The report may be viewed at http://senate.ucsc.edu/archives/Current%20Issues/Task%20Force%20on%20Graduate%20Growth/TFGG%20Report

these resources are accurate, widely available, and accessible to appropriate constituency groups. This effort is part of a larger COR agenda to examine the current state and future development of research infrastructure on campus. Next year, the committee will also attempt to assess and potentially redress issues related to management, staffing, funding models and sustainability of these equipment and facilities given the current fiscal environment. This review will also serve to make resources for grant proposals more readily available and accessible to researchers, thus increasing the potential success of such awards. It may also advantage faculty recruitments by leveraging startup funds in the most effective and efficient ways, by reducing the potential for unnecessary duplication of equipment and facilities.

Faculty Computing Support. COR continued discussion of the appropriateness of COR funding computer equipment and computer replacement and reviewed divisional policies for purchasing and replacing faculty 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. At least three of the divisions (Social Sciences, Physical & Biological Sciences, and Baskin School of Engineering) no longer provide any support to replace faculty computers. In contrast, most campus units continue to replace staff computers as needed. In CORs FRG/SRG reviews, if a faculty researcher made the case that particular computing equipment or software was highly specialized and necessary for a specific research project and was to be used exclusively for certain research-related tasks, then these expenses were considered allowable. An example would be the purchase of tablets to give to off-campus research subjects on which to run a particular Psychology experiment. Requests for general faculty computer replacements and upgrades, however, are routinely denied. COR needs to remain adamant about its 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 increasingly considered by funding agencies as the responsibility of the institution (see UC Systemwide Uniform Guidance Workgroup Assessment Report, December 5, 2014). These are just the sort of resources that are supposed to be covered by "overhead" and should be covered by ICR funding that is distributed across campus. COR consulted on this issue with the CPEVC on May 19, 2015, and we hope to see the central administration and divisions make restoring funding for faculty computer replacement a priority in the coming year.

Consultations with Vice Chancellor for Research (VCR) and The Office of Research (OR). COR continued to extend a standing invitation to VCR Scott Brandt to attend every COR meeting, except those where we were reviewing FRG/SRG proposals, to consult with our committee on issues of mutual concern regarding research policy and climate on campus.

Cayuse Grant Management Software. At our December 2, 2014 meeting, COR received a presentation, led by Office of Sponsored Projects (OSP) Director Kate Aja, on the implementation of Cayuse research management software within the OSP. Cayuse is a commercial software package designed to assist researchers and administrators with sponsored projects management, proposal development, electronic submission, and compliance management. In general, the committee was satisfied with the overall look of the system and we

see the potential advantage in reduced workload for OSP staff. However, the committee was somewhat disappointed by the limited functions currently available directly to faculty. In previous consultations with the VCR, one of the primary selling points of the system was that it was supposed to have a tool which faculty could use to straightforwardly template their budgets and easily enter data. However, we learned from Director Aja that OSP staff were unhappy with the existing Cayuse budget-making tool and instead developed their own stand-alone Excel spreadsheet for planning budgets. These data will still need to be completed by OSP analysts and then hand entered into Cayuse or Fastlane. The system does appear to significantly streamline submissions to NIH, but most submissions will still need to be manually transferred to NSF/Fastlane and other agency systems. It was unclear who would be responsible for this transfer at the time of the presentation. Overall, the system is a definite step forward in technology for the Office of Research and COR supports its adoption at UCSC. In addition to assisting OSP analysts with routine tasks, the system will greatly enhance the campus' ability to track and analyze data on proposal submissions and awards. However, the committee is somewhat concerned that the system was initially oversold in terms of its overall capabilities and advantages especially for faculty users. In the future, COR hopes to work more closely with the VCR regarding decisions about the development or adoption of new processes and systems by OSP and within the Office of Research more broadly. In particular, COR can be helpful in prioritizing and evaluating the types of functionality faculty need and are offered by new systems. However, to be most effective, COR needs to be brought into decision making processes more fully and much earlier in their development.

New Procedures for Campus Research Seed and Cost Sharing Funds and OSP Proposal Deadlines. COR was given the opportunity to provide feedback on drafts of the New Procedures for Campus Research Seed/Matching Funds and the Office of Sponsored Projects (OSP) Proposal Deadlines before final versions were distributed to the campus community in April. COR fully supported the general substance of both procedural documents.

We were particularly pleased to see a clear statement of procedures from the Office of Research on how to access central resources for seed-funding and matching funds, as a general lack of information on this process has been an on-going concern of COR. Similar statements are needed for departmental and divisional procedures and all these procedures need to be collated in a central place (website) for easy-access by principal investigators. COR would also encourage OR or OSP to provide more specific examples of how a non-cash (or mixed cash and non-cash) cost-sharing budget should be summarized and formatted. Some standard formulas or templates for how to calculate the values for specific kinds of non-cash contributions would be particularly helpful.

COR, while in agreement with the aim of the new proposal deadlines to better manage workload and rationalize workflow in OSP, had some substantive critical comments on the original draft document that we reviewed. COR argued that the initial deadlines for contacting OSP when starting a proposal submission were the most critical and the ones that should be enforced most strictly. We recommended that the other deadlines for finalizing budgets and submitting final documents be treated more as guidelines and enforced less rigorously and on a case by case basis. We were pleased to see that the VCR took COR's advice and eliminated the originally proposed divisional review and signoff for Late Proposal Approval Requests (LPAR).

NASA Academic Mission Support (NAMS) Proposal. At our meeting on May 5, 2015, COR received a briefing on the NAMS proposal process from VCR Brandt, Associate VCR Williams, Assistant VCR Siegel, and Director Goulding. UCSC is now in the 12th year of its $330 million University Affiliated Research Center (UARC) contract with NASA, which represents about one-fifth of our campus contracts and grants total. Rather than reapply to Congress for approval of another UARC, which was deemed politically infeasible at this time, NASA held a competition for a new 5-year $250 million NASA Academic Mission Support (NAMS) contract at NASA-Ames.

Limited to universities and non-profits, UCSC, as the lead in a consortium of UC and Non-UC campuses, was one of three competitors for this new contract. VCR Brandt and his staff reported that both NASA and UCSC desired greater academic engagement among NASA, UCSC, and the broader UC system under the new contract. VCR Brandt and his team discussed a proposed organizational structure that would pair UC academic and UARC staff leadership in ways that were designed to create a more synergistic research environment. UCSC's proposal was presented to NASA in April and a decision on the outcome of the contract award is expected in August. The loss of this contract would have significant fiscal consequences for the campus.

COR Grant Programs

In 2014-15, COR had two funding sources: the University Opportunity Fund (UOF)—with three components—and a small amount from the Earle C. Anthony Endowment.

Budget Source	Amount
Opportunity Fund (UOF) – ICR from federally funded grants	$302,194
Education Fund (UOF) – ICR from privately funded grants	$61,865
ARRA Funds (UOF) – American Recovery and Reinvestment Act	$0
Earle C. Anthony Endowment	$8,867
TOTAL	$373,026

Expenditures	Amount
Faculty Research Grants (FRGs)	$132,153
Special Research Grants (SRGs)	$161,939
New Faculty Research Grants (NFRGs)	$16,989
Scholarly Meeting Travel (SMT)	$133,796
TOTAL	$444,877

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. There were 155 total requests, of which 111 (72%) were funded.

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 10 NFRG requests, 9 were fully funded. Total funds disbursed decreased from $20,179 (2013-14) to $16,989 (2014-15) due to a decrease in requests.

Scholarly Meeting Travel (SMT)
The other grant program offered by COR supports faculty travel to scholarly meetings throughout the world. Senate faculty may apply for a $700 award once per academic year, provided the travel meets eligibility guidelines. 192 ($133,796) individual awards were made to faculty for 2014-15 travel.

Other COR Business
Outstanding Dissertation Award Proposal. During 2013-14, COR and the 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. The Graduate Division was to administer the review of the divisional winners and to select an overall campus awardee. VCR Brandt secured funding for the campus-wide award through a gift from the Steck Family Foundation. It had been COR's understanding, based on consultations with both the VCR and Dean of Graduate Studies, that the Graduate Division would take the lead in administering this award program and coordinate with the Divisional Deans. Unfortunately, despite repeated efforts by COR to encourage the initiation of this process within the Graduate Division no award program was put in place for 2014-15. COR is extremely disappointed by this turn of events and is deeply concerned about losing the support of a major campus donor. A possible solution to this impasse may be for next year's COR to contact the Divisional Deans directly to initiate the award program process. Given VCR Brandt's personal interest in the program, administration of the campus-wide award process may need to be coordinated within the Office of Research, in collaboration with COR.

Faculty Climate Action Champion Award. COR was asked by the UCSC Sustainability Office to assist with developing a proposal submission and review process for the Faculty Climate Action Champion Award ($25,000). The purpose of the award, which is funded by the UC Office of the President (UCOP) as part of President Napolitano's Carbon Neutrality Initiative, is to enable and promote faculty innovation and leadership on climate action and sustainability, and

to encourage integrated scholarship, teaching, engagement and advocacy about climate change solutions. The selected Champion is expected to work at the campus, community, state, national, and/or global level to apply their expertise towards addressing climate action, and provide a public lecture at the end of their tenure to discuss their work and activities as Champion.

COR set up an online proposal submission process, reviewed the submitted proposals and consulted with Sustainability Programs Manager Shauna Casey about our evaluation of the proposals and recommended two of the proposals for the award. The Office of Sustainability made the award to the proposal with the most COR support. It is unclear whether this will be a continuing program.

Draft Accessible Technology Plan. The Committee on Research (COR) reviewed the revised UC Santa Cruz Accessible Technology (AT) Five Year Transition Plan (March 17, 2015). While COR acknowledges the critical importance of the goal of the proposed plan to make research and teaching technology universally accessible to all students and research collaborators, the draft policy document raised several concerns amongst the COR membership. COR found the plan to be so vague as to be largely incomprehensible and thus difficult to assess its potential impact on research and teaching on campus. In order to adequately assess the plan's implications in practice, a revised draft will need to be accompanied by a fleshed out set of implementation guidelines and discussion of best practices with detailed associated examples.

An additional concern of COR is that, as written, the policy places the responsibility for ensuring the accessibility of purchased software and online course content and research materials entirely on the faculty. While faculty should be made aware of the requirements and guidelines for accessibility, COR feels that it is an unreasonable expectation that every principal investigator (PI) purchasing software related to a research project and posting research data or results online would have the required knowledge or technical expertise to implement these requirements without more precise guidelines and administrative support. COR recommends that a reference tool be attached to this plan that clearly documents acceptable elements of accessibility design, with detailed examples, for the pertinent resources related to research and teaching. A list of commercial and open source software products commonly used in teaching and research that meet these design criteria should be included.

COR is also concerned about what appears to be a new mandate for all campus PIs that there be an accessible technology plan in place "at the point of application for funding." The draft policy and accompanying materials are very unclear about what such a plan will entail and what resources or staff will be available to assist PIs in developing and implementing such a plan for their research group. Furthermore, the committee wonders who will be responsible for assessing the adequacy of such a plan and how this new mandate will impact the workflow for proposal submissions. Notably absent from the proposed plan's list of staff assignments are Office of Sponsored Projects (OSP) staff, yet it is likely that the burden of gate-keeping compliance with this plan "at the point of application funding" will fall on their shoulders. However, there is no discussion of how this increased workload within OSP will be mitigated.

Finally, COR notes that one of the Envision UCSC goals was to eliminate onerous bureaucracy. COR views this whole plan as perpetuating over-compliance and pushing responsibility

downwards onto the faculty without providing for adequate resources and staff support to meet these critical accessibility requirements.

Guidelines for Accepting and Managing Equity. Various UC Campuses are creating incubators and accelerators where new companies created by students, staff, and faculty and/or based on university-developed inventions can begin to develop business or product development plans. A common element of non-university incubators or accelerators is the ability to accept equity in the companies as an element of the financial consideration for access to space and business support services. On June 20, 2014, President Napolitano authorized the University to initiate a pilot program whereby the University may accept equity in a company as full or partial consideration for access to University facilities and/or services ("AFS") in the context of University Incubators or Accelerators. COR reviewed revised guidelines for the three-year pilot program to allow campuses to accept equity in start up companies, in lieu of cash payments, for access to university facilities and services. COR expressed concern about the potentially negative impact to the research environment on campus should such equity agreements become commonplace. The committee believes that it is paramount that faculty, students, and researchers all have access, and top priority, for the use of research equipment and facilities. It is unclear as to whether or not this priority access could be impeded by the interests of potentially competing financial goals.

Finally, the Committee on Research would like to acknowledge all the hard work and wise counsel provided by our staff analyst, Matthew Mednick.

Respectfully Submitted;
COMMITTEE ON RESEARCH
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John Musacchio
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Jarmilia Pittermann
Raquel Prado
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Matt Wagers
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August 31, 2015

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
2014-15 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (CRJE) met three times 2014-15, once in fall 2014, and twice in spring quarter 2015. The committee responded to several requests for interpretation of several policies, including Senate Bylaw (SB) 55 – Departmental Voting Rights, and Santa Cruz Senate Manual Part II, Section III, Chapter 10 – Requirements for the B.A. and B.S. Degrees, and was asked for advice on several proposed legislation changes including proposed revisions to Santa Cruz Bylaw (SCB) 13 – Graduate Council Charge, and SCB 14 – Senate Executive Committee Charge. This report summarizes the Committee's work during the year.

Advice and Interpretation of Legislation:
Department Interpretation of Bylaw 55 in Terms of Attendance to Departmental Personnel Review Discussions
CRJE was contacted several times during the 2014-15 academic year seeking interpretation of Bylaw 55 with regards to attendance at departmental meetings, particularly to meetings in which personnel action discussions were taking place. Originally, CRJE noted that the Bylaws are silent with regards to attendance. However, during careful review of Bylaw 55, the committee noted two exceptions regarding participation. With respect to the rights of non-voting members to attend personnel discussions, there are some indications that Bylaw 55 that unless otherwise noted, only voting members have the right to attend. In Bylaw 55.B.1 the policy notes explicitly that in the case of new appointments, all department faculty members who are members of the Senate and who are not Emeriti have a right to participate in the process even if they do not have voting privileges. This deliberate exception is not stated in other sections of the Bylaw and is not meant to be a global principle. Similarly, in section D.2, Emeriti are explicitly given the right to participate in non-personnel discussions even though they do not vote. RJ&E determined that as these exceptions are spelled out quite explicitly, in all other cases, only voting members should participate. Further, the committee noted that the right to attend personnel discussions should be provided by the those with voting privileges for the specific rank of file being discussed, and should only be restricted by votes from that same group. Even if the right to vote is extended beyond the original empowered group of voters, CRJE concluded that the Bylaws are clear that only the 2/3 majority vote of the original group who can revoke that privilege.

SCB 13.21 – *Graduate Council Charge*
CRJE reviewed the proposed amendments to SCB 13.21, Graduate Council's (GC) charge. The committee suggested that additional background information should be provided to Senate members to clarify the rationale for the revisions. Further RJ&E suggested that general wording could give the impression of weakened plenary authority. The proposed amendment was sent back to committee due to questions raised at the April 22, 2015 Senate Meeting. GC made further edits to their proposed legislation to address the concerns raised. CRJE reviewed the revised proposal to amend SCB 13.21, found no matters of concern, and determined that the new proposed revisions

clearly addressed concerns raised on the Senate floor.

Faculty Organizing Group Draft Resolution
By request, CRJE reviewed the text of a draft resolution intended for the April 22, 2015 Senate Meeting regarding the Silicon Valley Initiative. Members looked for conformance and compliance to policy and found no matters of concern.

Committee on Committees Elections:
CRJE reviewed the COC nomination petitions which were submitted by the February 2, 2015 deadline. As the number of nominees matched the number of vacancies, CRJE certified for the division the appointment of the nominees before March 2, 2015, which would have been the date of ballot distribution were an election required.

Santa Cruz Division Manual Updates:
SCB 9.1.1, 9.1.8, 9.4.1.e, 9.4.1.f, 10.1.2, and 14.1 were amended at the April 22, 2015 meeting of the Academic Senate. SCB 113.15, 13.15.1, 13.15.2, 13.21.1 – 7 were amended at the May 29, 2015 meeting of the Academic Senate. The SCB changes will be implemented in the 2015 manual per Senate Bylaws.

Additionally, a resolution calling on the Administration to provide a business plan for UCSC's Silicon Valley venture was approved at the April 22, 2015 meeting.

Respectfully Submitted;
COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Elliot Anderson
Dave Belanger
Chris Connery (*W&S*)
Roger Schoenman
Nancy Chen, Chair

August 20, 2015

COMMITTEE ON TEACHING
Annual Report 2014-15

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met every other week throughout the academic year to conduct business regarding 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. COT was particularly involved in discussions around the creation of a new Center for the Advancement of Teaching (CAT). The committee discussed the need for such a teaching center in its report to the Senate on November 7, 2014 *Reinvesting in Teaching at UCSC,* and spent the remainder of the year soliciting input about the priorities of such a center and developing a proposal that was submitted as a joint proposal with VPAA Lee to EVC Galloway in July. COT also held a panel discussion on teaching writing, where faculty members and instructors shared their experiences and ideas about teaching writing from various perspectives and at various points in the curriculum. Finally, a high point of the committee's work was selecting recipients for the Excellence in Teaching Awards. A brief overview of the committee's notable work in 2014-15 is provided below.

