

Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, November 18, 2016 at 2:30 p.m.
College 9/10 Multipurpose Room
ORDER OF BUSINESS

- | | | | |
|-----|--|------|-------|
| 1. | Approval of Draft Minutes | 2:30 | |
| | a. Draft Minutes of May 18, 2016 (AS/SCM/316) | | |
| 2. | Announcements | 2:35 | |
| | a. Chair Einarisdóttir | | |
| | 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: | 3:10 | |
| | a. Committee on Academic Freedom (AS/SCP/1835) | | p.1 |
| | b. Committee on Admissions and Financial Aid (AS/SCP/1836) | | p.4 |
| | c. Committee on Affirmative Action and Diversity (AS/SCP/1837) | | p.13 |
| | d. Committee on Career Advising (AS/SCP/1838) | | p.19 |
| | e. Committee on Educational Policy (AS/SCP/1839) | | p.23 |
| | f. Committee on Emeriti Relations (AS/SCP/1840) | | p.29 |
| | g. Committee on Faculty Welfare (AS/SCP/1841) | | p.33 |
| | h. Committee on Information Technology (AS/SCP/1842) | | p.46 |
| | i. Committee on International Education (AS/SCP/1843) | | p.51 |
| | j. Committee on Library and Scholarly Communication (AS/SCP/1844) | | p.56 |
| | k. Committee on Planning and Budget (AS/SCP/1845) | | p.62 |
| | l. Committee on Preparatory Education (AS/SCP/1846) | | p.76 |
| | m. Committee on Privilege and Tenure (AS/SCP/1847) | | p.81 |
| | n. Committee on Research (AS/SCP/1848) | | p.83 |
| | o. Committee on Rules, Jurisdiction and Elections (AS/SCP/1849) | | p.92 |
| | p. Committee on Teaching (AS/SCP/1850) | | p.94 |
| | q. Graduate Council (AS/SCP/1851) | | p.100 |
| | r. Special Committee on Athletics (AS/SCP/1852) | | p.109 |
| 5. | Reports of Special Committees (none) | | |
| 6. | Reports of Standing Committees | | |
| | a. Committee on Research | 3:15 | |
| | i. Change to Bylaw 13.27.2 (AS/SCP/1853) | | p.110 |
| 7. | Report of the Student Union Assembly Chair | 3:20 | |
| 8. | Report of the Graduate Student Association President | 3:35 | |
| 9. | Petitions of Students (none) | | |
| 10. | Unfinished Business (none) | | |
| 11. | University and Faculty Welfare (none) | | |
| 12. | New Business | | |
| | a. Science and Engineering Library Resolution (AS/SCP/1856) | 3:45 | p.112 |
| | b. Balancing Enrollment and Quality of Education (AS/SCP/1854) | | p.113 |
| | i. Long Range Enrollment Plan (LREP) | 4:10 | |
| | <i>Discussion of UCSC's current plans (for this year and next two years) to address increased enrollment as stipulated in the agreement between the UC Office of the President and the California State Legislature.</i> | | |

- ii. Impaction Work Group 4:30
A work group led by VPAA Lee has produced a brief report intended to inform the faculty at-large of the status of its work, bring transparency by allowing faculty to ask questions and raise concerns, and solicit feedback on specific issues before finalizing recommendations.
- iii. Long Range Development Plan (LRDP) 4:50
Discussion of the initialization of a new cycle of LRDP planning this academic year. Faculty are encouraged to bring forward any questions or concerns, perhaps even lessons learned from previous processes. Campus point person, Vice Chancellor Business and Administrative Services Latham will be in attendance to hear faculty input and engage in the discussion.

November 9, 2016

Academic Senate
Santa Cruz Division

Dear Colleagues,

I write to invite you to the November 18th Academic Senate meeting, at 2:30 at the College 9/10 Multipurpose Room. It will be followed by a reception hosted by the Chancellor and the Senate. The agenda may be reviewed at:
<http://senate.ucsc.edu/senate-meetings/agendas-minutes/2016-2017/2015-November-18-Meeting/index.html>

Based on comments we have received, we have changed the format of the meeting to focus on specific topics of immediate concern and interest. The aim is to solicit early feedback from Senate faculty about major issues that campus leaders are addressing.

One such issue is the recent renovation and book migration undertaken by the Science and Engineering Library. Faculty members have submitted a resolution aimed at increasing consultation between the Library staff and faculty prior to major decisions being made about reduction in print collections.

Another discussion item on the agenda is the campus response to the increased enrollment targets stipulated by the systemwide Long Range Enrollment Plan (LREP). A joint Senate and administration work group has been exploring ways to improve capacity and will solicit faculty feedback on this issue as well as policies regarding impaction and enrollment caps.

There will also be a discussion of the Long Range Development (LRDP) plan for our campus, which is in its initial stages. The goal is to invite comments that can be taken into account to guide future LRDP planning.

I look forward to seeing you on Friday November 18th and hope you can stay for the reception.

Regards,

Ólöf Einarsdóttir, Chair
Academic Senate
Santa Cruz Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 18, 2016 Senate Meeting

The draft minutes from the May 18, 2016 Senate meeting were distributed via email on October 31, 2016 and will be presented for approval at the Senate Meeting on November 18, 2016. 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 17, 2016**. 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

November 5, 2016

**Committee on Academic Freedom
Annual Report, 2015-16**

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) met quarterly, as issues arose for discussion and review. This year the committee revisited the issue of civility with regard to groups with conflicts, the UC Regent's statement of intolerance, and monitoring of electronic information in the UC System at the campus level. A summary of committee business follows.

UCAF and Civility Issues

Discussions at the University Committee on Academic Freedom (UCAF) meetings concerned academic freedom and civil speech issues and revolved around constraints or "chilling effects" on both free speech and dissenting points of view. UCAF created a statement on civility last year, which was adopted with minor revisions by the Academic Council on April 1, 2015 for divisional senate committees on Academic Freedom to post on a website for faculty to reference. See attached Appendix A for the final position statement.

On November 19, 2015 the UCSC Chancellor's Office sent out an email transmittal titled "Campus Civility in the midst of turmoil." This communication prompted commentary from the UC Santa Cruz Faculty Association (SCFA) Executive Board, faculty members, the United Automobile Workers Union (UAW), and the Student Union Assembly (SUA) president. CAF reviewed the original email and all subsequent communications during a fall meeting discussion.