Creating the Foundation of a New Faculty Service Center Focused on Teaching
The Committee on Teaching has, for the last several years, been attempting to revitalize and re-establish a centralized service center to provide pedagogical support to the campus community. The 2013-14 Committee on Teaching, for example, drafted a plan to make a teaching center a key component of the Campaign for UC Santa Cruz. Although University Relations ultimately did not include a teaching center in its fundraising drive, the committee was able to use this proposal to continue building momentum for the establishment of a teaching center at UCSC. In lieu of support from the administration, the Academic Senate took the initiative to prioritize teaching support on campus. In 2014, the Senate and COT drafted a proposal for a Chancellor's Undergraduate Intern to help create a website and other materials that would serve as one facet of a teaching center and provided the funding for its share of the intern.

During the 2014-15 academic year, the committee was fortunate to have the assistance of Nadia Mufti as the Chancellor's Undergraduate Intern. Her efforts, in close coordination with COT, led to the creation of a website (available at http://teaching.sites.ucsc.edu) that contains interviews with faculty members about teaching and other resources related to pedagogy. Over the course of the year, Nadia recorded and edited these interviews, working closely with the committee and Senate staff to develop the design and content of this website. The webpage will continue to be updated and expanded, and serve as a major resource for the new teaching center. In 2015-16, the committee will continue work in establishing these online resources with next year's undergraduate intern, Leanna Parsons. In spring of 2015, the COT applied for, and received, a Chancellor's Graduate Internship. Education department doctoral student, Mecaila Smith, will be employed next academic year to develop the relevant theoretical and research base for effective faculty learning, as well as theoretically sound best practices and innovations in faculty teaching. The work of these interns will be instrumental in establishing the teaching center that is being proposed by the COT and the VPAA (see below).

Reinvesting in Teaching at UCSC
COT presented a report to the Academic Senate on November 7, 2014 with the title *Reinvesting in Teaching at UCSC.* This report cited several respects in which support for teaching on campus has dwindled in recent years: the Excellence in Teaching Awards were eliminated, the Instructional Improvement Grants were eliminated, and the Center for Teaching and Learning (formerly the Center for Teaching Excellence) was defunded. The committee argued for the need to reinvest in teaching at a university that prides itself on having an "uncommon commitment to undergraduate education." Immediately after the presentation of this report, the administration announced that the Excellence in Teaching Awards would resume and be managed by the Academic Senate. Senators responded overwhelmingly that teaching needs much greater support at UCSC, and that the re-establishment of a teaching center would be a central component of such reinvestment. Much of the committee's work for the year was informed by this report and the response it garnered.

The Center for the Advancement of Teaching
After this report, the committee then spent the next several months gathering comments and recommendations from various interested parties on campus, including department and program chairs, deans of academic divisions, the Vice Provost of Academic Affairs, the library, the Dean of the Graduate Division, graduate students, college provosts, the writing program, the Faculty Instructional Technology Center, and various faculty members. These groups on campus generously offered feedback, suggestions, and priorities for a new teaching center, and offered to share pedagogical resources that the new center could utilize.

The committee created a draft of this proposal in consultation with the broader campus community. The priorities for the teaching center were partially informed by a survey of department and program chairs. This survey had a participation rate of 38%, and its findings are summarized below:
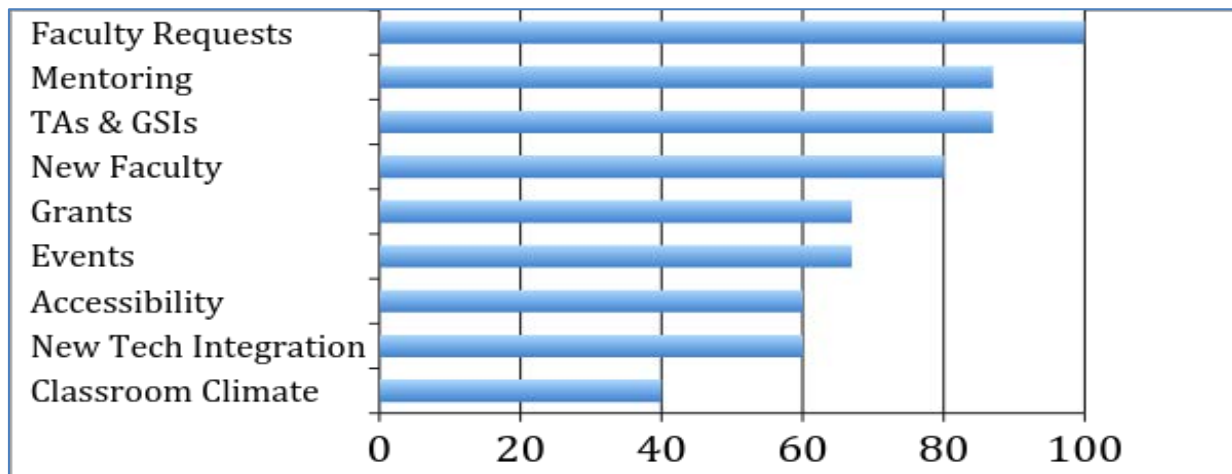
The proposal for a Center for the Advancement of Teaching was drafted, which would focus on face-to-face teaching support for instructors who request help or are referred by department chairs or deans. This help would be anonymous, confidential, and completely separate from any decisions related to a continuation of appointment, promotion or tenure. The teaching center would also provide mentoring and support for new faculty. The survey (as well as other conversations around campus) also identified an acute demand for support for graduate students.

Other initiatives for a teaching center, including teaching grants, events, and responding to issues of classroom climate were also seen as issues that a teaching center could address. On April 7, 2015 the committee presented a draft of its proposal for a Center for the Advancement of Teaching during a consultation with CP/EVC Galloway.

On May 29, 2015 the committee gave a presentation to the Academic Senate titled *Report on the Center for the Advancement of Teaching*. This presentation summarized the efforts of the committee to this point, and included the priorities for a teaching center identified by the committee as well as a possible organizational structure. The committee contrasted such a structure with one that was being considered by the administration, which would lack a faculty director and report to the VPAA. The committee noted that a teaching center formed under Academic Affairs may be problematic, as faculty members may be hesitant to make use of a teaching center whose staff report to the officers who are in charge of assessment for promotion and tenure.

The committee is determined to continue to build on this momentum to establish a teaching center on campus. The chair of the committee met over the summer with the VPAA to develop a joint proposal for a teaching center that addresses the priorities identified by the COT as well as the priorities from the office of the VPAA. In July, we negotiated a joint proposal that was signed by both parties and submitted to EVC Galloway. We are hopeful that this proposal will be funded in 2015-16 [see attached].

Panel Discussion on Teaching Writing
Typically, the Committee on Teaching holds an annual event related to the instructional interests of the campus community. The committee decided to hold this year's event on the topic of writing pedagogy in response to several comments from faculty members about the state of writing instruction at the Senate meeting in November. On May 6, 2015, faculty, staff, and students gathered at the Merrill Cultural Center for "A Panel Discussion on Teaching Writing." This event included presentations from Heather Shearer (Writing), Lindsay Knisely (Oakes College and Writing), Christina Ravelo (Ocean Sciences), Susan Gillman (Literature), and Barbara Rogoff (Psychology). The presentations included information about facilitating successful writing, determining elements of successful writing, and recognizing and measuring writing improvement. COT member Phillip Hammack, who led a discussion with the participants and audience after the presentation, moderated the event. A video of the event is available at https://drive.google.com/a/ucsc.edu/file/d/0B6u- za0lQbjI5MDQ/view?usp=sharing_eid&ts=5 605889c.

Excellence in Teaching Awards
At the beginning of the academic year, the fate of the Excellence in Teaching Awards was in doubt. These awards had, in prior years, been administered by the Vice Provost and Dean of Undergraduate Education, with the Committee on Teaching selecting the winners. At the beginning of the year, however, the funding for the awards was scheduled to be eliminated by the VPDUE, who wished to transfer administrative ownership of the awards to the Senate with a one-time amount of $2,507. After the committee raised this issue at November 7. 2014 Senate meeting, the Chancellor and Executive Vice Chancellor announced that the awards would be funded centrally. In subsequent meetings, the COT was able to secure a commitment of $3500

each year, which will be spent on these awards, in addition to a luncheon funded by the Chancellor. The Senate now has administrative oversight of the awards, and the Committee on Teaching has established its own procedure for soliciting nominations and administering these awards.

The Committee on Teaching solicited and received approximately 200 student nominations for the Excellence in Teaching Awards. The committee read these nominations and drew up a shortlist; from this list, the committee solicited letters of support from department chairs and college provosts, as well as statements of teaching philosophy from the nominees. After much deliberation, the committee selected Grace Peña Delgado, Cormac Flanagan, Craig Haney, Christine Hong, Irene Lusztig, Mark Massoud, Ralph Quinn, and Adriane Steinacker.

Beginning with the 2015-16 Excellence in Teaching Awards, the committee will be soliciting nominations at the end of each quarter. This practice will result in a greater number of nominations that do not unfairly favor faculty and instructors who teach in the spring quarter. The call for nominations in the spring quarter has already resulted in 183 nominations.

Advising the Campus Community
The committee on teaching provided feedback on various issues to the Academic Senate and other groups on campus, including:
- The Senate Executive Committee's Guiding Principles of Graduate Growth (2014)
- UCSC's Accessible Technology Plan
- The Classroom Subcommittee's proposed survey of classroom space
- The Registrar's practice of scheduling lab sections for lecture classes
- Report from the Black Experience Team
- The Senate Executive Committee's Framework for International Engagement (2015)

COT's Proactive Agenda for 2015-16
At the end of 2014-15, the committee developed a list of recommended issues to take up next year. Most importantly, the new Center for Innovations in Teaching and Learning (CITL, formerly known as the CAT) will need a strong push to get off the ground. We recommend that this should be the top priority for the year. In addition, we plan to hold another faculty event, to coordinate with the Academic Senate Committee on Career Advising to mentor new faculty, and to work with CAAD on climate issues in the classroom. Continuing business includes working to improve online course evaluations, and working with the Committee on Information Technology to explore options for a new learning management system as well as a new online course evaluation tool.

Respectfully Submitted;
COMMITTEE ON TEACHING
Viqui Gonzalez-Pagani
Phil Hammack   Kevin Bell, NSTF
Marc Matera   Christopher Kan, Graduate Representative
Matthew McCarthy
Judith Scott, Chair
August 31, 2015

GRADUATE COUNCIL
2014-15 Annual Report

To: Academic Senate, Santa Cruz Division

Graduate Council (GC) worked on several issues this year, including a) participating in the broader Senate's engagement with graduate growth planning, b) revising the Council bylaws, c) authoring a new policy for graduate certificates that do not conform to Senate Regulation 735 and collaborating with the VPAA on the development of Bachelor's/Master's policy and guidelines, d) reviewing divisional faculty recruitment requests, and e) monitoring of graduate programs under GC review. The Council also spent a considerable amount of time on routine business, including reviewing new program and Designated Emphasis proposals, participating in external reviews for several departments, reviewing proposed graduate program statement changes and course reviews, and participating in the review of applications for the Cota-Robles and Dissertation Year Fellowships. A detailed summary of the Council's work in 2014-15 is provided below.

Graduate Growth
Campus planning for increasing Ph.D. growth to 12% of undergraduate enrollments as part of the University's rebenching efforts has generated much discussion within the Senate about how to achieve this target, how to use the resources allocated for this purpose wisely, and how graduate growth can be achieved while enhancing our academic mission. In 2013, the Joint Senate/Administrative Task Force on Academic Structures produced a report that included a section on graduate growth. Graduate growth continued to be an issue of great importance to the Senate this year, and was engaged by multiple committees. This year, the Senate Executive Committee produced a report "Guiding Principles of Graduate Growth" (October 2014), which included a recommendation for a Joint Senate/Administrative Task Force on Graduate Growth. This task force was convened in winter and spring 2015, and included two members from Graduate Council. The Joint Senate/Administrative Task Force on Graduate Growth set out to assess campus efforts to achieve the graduate growth mandate and to offer analysis and recommendations for graduate growth. Four major topic areas were addressed by the task force: graduate program capacity for graduate growth; analysis of allocation models for graduate growth; faculty incentives to encourage participation in graduate growth; and identifying practices, resources, and needs across the campus for graduate student professional development. The report, which includes a set of recommendations, was completed in June 2015. Graduate Council expects to continue to be actively engaged in campus planning for graduate growth and to participate in the review and implementation of the report's recommendations next academic year.

Graduate Council Bylaw 13.21
The Graduate Council bylaws have undergone very little change in the history of the campus, even as the campus itself has experienced significant change and growth. The Council found that the bylaws did not clearly nor adequately describe the work that the Council currently undertakes, work that is fully consistent with its authority according to systemwide Senate policy. During winter and spring quarters 2015, the Council undertook a review of both GC bylaws across the UC system and relevant campus and systemwide policies, and set to work on proposing changes to existing bylaws, which were presented to and approved by the Senate at its May 29, 2015 meeting.

The revised bylaws 1) clarify the areas of plenary and advisory authority of the Council, 2) clearly describe activities and actions that it regularly undertakes and were not reflected in the bylaws it sought to replace, 3) clarify areas where the Council works with or delegates to the Graduate Division, and 4) update obsolete language. The bylaws clarify that the Council sets policies and procedures on behalf of the Santa Cruz Division on matters pertaining to all graduate academic and professional programs, and more clearly outlines its role in reviewing and approving programs and reviewing proposals and academic plans for the establishment of academics units. The revised bylaws also specify the advisory relationship of GC to the Graduate Division on graduate and postdoctoral matters, including the allocation of graduate support funds, and consistent with systemwide policy, establishes a policy to monitor and review administrative decisions delegated by the Council to the Graduate Division on an annual basis. The text of the revised bylaws are included in the appendix to this report.

Block Allocation Formula
The block allocation is an allotment of funding distributed by the Graduate Division to support new and continuing students in graduate programs across campus. Historically, Graduate Council has reviewed and advised the Graduate Division on the block allocation formula. For reasons not known to GC, the Council had not reviewed nor made recommendations on the block allocation formula since the 2005-06 academic year.

In 2014-15, the Council made the decision to reinstate annual review of the block allocation formula, although this year, it made no recommendations to revise the current formula. The Council invited Vice Provost and Dean of Graduate Studies (VPDGS) Tyrus Miller, ex officio member of the Council, to formally consult on the block allocation formula on January 15, 2015. The Council asked to review the formula in order to better understand it, the factors considered, how it is determined, and how allocations are made across programs. The Council sought to have more transparency about this complex process, and asked Dean Miller to provide an orientation and overview in context of graduate division strategies for graduate growth. Dean Miller provided an orientation and explanation of the process, and discussed campus graduate growth goals in context of the rebenching graduate growth target.

The Council was previously quite involved in this process and established policy for the awarding of the block allocation formula (see for example, 2005-06 Annual Report). The Council expects to annually review and advise the VPDGS on the block allocation formula going forward. The Council further recommends that in 2015-16, GC conduct a comparison of current campus Graduate Council practices and roles in relation to the block allocation formula review to that of other UC Graduate Councils, in order to ascertain what issues, problems, and best practices exist at the local and systemwide level on this issue.

Graduate Certificate Policy
Graduate Council developed guidelines intended for academic units and research centers who wish to propose new graduate certificate proposals. There are two types of graduate certificates: a Graduate Academic Certificate (GAC), and a graduate certificate. The guidelines are intended for the latter type of certificate, as GAC policies are outlined in the systemwide Compendium: University-wide Review Processes for Academic Programs, Academic Units, & Research Units.

The guidelines created by GC define a graduate certificate and establish the process for proposal submission and review by the Graduate Council.

Bachelor's/Master's Guidelines
During winter and spring quarters 2015, the Council reviewed proposed guidelines for establishing joint Bachelor's/Master's degree programs developed by Vice Provost of Academic Affairs (VPAA) Herbie Lee. The guidelines were developed to facilitate the addition of curricular programs that allow undergraduate students to complete a Bachelor's degree in four years and a Master's degree in one additional year, using an existing Master's degree program, and to clearly distinguish this type of program from "hybrid" programs, which require systemwide review by the Coordinating Committee on Graduate Affairs (CCGA). The VPAA specifically requested feedback on substantive curricular issues, including double counting of credits for degree requirements.

The Council deliberated the VPAA's proposed guidelines and agreed that 4+1 programs are a valuable opportunity for undergraduate students and can raise enrollments in campus Master's programs. The Council raised concerns about the proposed approval process and also provided substantial feedback for improvement, including more informative, but succinct guidelines to facilitate proposal submission by departments. The Council expects that it will continue to collaborate with VPAA Lee in order to finalize the program guidelines and requirements early next academic year.

Review of Divisional Faculty Recruitment Requests
Graduate Council reviewed the divisional faculty recruitment requests for 2015-16. Historically, the Council has not been consulted by the CP/EVC on this matter, and Council review of this issue is a relatively new development, beginning in 2012-13 in context of campus planning for graduate growth. This year, the Council increased its level of engagement with this issue, reviewing Committee on Planning and Budget (CPB) pre-consultation memos to each of the divisional deans, as well as the written responses from each division that submitted in advance of the consultation. Where possible, the Council Chair also attended decanal consultations with CPB on this issue. These changes provided the Council access to information about the broader context shaping the decanal requests, and informed Council deliberations and recommendations.

The faculty recruitment call indicated that in 2015-16, sixteen FTE would be allocated, with four reserved for Silicon Valley and four used to complete cluster hires. The remaining eight faculty FTE were to be allocated across the campus. The Council's recommendations were grounded in evaluation of the proposed FTE potential to contribute to graduate growth. More specifically, the primary guiding principle was the FTE's ability and potential to support doctoral growth through a) existing graduate programs (FTE supports new faculty, FTE supports students), or b) support of new graduate programs. This primary consideration overlapped with the criterion to enhance the research profile of the campus.

Program Monitoring
TIM Graduate Programs
During the course of the 2013-14 academic year, Graduate Council spent a considerable amount of time assessing the TIM program, and raised serious concerns about the ability of the programs

to staff a UC-quality curriculum for its M.S. and Ph.D. programs. In a letter dated May 28, 2014, the Council outlined a set of five criteria to be met by November 1, 2014 in order to avoid indefinite suspension of admissions to its M.S. and Ph.D. programs beginning in the 2015-16 year.

During fall quarter 2014, the Council received from VPAA Lee a proposal initiated by the Technology Management faculty to self-suspend admission to the TIM M.S. program for 2014-15. The department cited fiscal reasons for its proposal, which means the decisions to implement a suspension plan is made by the CP/EVC in consultation with GC and CPB. Graduate Council reviewed the request and recommended suspension of the TIM M.S. program for fiscal reasons as requested by the Technology Management Department (GC to VPAA Lee November 19, 2014), which was subsequently approved by the CP/EVC. However, the Council also noted that under its plenary authority, it will require the TIM M.S. program to meet all five criteria outlined in its communication in order for the program to resume admissions. At the time of this communication, BSoE Dean Joe Konopelski had requested, and GC granted, an extension of the deadline for submittal of the TIM graduate programs reports to December 1, 2014. Graduate Council noted it would make a separate decision regarding suspension of graduate programs after receipt of the TIM programs report, under its plenary authority.

The Council reviewed the TIM programs report and in a letter dated February 18, 2015, citing ongoing concerns about the capacity of both the M.S. and Ph.D. programs to offer UC-quality instruction, decided to 1) not suspend admissions to the Ph.D. program, and 2) to suspend admission to the M.S. program indefinitely, beginning in 2015-16. The Council set criteria to be met in order to grant reinstatement of admission to the M.S. program, and requested an annual report on the status of the Ph.D. program and the plans for the M.S. program to be submitted to the Council for the duration of the suspension, with the first report due January 4, 2016. If and when TM proposes to resume admission to the M.S. program, the Department should submit a request to the Council by the deadline for the annual report.

Education Ph.D. Program
Graduate Council continued to monitor the Education Ph.D. program, a process begun in the previous year (2013-14) when the acting chair of the department requested that the Council consider suspending admission to the Ph.D. program. After appropriate deliberation, the Council decided not to suspend admissions, and requested an annual report on the status of the Education Ph.D. program, due by September 20th of each year, from 2014 – 2017. The Council also acknowledged the Education faculty's work on the issues reviewed by GC during the 2013-14 year.

The Council reviewed the Education Ph.D. program report during fall quarter, and in its response (October 29, 2014) commended the department for the progress made in addressing issues concerning the Ph.D. program. The Council was impressed by the care taken in producing the report, and the quality and documentation of the responses. The Council found that the department addressed all the issues raised in the Council's request and decided that the program is making sufficient progress according to the criteria set by the Council. There are some remaining concerns about student progress and degree completion rates, which the Council will review with next year's report, and anticipates that the retooling of the program to a "single track" will have a positive

impact on these issues. Overall, the Council noted the substantial progress made by the Education department in restructuring its Ph.D. program.

Regular Committee Business
New Program Proposals
GC reviewed a revised proposal for an M.F.A.in Environmental Art and Social Practice, and outlined a set of recommendations for revision and resubmittal to the Council (December 2014). Revisions were not submitted this year. GC also reviewed and approved an administrative home change for the Games and Playable Media M.S. from the Computer Science to the recently established Computational Media Department. Finally, the Council reviewed a proposal for both a Ph.D. and Master's degrees in Computational Media, and provided recommendations for revision and resubmittal. The Council expects to review a revised proposal early in fall 2015.

DE Proposals
The Council reviewed proposals for a Designated Emphasis in Computational Media and a Designated Emphasis in Human Language and Media Modeling, the latter which would also be administered by the Department of Computational Media (June 2015). The Council provided recommendations for revision and resubmittal for both proposals.

External Reviews
The Council submitted universal charge questions for upcoming external reviews in Anthropology, Computer Engineering, Computer Science, Economics, Film and Digital Media, and Microbiology and Environmental Toxicology. In addition the Council prepared external review report responses for closure meeting discussion for Electrical Engineering, History of Consciousness, Latin American and Latina/o Studies, Literature, Mathematics, MCD Biology, Physics, Theater Arts, and Technology Management. The Council also reviewed mid-cycle reports from Art and Psychology.

Program Statement Changes
GC reviewed proposed graduate program statement changes for the 2015-16 course catalog copy. The Council reviewed thirty graduate program statement change proposals. The Council notified all Deans, Department Chairs, and Program Directors that graduate program learning outcomes (PLOs) should not be listed in the catalog copy in this and future years (February 4, 2015).

Course Reviews
A subcommittee of Graduate Council members reviewed 63 new graduate courses and 68 course revisions.

GSI Requests
The Council delegates to the Council Chair review and approval of Graduate Student Instructor requests. Instances of graduate students assuming instructional roles for graduate courses are rare, and the systemwide University Committee on Educational Policy and the Coordinating Committee on Graduate Affairs have taken the position that no graduate student take on an instructional role for which they can influence the grade of another student's performance, unless faculty oversight of the assessment process is sufficient to prevent any semblance of conflict of interest. This year,

the Council reviewed and approved four GSI requests in Economics (reviewed by Chair *Pro Tem*), Education, and Literature.

Fellowship Review
Graduate Council subcommittees advised the Vice Provost and Dean of Graduate Studies on the selection of Cota Robles and Dissertation Year Fellowships.

The Graduate Council does not advise on selection for the Chancellor's Graduate Teaching Fellows Program. This year, the Committee on Educational Policy (CEP) raised concerns about its role in approving courses tied to a student's award and about the timeline for approval. The Council reviewed CEP's concerns and recommended that a) there should be a CEP representative on the selection committee of the Chancellor's Teaching Fellows Program, and b) that the Graduate Division redesign the application and approval process to enable course review earlier in the academic year. The Council also recommended that both CEP and GC review and provide input into the revision of the application guidelines by the Graduate Division. At this time, the Council does not think it is necessary to have a representative on the Chancellor's Graduate Teaching Fellows Program selection committee.

Local and Systemwide Issue Review
In addition to the issues discussed in earlier sections of the report, the Council reviewed and commented on the following issues and/or policies:

Systemwide
- Doctoral Student Support Proposal and Recommendations (November 2014)
- Review of Senate Regulation 682 (Residence and Length of Study) (December 2014)
- Review of Presidential Policy on Open Access (December 2014)

Local
- Review of Proposed FTE Transfers (October 2014)
- Review of Education Department Request for Postponement of External Review (November 2014)
- Review of WASC Accreditation Institutional Report, Final Draft (January 2015)

The Council deliberated a guest policy, and agreed to extend a formal invitation to Assistant Dean of Graduate Studies Jim Moore to attend Council meetings as a guest for 2014-15. The Council also received a request from a member to have a substitute attend meetings in his absence. The Council declined this request, noting that the Council bylaws do not allow for member substitutions. The Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2015-16
- Graduate growth—the Council will continue to participate in and monitor campus planning for graduate growth
- Graduate program monitoring—continue to monitor Technology and Information graduate programs, Education Ph.D. program

- ▪ GC Annual Delegation Policy—monitor and review routine administrative decisions delegated to the VPDGS for 2015-16.
- ▪ Review of Computational Media M.S. and Ph.D. degrees proposal

Respectfully submitted;
GRADUATE COUNCIL
Pranav Anand (*F, W*)

John Bowin	Christy Caldwell, LAUC Representative
Jonathan Fortney	Erica Smeltzer, Graduate Representative
Pascale Garaud *(S)*	Daniel Rudin, Graduate Representative *(F)*
Kimberly Jannarone	Jeb Purucker, Graduate Representative *(W, S)*

Roberto Manduchi
Dean Mathiowetz
Leta Miller *(F, W)*
Stefano Profumo
Wang-Chiew Tan
Tyrus Miller, *ex officio (F, W)*
Sue Carter, *ex officio (S)*
Ken Kletzer, Chair

August 31, 2015

Appendix:
Graduate Council Bylaw 13.21 (Approved May 29, 2015):

13.21.1   There are ten Santa Cruz Division members. The Dean of Graduate Studies serves ex officio, and shall not serve as Chair or Vice Chair. In addition, there are one Library representative, no more than three Graduate Student Association representatives, and one Postdoctoral Scholars Association representative. Among the Division members, there are at least one, but no more than three members from each academic division and the School of Engineering.

13.21.2   The Graduate Council sets policies and procedures on behalf of the Santa Cruz Division on matters pertaining to all graduate academic and professional programs. It establishes policies regarding admission to candidacy for higher degrees, limitation of graduate study lists, appointment of committees in charge of candidates' studies and research, and the supervision of examinations for higher degrees. It approves on behalf of the Santa Cruz Division the award of higher degrees.

13.21.3   The Graduate Council reviews and approves proposals for new programs for existing higher degrees, the establishment of new higher degrees, and changes in existing graduate programs, including, but not restricted to, addition or deletion of programs within existing degrees, joint programs across departments or schools or campuses, and discontinuation of programs. The Council Chair may also act as a pre-consultant for new graduate programs and provide feedback to the proposing faculty. Proposals approved by the Graduate Council, after consultation with the Committee on Planning and Budget, are recommended by the Council to the Coordinating Committee on Graduate Affairs.

13.21.4   The Graduate Council has plenary authority in all matters relating to graduate curricula and courses of instruction in the Santa Cruz Division. The Graduate Council monitors and ensures the quality, viability, and appropriateness of existing graduate programs, and ensures that the graduate curricula are in compliance with Senate Regulations and educational policies. The Council approves catalog program statements and degree requirements for all graduate programs. On these matters, the Council maintains liaison with the Divisional Committee on Educational Policy.

13.21.5   The Council reviews proposals and academic plans for the establishment of academic units (departments, schools and colleges), offering or intending to offer graduate and/or professional instruction and degrees.

13.21.6   The Council advises the Graduate Division on policies and procedures for the allocation of graduate student support funds.

13.21.7   Consistent with Senate Bylaws 20 and 330C, the Council may delegate to the Dean of Graduate Studies routine administrative decisions related to the academic regulations and policies of the Graduate Council. The Graduate Council will monitor and review on an annual basis these delegated decisions.

COMMITTEE ON EMERITI RELATIONS
Report on the Dickson Emeriti Professorship Award on the UCSC Campus

To: Academic Senate, Santa Cruz Division

The Edward A. Dickson Emeriti Professorship is an endowed award distributed to the ten UC campuses under the authority of the EVC of each campus to recognize the teaching, service, and research of emeriti. Systemwide, the handling of the Dickson award varies. Several campuses have made it an administrative decision; several have given the responsibility to their respective Emeriti Associations; at several it is handled by Senate Committees. At UCSC, the award has rotated through the divisions and has been used by the Deans to recall the awardee to teach. This process was suggested originally by the Committee on Emeriti Relations (CER), and put into practice by the EVC.

At the request of CP/EVC Alison Galloway, the CER met with her on October 12, 2015 to discuss the Dickson Emeriti Professorship. CP/EVC Galloway noted that the award has not been highly utilized in recent years and CER agreed with the need to rethink the criteria and guidelines of the award to broaden the use and more accurately reflect the original gift document.

In this consultation, CP/EVC Galloway requested that CER manage the Dickson Award. In a post consultation (10/29/15) to the CP/EVC, CER accepted the invitation and noted that CER will formulate a new process and guidelines for the award at a November committee meeting.

There is precedent among Senate committees for this type of activity in the work of the Committee on Research adjudicating grants and the Committee on Teaching in designing and adjudicating the Excellence in Teaching Awards. Systemwide, there is precedent in the three other UC campuses that have Senate emeriti committees (UC Berkeley, UC Los Angeles, and UC Davis). At two of these campuses the award is managed by the emeriti Academic Senate committees. Also, CER assuming responsibility for the handling of the award is in accordance with the UCSC Senate Manual and the gift document (see Appendix A), which states that the Edward A. Dickson Emeriti Professorship is appointment by the President. Senate Manual Chapter 13.2 states that Academic Senate committees:

"may make recommendations and render service to the President, the Chancellor, other administrative officers, and individual members of the Division, reporting their recommendations to the Division when such reporting is consistent with the original charge to the committee and is in the best interest of the University".

CER has agreed to the EVC's request that it manage the annual award and that it will recommend a recipient to the CP/EVC who will then nominate that person to the President.

CER would like to see the award have a general call, unrestricted by division or discipline, with nominations and/or applications, the specific guidelines for which are to be determined. CER has expressed an interest in having the awardee make public in some way (a lecture, a public performance, or conference) their activities supported by the award, such that the broader campus may benefit.

As for detailed criteria, CER will meet in November to consider options, draft guidelines, consider how the selection committee will be constituted, and plan how the award will be publicized and awarded.

Award Background

In 1955, Edward A. Dickson presented the University with a gift endowment made in trust, with one half to support and maintain special annual professorships to be awarded to retired faculty members. The award for emeriti is described in the gift document as follows:

The income becoming available to the Regents shall be used for these University purposes, the order therof being my preference:

a.   For the support and maintenance of special annual Professorships in the University of California to which shall be appointed by the President, with approval of the Regents, persons of academic rank who have been retired after service in the University of California and who shall receive such awards in addition to their retirement or pension allowances. Awards shall be made upon such conditions of service, research or teaching as The Regents may require. Professorships so awarded shall be known as the Edward A. Dickson Emeriti Professorships.

In 2003, the Office of the President (UCOP) transferred the Dickson Endowment to the ten UC campuses, and provided authority to the EVCs (see Appendix A) on each campus to determine how the fund would be used. The then-climate on campus was one of a tight budget and a quickly increasing student body. Following consultation with the Committee on Emeriti Relations (CER), an award process was created by which the Dickson Award would be rotated between the divisions and would be to designate and to compensate a distinguished emeritus/a professor recalled for teaching.

CER looks forward to stewarding a new life for the Dickson Professorship on the UCSC campus to bring the award back to the intended goals of the endowment.

Respectfully submitted;
COMMITTEE ON EMERITI RELATIONS
Barry Bowman
Linda Burman-Hall
James Zachos, *ex officio*
Shelly Errington, *Chair*

October 30, 2015

APPENDIX A

UNIVERSITY OF CALIFORNIA

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OFFICE OF THE PROVOST AND SENIOR VICE PRESIDENT –
ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CALIFORNIA 94607-5200

June 24, 2003

RECEIVED

NOV 10 2004

Chancellor's Immediate Office
WAL

CHANCELLORS

RE: Edward A. Dickson Emeriti Professorship Reallocation

Dear Colleagues:

This letter documents the reallocation of the Edward A. Dickson Emeriti Professorship
Endowment into ten campus-specific endowment funds and provides a fund history for your
campus files.

Edward A. Dickson served as a Regent of the University from 1913 to 1946, the longest tenure of
any Regent. His vision is credited with helping to make the Los Angeles campus a reality.

In 1955, Mr. Dickson presented the University with a gift endowment (Fund 05304), made in
trust, one half to support non-charitable beneficiaries, one of whom is still living, the balance and
charitable remainder to support and maintain special annual professorships to be awarded to
retired faculty members.

The award for retired faculty members is described in the gift document as follows:
(4) The income becoming available to The Regents shall be used for these University purposes,
the order thereof being my preference:
> *(a)   For the support and maintenance of special annual Professorships in the*
> *University of California to which shall be appointed by the President, with*
> *approval of The Regents, persons of academic rank who have been retired after*
> *service in the University of California and who shall receive such awards in*
> *addition to their retirement or pension allowances. Awards shall be made upon*
> *such conditions of service, research or teaching as The Regents may require.*
> *Professorships so awarded shall be known as the Edward A. Dickson Emeriti*
> *Professorships.*

Reviews of the Dickson Emeriti Professorship Endowment in the 1970s and in 1993 showed that
the payout from the fund had fallen into consistent disuse at all campuses. In 1993, The Regents

Chancellors
Re: Edward A. Dickson Emeriti Professorship Reallocation
Page 2

approved the establishment of a second fund, the Dickson Endowment II (Fund 05328), which
called back the accumulated payout from the original Endowment (I) to capitalize Endowment II.

The University's fifty percent (50%) share of the income from Endowment I was then folded into
the payout from Endowment II and distributed to nine campuses annually and equally. Under the
1993 reinstatement of the fund, the President's authority for approval of the Dickson Emeriti
Professorships was delegated to the Chancellors.

A current review of the Dickson Emeriti Professorships by the Offices of Academic Affairs and
University Affairs discovered that the funds have again fallen into disuse. These offices
recommend that the fund principal be divided into ten separate endowments, one dedicated to
each campus, to simplify the administration of the award at each campus. The endowment
payout must continue to be used as specified by Mr. Dickson, which may include support for an
annual award for one or more emeritus professor, and/or annual support for teaching, research,
public service, and/or salary stipend of emeriti professors on recall. Each emeritus professor
receiving support from the Dickson Endowment shall be known as the Edward A. Dickson
Emeriti Professor.

The May 31, 2003 market values for the funds were $2,200,174 for Endowment I (05304) and
$819,538 for Endowment II (05328). The average total accumulation of payout at each of the
campuses is approximately $40,000.

This reallocation requires Corporate Accounting in the Office of the President to recall from the
campuses the June 30, 2003 balance of accumulated payout related to the Dickson Endowment in
order that these funds may be added to the principal of Endowment II, which will then be divided
equally to establish ten endowments, one dedicated to each campus. The related endowment
payout to be transferred to the campuses in August 2003 for expenditure in 2003-04 will be
approximately $10,000. On the death of the one remaining non-charitable beneficiary of
Endowment I, the principal of that fund will also be divided in ten equal parts to be added to the
individual campus Edward A. Dickson Emeriti Professorship endowment funds.