From the perspective of CAF, the fundamental intent of the email, regarding the Chancellor's plan to convene the Chancellor's Diversity Advisory Council to discuss the climate for Jewish students on campus, is non-controversial. However, members did find concern about the wording and context invoked as part of the rationale for addressing that campus climate issue, as these were subject to diverse interpretation and indeed precipitated several vehement reactions. By juxtaposing the mention of the SUA vote to reinstate a resolution urging UC divestment from Israel (without clarifying that this was apparently for military arenas only), and contextualizing that vote by mention of the Boycott, Divestment, and Sanctions (BDS) movement and potential chilling effects on Jewish members of the community, the Chancellor's email wording could be interpreted as administrative siding with one perspective of the complex topic.

CAF members appreciated the Chancellor's acknowledgement of the SUA's right to vote as they did, but CAF did have some concern that the email message could unintentionally cast a chill on students and others who are critical of Israel's policies and wish to weigh in on this issue. CAF sent a comment on the email to the Chancellor. The Chancellor stated at the Spring May 18, 2016 Senate meeting that he was willing to meet with CAF to have a discussion with the committee.

UC Regents Policy on Intolerance

An initial version of a Policy on Intolerance was presented at the September UC Regents meeting. The statement was submitted without Senate review and several Regents viewed it as non-responsive to original concerns involving acts of intolerance toward Jewish constituencies across the campus, and it was not adopted. Instead, a Working Group to Consider Principles Against Intolerance was tasked to create a new document. An open forum was held at UCLA in October; during that forum, various groups from the campus and the public – including scholars and opinion leaders on first amendment issues – made five-minute presentations. Consequently, various viewpoints were represented.

The working group prepared a report by March 17, 2016, with limited opportunity for Senate commentary. The Academic Council drafted a response with input from UCAF for the March 23, 2016 Regents meeting where the statement was eventually approved after incorporating minor additional language recommended by UCAF. The implementation of the policy remains unclear. CAF members are concerned that the policy, as written, is vague. It received a lot of press and public discussion. The main concern is over the unclear boundaries for interpretation of when anti-Zionism may be conflated with anti-Semitism, thus leading to actions deemed to be acts of intolerance. Another concern is with the document's highlighting of anti-Semitism amongst various acts of intolerance on campus.

Cybersecurity Changes Systemwide

The Office of the President initiated a computer system for monitoring cyberattacks on UC Campus network systems. This action was taken based on a breach of a campus with medical records. Our campus now has an initial UC monitoring system in place and will be required to update to a new system in the near future. The local network monitoring involves email and other communications coming to the campus network on its boundaries. It is not clear whether any academic freedom issues will surface, and there is no immediate action to take prior to fall quarter. UC has contracted with two companies for campus cybersecurity: Fidelis and FireEye. Both are threat detections software systems. UCSC is currently running Fidelis and will be transitioning to FireEye. CAF invited Janine Roeth, ITS Director Client Service and Security, to consult with committee members at a spring meeting on what faculty can expect. VCIT Doyle will be sending a request for review to the Senate Chair in early fall, as this topic spans other committee purviews. FireEye technology has potent capabilities, as are required for security of patient information databases at healthcare institutions; presumably UCSC does not need to implement the full suite of potentially intrusive capabilities of FireEye.

ITS wants to work with the Senate committees on the level of implementation of FireEye capabilities to be locally adopted, with consideration of privacy and academic freedom issues. This will need to happen during the fall 2016 quarter with all levels of appropriate consulting per established procedures in the ECP (Electronic Communication Policy). CAF recommends Senate review of the policy with guidelines written in language faculty can understand so there can be constructive commentary on the implementation. Chair Lay encouraged the Senate leadership to activate fall quarter Senate input to the ITS.

CAF's recommendation for next year's committee:

- Explore social media and academic freedom constraints.
- Consider trigger warnings in the classroom; what policies/best practices are available for faculty to reference.
- Follow up on new monitoring program FireEye and what aspects of the software will be locally implemented
- Assess bias in student evaluations; new system implementation.

Respectfully submitted;
COMMITTEE ON ACADEMIC FREEDOM
Gopal Balakrishnan
Deborah Gould
Karlton Hester
Hongyun Wang
Thorne Lay, Chair

Emily Reisman, GSA
Robin King, NSTF

August 18, 2016

Appendix A

UC Academic Council Position on Academic Freedom and Civility
Proposed by the University Committee on Academic Freedom
Endorsed by the Academic Council April 1, 2015

The Academic Senate expresses its support for the tenet that UC campuses should aspire to civil discourse, so long as this tenet is not allowed to operate in practice as a restraint on academic freedom. While the Academic Senate urges that discourse in any context, in or outside the classroom, be respectful of individuals whose viewpoints one may not agree with, the Senate strongly endorses the preeminence of the value of academic freedom.

Academic freedom includes the right of members of the university community to express their views, even in passionate terms, on matters of public importance. That right is a necessary part of what the U.S. Supreme Court has called our “profound national commitment to the principle that debate on public issues should be uninhibited, robust, and wide-open.”

Committee on Admissions and Financial Aid Annual Report, 2015-16

To: Academic Senate, Santa Cruz Division

The Committee on Admissions and Financial Aid (CAFA) continued the critical work evaluating the outcomes of the 2015 admissions cycle and taking into consideration the changing admissions playing field for 2016 admissions. Areas of specific focus included: 1) refinement of Holistic Review policy; 2) refinement of appeals policy; 3) final selection criteria; 4) selection modeling; 5) developing data request plan to aid the committee in its consideration of admissions decisions. This was a challenging year for admission standards and policy with the added complications of the enrollment mandate from the Office of the President, requiring the enrollment of an additional 5,000 California residents systemwide in 2016-17, and the actions taken by the state legislature described in more detail below (see Nonresident Admissions), related to the ratio of California residents to domestic and international nonresidents enrolled at UC. It is within this landscape that CAFA worked to shape policies that will create an incoming cohort that reflects the diversity of California and is academically prepared for the rigors of study at UCSC.

Work of CAFA in 2015-2016 Committee Foci

1. Holistic Review

During the 2015-16 session CAFA reviewed and revised key components of the Holistic Review policy as part of its annual assessment of campus admissions goals. As mentioned above, a major goal of the committee this year was to institute policies that will ensure diversity within the student body as well as the academic success of its individual members. A component of this endeavor is the Holistic Review Policy that prescribes how UCSC will evaluate applications for admission into UCSC. Evaluations involve 14 criteria with the applications scored 1 - 5. CAFA clarified the minimum scores for automatic admission and the minimum percentages for GPA and SAT within the top bands, and added language to reinforce the goal of increasing diversity at UCSC.

Final Selection Criteria

Despite the challenges, CAFA reached final selection criteria for both resident and nonresident applicants. During winter quarter 2016 when the committee meticulously deliberated a set of admission scenarios provided by Enrollment Management and reviewed a set of diversity-promoting recommendations introduced by Associate Vice Chancellor of Enrollment Management (AVCEM) Michelle Whittingham. These recommendations proposed varying combinations of minimum Holistic Review Scores (HRS), student success indicator scores (SSI), combined with other academic and diversity indicators such as eligibility in the state context, (top 9% of all high school seniors), eligibility in the local context (top 9% of a participating high school's graduating class), first generation college student status, and others, to forecast how the incoming cohort might look. After deliberating over the scenarios and their hypothetical outcomes, CAFA arrived at a decision that members agreed would meet our campus goals of selecting a frosh cohort of both academic preparedness and ethnic diversity.

These goals were revisited in the spring when CAFA reviewed the campus waitlist strategy implemented by Enrollment Management. AVCEM Whittingham provided an overview of the strategy being used to populate the waitlist. Members agreed that the waitlist strategy should augment and complement the goals established for the final selection criteria and established a set of principles for admitting students from the waitlist.

2. Nonresident Admissions Compare Favorably

On an annual basis the Board of Admissions and Relations with Schools (BOARS) sends out a request to divisional admissions committees to assess the extent to which their campus has met compare favorably standards. This standard, established in 2011, requires that the student success indicator scores (a combination of test scores and GPA known as SSI) of admitted nonresident (domestic and international) students should “compare favorably” to those of admitted California residents.

The data provided by UCOP for our campus, although focused narrowly on the academic SSI scores, (not the only factors considered as components of our campus Holistic Review policy), shows a discrepancy in admission rates for nonresident and California residents. The data shows that the Santa Cruz campus showed a particular discrepancy in high school GPA and standardized test scores in the lower quintiles during the period of 2012–15.

This issue became much more politicized this year due to specific actions taken by the legislature. In February of 2015, the Joint Legislative Audit Committee requested that an audit of the UC system be performed. The California State Auditor released its report, “The UC: Its Admissions Decisions Have Disadvantaged California Residents” on March 30, 2016. The primary assertion of the Auditor’s report was that nonresidents were displacing California residents within the UC system. The following day UCOP released a public response to the report “Straight Talk on Hot Button Issues: UC Admissions, Finances, and Transparency,” which directly addressed the auditor’s assertion by arguing that UC admits as many CA residents as the legislature provides funding for. As nonresidents pay full tuition, they are not taking the place of California residents because they are not receiving state monies that would fund a California resident.

The legislature also introduced bills that directly addressed the enrollment ratio of California residents to nonresidents. While most of these did not progress, language bearing on California resident/nonresident enrollment was placed in two state budget trailer bills, SB 826 and AB 1602, that ties state funding for UC to increases in the enrollment of California residents. These bills were signed into law on June, 27, 2016 as part of the Budget Act of 2016.

CAFA wishes to stress that the compare favorably metrics of SSI among three populations (CA residents, nonresident domestic, nonresident international), are narrow measures of assessment. These compare favorably metrics do not measure non-cognitive factors, including overcoming social obstacles, exceptional accomplishments, leadership quality, and educational inequity that we carefully consider for our California applicants, who constitute more than 95% of the incoming frosh cohort since 2012. These non-cognitive factors are the backbone of the Holistic Review process adopted by UCSC two years ago.

CAFA strongly believes in the value of a globally diverse student body for enriching the educational experience for all of our students. CAFA supports the development of collaborative pipelines and partnerships with educational institutions around the globe in order to expand the diversity of our national and international pipelines. CAFA also has been working with the administration on setting medium term goals for achievable steps that bring us closer to meeting compare favorably. CAFA strongly supports, as the next step, setting minimum scores on predictors of academic success for admitting Nonresident applicants that do not dip below the lowest minimum scores for any category of California resident applicants.

Confronted by steep international competition in the higher education market, the Santa Cruz campus has overcome tremendous odds in comparison with our larger and better known campuses and will endeavor to move towards meeting compare favorably standards and will continue to work with the administration to achieve this shared goal. Each year going forward, we will further our work with the Office of Admissions to collaboratively review the resulting admissions outcomes and rates in each residency category, and we will continue to work with the Office of Admissions to set targets that will allow us to meet compare favorably in the medium term.

B. Sub-Committee Efforts

1. Appeals Subcommittee

During the winter and spring quarters CAFA advised on revisions to the Appeal Policy. The policy outlines the appeals process for applicants, admitted, and enrolled students, who have had their admission denied, cancelled, or who have received a notice of intent to cancel, which occurs when the student or prospective student fails to meet the conditions of their admissions contract. Breach of contract usually occurs within three categories:

1. Missed deadline (e.g., official records are not received by a required date);
2. Academic performance shortfall (e.g., an unapproved change in planned academic course occurs or performance within the approved course schedule is below expectations); and
3. Falsification of applicant information.

In these situations the prospective or current student has a right to appeal these decisions, and this process is outlined in the Appeal Policy.

The key issues addressed by the proposed revisions had to do with process change regarding timing of admission cancellation once the quarter has started, and the role of the Cancellation Appeals Review Committee (CARC) in pre-cancellation appeals of an intent to cancel. The Appeals subcommittee reviewed the Admissions Appeal Policy with recommended revisions from AVCEM Whittingham on line prior to the meeting, focusing on the areas mentioned above. The subcommittee made their recommendations to the full committee, which included a recommendation to approve the AVCEM's proposed revisions. The committee voted unanimously to approve the policy.