Allocation among the campuses of dedicated Dickson Emeriti Professorship endowments will
aid the campuses in their administration of these important awards. ▓▓▓▓▓▓▓▓▓▓▓▓▓▓
▓▓▓▓▓▓ Emeriti Professorship to its list of endowed chairs. The administration of the funds
will be reviewed again in 2008.

Accordingly, I reallocate the Edward A. Dickson Emeriti Professorship Endowment as ten
separate endowments, one dedicated to each campus, the payout to be spent according to the
donor's terms stated above in italics at the direction of the Executive Vice Chancellor or the chief
academic officer.

Chancellors
Re: Edward A. Dickson Emeriti Professorship Reallocation
Page 3

The new fund numbers for the Edward A. Dickson Emeriti Professorship Endowments are:

Berkeley	05251-25321		Riverside	05255-25325
Davis	05253-25323		San Diego	05256-25326
Irvine	05259-25329		San Francisco	05252-25322
Los Angeles	05254-25324		Santa Barbara	05258-25328
Merced	05249-2532M		Santa Cruz	05257-25327

In addition, I enclose a paper on the Principles of Endowment Administration, which is a valuable reference for all staff members involved in endowment administration.

Sincerely,

C. Judson King
Provost and Senior Vice President-
Academic Affairs

Enclosure
cc   Senior Vice President Darling
      Assistant Vice President Switkes
      Chief Academic Officers
      Advancement Services Directors
      Senior Paralegal Adams
      Endowment Stewards
      Manager Kendall
      Director Smith
      Endowment Steward Hitzeman

SENATE EXECUTIVE COMMITTEE
Submission of the Joint Senate/Administrative Task Force Report and Recommendations
June 2015

To: Academic Senate, Santa Cruz Division

The Senate Executive Committee submits the Joint Senate/Administrative Task Force on Graduate Growth (TFGG) June 2015 Report and Recommendations for consideration and discussion at the November 13, 2015 Academic Senate meeting.

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

Joint Senate/Administrative Task Force on Graduate Growth
Report and Recommendations
June 2015

Executive Summary

Graduate growth has been a long-standing goal of UCSC's efforts to increase its reputation and impact. The goal of 15% graduate enrollment was adopted by the Senate in 2002. Furthermore, with rebenching, the recent increase in per-student funding from UCOP, comes a mandate to increase our Ph.D. enrollment to 12% of undergraduate enrollment. UCSC is well below either level of enrollment, and our graduate enrollment falls significantly short of AAU research universities, including six UC AAU campuses, with which, in other respects, our campus is comparable. For 2012-13, the UCSC Ph.D.-to-Faculty FTE ratio was lower than the system-wide average for all categories except Life Sciences (when comparing to campuses without medical schools), ranging from 0.5 below in the Social Sciences to more than 1.0 below in Engineering. Similarly, we have a smaller number of master's programs and, accordingly, grant many fewer master's degrees than our UC sister campuses and other peer institutions. Within a five to ten year time frame that encompasses both the system-wide rebenching and system-wide long-range enrollment planning, we have projected transformative growth in Ph.D. and master's program enrollments to bring UCSC up to UC and AAU norms in the size and quality of our graduate programs. Other UC campuses are also aggressively ramping up their graduate enrollments so it is imperative that UCSC does the same or fall even further behind our UC sister campuses.

In fall 2014, the Senate executive Committee (SEC) proposed several guiding principles for graduate growth: 1) the primary driver of UC Santa Cruz student growth must be our academic mission; 2) implementation of graduate growth will enhance undergraduate education; 3) resources for graduate growth will be used to foster excellence; 4) planning for and monitoring progress of graduate growth will be organized at the center; 5) faculty incentives, both financial and intellectual, will increase graduate enrollments; and 6) graduate education supports scholars in a variety of career trajectories. The Academic Senate accepted the Senate Executive Committee's Guiding Principles for Graduate Growth[1] (October 2014) that included a recommendation for a Joint Senate/Administrative Task Force on Graduate Growth.

The Joint Task Force was charged on February 11, 2015 by EVC Galloway and the Senate Executive Committee (SEC) to assess the campus' current efforts to 1) achieve the graduate growth mandated as part of system-wide rebenching, and 2) offer analysis and recommendations for strong, high-quality growth of graduate education and research at UCSC. The Task Force membership included the Senate, Graduate Division, other campus administrative leadership, academic deans, key Senate faculty, GSA representation, and analytic staff support.

As a way of maximizing the impact of the Task Force's effort and time, work focused on four major topic areas that together arguably leverage the whole spectrum of graduate growth issues:
- Capacity (which programs can grow, how much and under what conditions can

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[1] The report may be viewed at http://senate.ucsc.edu/senate-meetings/agendas-minutes/2014-2015/2014-november-7-senate-meeting/1772%20-%20SEC%20Grad%20Growth%20Principles%202014-15.pdf

programs grow);
- Allocations (how are campus funds being used to encourage growth and how do our strategies differ from those at other UC campuses);
- Incentives (how might the personnel process and department workload policies encourage greater faculty commitment to graduate education);
- Professional Development (how can the campus ensure that growth is accompanied by effective placement and increased opportunity for our graduates).

This report summarizes the four subcommittee reports, along with a set of prioritized recommendations representing the whole Task Force. In addition, we note the importance of international recruitment, inter-institutional agreements, research opportunities abroad for UCSC graduate students, and sponsored international students for our graduate growth efforts, which warrant further examination. We look forward to discussing these topics further with Senate and administrative leadership responsible for the campus' internationalization efforts.

The Capacity subcommittee focused primarily on two interrelated projects: a) analyzing the system-wide data on Ph.D.-to-Faculty ratios to determine how UCSC compares with the other UC campuses; and b) in-depth discussions with the divisional deans about their strategies for growing the graduate programs in their departments. After comparing UC and UCSC data by discipline and discussing program-level capacity with the divisional deans, the subcommittee noted that the UCSC Ph.D./Ladder Faculty Headcount is lower than the UC norms across all disciplines with some exceptions in the Life Sciences. The subcommittee concluded that while increase in Ph.D.-to-Faculty ratios are needed in all disciplines, absent a focus on placing rebenching faculty FTE in Engineering and PBSci, the eventual distribution of faculty may preclude reaching the 12% goal, with Ph.D.-to-Faculty ratios similar to other UC campuses.

The Allocation subcommittee focused on: a) evaluating successful allocation models used by other UC campuses (or other universities) based on documentation and discussions with relevant administrators (Graduate Deans) at the campuses; and b) evaluating the cost/benefits of adopting any of these models or hybrid of these models at UCSC. The subcommittee found considerable variation across the UC system on methodologies for allocating graduate support resources, and it encourages further analysis to uncover best practices and provide possible directions for optimizing UCSC's graduate support allocation. We recommend that in Summer 2015 the Graduate Division follow up on these efforts by modeling our block allocations using other campuses' methodology to determine whether they lead to significant redistribution of support funding and the possible impacts (positive or negative) of any such redistribution. Assessment of current and future growth initiatives will still require further analysis. Based on the Senate's principle that "Planning for and monitoring progress of graduate growth will be organized at the center," this report recommends developing metrics. This discussion will continue in the Graduate Division's summer planning; additional work is needed to develop the most useful models for assessing initiatives and, where necessary, may require new ways of aggregating DGS data to facilitate analysis of impact. Having analyzed different campus models for mitigating negative impacts of non-resident supplemental tuition (NRST) on doctoral admission and support, the subcommittee explored the scenario of creating a fellowship program that would provide for the payment of the NRST for all international doctoral students beyond their first year of residency who have not yet advanced to candidacy (following the recently adopted program at UCSB). Currently at UCSC, NRST collected from international

enrollments is recycled into the block allocation. A fellowship program, while initially reducing slightly the block allocation in some programs, would reduce the disincentives to admit students on the basis of citizenship or permanent residency rather than on demonstrated ability, thus alleviating consideration of the student's non-resident standing during the departmental admissions cycle.

This is likely to lead to more international students and the campus will net the tuition from the first year for these students which will be recycled into the block grants, thus gradually increasing the block grant overall. The subcommittee's recommendation of NRST mitigation is intended to address negative consequences of NRST in distorting admission decisions and potentially reducing student quality and diversity. It also aligns with the SEC Principle that "Resources for graduate growth will be used to foster excellence." The NRST also absorbs support funding that could be used for stipends and may affect decisions regarding employment of international graduate students as TAs and GSRs. Lastly, other UC campuses have taken strong measures to mitigate or eliminate NRST for doctoral students, so that failure to reduce its impact at UCSC may exacerbate competitive disadvantages with respect to our UC sister campuses and other peer institutions.

The Incentives subcommittee directly addressed the SEC graduate growth principle that increased attention to incentives will encourage faculty to participate in graduate education and will be a primary factor in UCSC's success. The subcommittee focused on incentives to faculty for increasing the number of graduate students with whom they interact. These incentives can be provided through two different mechanisms: the academic personnel review and promotion process, and the departmental workload policies. The subcommittee articulated four major findings:

- Unlike most other UC campuses, UCSC does not further define in the local Campus Academic Personnel Manual (CAPM) policy the criteria for advancement set forth in the system- wide APM 210 policy. APM 210 is very vaguely written and does not specifically address graduate education.
- The UCSC Committee on Academic Personnel (CAP) maintains guidelines for compiling successful personnel files on our campus but these guidelines do not highlight the important role of graduate education directly as do those of other UC campuses.
- Departmental workload policies vary dramatically across divisions, and even within a division. However, one commonality is that very few departments discuss the possibility of differential workloads that take into consideration the number of graduate students advised or research activity that results in increased graduate student mentoring loads. Some workload policies are clearly out of date and appear to have been written before the respective department had a graduate program.
- "Full service faculty that teach across the curriculum" is a phrase that has been repeatedly used on our campus recently, including by the EVC. There is lack of clarity among faculty as to the most appropriate interpretation of this phrase and its impact on the ability of departments to focus on graduate education.

The Professional Development subcommittee directly addressed the SEC graduate growth principle that "Graduate education should support scholars in a variety of career trajectories." The subcommittee was charged with identifying practices, resources, and needs across the campus for professional development of graduate students, both inside and outside the academy. The subcommittee focused on 1) identifying the current departmental/divisional resources for graduate

student professional development and professional development needs; 2) examining the resources for graduate students in relation to non-academic career options; and 3) assessing the fundraising efforts for graduate student growth on campus. The subcommittee developed a survey that went out to the graduate directors of the thirty-nine graduate programs on campus and analyzed the survey and other available information. A key finding was that *programs have broad interest in graduate growth, yet continue to lack confidence that the campus and divisions will support growth on a sustained and appropriate basis*. Many departments also report that they would offer professional development opportunities but for lack of training, staff, and resources (especially when addressing non-academic career preparation). Further research is needed into best practices across campus, and a better coordinated and resourced approach to graduate professional development should be established.

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Senate Executive Committee – Joint Senate/Administrative Task Force on Graduate Growth Report and Recommendations June 2015

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Recommendations

Priority	Sub-committee	Recommendation	Responsibility
Highest	Capacity	Doctoral (and other) graduate growth should be emphatically articulated as a campus priority, and all major decisions such as faculty hires, resource allocations, and advancement should be evaluated with respect to potential impact on the accomplishment of the campus' growth goals.	Chancellor CPEVC
Highest	Capacity	Divisional deans should be asked to establish target Ph.D.-to-Faculty ratios for their programs and division in light of our goal to advance UCSC graduate education to the norms of UC's AAU campuses. Allocations of faculty FTE and other strategic resources should be strongly evaluated on how they will augment the number of Ph.D. students and accountability for meeting these goals should be enforced.	Deans CPEVC
Highest	Capacity	Approval and authorization for new hires must be targeted toward programs that are identified as having capacity for Ph.D. enrollment growth. This may require a focus of rebenching faculty FTE in Engineering, PBSci and specific programs in the other divisions for the immediate future. Long term increases in Ph.D./faculty ratios are needed in all disciplines so that the eventual distribution of Ph.D./faculty ratios becomes similar to other UC campuses.	CPEVC Deans CPB GC
Highest	Allocation	Utilizing information about best practices in the UC system, the Graduate Division and Office of Planning and Budget should develop a model for allocating block and other graduate support funds based on metrics assessing our incentives developed from campus data. Metrics should embody the campus' expectations of programs to contribute to graduate growth and excellence, and should reward/sanction programs according to their success in achieving these expectations.	VPDGS Office of P&B CPB GC
Highest	Allocation	An International Doctoral Recruitment Fellowship (IDRF) program should be created that will provide for the payment of the NRST for all international doctoral students beyond their first year of residency who have not yet advanced to candidacy. This program follows the recently adopted program at UCSB.	VPDGS Office of P&B CPB GC CIE

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Recommendations

Highest	Incentives	The administration should engage CAP and other relevant Senate Committees to draft a CAPM counterpart of APM-210 that clearly conveys the idea that graduate education is an integral component of ladder-rank faculty teaching and is not optional. We recommend using existing policies from other campuses as a model.	VPAA CAP
Highest	Incentives	The administration and CAP should establish review guidelines that clearly highlight that an appropriate level of graduate advising and support of graduate students is an integral component of ladder-rank faculty teaching and therefore expected from all faculty, and not an optional activity that can be used to "enhance" someone's profile. VPDGS should be included in consultation with CAP and the Dean's Advisory Council to help develop these guidelines and annually, prior to the personnel review and recruitment season.	VPAA VPDGS CAP
Highest	Incentives	Academic deans in all divisions should explicitly highlight graduate mentoring and support in review and promotion letters, and in recruitment calls.	Deans
Highest	Incentives	The administration and CAP must clarify the definition of "teaching across the curriculum" to allow for some level of faculty specialization. Furthermore, the campus should consider *judiciously* expanding LSOEs for undergraduate and master's instruction so that research ladder-rank faculty can focus on expanded doctoral advising/mentoring.	CPEVC VPAA CAP
High	Incentives	The VPAA should put out a call for departments to update their workload policies to recognize the importance of graduate education (including participation in committees outside the department and generating resources to support those students), as well as consider differential workloads associated with graduate student supervision. Some variability in the details of the policy from department to department is expected to recognize different stages of development of graduate programs. However, there should be an expectation that, as new programs are launched and the nascent ones mature, all faculty must regularly contribute to graduate advising and education.	VPAA Deans Departments
High	Allocations	Allow partial or full carry-over of unallocated block grant funds for programs in order to increase flexibility and stability for multi-year offers.	VPDGS Departments

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Recommendations

High	Professional Development	Make development for graduate student support a high priority for the newly constituted Office of Research Development, as well as University Relations. Identify concrete fundraising efforts and strategies to increase the campus' revenue for supporting graduate growth. These should include efforts to expand the campus' ability to win and sustain large multi-PI interdisciplinary research grants and training grants that extend our graduate support capacity.	VCR VCUR VPDGS Special Cte on Fundraising & Development
High	Professional Development	To ensure student success, 2 full-time staff career counselor positions should be created to work exclusively with graduate students on non-academic career preparation. These staff members should report to the Graduate Division and would assist the Divisions with programming around non-academic career preparation. Their work will be part of an integrated structure so that work currently being done in the Divisions, the Graduate Student Commons, and the Career Center is coordinated.	CPEVC VPDGS Career Center Deans
High	Professional Development	Identify what graduate professional development resources exist at the UCSC Career Center, and which are open for expansion; better recognize ways to collaborate with the Graduate Division and leverage these efforts to produce more professional development opportunities.	VPDGS Career Center
Medium	Allocations	Explore further mechanisms (risk-pooling and "insurance" reserves, growth of endowments, etc.) to allow expansion of multi-year offers.	VPDGS Office of P&B
Medium	Allocations	Offer term-limited enhancements (e.g. three years) of block allocation in exchange for the development and successful implementation of a departmental plan for growth and improvements of outcomes (e.g. grants to support students, degree completion, time to degree).	VPDGS
Medium	Professional Development	Encourage departments/programs to deliberately address in their program development and advising the opportunities for graduates pursuing non-academic positions. Issues to address would include how many/what percentage of graduate students plan for a non- tenure track university/college position, what types of jobs do both faculty and graduate students envision, and what are the ways a program can help students locate job opportunities. Departmental self-studies should address this issue in the external review process.	VPAA Deans Departments Grad Directors

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Recommendations

Medium	Professional Development	The subcommittee's departmental survey should be analyzed more closely in order to process the divisional differences, and to identify specific professional development needs and best practices across divisions.	VPDGS GC
Medium	Professional Development	Develop a method for tracking career pathways after graduation, determine an office of record for housing the data, ensure that data articulate with UCOP data collection and meet campus needs. Align fragmentary data collected by departments, divisions, the Career Center, Graduate Division, or Institutes. Determine how data can be effectively accessed, analyzed and reported, and used for graduate networking and career opportunities. Departmental self-studies should address this in the external review process.	VPDGS VCUR Departments Deans VPAA
Medium	NA	Discuss international education topics relevant to graduate growth – international recruitment, inter-institutional agreements, research opportunities abroad for UCSC graduate students, sponsored international students – with Senate and administrative leadership responsible for the campus' internationalization efforts.	VPDGS SIO and/or VPIE OIE CIE

I. Capacity Sub-Committee
The Capacity subcommittee focused primarily on two interrelated projects: a) analyzing the system-wide data on Ph.D.-to-Faculty ratios to determine how much UCSC falls below the other UC campuses; and b) in-depth discussions with the divisional deans about their strategies for growing the graduate programs in their departments.