2. Data Subcommittee

This year, the committee continued discussions that began in 2014-15, deliberating specific data that would be useful to review on an annual basis to help the committee in its consideration of admission criteria and selection decisions. The committee considered the goal of identifying the most relevant data needs as well as best sources for a research request. The data subcommittee developed requests for two distinct projects: 1) the annual admissions data request to Enrollment Management, which codifies and formalizes the request for data already provided to CAFA throughout the year, and 2) a request for data from Institutional Research intended to better understand how admission criteria correlate with student success.

The admissions data request (June 2016) will assist the committee with logistical planning in future years, and outlines the data request stages and schedules for data received by CAFA, including a) application profile data, b) population outcomes under admissions scenarios, c) admissions profile data, d) admissions summary data, e) waitlist status report, f) SIR profile data, and g) enrollment profile and summary data.

The student success project data request (June 2016) is intended to provide CAFA with the appropriate data to help the committee assess how admissions criteria influence the overall probability of success of the enrolled class. The goals of this project are 1) to understand the evolving institutional definition of student success, and to develop specific measures of student success beyond the narrow definition, often connected to admissions practices, of first year grades, and 2) to identify particular admissions policies that not only reach various diversity and inclusion goals of the campus but do so in a way that maximizes the probability of success of all admitted populations. The data subcommittee has further discussed the data request with Institutional Research and Policy Studies (IRAPS) Director Fernald and Vice Provost of Student Success (VPSS) Jaye Padgett (July 2016), and has learned that the Education Advisory Board (EAB) Student Success Collaborative (SSC) is undertaking work that complements the student success data request. The Office of Institutional Research has agreed to provide CAFA with a report in fall 2016, which will outline the data already being collected by the EAB SSC. The IRAPS report will inform CAFA's further revision and development of its student success data request plan.

II. Issues for the Near Future

- Review of Holistic Review (HR) policy
- Continued assessment of final selection criteria and implementation
- Review of academic and demographic outcomes from fall 2016 selection
- Review of non-resident awards (Undergraduate Dean's Awards)
- Update of Student Success Data Request Project Plan

III. Admissions and Financial Aid for Fall 2015

A. Admissions

A brief summary of UCSC admissions data excerpted from data provided by UCSC Office of Enrollment Management (OEM) is included below. These data are preliminary and subject to subsequent change. All data below, unless otherwise noted, were compiled from reports publicly available from the OEM.

OEM data indicates that UCSC admitted a total of 28,884 undergraduate students for fall 2016. The admission rate for all frosh was 58.8%. The average high school GPA of admitted frosh was 3.85 (on a 4.0 scale) representing a 0.03 decrease from fall 2015. UCSC admitted a total of 2,808 out of state and 3,626 International frosh, for an admit rate of 83.1% and 64.5% respectively. UCSC admitted a total of 5,691 transfers for fall 2016.

Statement of Intent to Register (SIR) data for fall 2016 indicates that frosh student acceptance of offers of admission totaled 5,340 students, a 12.7% increase from fall 2015. Of this group, 297 out of state and 392 International students accepted their offers of admission. SIR data for transfer students indicates a total of 1,466 students accepted their offers of admission, including 17 out of state students and 52 International students.

Official campus enrollment figures are expected to become available in November 2016.

B. Financial Aid and Scholarships

The demand for financial aid continues to increase, with about 82% of UC Santa Cruz students receiving some type of financial aid in 2015-16 (including grants, scholarships, fellowships, loans and/or work-study assistance.) In 2015-16, support has been provided to 12,924 undergraduate students and 1,531 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 5 years include reduced eligibility for continuing students to Cal Grants, Federal Pell Grants, and Federal Loans, and most recently the reduced eligibility for state aid to non-resident students.

The 2015-16 academic year was the second year of 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 earning under \$100,000 a year and 10% for families earning under \$150,000. 2015-16 saw an additional eligibility criterion added, a limit of \$150,000 in family assets, greatly reducing the number of eligible students at UCSC. For 2014-15, UCSC had 1,331 students receive an average of \$999, with a total disbursed amount of \$1,330,000. In 2015-16, with the new criteria, the campus had 656 students receive an average award of \$1,293, with a total disbursed amount of \$847,000.

The 2015-16 academic was, as well, the first year of eligibility for the newly created CA Dream Loan. This loan program is being funded 50% by the state and 50% by university aid funds, and allows for a maximum annual award of \$4,000 to CA Dream Applicants. Due to funding constraints, there is actually less than \$1,000 available per eligible student annually, but not all students will participate in the program, and the funding is being monitored closely to avoid a deficit scenario. The program was first made available in the 2016 spring term, so less than \$100,000 was borrowed in the first year. The low number of awards in 2015-16 is enabling a carry forward into 2016-17, further reducing the risk of over-lending.

The 2016-17 academic year will be the first year for the re-established University Loan Program, which has been dormant since 1999. This program is intended to provide partial replacement of the Federal Perkins Loan program, which sunsets at the end of June 2017. The plan is to begin offering university loans for emergency situations in fall 2016, and ramping up the program to enable additional loan eligibility more broadly to students enrolling in the 2017 Summer Session.

The 2016-17 academic year will also be the final year for the Federal Quality Assurance (FQA) program. UC Santa Cruz has been performing federal and institutional verification of Free Application for Federal Student Aid (FAFSA) data for more than 20 years under the policies established by the QA program. Institutional verification is a critical component of equitably awarding university grant funds, as the need analysis under the current federal methodology is primarily focused on lower-income Pell Grant eligible students, and does not result in significant verification and corrections to higher income families. With the expiration of the QA program, UCSC will lose the flexibility of determining which student files to verify, as the campus will be required, at minimum, to verify the FAFSA data of students flagged by the Department of Education.

The 2017-18 academic year will be the first year for the “Early” FAFSA and “Early” Dream App (often referred to as Prior-Prior-Year). Rather than looking at the most recent (prior) year of financial data for a family, the FAFSA and Dream App will begin looking at the financial records from the “prior-prior” year. Beginning in October 2016, students will be able to file their FAFSA/Dream App for the 2017-18 aid year, using tax information from 2015.

The increased workload associated with the expiration of the FQA program, the new Early FAFSA/Dream App, 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 service to students and their families.