Analysis of the data has helped the committee identify: a) divisions and, in some cases, programs that have the highest likelihood for graduate growth, b) divisional differences in capacity for growth, including differences for those divisions with greater opportunities for external funding and those with less opportunity for external funding, and c) structural constraints to growth as identified by the quantitative data and conversations with the divisional deans.

UC Santa Cruz Ph.D. Capacity
We began by exploring whether the UC Santa Cruz faculty are distributed in a way that could allow the campus to achieve the 12% Ph.D. goal. For 19,500 students (the current maximum allowed by the LRDP), one reasonable scenario would be to have around 2,040 Ph.D. students, 460 M.S./M.A. students, and 17,000 undergraduates. Other scenarios with more M.S. students and fewer undergraduates would achieve the 12% goal with fewer Ph.D. students. In our analysis, we will not examine the capacity to advise M.S. students. We note, however, that in various ways, we will need to attend to workload considerations to ensure that overall on the campus both Ph.D. and master's growth can be accomplished in a mutually beneficial and balanced way. There will be no "one-size-fits-all" solution to possible problems arising in workload balance for Ph.D. and masters education, but measures that should be considered include targeted use of additional adjunct teaching and TA support for larger master's programs, streamlining of unnecessarily work-intensive masters programs (e.g. explore course-work, exam- based, or other less mentorship-intensive requirements, and consider shortening program time towards a one-year norm), and appropriate leverage of Ph.D. and upper-division undergraduate curriculum. In a limited number of cases, by the nature of the discipline, there may be a zero-sum relationship between mentoring master's and Ph.D. students, in which case Ph.D. mentoring should be prioritized. In addition, although M.F.A.'s are not at present recognized in the mandated rebenching numbers, UCSC acknowledges their importance as terminal degrees in the Arts and their role in the Arts Division's contribution to the campus' graduate excellence.

For this analysis, we clustered faculty into eight categories that can be easily compared among the UC campuses: Engineering/Computer Science; Fine Arts; Humanities; Life Sciences; Physical Sciences; Social Sciences; Professional; Other. These categories are not isomorphic with the divisions at UC Santa Cruz. For example, Applied Math & Statistics falls within the Physical Sciences in the UCOP data, not Engineering; Environmental Studies and Biomolecular Engineering fall within the Life Sciences (along with three PBSci departments); Education and History of Consciousness fall outside their home divisions (details are supplied in Appendix I).

For each of these eight categories, we know the average Ph.D.-to-Faculty FTE ratio at our sister campuses for the 2012-13 academic year. For 2012-13, the UCSC Ph.D.-to-Faculty FTE ratio

was lower than the system-wide average for all categories except Life Sciences (when comparing to campuses without medical schools), ranging from 0.5 below in the Social Sciences to more than 1.0 below in Engineering (compare Columns 1 and 2 in Table 1). To evaluate the Ph.D. capacity of the UC Santa Cruz faculty, we multiply Faculty Headcount by a Ph.D.-to-Faculty Headcount ratio. As campuses may use unfilled Faculty FTE to fund other instructional and research obligations, the number of Faculty FTE is often higher than the Faculty Headcount, leading to a lower Ph.D.-to-Faculty FTE ratio. Even so, we can use the differences between UC Santa Cruz and our sister campuses (as measured in Faculty FTE) to consider plausible scenarios when modeling using the Ph.D.-to-Faculty Headcount ratios. This can be done in different ways: we could choose a "model" sister campus to set a ratio; explore the outcome if every UCSC faculty member performed at the system-wide mean for their category; or assign a ratio that might better reflect our aspirations (and account for the problem of using Faculty FTE vs. Headcount).

In Table 1, we have used a mixed model. We use the UC average Ph.D.-to-Faculty FTE ratio for Arts and Humanities, a ratio slightly above the UC average for Life, Physical, and Social Sciences, and a ratio moderately above the average for Engineering. Those ratios yield a Ph.D. headcount of 1,571, using the faculty headcount from 2014-15. With our current undergraduate enrollment of circa 15,800, we would be at 10% Ph.D. students relative to undergraduates and would need an additional 325 Ph.D. students to meet the 12% goal. If we set more aggressive Ph.D.-to-Faculty ratios, increasing each category by 0.5 (possible in Engineering, Life, and Physical Sciences; likely a stretch for Arts, Humanities, and Social Sciences), the Ph.D. headcount would rise to 1,807, still around 90 Ph.D. students shy of the 12% target (Appendix I, Scenario 2 - High Ratios).

Rebenching is expected to deliver 48 FTE to the divisions over the next three years. Of those FTE, 14 will be sequestered for launching M.S. programs in Silicon Valley. At this point, it is not clear when and to what extent SV faculty will mentor Ph.D. students, so they will conservatively not be considered in our calculations. If we assume for this exercise that the campus will not downsize any of the existing divisions, the main issue in the short term is how to distribute the remaining 34 FTE (keeping in mind that more FTE will presumably be generated as undergraduate enrollments rise). In Table 2, we consider one scenario where the 34 FTE are disproportionately distributed to Engineering, Physical Sciences, and Life Sciences (because of their larger Ph.D.-to-Faculty ratios and strong potential for external support) and to the Social Sciences (because of its large number of undergraduates and moderate potential for external support). In the model, some FTE distributions in a category flow to multiple divisions at UC Santa Cruz (e.g., BME and Environmental Studies in Life Sciences). This model yields a Ph.D. headcount of 1,689, circa 200 student shy of the 12% goal (details in Appendix I, Scenario 1 - Low Ratios). With more aggressive Ph.D.-to-Faculty ratios (0.5 higher in all categories), the Ph.D. headcount would rise to 1941, above the 12% target (details in Appendix I, Scenario 2 - High Ratios). There are, of course, many other ways the campus might distribute FTE from rebenching, but absent a focus on Engineering and PBSci, the eventual distribution of faculty may preclude reaching the 12% goal with Ph.D.-to-Faculty ratios similar to other UC campuses. (This theme was also raised in the recent CPB review of the 2015-16 FTE requests.) The other possibility is that the campus has over-enrolled undergraduate students relative to our faculty size. With around 30 enrolled undergraduates per Faculty FTE, UC Santa Cruz has nearly the highest student-to-faculty ratio in the UC system; only UCR is higher and all the other UC campuses range from 20 to 25.

The higher ratio of Undergraduates-to-Faculty at UC Santa Cruz may reduce faculty bandwidth for mentoring graduate students or for raising the funds to support them. With respect to the quality of undergraduate teaching and mentorship, the lack of faculty is compounded by the scarcity of Ph.D. students, who play an important role in undergraduate education as Teaching Assistants, as mentors for research projects, and as role models. As noted above, UCR has a higher Undergraduates-to-Faculty ratio than UC Santa Cruz (circa 32), but it also has higher Ph.D.-to-Faculty and master's-to-Faculty ratios. In light of this, the strategy for undergraduate instruction and graduate growth taken by UCR deserves further exploration. We note too that the size of graduate programs in some divisions—and in some specific departments within the divisions—may be strongly dependent on undergraduate enrollments, which implies the need for caution about any strategy that looks to undergraduate enrollment reductions as a way forward for graduate growth. Lastly, we also acknowledge the potential negative political and fiscal impacts of undergraduate enrollment reduction on the overall campus, which might make any undergraduate enrollment reduction-based graduate growth strategy ill-advised.
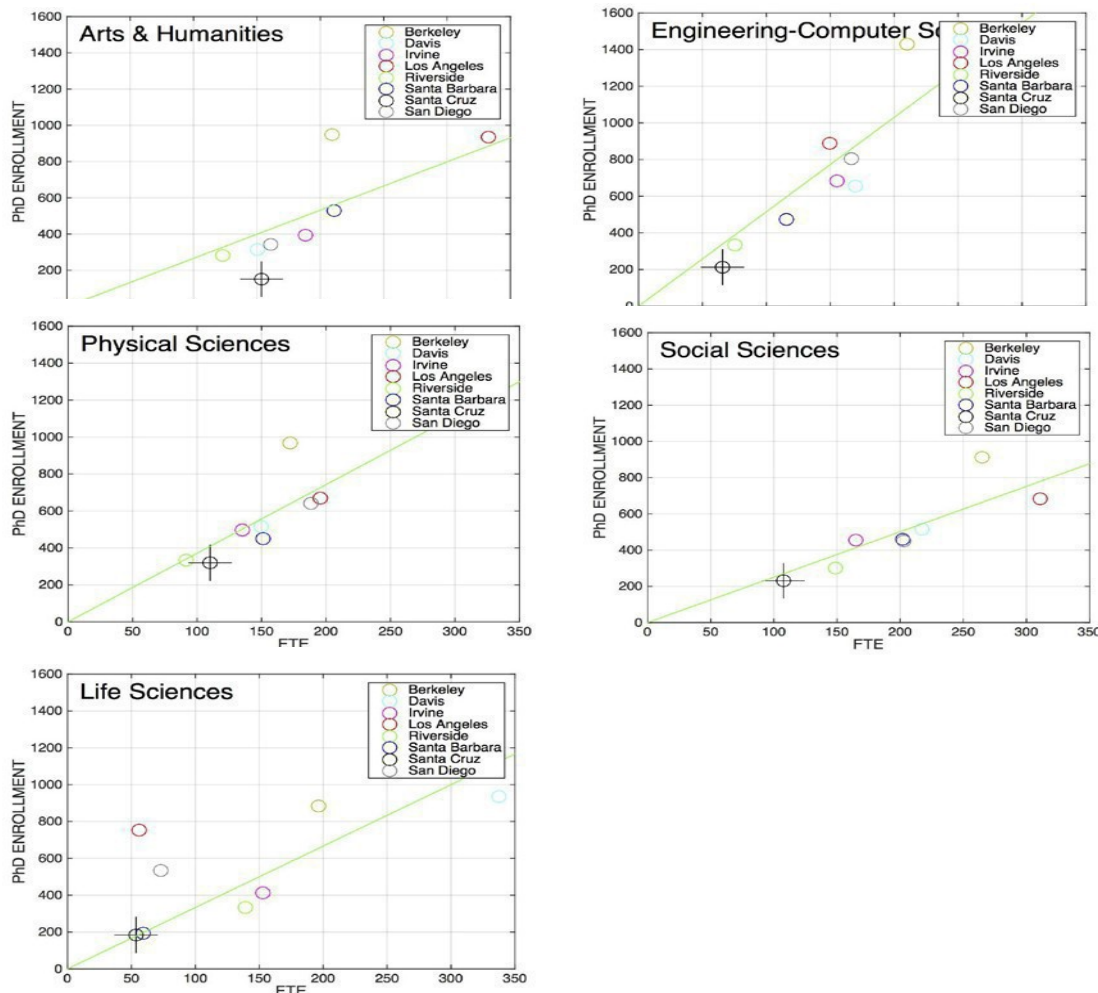
Figure 1. Plots of FTE vs. Ph.D. enrollment for the five major disciplines considered in the UCOP data, together with a linear fit (green line). Each circle represents FTE vs. enrollment for a UC campus, averaged over 2006-2011. The data point for UCSC is marked with a cross.

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Table 1. Model of UC Santa Cruz Ph.D. capacity

Cluster	2012-13 Mean* UC Ph.D./Fac FTE	Fall 2012 UCSC Ph.D./Fac FTE	2011-14 UCSC Ph.D./Fac Headcount	Fall 2014 Faculty Headcount	Fall 2014 Ph.D. Headcount	Model Ratio Source	Model Ratio	Modeled Ph.D. Headcount
Engineering	4.12	3.05	4.22	52	230	UCSC Custom	4.75	247
Fine Arts	1.33	0.74	0.87	60	64	UC Mean FTE	1.33	80
Humanities	2.51	1.54	1.45	91	128	UC Mean FTE	2.51	228
Life Science	4.66 3.28‡	3.22	2.91	78	215	UCSC Custom	3.31	258
Physical Science	3.60	2.82	3.01	110	331	UCSC Custom	3.71	409
Social Science	2.34	1.80	2.44	101	228	UCSC Custom	2.75	278
Education (Prof)	2.30	1.88	2.11	14	30	UCSC Custom	2.75	39
HisCon (Other)	n.a.	9.33	11.15	3	27	UCSC Custom	11	33
Total					**1253**			**1571**

* Mean UC data exclude UCSF and UCM. ‡The upper Life Science number is the Mean UC average. The lower number is the average excluding UCD, UCI, UCLA, and UCSD, because in some cases, students supported by medical school faculty are skewing the ratio. The data for this model, which are supplied in Appendix I, were collected by Institutional Research.

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Table 2. Model of UC Santa Cruz Ph.D. capacity after Rebenching

Cluster	Fall 2014 Faculty Headcount	Rebenched Faculty Headcount	Rebenched Ph.D. Headcount	Rebenched Ph.D. Headcount with high ratio
Engineering	52	60	285	315
Fine Arts	60	62	82	113
Humanities	91	93	233	280
Life Science	78	84	278	311
Physical Science	110	117	437	485
Social Science	101	110	303	358
Education (Prof)	14	14	39	46
HisCon (Other)	3	3	33	35
Total	**508**	**542**	**1689**	**1941**

Divisional Dean Interviews

We found the system-wide data useful for coarse-grain analysis, but far less useful for fine-grain analysis. Fine-grained analysis was difficult because the UC-wide data use categories that do not always match well with our divisional and departmental composition. We therefore talked extensively with the five divisional deans in an attempt to acquire a better understanding of the prospects for graduate growth at the departmental level.

We found that all of the deans use similar criteria in determining which departments are best positioned to grow their Ph.D. programs in upcoming years. First and foremost, they all felt that departments that rely partially or wholly on external funding are much better positioned for fast growth than are departments that rely mostly or wholly on central funding. Almost all of the departments that can rely on external funding are in PBSci, Engineering, and SocSci. There are, however, a few departments in the Humanities and Arts that rely on central funding that are also in a

position to mount larger Ph.D. programs with only modest boosts in funding and little or no new FTE.

Aside from funding issues, the deans all rely on the following criteria in assessing the relative capacity of their departmental Ph.D. programs to grow: application rates, acceptance rates, completion rates, and placement rates to assess the quality of a program; and faculty work-load issues (including whether all faculty are mentoring Ph.D. students and whether the undergraduate curriculum is being impacted). They expect the Ph.D./Faculty ratios to be for the next three years. Although none of the deans had worked out a full-fledged blueprint for graduate growth within their respective divisions, all of them have begun to undertake a fine- grained analysis of their departments' capacity for graduate growth in anticipation of the Task Force's recommendations. We recommend that the deans be provided with data on Ph.D. / Faculty ratios and asked to provide an analysis and clear justification of what they expect the Ph.D./Faculty ratios to be for the next three years.

II. Allocation Subcommittee
The charge of the Allocation subcommittee was to:
   a) Evaluate successful allocation models used by other UC campuses (or other universities) based on documentation and discussions with relevant administrators (Graduate Deans) at the campuses.
   b) Evaluate the cost/benefits of adopting any of these models or hybrid of these models at UCSC.

This subcommittee focused on three areas: block grant allocation policies for doctoral programs adopted by other UC campuses, a very preliminary approach for evaluating the impact of recent campus initiatives to increase Ph.D. enrollments, and programs adopted by other UC campuses to alleviate the disincentives to recruit and yield international Ph.D. students.

Block Allocation Models
The allocation subcommittee discussed in some detail the basis of the different block allocation models on the various UC campuses. Typically, the graduate deans provide some assurance of stability of block allocations from year to year. Below we summarize the basis of the block grant formula at UCSC, UCI, UCSB, UCSD , and UCR and what the subcommittee identifies as desirable features of the various models that might be applied at our campus. For example, it would be useful to model our block allocations using other campuses' methodology to determine whether they lead to significant redistribution of support funding and the possible impacts (positive or negative) of any such redistribution. Time and analyst staff limits precluded doing such detailed modeling in the framework of the Task Force's charge, but the committee's work will constitute a focal point of the Graduate Division's follow-up strategic analysis and planning in Summer 2015. More data from the other campuses will be needed as well as analysis on our end to evaluate in detail whether the allocation models at the other UCs would be cost effective on our campus.

The following descriptions include notation of the committee's observations of the models and policies that deserve further consideration for adoption or adaptation at UCSC. Specifics of the strategies vary, but some commonalities include: allowing departments to keep the "carry- forward" of unspent funds, treatment of nonresident supplemental tuition (NRST) fellowship programs, guarantees of support with temporal and quantitative differences, weighting factors by discipline

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and/or degrees, varying methods to establish total block allocation amounts, and incentives targeted at specific performance measures (i.e. time to degree completion).

UC Santa Cruz (2014-15)

Enrollment: 3-year average (projection for the upcoming year, the current year enrollment, and the previous year's enrollment) of Ph.D. and M.F.A. students (weighted 0.5 of Ph.D. enrollment); "Doc2A" students, i.e. >9 quarters past candidacy, are excluded

Degrees awarded: 3-year average of degrees awarded (three previous years)

To provide stability for planning multi-year awards, programs are guaranteed no less than 80% of funding from an "index" year for the following 3 years

UC Irvine (2013-14)

40% weight on Total Ph.D. enrollments (decreasing coefficient used*)
     * (Ph.D.'s: Arts, Hum - yr 1 & 2 = 1; yr 3+ = .8)
       (Ph.D.'s: SOB, SE, SS - yr 1 & 2 = 1; yr 3+ = .67)
       (Ph.D.'s: Bio, ICS, Eng, PS, Education - yr 1 & 2 = 1; yr 3+ = .5)
       (M.F.A.'s: .80)
15% weight on New Enrollment - three year average - fall SIS
5% weight on Total enrollment weighted * - three year average - fall SIS
35% weight on Ph.D. degrees awarded - three year average
5% weight on master's degrees awarded - three year average

Multi-year offers are
made Carry-over:
unlimited Bridge-funding
program
NRST: international students are charged NRST during the first year only
Enhance block by 5% in exchange for the submission of a plan to improve degree completion and time-to-degree. Future fellowship block enhancement is tied to successful implementation of the plan.