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. In 2015, a change to the EFM model was approved, allowing the usage of current year (fall 2015) data as a part of the formula governing the distribution of centrally held funds. This has benefited UCSC, as the campus experiences rapid growth in need based aid recipients. The campus was behind the curve with the previous model, which relied solely on 3 prior years of data for determination of funding.

For the 5th year in a row, the system-wide in-state tuition and fees remain relatively unchanged, this year having a small increase of \$54 to bring the new amount to \$12,294. Other elements of student budgets have continued to increase, for example health insurance. With no increased RTA from tuition revenue, the campus has been forced to reduce the percentage of university grant funds in the student aid package.

However, over the past 3-4 years, an increasing number of students, mostly nonresident, are falling into the category of “full-payers,” and this population is contributing to the RTA and receiving minimal 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 has been able to be increased. Unfortunately, as a result of the state budget negotiations in the spring/summer of 2015, this contribution to the RTA pool has been slated to phase-out, as the RTA funds from entering non-residents are being redirected into other programs. Continuing non-resident students remain eligible for RTA funding, and so the impact to the current student population is minimized.

The average cost for a student living on campus in 2016-17 will be about \$35,505. Under EFM, 2016-17 UCSC undergraduate students who qualify for need-based assistance must pay approximately the first \$9,600 of their need from loan and/or work resources. After subtracting the loan/work expectation and the family contribution (from FAFSA/DREAM App 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 already 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.

In 2015-16 the Financial Aid and Scholarship Office administered \$276 million in financial assistance to about 80% of UCSC’s undergraduate students, as compared to \$273 million / 80% in 2014-15.

Table 1: Financial Aid

2015-16 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	73%	\$195,000,000	\$ 16,445
UCSC Scholarships*	14%	\$ 7,091,780	\$ 3,022
Federal Pell Grants*	46%	\$33,453,226	\$ 4,462
Student/Parent Loans	54%	\$78,916,524	\$ 8,928
Federal Work-Study	8.4%	\$ 2,488,814	\$1,826
* Included in gift aid			

Of the UCSC students receiving bachelor’s degrees in 2014-15, 64.4% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$22,580. However, the debt can be as high as \$57,500 on an individual basis, which is the federal cumulative maximum amount an undergraduate student may borrow.

Nationally, 69% of seniors graduated in 2014 had student loan debt, with an average of \$28,950 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 11.8% for 2012 (per Dept. of Ed.). The rate for the campus has been exceptionally low in recent years but did spike in 2010-2011, possibly due to the recession.

Table 2: Default Loan Rates

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2009	4.1%	3.7%
2010	4.3%	4.2%
2011	5.6%	5.7%
2012	3.5%	3.4%
2013	3.1%	Not Yet Available

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 fundraising 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:

Table 3: Scholarships

2015-16 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	157	\$ 760,407	\$4,753
Campus Merit Scholarships	340	\$ 349,971	\$1,014
Pister Leadership Opportunity Awards	17	\$ 107,732	\$6,337

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

CAFA collaborated closely on key issues with the Undergraduate Education Division, and the committee's work was enhanced by data provided by Enrollment Management and the Office of Admissions.

Respectfully submitted;

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

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August 31, 2016

Committee on Affirmative Action and Diversity 2015-16 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.

Issues CAAD Addressed in 2015-16

CAPM 101.000: Waivers of Open Recruitment - Diversity Statements and Discussions

Last year CAAD engaged the administration in a dialogue to create clarity in the role of CAAD in the waiver process. Specifically, in correspondence dated May 26, 2015 CAAD requested:

1. That proposals for waivers of open recruitment for both Target of Excellence (TOE) and Spousal/Domestic Partner hires “must” include a discussion of diversity contributions (currently the policy is inconsistent with language stating a TOE request “must” include and a Spousal/Partner request “should” include), and
2. That candidates for a waiver of open recruitment be required to submit a diversity statement to be included with the waiver proposal.

On August 5, 2015, CP/EVC Alison Galloway announced the issuance the new CAPM. 101.000 policy.

- Under section 1(e) relating to TOE proposals, the original language stating that “Proposals must also include a diversity discussion” was retained.
- In section 1(f), a TOE proposal is now required to include, “*a statement from the individual addressing their past and/or potential contributions to diversity through their research/creative work, teaching, and/or service.*”
- Under section 2(d) for Spousal/Partner hires the provision now reads, “Proposals **must** also include a discussion of how the individual contributed to diversity through their research/creative work, teaching, and/or service in their past work and/or how they may contribute to diversity through their research/creative work, teaching, and/or service in their position at UCSC;”

The sections are now consistent in their requirements in that both TOE and Spousal Partner Hire proposals **must** include a diversity discussion. The proposals for TOE hires are now much richer in their diversity related content because of the new requirement that a diversity statement from the candidate be included in the proposal packet.

CAAD recognizes that the amendments to CAPM 101 represent a modification of existing policy, and that there is not a standard and accepted interpretation of what a “discussion” is. Moving forward, CAAD will be working with the administration on how to interpret this

language, and whether we might consider offering some guidance regarding how best to fulfill the policy for future proposal writers.

Campus Climate

In 2006 CAAD produced a Diversity Climate study that assessed the progress made toward achieving campus diversity goals. In 2014 a campus climate study was conducted by Rankin and Associates. This academic year, committee members reviewed the 2006 committee report and along with the 2014 Rankin and Associates Report to assess differences in findings, analysis and recommendations. We are in the process of determining whether additional research on or analysis of key findings is warranted.

Bias in Faculty Evaluations

One of the areas that CAAD investigated in terms of campus climate, and for possible future research, is the role of implicit bias in student evaluations due to faculty's gender, race, and other forms of difference, and the effect this bias can have in the faculty personnel review process. To this end, CAAD spent time this year conducting a literature review and compiling an annotated bibliography on the topic. The committee also conferred with the Chair of CAP on this issue.

In line with this investigation, CAAD reviewed correspondence from VPAA Lee soliciting feedback from the Academic Senate on the issue of standardizing UCSC course evaluations. Overall, members support the movement towards standardized evaluations and think this movement could help promote greater transparency and equity in the personnel review process across departments and divisions. At the same time, the committee raised concerns regarding the drafting and vetting of these universally used questions, as well do the possible inclusion of a question on classroom climate. With scholarly literature on the subject in mind, members noted that the way a question is written can be leading, and/or have an effect on the potential for bias in reviews, and they requested that CAAD have an opportunity to review the questions on the new evaluations once they are written. Relatedly, with regards to whether or not a question on "classroom climate" should be included in a standardized evaluation, we noted that CAAD has raised concerns in the past about the inclusion of such a question due to the potential for bias it may elicit. Additionally, we found studies showing that, when teaching controversial content, women and minority faculty received more negative evaluations than white men. While this committee recognizes the good intentions for including such a question, given the relationship between controversial content and "classroom climate," CAAD continues to hold that including such a question could elicit bias, and so have a deleterious effect on faculty diversity.

Family Friendly Policies and Campus Child Care

Another area that CAAD research this past academic year was that of family friendly policies, including campus child care, in faculty diversity and equity. The committee conducted a literature review and produced an annotated bibliography in this area. The primary conclusion drawn by committee members was that the current lack of employee childcare has a direct and negative impact on campus diversity and equity.

CAAD reviewed the Faculty and Staff Child Care Services Model Analysis Team final report submitted to the Academic Senate for review on October 19, 2015. CAAD's review and recommendations were conducted through the lens of its purview and with the above literature

review in mind. CAAD members noted that the membership of the Analysis Team was problematic as there were no faculty representatives on the “Faculty and Staff” analysis team, nor was their analysis informed by current research. The team’s analysis of the options presented weighed heavily on financial costs and contained no recorded benefit analysis of other factors important to faculty and campus academics, such as diversity and equity. CAAD questioned what resources and background documents were provided to the Analysis Team due to the limited scope of the analysis, which suggested that there was no consideration of existing models on other campuses or options previously explored by UCSC. The Analysis Team determined the option of building an on-campus child care center as “less desirable” than building off campus due to the costs associated with campus construction. CAAD is not convinced that the initial construction costs makes it cost prohibitive. Only a ten year cost projection was considered by the team, and an on-campus center would serve for many decades to come and likely be more cost effective over time. Further, in its November 25, 2015, correspondence to Chair Brenneis, CAAD raised the concern that, once an option is selected, access and equity issues must be addressed. There will likely be greater demand than spots or funds available, and much care will be needed to create a service model that promotes equity, inclusion, and diversity. CAAD looks forward to faculty participation on the committees that will work to establish these service guidelines. CAAD looks to the Committee on Faculty Welfare, and the Committee on Planning and Budget to provide further comment on the cost/benefit analysis, as well as what additional considerations may need to be made and explored in order to establish employee child care on our campus. To this end, Chair Greenberg met with the Chair of CFW to offer to support and collaborate with CFW in their efforts.

CAAD Forum

This year CAAD created a new online space called CAAD Forum to present selected research and news reporting on diversity and equity related issues, with a particular focus on the role these issues play for faculty in the higher education workplace. Additionally, it was designed with space to host links to relevant on-campus resources and services, and announcements of upcoming events. The site was created in WordPress and within the new, administratively supported sites.ucsc.edu platform. CAAD reached out to Sheree Marlowe and Ashish Sahni at ODEI, both of whom expressed enthusiasm for the project. Associate Chancellor Sahni and Chair Greenberg have continued to plan future CAAD/ODEI collaboration - including funding, development, and publicity - around the site.

CAAD’s short-term goal for the site is to present relevant and timely research to educate ourselves, future CAAD committees, and the campus as a whole on diversity and equity-related issues and the national conversation surrounding them. Over the longer-term, we hope that these resources can inform broader discussion and more effective action on these issues in the Senate and across UCSC. In addition, our goal is to create a site where faculty can easily access campus-wide information related to diversity and equity, including links to resources, benefits, and upcoming events, that is currently spread across many webpages.

In terms of process, CAAD members collaborated on naming and framing the approach of the “Forum.” The Committee considered a draft Statement of Purpose, walking through the document with Chair Greenberg and making suggestions pertaining to tone, points of emphasis, and criteria for content on the site. These criteria included the importance/relevance of the

research, the orientation of research toward potential policy change, and accessibility of the webpage across disciplinary boundaries. This latter point underscores the need for the content to be faculty-centric and jargon-free.

The first two areas of research that CAAD chose to focus on in the Forum are those mentioned above, upon which we conducted research: 1) implicit bias in teaching evaluations and 2) the equity impacts of the presence, absence, and institutional support of family-friendly policies. Chair Greenberg created annotated lists of prominent scholarly studies and news reports, with links and introductory material, and formatted these for the website. She presented draft documents to Committee members, who offered editorial and conceptual feedback. With these as templates, CAAD hopes to build more data-rich, issue-specific pages for the site.

Statements on Diversity Implications of Proposed Policies and Programs

Systemwide and Divisional 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

- Sexual Harassment Policy
- SB 140
- Retirement options
- Proposed Guidelines for Search Waivers
- Disciplinary Proceedings for Faculty Under SVSH Policy

Divisional

- VPAA Lee UCSC Course Evaluations
- Faculty Salary Equity
- VPDUE Hughey Class Time Slot Proposal/Finals Block Proposal
- 2016 UCSC Affirmative Action Plan
- VPSS SSERC Proposal

CAAD also reviewed three (3) waiver of open recruitment proposals (one TOE and two Spousal/Domestic Partner proposals). The implementation of the new diversity statement requirements for TOE and discussions for Spousal Partner proposal requirements, in most cases provided sufficient information upon which the committee could evaluate diversity contributions of the waiver candidate regarding past and/or potential contributions to diversity in the areas of teaching, research, and/or service. In the case of the TOE proposal, the required diversity statement provided ample information from which the members could evaluate the past and potential future contributions of the candidate to diversity. However, there needs to be further clarification and dialogue on what constitutes a “discussion” with regard to the discussion of diversity contributions in a spousal partner proposal.

CAAD Consulted With

Vice Provost of Academic Affairs Herbie Lee: Salary Equity

VPAA Lee met with CAAD on November 2, 2015 primarily as a follow up to the UCSC Faculty Salary Equity Study (January 2015) and brainstormed ideas for next steps, including potentially gathering additional data and educating the greater campus on potential issues of bias and inequity indicated there. Two issues warrant further analysis:

1. The lack of a campus plan to address issues highlighted in the report.
2. Current members' concerns about inequities revealed in the report regarding salaries and rates of advancement across departments and divisions.