UC Santa Barbara (2015-16)

Enrollment:
2.7 * 3-year average Doc1, Doc2, M.F.A. (Doc2A >9 quarters past candidacy are excluded)
0.9 * 3-year average MA/MS (excluding M.F.A.)

Program performance:
2.7 * total Ph.D./M.F.A. degrees awarded in most recent three years
Weighting factor for resource availability by discipline (e.g., ASE, GSR, etc.)
Smoothing factor (year-to-year)
Augmentation for diversity-related activities

Carry-over: unlimited
International Doctoral Fellowship Program (IRDF): Payment of NRST: Tuition for all international students beyond the first year of residency.

UC San Diego (2011)

Guaranteed minimum support per student
Three-year rolling average for unmet need (by discipline) — for every $1 of unmet need, program receives $.20 subsidy
> Average TA * 0.5, GSR, and fellowship/trainee $ over previous 3 years TA funding is weighted at 50% since it is "less valuable" from a graduate student perspective

Provision for enrollment growth Performance/merit adjustments based on
   (a) Placement of recent graduates
   (b) Time to degree
   (c) Quality of admitted students
   (d) Diversity
   (e) Response to external reviews

Equity- Higher per-student allocation to departments with lower per-student resources from other sources (TA, GSR, fellowship)
Carry-over: 20%

The committee found several attractive features to the UCSD allocation model, most importantly, that it factors into *both equity as well as performance*

UC Riverside

UC Riverside uses a cohort-based model of allocating block grant support. Each incoming cohort is funded for seven years with funding obligations shared between programs and the Grad Division. The model is funded per program and is based on per- student average. The model is different for departments that have substantial extramural funds compared to those that have less. The following explains the model in more detail:

1. The Provost provides funding to the Graduate dean for each new entering cohort:
   - Most funds are distributed to graduate programs based on the size of their entering cohort (and other discipline-specific factors);
   - Some funds are held back by the dean as a contingency and for out-year support needs (such as dissertation year fellowships);
   - The funding can be used only for students in that entering cohort and remains with the graduate dean for up to seven years (after which any unexpended balances are returned to the Provost) — any funding not needed for graduate students in the specific entering cohort is returned to the Provost.

2. The Graduate dean works closely with each graduate program to:
   - Set an enrollment target for each entering master's and doctoral cohort;
   - Establish a level of "block grant"-like support allocation appropriate to that discipline;

- Monitor key indicators/metrics of program performance;
- Reconcile the funding allocated/used on a cohort-by-cohort basis — in that this funding is "attached" to individual students associated with the cohort.

3. The program is required to:
   - *At least* match central "block funding" with departmental funding;
   - Assemble multi-year support packages for the entering doctoral cohort from the "block funding" provided by the Graduate dean (which is fungible across fiscal years up to the normative time-to-degree for that discipline), from departmental funding, and from extramural funds;
   - Ensure the success of each graduate cohort.

The allocation subcommittee had a fair amount of discussion about the cohort model as UCR has significantly increased their graduate student population in recent years. At this point it is not clear whether extra funds were provided per student upon adaptation of the cohort model or whether the change in allocation formula played a significant role in the graduate student number increase. Thus to evaluate whether this model would be effective on our campus, it would be essential to obtain more funding information about the UCR cohort model, specifically, the average $ amount per student across the different programs, and compare to what we might be able to offer at UCSC using a similar formula. Adapting this type of model would mean a lot more flexibility and responsibility at the department level; however, it may also require more extensive management at the central level.

Carry-over of unspent Block Allocation funds to the subsequent year:
UC Santa Cruz: none UC
Davis: 10%
UC Irvine: unlimited
UCLA: 10% up to maximum of $50K UCSB:
unlimited
UCSD: 20%
UC Riverside: not relevant for cohort funding model

Evaluation of the effectiveness of the current initiatives at UCSC by the Graduate Division
The Allocation subcommittee sought to evaluate the effectiveness of Ph.D. student support initiatives taken by the Graduate Division in recent years to raise enrollments. These incentive programs are elaborated in the document, "Graduate Growth Initiatives: A Program User's Guide" (dated 9/9/14) which states, "… we have sought to offer a diverse palette of options, some of which may be more relevant to certain programs than others…" The palette includes Dean's Fellowships (DFs), augmented strategic funding to the block allocation (ABA), master's Programs Incentive (MPI), Non-Resident Tuition Fellowships (NRTF), GSR Non-Resident Tuition Mitigation (NRTM), and Increased TA Allocations to Divisions (ITA).

The Graduate Division has been pro-active in promoting growth and has consulted each Ph.D. program and tailored a bundle of options from the above list for each program's admissions cycle for F13, F14, and F15. The tailored bundles in some cases may have also had other goals such as increasing enrollments of highly qualified non-resident students, retention of existing students and reducing time to degree.

Impact of Graduate Division incentives on first year Ph.D. enrollments
To learn from experience, we could take a look, year-by-year and program-by-program, at how first year Ph.D. enrollment (FYE) and other goals responded to the chosen bundle of DFs, ABA, MIP, NRTFs, NRTM, and ITA. For example, one could regress deviations from trend in first year enrollment (DFYE) on the deviations (DDF, DABA, etc) from the baseline bundle for that program. The regression coefficients could be scaled to provide rough estimates of the bang-per- buck (bpb) seen for each incentive. Such estimates would be a very rough guide even with several years of data for each of the roughly 30 Ph.D. programs because the bundles are not randomly chosen. The campus would then be in a better position to assess which incentives to expand, which to drop, and get some hints on what sorts of new incentives might be effective at promoting graduate growth.

The hard-working staff of the Graduate Division assembled data on outputs: the number of new Ph.D. enrollments by program from fall 2004 through fall 2014. Unfortunately, accessible records of the full array of bundles or their intended purpose were not available for inclusion in our analysis at this time. The only input data currently available to us by program and year were Dean's Fellowships offered for the fall 2013 new enrollments. We look forward to soon obtaining data by program and year on ABA, MIP (though we presume it first became a significant factor for the fall 2015 enrollment), NRTFs, NRTMs, or ITAs.

As a test of this kind of computation, we sought to analyze the "Dean's Fellowships" incentive packages that were piloted in 2013 and, on the basis of program feedback and Graduate Division's assessment, not subsequently continued. Only in Engineering was the bang per fellowship (bpf) for fall 2013 consistently in excess of 1. In other divisions, the only other programs with bpf above 1.0 were Physics, Mathematics, Politics and Psychology. The following year, in absence of DFs, the input DDF was negative or zero, and new enrollments indeed declined. However, declines were not consistently larger in programs that had lots of DFs the previous year.

This exercise may have some methodological value, but we are unable to learn much of substance by including data for a single initiative from amongst several undertaken. There is a hint of leverage in Engineering and a few other programs, but only a hint. We have no idea of the relative effectiveness of the various incentives. To determine the effectiveness of the incentives offered by the Graduate Division in recent years will require data by program and year for the other incentives (ABA, MIP, NRTFs, NRTMs, or ITAs) and closer analysis. Furthermore, by collecting and tabulating the decisions made each year with each program, we could begin to make evidence-based decisions for the future. This discussion will continue in the Graduate Division's summer planning; further work is needed to develop the most useful models for assessing initiatives and, where necessary, may require new ways of aggregating DGS data to facilitate such analysis of impact on graduate growth.

Mitigation of the Impact of the NRST on Ph.D. Program Excellence and Growth
The UC Academic Council "Report of the Task force on Competitiveness of Academic Graduate Student Support," June 2012, emphasized the central role of non-resident supplemental tuition (NRST) in UC's uncompetitive support for Ph.D. students. First among the Report's identified consequences of the NRST is that it distorts admission decisions and reduces student quality and diversity. The NRST also absorbs support funding that could be used for stipends and distorts employment decisions regarding graduate students. Lastly, other UC campuses have taken strong measures to mitigate or eliminate NRST for doctoral students, so that failure to reduce its impact

may exacerbate competitive disadvantages with respect to our UC sister campuses and other peer institutions.

The Academic Council task force recommended waiving the NRST for Ph.D. students while recognizing that current budgetary limitations may necessitate intermediate steps: increasing the number of years NRST is waived for international Ph.D. students and foregoing future increases in tuition for international doctoral students. While the second of these temporary alleviation measures regards system-wide policy, increasing the number of years that NRST is waived for international students is within the capacity of the campuses.

Several other UC campuses recently adopted programs that mitigate the NRST for international students enrolled in Ph.D. programs after the first year. Some examples of these programs are:

UCSB
- Beginning fall 2015, **all** admitted international students receive UCSB International Doctoral Recruitment Fellowships (IDRFs).
- These cover the NRST for the fourth quarter of residency through to advancement to candidacy, provided that the student is within the official time to advancement as determined by the Graduate Council and advertised on the Graduate Division website.
- UCSB IDRFs are not available for master's students.

UCSD
- As of fall 2013, NRST funds for first-year students is rebated to departments. This will grow to include NRST for second and third year students at steady state.

UCD
- Effective fall, 2014, the campus will return 100% of NRST for pre-candidacy doctoral students in their 2nd and 3rd years and M.F.A. students in their 2nd and 3rd years
- Funds will return to the research grant if NRST is paid for GSRs (increasing the NRST buy-down to 100% for the affected students)
- Funds will return to the graduate program for all other affected students
- Funds may be used to award financial support to students or to pay for the cost of instruction for graduate courses (e.g. faculty buy-out for interdisciplinary programs)

UCM
- NRST is covered for all internally funded academic Ph.D. students, i.e. TA-ships, UC fellowships of all kinds, and internally funded research assistantships. NRST is covered for any grant that forbids NRST charges, such as state grants and some private foundations. UCM has never collected revenue from outside the campus in any of the above cases.
- Grants are charged NRST when allowable. However, the number of such charges has been very small to date.
- NRST is currently charged with no plans to change the policy for master's students of all kinds, professional Ph.D. students, and Ph.D. students who are funded by non-UC fellowships (e.g. foreign governments).

Having analyzed these different campus models, the subcommittee explored the scenario of creating a fellowship program at UCSC that would provide for the payment of the NRST for all international doctoral students beyond their first year of residency who have not yet advanced to candidacy. This scenario follows the recently adopted program at UCSB. The direct impacts of the program are:

- It would eliminate the need for programs to use block grant funds to pay the NRST for continuing Ph.D. students.
- It would eliminate the share of NRST for continuing international Ph.D. students charged to extramural grants (currently 25%).
- It would remove the distortion in Ph.D. student employment that disfavors appointing international Ph.D. students to TA-ships relative to GSRs.

The costs to students or to programs of admitting domestic and international non-residents will be equal, reducing the disincentives to admit students on the basis of citizenship or permanent residency rather than on demonstrated ability and promise. This fellowship program will raise the quality of Ph.D. students by making it easier to recruit students without regard to nationality and contribute to doctoral enrollment growth by increasing our ability to offer competitive support packages to admitted students.

Uncertainty facing programs regarding their capacity to support continuing international Ph.D. students will be reduced significantly. The proposed change can reduce the uncertainty in making multi-year offers because the relative proportions of international and domestic students accepting offers will not affect the cost of supporting continuing students.

Estimated Budget Effects
The program would phase in over time. If UCSC adopts an IDRF program for Ph.D. student recruitment for 2016-17, NRST would begin to be covered by the IDRFs in 2017-18. The total amount of NRST covered will progressively rise as additional international Ph.D. students enter the second year of residency until students admitted in 2016-17 reach their last year before advancing to candidacy. For example, for candidacy at the end of the third year in a Ph.D. program, an international student admitted for 2016-17 would receive an NRST fellowship for two years, 2017-18 and 2018-19. The IDRF mitigation of the NRST would then be in full effect in 2018-19.

As of fall 2014, the total enrollment of Ph.D. students in their second year of study and beyond at UCSC (i.e. excluding all first-year Ph.D. students) was 1015. Of these, 159 are international students. The Office of Planning and Budget reports that the entirety of the NRST paid by all graduate students at UCSC is returned to graduate student aid.
The total amount of NRST assessed to Ph.D. students from the second-year on for 2013-14 was $880,950 (est.). This amount is overwhelmingly paid by block grant funds. By comparison, NRST revenues from non-professional master's degree programs was $609,114 and from graduate professional programs was $53,572. The net cost of the proposed IDRF program to Ph.D. program support would be due solely to the elimination of the 25% charge to extramural grants for NRST.

III. Incentives Subcommittee
The Incentives subcommittee focused on incentives to faculty for increasing the number of graduate students with whom they interact. These incentives can be provided through two different mechanisms: the academic personnel review and promotion process, and the departmental workload policies. The committee reviewed both system-wide Academic Personnel policies, those of UCSC and the other UC campuses. The subcommittee also reviewed all of UCSC's departmental workload policies.

There were four main findings from this review.

1. Unlike most other UC campuses, **UCSC** does not further define in the local Campus Academic Personnel Manual (CAPM) policy the criteria for advancement set forth in the system- wide APM 210 policy. APM 210 is vaguely written and does not specifically address graduate education. Campus-level policies at other UCs speak to this issue by clearly highlighting the importance of demonstrating activity in graduate education for successful merit and promotion reviews. Examples include:

> UC Berkeley: From the Procedure for Appointment or Promotion to the Rank of Associate Professor or Professor APM 220-85: "With a recommendation for promotion to tenure rank, the chair shall include the following information in the chair's detailed statement: ... (2) the nature and extent of the faculty member's responsibilities in guidance of students in research toward a graduate or professional degree ... "

> UCI has several policies related to graduate education and faculty advancement that give guidance such as "mentoring and advising of graduate students are normal expectations for Academic Senate faculty" and their review process policies.

> UCSD policy states, "The appointee's success in obtaining support for research and other creative activity, including support for graduate students, should be addressed." "In addition to an evaluation of regularly scheduled undergraduate and graduate classes … discussion of: undergraduate research students, master's and doctoral candidates, postdoctoral or medical fellows, interns and residents, and any other students mentored outside of the structured classroom setting; and the appointee's role (e.g., thesis adviser, research adviser) for each student."

2. The UCSC Committee on Academic Personnel (CAP) maintains guidelines for compiling successful personnel files on our campus but the guidelines do not highlight the important role of graduate education directly as do those of other UC campuses. For example, in our campus' "Tips for chairs and deans" the only mention of graduate education is as follows:

> "Highlight student achievements and post-graduation trajectories for Ph.D. and MA advisees."

On the other hand, the "Tips for faculty" only mentions:

> "Teaching: Summarize course offerings, new preparations, innovative teaching practices, training grants, co-teaching, and mentoring of undergraduates and/or graduate students, in the context of expectations and needs in your department. ***Not everyone will have all of these elements in their teaching profile, but most faculty are likely to have some contributions in addition to their classroom teaching*.** For mentoring activity, be clear about which students completed their degrees during the review period and your role in their mentoring process— including, if possible, their later career trajectories." ***(emphasis added)***

This wording suggests that graduate student instruction is optional. Wording from other campuses is much stronger:

UCB: Guidelines on the Evaluation of Graduate Student mentoring in Faculty Performance Review
UCR: Faculty Merit Checklist
UCSD: "Course load and student direction" form used for personnel reviews includes a "Ph.D.s completed" section.

3. Departmental workload policies vary dramatically across divisions, and even within a division. However, one commonality is that very few departments discuss differential workloads that take into consideration the number of graduate students advised or research activity that results in increased graduate student mentoring loads. Some workload policies are clearly out of date and appear to have been written before the department had a graduate program.

4. "Full service faculty that teach across the curriculum" is a phrase that has recently been used on our campus, including by the EVC. This phrase has multiple possible interpretations; one is the typical "at least one Lower Division, one Upper Division and one Graduate class every year on average." A different interpretation would simply differentiate between undergraduate and graduate student teaching and allow research faculty to focus on upper division teaching and graduate student teaching and mentoring and entrust more of the undergraduate courses to LSOEs. There is a lack of clarity among faculty as to the most appropriate interpretation for this phrase and its impact on the ability of departments to advise graduate students.

IV. Professional Development Subcommittee
The subcommittee was charged primarily with identifying practices, resources, and needs across the campus for professional development of graduate students, both inside and outside the academy. The subcommittee's focus was to identify the current departmental/divisional resources for graduate student professional development and professional development needs; examine the resources for graduate students in relation to non-academic career options; and (to a lesser extent) assess the fundraising efforts for graduate student growth on campus.

The chief objective of the Professional Development Subcommittee was to survey and assess what kinds of professional training different graduate programs offer to their students, in order to gain a larger view of the trajectory that UCSC graduate students are on, or are enabled to take. While our analysis was focused on the program/faculty perspective, the student experience/perspective is inevitably part of the equation.

Data
The subcommittee's major work was developing a survey that went out to the graduate directors of the thirty-nine graduate programs on campus. The subcommittee also examined a campus report on professional development opportunities based on the UCSC Graduate Student Survey (2011, the most recent available). The goal was to provide multiple perspectives about what resources exist on campus and what is further needed, as well as capture a sense of department cultures and commitments in regard to graduate professional development and, more broadly, graduate growth.

UCSC Faculty Graduate Directors Survey
The subcommittee's "Faculty Graduate Director Survey" consisted of questions in four thematic areas: professional development, department culture, tracking career pathways, and campus-wide resources (Appendix II). The survey was first sent out on April 21, 2015 through the Graduate Division. Of thirty-nine graduate programs, twenty-eight participated (a nearly 72% response rate), and included responses from all five academic divisions.