These issues span many committee purviews, and CAAD looks forward to collaborating with these two committees and the Senate Executive Committee (SEC) to create a concrete set of recommendations for the campus to address, and to consider some other factors studied by sister campuses that may warrant observation and attention at UCSC - such as, for example, the effect of stopping the tenure clock on advancement and salary equity - an issue that was studied and found to be significant at UC Davis. From that conversation and from our analysis of the Faculty Salary Equity Study, CAAD has identified four factors associated with faculty salary equity that should be studied further on the UCSC campus:

1. Inequities regarding salary and rates of advancement across departments and divisions
2. Potential teaching and service related disparities (for instance how the labor of teaching large lecture "service classes" and doing service more generally is distributed)
3. Potential bias of, and over-reliance upon, student evaluations in the personnel review process
4. Potential disparities in, and perceived negative consequences of, taking advantage of family friendly policies

At its meeting on November 30, 2015, CAAD identified specific actions related to educating campus administration and faculty on the latest research related to bias in faculty evaluations. Members discussed options and approaches to creating a training framework for administrative staff, faculty, and department chairs. As mentioned earlier, one of these options was using the committee's Senate website to further its education and outreach goals related to research on bias in faculty evaluations. Chair Greenberg also consulted with the Chair of CAP on the possibility of presenting materials for the annual Chair's orientation on the subject.

Associate Chancellor Ashish Sahni:

Affirmative Action, Moreno Report, and Diversity Officer Search

CAAD consulted with Associate Chancellor (AC) Ashish Sahni as part of its annual review of the UCSC Affirmative Action Plan. In addition the committee requested updates on the Office of Diversity, Equity and Inclusion's co-funding program and any possible follow up to the Moreno Report reviewed in 2014. CAAD went into the consultation with an interest in increasing dialogue with the administration on the issue of campus climate. The Associate Chancellor had two goals for the meeting:

1. Seek guidance from CAAD on how to put the affirmative back into “affirmative action”
2. Seek CAAD’s input into the selection process for Sheree Marlow’s replacement.

They noted the AC was contemplating a more proactive approach to addressing diversity on campus. On the issue of the impending vacancy for Campus Diversity Officer for Students and Staff, the committee voiced concern over the bifurcation of the position and suggested that with the new person, the position could be redefined as an agent for interface between the various interest groups on campus.

CAAD on Systemwide and Administrative Committees

Chancellor's Diversity Advisory Council (CDAC)

Chair Greenberg was invited to serve as a representative on the Chancellor's Diversity Advisory Council (CDAC) (formerly known as the UCSC Advisory Council on Campus Climate, Culture and Inclusion) for the 2015-2016 academic year. Traditionally the CAAD chair serves on the council.

University Committee on Affirmative Action, Diversity, and Equity (UCAADE)

The CAAD chair served as the campus representative on the system-wide UCAADE, which met four times over the course of the year. The CAAD chair also represented CAAD on the Senate Executive Committee (SEC), which met bimonthly. Dejan Milutinovic served as an alternate for SEC meetings. Lastly, the CAAD chair represented CAAD on the 2015 Chancellor’s Achievement Awards for Diversity selection committee.

Co-sponsored Events

CAAD co-sponsored two campus-wide events. The first, co-sponsored with the Committee on Career Advising, was the “Forum on Micro-Aggression in the Classroom,” on May 6, 2016, led by Sheree Marlowe, Campus Diversity Officer for Staff and Students, and Christy Byrd, Assistant Professor of Psychology. The second, co-sponsored with EVC Alison Galloway, was “Beyond Compliance: An Ethic of Service,” held May 10, 2016, and addressed responses to sexual harassment and sexual violence on our campus. CAAD intends to continue to collaborate on these important issues in the year to come.

Respectfully submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

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Committee on Career Advising Annual Report, 2015-16

To: Academic Senate, Santa Cruz Division

The Committee on Career Advising (CCA) was reconvened in 2014-15 to launch the UCSC Faculty Mentorship Program. The goals of the program are to provide mentoring support that contributes to retaining a diverse, high quality faculty at UCSC; help new faculty to achieve and maintain a high level of career satisfaction; and assist with career advancement. In 2015-16, the committee managed the inaugural year of the UCSC Faculty Mentorship Program and focused much of its attention on mentor matching and making program improvements for the second year roll out of the program in 2016-17. The committee also was instrumental in re-establishing a full day orientation for newly hired faculty held in September 2015; hosting topical lunch workshops for new faculty on the topics of “tenure” and “faculty career planning”; and co-sponsored a campus event on Microaggressions in the Classroom. Further, and with the overall goal of improving the culture of mentorship on our campus, CCA reached out to divisional deans to inquire about divisional mentorship programs and resources, and began a campus dialogue on mentorship of which next year’s CCA committee may continue to foster.

Mentorship Program

Under CCA’s direction, the UCSC Faculty Mentorship Program launched in fall 2015. The program began with 15 mentors serving 47 new UCSC faculty. (“New faculty” included junior faculty who have been on campus for less than three years.) The mentor matching for the program was finalized in summer 2015, and CCA spent the majority of 2015-16 evaluating the program using data from a late fall 2015 participant survey, and envisioning improvements to the program for implementation in 2016-17. Feedback from program participants revealed that almost all of the mentors and mentees were benefitting from their meetings and were enthusiastic to continue in the program. Many mentees commented on the specific benefit of having an experienced faculty member in other department to consult with.

Survey feedback motivated CCA to initiate an annual “Meet and Greet” mentorship program orientation event for all mentors and mentees to kick off the program and allow all participants to get acquainted in an informal and relaxing setting. With support from the office of the Vice Provost of Academic Affairs, the first of these events will take place on October 19, 2016. The event will include several activities geared to introduce the work of the Committee on Career Advising, connect mentors with their mentees, assist new faculty in networking with other junior and senior faculty on-campus across departments and divisions, and establish a supportive mentoring community for the year.