Survey Findings
Professional Development
Almost all departments identified professional development activities that they offer for their graduate students, but they varied widely in their emphasis. Department offerings include grant writing courses, professional development workshops, TA training/pedagogy courses, and faculty mentoring. Overall, preparation for alternative academic careers was not something widely mentioned by respondents in this section of the survey.

When asked about salient professional development needs of their graduate students, several key suggestions emerged. Departments mentioned the need for more formal advising regarding career paths outside of academia (although not all agreed), additional funding for professional development training, more mentoring by faculty, more staff support, and resources to offer professional development and writing courses more frequently.

In response to the question about what resources a program utilizes to identify non-academic career options, there was a mix of responses including: Institute for Humanities Research, alumni, personal connections, email listserv, career fairs, and faculty mentoring.

Department Culture
This portion of the survey asked two questions. The first centered on a department's perspective on alternative, non-tenure track career placement, and the second focused on the attitude about graduate growth. In terms of recognizing the possibility (or inevitability) of Ph.D. graduates seeking or gaining non-academic positions, the responses from program directors ranged from: no engagement with the idea, no discussions within a department, some discussion within a department, deliberate awareness about Ph.D. graduates pursuing non-tenure track jobs, active preparation for an alternative career path, and specific expectation that many of a program's graduates find industry jobs.

Particular departments, notably in Engineering, Social Sciences, and Physical and Biological Sciences, are very successful in placing their graduates in jobs outside of academia, and other departments encourage their students to find jobs in high-tech industries. Among graduate programs in the Arts, there is an open acknowledgement of and appreciation for graduates to move on to work in the art, music, and culture industries (which may include other kinds of teaching). Furthermore, many departments stated the willingness to support students/graduates who do not end up in tenure track positions, though they noted either the under-exploration of the phenomenon or the absence of concerted preparation to take this career track. Finally, some departments explicitly expressed a commitment to train Ph.D.'s, with the hope of adding to the next generation of the professoriate.

In terms of departments' perspectives on graduate growth, there was only one department that could

state with confidence that their program is "positive" about growing. Almost unilaterally, UCSC graduate programs state the need for funding/sustaining the graduate students (current and incoming), requesting more fellowships, TA-ships, GSR/graduate student research positions, and other grant opportunities. It is a stark message: graduate student growth and expansion could happen, conditional to there being funding. This is the responsible, ethical, reasonable frame for accepting and encouraging graduate growth. As one program articulated, there is a need to "temper desire for graduate growth with the possibility of overstretching our resources." The desire to grow graduate programs at UCSC is present; however, the ability and planning are not yet in place.

A few other notes culled from the survey regarding the size of graduate programs included: an acceptance of small cohorts by design due to limited faculty and/or limited funding resources; a concern about the quality of applicants/admitted students; and a question about the pacing of growth.

Tracking Career Pathways

Excepting one, all departments reported tracking Ph.D. graduate placement at least "in part," although several respondents said tracking is "uneven," "informal," or "haphazard." Many departments track the first year or two and/or the first employment post-degree; after that, respondents note the data are liable to become less accurate or up-to-date. Some departments admitted they try to track but need to "do a better job" about keeping up to date information regarding Ph.D. placement, or would appreciate support from the Graduate Division in this effort.

All departments that engage in tracking Ph.D. students responded that they track both tenure-track and non-tenure-track positions, suggesting that the bias toward tenure track positions at UCSC may be less prevalent than at many other institutions.

Two departments stood out as potential models for best practices with respect to doctoral tracking. One department noted, "We participated in the [disciplinary association's] new tracking initiative and now have 10 years of solid data on our Ph.D.s. Prior to this, there was more informal tracking…" Since many departments at UCSC engage in "informal" or "self-reporting" tracking, looking at this department as a case study may illuminate how to get other departments to move toward keeping "solid data." Another Humanities department reported it keeps a database that is updated annually, and this may present another model for tracking career pathways of graduate students.

What departments did with collected data and tracking was limited and uniform: almost all reported the data were "listed on website," although it is not clear how often departmental websites are updated with this information. A few select departments responded that they made a list of contacts available to recent graduates for networking purposes; one mentioned it was used in external reviews. Such responses suggest there may be more effective ways to make use of these data.

Campus-Wide Resources

Departments across campus vary in their awareness of campus resources for graduate professional development, and some departments unfortunately have no awareness of campus resources. The majority of the departments are aware that local/divisional resources exist, and some departments – although not many – are aware of the resources provided by the Career Center and Graduate Division. This suggests that better communication is needed across campus to highlight the

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professional development services and resources that already exist.

In our survey, departments were asked which campus resources they would like to add to help support their departments' graduate professional development efforts. Perhaps not surprisingly, the following three emerged as top departmental priorities:

1. Non-academic career preparation services (workshops, panels)
2. Graduate focus at the Career Center (currently perceived as serving the undergraduates only)
3. Funding for graduate students (fellowships, research assistantships, conference funding)

Other Studies Examined

There are two studies that we considered in our discussions, the 2011 UCSC Graduate Student Survey and the Graduate Student Happiness & Well-Being Report (2014) recently released by Berkeley. We understand that the health of graduate programs is directly related to the health and well-being of graduate students, and that there is a philosophical and practical link between providing professional development resources and graduate growth.

According to the 2011 UCSC Graduate Student Survey, graduate students reported feeling ill-equipped professionally for both academic and non-academic careers:

> Students who were in doctoral programs (Ph.D. respondents) reported irregular availability and shortage of professional development classes/workshops in the following four areas: a) writing and publishing scholarly articles, b) conducting dissertation research, c) conducting academic and d) non-academic job searches.

Furthermore, this UCSC-specific survey found that female students and students of color felt significantly less prepared than their male and/or white colleagues, and that feeling "well prepared to engage in various professional tasks… was associated with student perceptions of supportive climate in the department." Such findings "suggest that providing all students with more opportunities to improve their professional preparation for academic and non-academic employment is an important step in creating a more inclusive environment for a diverse graduate student population."

Given the findings of the recent and widely-circulated 2014 Berkeley Graduate Student Happiness & Well-Being Report, the urgency of investing in graduate student professional development and career-related resources is clear. Among many other findings, including that 47% of Ph.D. students and 37% of master's and professional students qualify as clinically depressed (a number that jumps to 64% for graduate students in the Arts & Humanities), the Report correlates graduate student well-being with expectations regarding future employability.

Summary for Professional Development

Many departments report that they would offer professional development opportunities but for lack of training, staff, and resources (especially when addressing non-academic career preparation). Further research is needed into best practices across campus. There are department models that are widely seen as successful, and there is at least one division that is opting to address the question of professional development divisionally (Humanities - through the Institute for Humanities Research

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(IHR). The divisional approach may be an interesting one to think about given that one centralized place could interact and coordinate with the Grad Division and Career Center, rather than having that conversation spread across 30+ departments.

Appendix I

Scenario 1 – Low Ratios

Doctoral Students per Ladder-Rank Faculty - UCSC

Discipline	Department	Fall 2011 Fac	Fall 2011 Stu	Fall 2011 Ratio	Fall 2012 Fac	Fall 2012 Stu	Fall 2012 Ratio	Fall 2013 Fac	Fall 2013 Stu	Fall 2013 Ratio	Fall 2014 Fac	Fall 2014 Stu	Fall 2014 Ratio	2011-2014 Avg	Similar UC campus	Target Ratio	Doctoral Student Capacity	Rebenching Faculty Growth‡	Additional Ph.D. Students	Total	UCSC Custom Value	Berkeley	Davis	Irvine	Los Angeles	Merced	Riverside	San Diego	Santa Barbara	Santa Cruz	Discipline Avg
Engineering/CS	Computer Engineering	16	46	2.88	15	45	3.00	15	59	3.93	14	66	4.71		UCSC Custom Valu	4.75	67				4.75										
	Computer Sciences	24	113	4.71	24	98	4.08	20	101	5.05	22	97	4.41		UCSC Custom Valu	4.75	105				4.75										
	Electrical Engineering	14	66	4.71	13	59	4.54	13	67	5.15	13	59	4.54		UCSC Custom Valu	4.75	62				4.75										
	Technology Management	4	8	2.00	4	10	2.50	3	11	3.67	3	8	2.67		UCSC Custom Valu	4.75	14				4.75										
	Engineering/CS Subtotal	**58**	**233**	**4.02**	**56**	**212**	**3.79**	**51**	**238**	**4.67**	**52**	**230**	**4.42**	**4.22**	New ratio:	4.75	247	**8**	**38**	**285**		5.83	3.48	4.46	5.67	1.85	4.15	5.03	3.53	3.05	4.12
Fine Arts	Art	10		0.00	10		0.00	10		0.00	9		0.00		UCSC Custom Valu	1.33	12	1.33													
	Film & Digital Media	18	7	0.39	16	11	0.69	15	18	1.20	17	17	1.00		UCSC Custom Valu	1.33	23	1.33													
	History of Art and Visual Culture	11	7	0.64	10	11	1.10	10	15	1.50	10	20	2.00		UCSC Custom Valu	1.33	13	1.33													
	Music	14	28	2.00	13	24	1.85	14	27	1.93	12	27	2.25		UCSC Custom Valu	1.33	16	1.33													
	Theater Arts	11		0.00	12		0.00	12		0.00	12		0.00		UCSC Custom Valu	1.33	16	1.33													
	Fine Arts Subtotal	**64**	**42**	**0.66**	**61**	**46**	**0.75**	**61**	**60**	**0.98**	**60**	**64**	**1.07**	**0.87**	New ratio:	1.33	80	**2**	**3**	**82**		2.59	0.74	0.44	1.62	0.86		1.75	1.87	0.74	1.33
Humanities	American Studies	2		0.00											UCSC Custom Valu	2.51					2.51										
	General - Humanites	7		0.00	7		0.00	7		0.00	6		0.00		UCSC Custom Valu	2.51	15				2.51										
	Feminist Studies	21			24		0.00	27	2	0.07	27	8	0.30		UCSC Custom Valu	2.51	68				2.51										
	History	4	31	7.75	2	34	17.00	2	26	13.00	1	33	33.00		UCSC Custom Valu	2.51	3				2.51										
	Languages & Applied Linguistics	3		0.00	3		0.00				5		0.00		UCSC Custom Valu	2.51	13				2.51										
	Linguistics	11	21	1.91	12	20	1.67	13	19	1.46	13	18	1.38		UCSC Custom Valu	2.51	33				2.51										
	Literature	29	63	2.17	30	61	2.03	29	57	1.97	30	56	1.87		UCSC Custom Valu	2.51	75				2.51										
	Philosophy	7	16	2.29	7	10	1.43	7	10	1.43	9	13	1.44		UCSC Custom Valu	2.51	23				2.51										
	Humanities Subtotal	**81**	**131**	**1.62**	**85**	**125**	**1.47**	**88**	**114**	**1.30**	**91**	**128**	**1.41**	**1.45**	New ratio:	2.51	228	**2**	**5**	**233**		3.91	2.42	2.04	2.86	2.48		2.27	2.57	1.54	2.51
Life Sciences	Biomolecular Engineering/Bioinfor	9	35	3.89	10	38	3.80	9	39	4.33	9	39	4.33		UCSC Custom Valu	4.50	41	1	5	45	4.50										
	Ecology & Evolutionary Biology	17	60	3.53	19	63	3.32	19	78	4.11	21	67	3.19		UCSC Custom Valu	3.50	74	1	4	77	3.50										
	Environmental Studies	15	41	2.73	16	42	2.63	18	47	2.61	18	46	2.56		UCSC Custom Valu	3.00	54	1	3	57	3.50										
	Microbiology & Environmental Tox	7	18	2.57	7	18	2.57	7	17	2.43	7	16	2.29		UCSC Custom Valu	3.00	21	-	-	21	3.00										
	Molecular & Cell Developmnt Biolo	23	53	2.30	22	52	2.36	22	51	2.32	23	47	2.04		UCSC Custom Valu	3.00	69	3	9	78											
	Life Sciences Subtotal	**71**	**207**	**2.92**	**74**	**213**	**2.88**	**75**	**232**	**3.09**	**78**	**215**	**2.76**	**2.91**	New ratio:	3.31	258	**6**	**20**	**278**		4.93	3.01	3.74	12.34	2.81	2.41	6.95	2.54	3.22	4.66 total average / 3.28 non med-school average
Physical Sciences	Applied Math & Statistics	11	35	3.18	11	40	3.64	11	45	4.09	12	42	3.50		UCSC Custom Valu	4.50	54	1	5	59	4.50										
	Astronomy & Astrophysics	19	37	1.95	20	37	1.85	21	33	1.57	18	29	1.61		UCSC Custom Valu	3.00	54	-	-	54	3.00										
	Chemistry and Biochemistry	22	92	4.18	21	90	4.29	20	85	4.25	20	86	4.30		UCSC Custom Valu	4.50	90	2	9	99	4.50										
	Earth & Planetary Sciences	20	53	2.65	19	52	2.74	18	54	3.00	18	50	2.78		UCSC Custom Valu	3.50	63	1	4	67	3.50										
	Mathematics	15	35	2.33	15	36	2.40	13	38	2.92	15	38	2.53		UCSC Custom Valu	3.00	45	1	3	48	3.00										
	Ocean Sciences	7	35	5.00	7	33	4.71	7	35	5.00	8	34	4.25		UCSC Custom Valu	4.50	36	1	5	41	4.50										
	Physics	22	54	2.45	22	51	2.32	21	57	2.71	19	52	2.74		UCSC Custom Valu	3.50	67	1	4	70	4.00										
	Physical Sciences Subtotal	**116**	**341**	**2.94**	**115**	**339**	**2.95**	**110**	**347**	**3.15**	**110**	**331**	**3.01**	**3.01**	New ratio:	3.71	409	**7**	**28**	**437**		5.78	3.45	3.81	3.35	1.93	3.68	3.19	4.38	2.82	3.60
Social Sciences	Anthropology Department	21	46	2.19	19	46	2.42	22	44	2.00	20	43	2.15		UCSC Custom Valu	2.75	55				2.75										
	Community Studies	2		0.00											UCSC Custom Valu	2.75	-				2.75										
	Economics Department	19	75	3.95	16	68	4.25	19	70	3.68	20	57	2.85		UCSC Custom Valu	2.75	55				2.75										
	Latin American/Latino Studies	10		0.00	10		0.00	10		0.00	11	4	0.36		UCSC Custom Valu	2.75	30				2.75										
	Politics	11	31	2.82	11	27	2.45	12	34	2.83	13	32	2.46		UCSC Custom Valu	2.75	36				2.75										
	Psychology	24	65	2.71	23	59	2.57	24	61	2.54	26	58	2.23		UCSC Custom Valu	2.75	72				2.75										
	Sociology	16	40	2.50	14	37	2.64	13	38	2.92	11	34	3.09		UCSC Custom Valu	2.75	30				2.75										
	Social Sciences Subtotal	**103**	**257**	**2.50**	**93**	**237**	**2.55**	**100**	**247**	**2.47**	**101**	**228**	**2.26**	**2.44**	New ratio:	2.75	278	**9**	**25**	**303**		3.14	2.33	2.86	2.91	1.16	2.22	2.35	2.25	1.80	2.34
Professional	Education	16	35	2.19	16	33	2.06	15	31	2.07	14	30	2.14		UCSC Custom Valu	2.75	39				2.75										
	Professional Subtotal	**16**	**35**	**2.19**	**16**	**33**	**2.06**	**15**	**31**	**2.07**	**14**	**30**	**2.14**	**2.11**	New ratio:	2.75	39	**-**	**-**	**39**		2.09	1.12	1.42	1.85		2.45	2.51	5.05	1.88	2.30
Other	History of Consciousness	3	34	11.33	4	31	7.75	2	33	16.50	3	27	9.00		UCSC Custom Valu	11.00	33				11.00										
	Other Subtotal	**3**	**34**	**11.33**	**4**	**31**	**7.75**	**2**	**33**	**16.50**	**3**	**27**	**9.00**	**11.15**	New ratio:	11.00	33	**-**	**-**	**33**		7.47	2.38	2.09	50.00	3.17		3.00	16.00	9.33	
	Campus Total	**512**	**1280**	**2.50**	**503**	**1236**	**2.46**	**501**	**1302**	**2.60**	**508**	**1253**	**2.47**		Total Doctoral Students:		**1,571**	**34**	**118**	**1,689**		4.18	2.71	2.87	3.62	1.85	2.67	3.45	3.06	2.29	

Capacity Scenario (based on Fall 2014 faculty) — Select a similar UC campus (using drop-down menu)

2012-13 Comparison Data (for broad discipline only, based on faculty FTE not headcount)

* Discipline subtotals and campus totals are unduplicated headcounts (faculty who have more than one appointment may be counted in more than one department but the discipline subtotals and campus total will only count each faculty once). ‡ Faculty allocations within Life Sciences and Physical Sciences is solely heuristic, and do not reflect planned FTE requests.

UNIVERSITY OF CALIFORNIA, SANTA CRUZ
Task Force on Graduate Growth – Report and Recommendations
Scenario 2 – High Ratios

Doctoral Students per Ladder-Rank Faculty - UCSC

Discipline	Department	Fall 2011 Faculty Headcount*	Fall 2011 Doctoral Students	Fall 2011 Ratio	Fall 2012 Faculty Headcount*	Fall 2012 Doctoral Students	Fall 2012 Ratio	Fall 2013 Faculty Headcount*	Fall 2013 Doctoral Students	Fall 2013 Ratio	Fall 2014 Faculty Headcount*	Fall 2014 Doctoral Students	Fall 2014 Ratio	2011-2014 Avg Ratio	Capacity Scenario (similar UC campus)	Target Ratio	Doctoral Student Capacity	Rebenching Faculty Growth‡	Additional Ph.D.	Total	UCSC Custom Value	Berkeley	Davis	Irvine	Los Angeles	Merced	Riverside	San Diego	Santa Barbara	Santa Cruz	Average
Engineering/CS	Computer Engineering	16	46	2.88	15	45	3.00	15	59	3.93	14	66	4.71		UCSC Custom Value	5.25	74				5.25										
	Computer Sciences	24	113	4.71	24	98	4.08	20	101	5.05	22	97	4.41		UCSC Custom Value	5.25	116				5.25										
	Electrical Engineering	14	66	4.71	13	59	4.54	13	67	5.15	13	59	4.54		UCSC Custom Value	5.25	68				5.25										
	Technology Management	4	8	2.00	4	10	2.50	3	11	3.67	3	8	2.67		UCSC Custom Value	5.25	16				5.25										
	Engineering/CS Subtotal	58	233	4.02	56	212	3.79	51	238	4.67	52	230	4.42	4.22	New ratio:	5.25	273	8	42	315		5.83	3.48	4.46	5.67	1.85	4.15	5.03	3.53	3.05	4.12
Fine Arts	Art	10		0.00	10		0.00	10		0.00	9		0.00		UCSC Custom Value	1.83	16				1.83										
	Film & Digital Media	18	7	0.39	16	11	0.69	15	18	1.20	17	17	1.00		UCSC Custom Value	1.83	31				1.83										
	History of Art and Visual Culture	11	7	0.64	10	11	1.10	10	15	1.50	10	20	2.00		UCSC Custom Value	1.83	18				1.83										
	Music	14	28	2.00	13	24	1.85	14	27	1.93	12	27	2.25		UCSC Custom Value	1.83	22				1.83										
	Theater Arts	11		0.00	12		0.00	12		0.00	12		0.00		UCSC Custom Value	1.83	22				1.83										
	Fine Arts Subtotal	6	42	0.66	61	46	0.75	61	60	0.98	60	64	1.07	0.87	New ratio:	1.83	110	2	4	113		2.59	0.74	0.44	1.62		0.86	1.75	1.87	0.74	1.33
Humanities	American Studies	2		0.00											UCSC Custom Value	3.01	-				3.01										
	General - Humanities	7		0.00	7		0.00	7		0.00	6		0.00		UCSC Custom Value	3.01	18				3.01										
	Feminist Studies	21		0.00	24		0.00	27	2	0.07	27	8	0.30		UCSC Custom Value	3.01	81				3.01										
	History	4	31	7.75	2	34	17.00	2	26	13.00	1	33	33.00		UCSC Custom Value	3.01	3				3.01										
	Languages & Applied Linguistics	3		0.00	3		0.00	3		0.00	5		0.00		UCSC Custom Value	3.01	15				3.01										
	Linguistics	11	21	1.91	12	20	1.67	13	19	1.46	13	18	1.38		UCSC Custom Value	3.01	39				3.01										
	Literature	29	63	2.17	30	61	2.03	29	57	1.97	30	56	1.87		UCSC Custom Value	3.01	90				3.01										
	Philosophy	7	16	2.29	7	10	1.43	7	10	1.43	9	13	1.44		UCSC Custom Value	3.01	27				3.01										
	Humanities Subtotal	81	131	1.62	85	125	1.47	88	114	1.30	91	128	1.41	1.45	New ratio:	3.01	274	2	6	280		3.91	2.42	2.04	2.86		2.48	2.27	2.57	1.54	2.51
Life Sciences	Biomolecular Engineering/Bioinformatics	9	35	3.89	10	38	3.80	9	39	4.33	9	39	4.33		UCSC Custom Value	5.00	45	1	5	50	5.00										
	Ecology & Evolutionary Biology	17	60	3.53	19	63	3.32	19	78	4.11	21	67	3.19		UCSC Custom Value	4.00	84	1	4	88	4.00										
	Environmental Studies	15	41	2.73	16	42	2.63	18	47	2.61	18	46	2.56		UCSC Custom Value	3.00	54	1	3	57	4.00										
	Microbiology & Environmental Tox.	7	18	2.57	7	18	2.57	7	17	2.43	7	16	2.29		UCSC Custom Value	3.50	25	-	-	25	3.50										
	Molecular & Cell Developmnt Biology	23	53	2.30	22	52	2.36	22	51	2.32	23	47	2.04		UCSC Custom Value	3.50	81	3	11	91	3.50										
	Subtotal	71	207	2.92	74	213	2.88	75	232	3.09	78	215	2.76	2.91	New ratio:	3.69	288	6	23	311		4.93	3.01	3.74	12.34	2.81	2.41	6.95	2.54	3.22	4.66 total average
																															3.28 non-med school average
Physical Sciences	Applied Math & Statistics				20	37	1.85	21	33	1.57	18	29	1.61		UCSC Custom Value	5.00	60	1	5	65	5.00										
	Astronomy & Astrophysics	19	37	1.95											UCSC Custom Value	3.50	63	-		63	3.50										
	Chemistry and Biochemistry	22	92	4.18	21	90	4.29	20	85	4.25	20	86	4.30		UCSC Custom Value	5.00	100	2	10	110	5.00										
	Earth & Planetary Sciences	20	53	2.65	19	52	2.74	18	54	3.00	18	50	2.78		UCSC Custom Value	4.00	72	1	4	76	4.00										
	Mathematics	15	35	2.33	15	36	2.40	13	38	2.92	15	38	2.53		UCSC Custom Value	3.50	53	1	4	56	3.50										
	Ocean Sciences	7	35	5.00	7	33	4.71	7	35	5.00	8	34	4.25		UCSC Custom Value	5.00	40	1	5	45	5.00										
	Physics	22	54	2.45	22	51	2.32	21	57	2.71	19	52	2.74		UCSC Custom Value	3.50	67	1	4	70	4.50										
	Physical Sciences Subtotal	116	341	2.94	115	339	2.95	110	347	3.15	110	331	3.01	3.01	New ratio:	4.13	454	7	31	485		5.78	3.45	3.81	3.35	1.93	3.68	3.19	4.38	2.82	3.60
Social Sciences	Anthropology Department	21	46	2.19	19	46	2.42	22	44	2.00	20	43	2.15		UCSC Custom Value	3.25	65				3.25										
	Community Studies	2		0.00											UCSC Custom Value	3.25	-				3.25										
	Economics Department	19	75	3.95	16	68	4.25	19	70	3.68	20	57	2.85		UCSC Custom Value	3.25	65				3.25										
	Latin American/Latino Studies	10		0.00	10		0.00				11	4	0.36		UCSC Custom Value	3.25	36				3.25										
	Politics	11	31	2.82	11	27	2.45	12	34	2.83	13	32	2.46		UCSC Custom Value	3.25	42				3.25										
	Psychology	24	65	2.71	23	59	2.57	24	61	2.54	26	58	2.23		UCSC Custom Value	3.25	85				3.25										
	Sociology	16	40	2.50	14	37	2.64	13	38	2.92	11	34	3.09		UCSC Custom Value	3.25	36				3.25										
	Social Sciences Subtotal		257	2.50	93	237	2.55	100	247	2.47	101	228	2.26		New ratio:	3.25	328	9	29	358		3.14	2.33	2.86	2.91	1.16	2.22	2.35	2.25	1.80	2.34
Professional	Education	16	35	2.19	16	33	2.06	15	31	2.07	14	30	2.14		UCSC Custom Value	3.25	46				3.25										
	Professional Subtotal	16	35	2.19	16	33	2.06	15	31	2.07	14	30	2.14		New ratio:	3.25	46	-	-	46		2.09	1.12	1.42	1.85		2.45	2.51	5.05	1.88	2.30
Other	History of Consciousness	3	34	11.33	4	31	7.75	2	33	16.50	3	27	9.00		UCSC Custom Value	11.50	35				11.50										
	Other Subtotal	3	34	11.33	4	31	7.75	2	33	16.50	3	27	9.00	11.15	New ratio:	11.50	35	-	-	35		7.47	2.38	2.09	50.00	3.17		3.00	16.00	9.33	
	Campus Total	512	1280	2.50	503	1236	2.46	501	1302	2.60	508	1253	2.47					34	134			4.18	2.71	2.87	3.62	1.85	2.67	3.45	3.06	2.29	

Capacity Scenario (based on Fall 2014 faculty) — Select a similar UC campus (using drop-down menu)

2012-13 Comparison Data (for broad discipline only, based on faculty FTE not headcount)

Total Doctoral Students: 1,807   1,941

* Discipline subtotals and campus totals are unduplicated headcounts (faculty who have more than one appointment may be counted in more than one department but the discipline subtotals and campus total will only count each faculty once). ‡ Faculty allocations within Life Sciences and Physical Sciences is solely heuristic, and do not reflect planned FTE requests.

Appendix II

Faculty Grad Director Survey: Graduate Student Professional Development
April 2015

Dear Department Faculty Graduate Directors,

The Joint Senate-Administrative Task Force on Graduate Growth (JTFGG) was convened on the UCSC campus earlier this year to address campus plans for expansion of graduate enrollments, primarily in academic doctoral programs (but may also consider broader graduate growth issues).

A subcommittee of this wider task force is charged with identifying practices, resources, and needs across the campus for professional development of graduate students, both inside and outside the academy. This subcommittee is now seeking your assistance, as Graduate Director of your program/department to help us identify the salient issues related to professional development of primarily doctoral and M.F.A. students.

Please take some time to carefully consider our questions and **respond to the survey by May 1, 2015**. The questions are separated by broad thematic areas. Your answers will be used by the task force to identify professional development needs across the campus, as well as faculty opinion related to professional development. These responses will help us formulate a report and make recommendations to the Senate and Administration. Responses identifying salient themes, needs, and recommendations will be aggregated at the divisional level.

Please remember that we are particularly interested in doctoral and M.F.A. professional development.

Questions about the survey should be directed to Esthela Bañuelos (esthela@ucsc.edu). Thank you for your participation, and for submitting your **responses by May 1, 2015.**

Sincerely,

Tyrus Miller, Vice Provost and Dean of Graduate Studies & Co-Chair, JTFGG
L.S. Kim, Chair, Professional Development Subcommittee, JTFGG

Questions

Professional Development

1. Please describe what your department does to support professional development for your graduate students, including preparation for alternative academic or non-tenure track careers. For example, does your department offer courses, grant/fellowship writing support, brown bags, teaching opportunities, pedagogical training, and/or opportunities to learn about alternative academic pathways?

2. What are the most salient professional development needs of your graduate students? What does your department need to better address these?

3. Does your department offer grant/fellowship writing training to your graduate students? Please describe.

4. What resources does your graduate program utilize to identify non-academic career options?

Department Culture and Professional Development

1. What is the general faculty perspective in your department on alternative, non-tenure track career placement for your Ph.D. graduates?

2. What is the general faculty perspective in your department on graduate growth?

Tracking Career Pathways

1. Does your department keep track of its Ph.D. graduate placement? Please explain.

2. Does your department track graduates who (check one)
   a. obtain tenure track jobs
   b. obtain non-tenure track positions (inside and outside the academy)
   c. both

3. How does your department use information collected about your Ph.D. graduate placement? (Check all that apply)
   a. List on our website
   b. Make a contacts list available to graduates for network building
   c. Compile information for alumni engagement purposes
   d. Other: please describe.

Campus-wide Resources

1. What additional campus resources for graduate professional development are you aware of on campus? Be specific (i.e. specific career center resources, graduate division resources, divisional resources)

2. What additional campus resources do you feel are needed to support your graduate student professional development needs?

3. If you could add one campus resource to help support your department's graduate professional development efforts, what would that be?

Appendix III   SANTA CRUZ: OFFICE OF THE CAMPUS PROVOST
                                        AND EXECUTIVE VICE CHANCELLOR

JOINT SENATE-ADMINISTRATION TASK FORCE
ON GRADUATE GROWTH

Growth in graduate enrollments has been the aim of the campus for several years. This goal was enunciated in the 2002 Academic Senate resolution calling for 15 percent of total enrollment to be composed of graduate students. The UC rebenching process also calls for growth in graduate enrollments in academic doctoral programs, establishing the goal of 12 percent of undergraduate enrollments. UC Santa Cruz is well below either level of enrollment. Some plans to increase these numbers have already been implemented but additional programs will be needed.

An academic plan must begin with determination of feasible targets and timetables for growing graduate enrollments, while maintaining academic quality, increasing research excellence, enhancing undergraduate education, and enhancing UCSC's reputation. Plans must also take into account the ability of programs to attract and recruit applicants as well as the opportunities for employment for those who complete the programs.

The Joint Senate-Administrative Task Force on Graduate Growth will address campus plans for expansion of graduate enrollments, primarily in academic doctoral programs but should also consider broader graduate growth issues.

Objectives of the Task Force

- Assess targets and timetables to achieve the 12 percent doctoral/undergraduate and 15 percent graduate total enrollment goals, given campus resources (financial and workload), policies, and culture.

- Assess the number and types of programs needed to meet the goals set by the Task Force.

- Assess the effectiveness of resource allocation, incentive programs, and policies currently employed to support and increase graduate enrollments. These programs include TA allocations, block allocations, masters incentive program, multi-year commitments, teaching fellowships, external grant support and other funding.

- Assess the trade-offs the campus will face in promoting graduate growth and possible ways the campus can mitigate these costs.

<u>Membership</u>

<u>Co-Chairs</u>

Ólöf Einarsdóttir
Tyrus Miller

<u>Senate</u>

Abel Rodriguez, Committee on Planning and Budget representative
Dan Friedman, Committee on Planning and Budget representative
Judith Habicht-Mauche, Committee on Research representative
Ken Kletzer, Graduate Council representative
Roberto Manduchi, Graduate Council representative
L.S. Kim, Faculty-at-Large
Mark Cioc, Faculty-at-Large

<u>Administration</u>

Peggy Delaney, Vice Chancellor of Planning and Budget
Joel Ferguson, Senior International Officer
Sheldon Kamieniecki, Dean of Social Sciences
Paul Koch, Dean of Physical and Biological Sciences
Herbie Lee, Vice Provost for Academic Affairs
Irena Polic, Institute for Humanities Research Associate Director
Ashish Sahni, Associate Chancellor

<u>Other</u>

Kristin Miller, Graduate Student representative
Whitney DeVos, Graduate Student representative

With special thanks to Galen Jarvinen, Special Assistant to Planning and Budget

RESOLUTION ON THE DICKSON EMERITI PROFESSORSHIP AWARD

Background

In 1955, a former UC Regent, Edward Dickson, established an endowment for each UC campus in support of *teaching, research and service* by emeriti faculty.
On all the other UC campuses this endowment has been handled by an **emeriti awards committee that selects** the Dickson Emeriti Professor in a manner consistent with the provisions of the endowment. Moreover, this award has been given often to emeriti to support their research **research or service rather than for teaching. Indeed,** several campuses specifically exclude its use as salary compensation for teaching usually covered by administration sources. We note that the standard process on other campuses involves:

- An annual invitation to **all** emeriti to apply for the award
- A stipulation that each application include a statement of the uses to which the award will be put, and a statement of how that use will benefit the campus.

In contrast to the practices on other UC campuses, during the past nine years this endowment has been used by this campus *exclusively* **for salary reimbursement** to emeriti recalled for teaching, and has not involved a publicly advertised or consistent application process. At UCSC these funds have rotated annually between Divisional Deans, who in turn give their Divisional Chairs a free hand to nominate a recipient without sending an announcement to all the eligible emeriti, most of whom are not even aware of the existence of this endowment. To underscore this process, on our campus the word **award** ha been removed from the instructions to the Deans.

Last Spring, at a meeting of our Emeriti Association, the members voted unanimously in favor of a proposal that in the future our association handle this Dickson Emeriti Professorship Award in a manner consistent with that practiced on all the other UC campuses. This meeting was also attended by representatives of the Academic Senate Committee for Emeriti Relations, who spoke in favor of our proposal. Unfortunately, our administration continues to insist on using its current process for determining this award.

Whereas: for the past nine years the CP/EVC has handled the Dickson Emeriti Professorship Award without announcing it to emeriti faculty, and has used it exclusively for **salary reimbursemen**t to emeriti recalled for teaching, while this award was intended also for emeriti **research and service**, and

Whereas: the Emeriti Association requested to handle this Award in the future, as is the case in other UC campuses, but the CPE/EVC refused this request,

Therefore be it resolved:

The Emeriti Association (EA) calls on the CP/EVC, that in consultation with the Academic Senate Committee for Emeriti Relations (CER), and in a manner consistent with whatever provisions the Academic Senate choses to specify, EA conduct the annual selection of an emeriti faculty to receive the Dickson Emeriti Professorship Award for any of the three purposes--

teaching, research and service--stipulated in the originating gift document for this endowment.

Michael Nauenberg,   Current President of the Emeriti Association
                      Emeritus Professor of Physics

Dominic Massaro,   Current Vice-President of the Emeriti Association
                      Emeritus Professor of Psychology

Michael Cowan,   Former President of the Emeriti Association
                      Emeritus Professor of Literature

RESOLUTION FOR APPOINTING THE EMERITI ASSOCIATION PRESIDENT EX OFFICIO MEMBER OF CER

Whereas: the Academic Senate Committee for Emeriti Relations and the Emeriti Association both represent the emeriti faculty on our campus, but

Whereas: in the past there has been inadequate communication and collaboration between these two bodies,

Therefore be it resolved: that the president of the emeriti association be designated an ex officio member of CER by the Academic Senate.

Michael Cowan   Former President of the Emeriti Association
Michael Nauenberg   Current President of the Emeriti Association
Dominic Massaro   Current Vice President of the Emeriti Association