In winter 2016, CCA petitioned to have the Mentorship Program included in the annual Senate Faculty Service Survey as a service option. Members hope that the programs inclusion in the survey will increase the visibility of mentoring on campus and further enhance the pool of potential mentors for the program. The UCSC Faculty Mentorship Program will be included in the 2017-18 Faculty Service Survey distributed in winter 2017, and will emphasize that participation in the program is not exclusive and faculty may concurrently participate in a Senate committee.

To further promote a culture of mentoring on campus and encourage Senate faculty participation, CCA wrote to the chairs of COC and the Committee on Academic Personnel (CAP) in May 2016 to establish mentor participation as a mentor in the UCSC Mentorship Program as “Senate service”¹. CCA noted that the time commitment of program mentors is on par with the service of some smaller Senate committees. Mentors are required to meet at least 3 times per year with their charges (once per academic quarter) and provide feedback on their meetings and the program in general in order to assist CCA in making further improvements to the program. Further, when the UCSC Faculty Mentorship Program was originally proposed by Vice Provost of Academic Affairs (VPAA) Lee in December 2013², the proposal, suggested that faculty mentor participation in the program be incorporated into the service component of faculty personnel reviews. CCA noted that recognizing mentor participation in the program as “Senate service” will appropriately recognize this service and encourage Senate faculty to participate in the program. CCA appreciates COC and CAP’s assistance in ensuring that mentors who participate in the program receive the service credit and recognition that they deserve.

New Faculty Orientation

During the long period of budget retrenchment, a previously offered full day orientation for newly hired UCSC faculty was discontinued. In 2014-15, CCA successfully lobbied for reinstating an information rich orientation for new faculty in fall 2015, which was jointly organized by the Office of the Vice Provost of Academic Affairs, and included an introduction to University structure and functionality, as well as information on best practices in teaching and research presented by senior faculty.

The event was highly successful with roughly 43 new faculty attending. During spring and summer 2016, CCA worked on revamping the orientation agenda based on feedback from the 2015 orientation and securing presenters for the next full day orientation on September 15, 2016. It is the hope of the committee that the orientation will remain an annual tradition and further strengthen the benefits of the program for participants.

Topical Lunches for New Faculty

This year CCA continued its series of “brown-bag” lunch workshops for new faculty. The lunches focused on different topics of interest and included administrative experts, Senate colleagues, and peers.

The fall 2015 lunch workshop was titled “Everyday Productivity and Planning a Meaningful Career” and discussed decision points in research careers after the PhD; competing time demands of research, teaching, service; and how to achieve work/life balance. Attendees, representing new faculty from the PSci, ARTS, HUM, and Social Science divisions reported that they enjoyed the event, and especially appreciated the opportunity for casual socializing and conversation with other new junior faculty. During the winter quarter, CCA held another lunch workshop on the topic of “tenure” during which recently tenured faculty and the chair of the Committee on Academic Personnel shared their tips and experience for working towards tenure and navigating the personnel reviews. Again, the event was well attended by mentorship program participants, and created the perfect venue for information sharing, networking, and support.

¹ Schwartz to Gallagher and Dean, 5/17/16, Re Senate Service for Faculty Mentorship Program Participation

² Lee and Marlowe to Konopelski, 12/19/13, Re: Proposal for a UCSC Faculty Mentoring Program

The committee had planned to host a spring quarter topical lunch on “Promoting Your Research”, but ultimately decided to devote its time and resources instead to a larger scale campus event on microaggressions (noted below) that would benefit the entire campus community. Next year’s CCA committee may want to consider “Promoting Your Research” for a topical lunch in 2016-17.

Microaggressions Workshop

During a consultation with VPAA Lee in December 2015, CCA and the VPAA determined that a campus event on the topic of microaggressions would serve both mentorship program participants and the greater campus community. The goal of the workshop was to support and promote diversity among faculty and students by providing faculty with mentoring and trainings so as to be better prepared to handle microaggressions in the classroom. In May 2016, CCA, the Committee on Affirmative Action and Diversity (CAAD) and the Office for Diversity, Equity, and Inclusion (ODEI) jointly sponsored a forum on Microaggressions in the classroom led by Sheree Marlowe, Campus Diversity Officer for Staff and Students, and Christy Byrd, Assistant Professor of Psychology. The event was very well attended, with roughly 60 participants representing all five divisions and other sectors of the University. All participants came away with a better understanding of what microaggressions are, what the effects of microaggressions are, and how to avoid and/or cope with microaggressions and their affects.

Enriching our Campus Mentoring Culture

In order to learn about current mentoring practices on campus and begin a conversation of mentoring on campus, this year’s committee reached out to divisional deans. CCA’s goal was to learn from established departmental and divisional mentoring practices on campus in terms of guidelines, mentor assignment processes, etc. CCA also welcomed suggestions as to how CCA could best support mentoring for faculty in their divisions. The poll was quite productive and provided the committee with a great level of insight into what is currently happening on campus in terms of mentoring.

The committee found that aside from the Arts Division, department chairs are generally available for mentoring, but there are no formal mentoring programs in place. Many of the responses highlighted a need for new faculty to understand the personnel process (touched on during the CCA spring quarter topical lunch), and suggested that faculty mentoring could have a positive effect on retention.

The Arts Division has a formal program that began in 2014. Eager to find out more about the program, CCA invited Interim Arts Dean Bill Ladusaw to consult with the committee on the Arts mentoring program and general mentoring best practices. The parties considered how to further enrich the mentoring culture on campus and made plans to continue the discussion with divisional deans in 2016-17.

Respectfully submitted;
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August 29, 2016

Committee on Educational Policy Annual Report 2015 -16

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy's (CEP) responsibilities include the review of campus 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, the committee spent considerable time dealing with issues pertaining to the courses that satisfy the College core and lower-division writing requirements; creating legislation for a new Committee on Courses of Instruction; and reviewing several non-degree academic programs.

I. The Lower-Division Writing and College Core Course Requirements

CEP became concerned about our lower-division writing curriculum while participating in the review of the Writing Program in 2014.¹ The campus writing requirements consist of the Entry-Level Writing Requirement (ELWR), the lower-division Composition 1 and 2 (C1 and C2) requirements, and the upper-division Disciplinary Communication (DC) requirement. In 2005, the C1 and C2 requirements were integrated with the required college core courses. As a result of this partial merger, the vast majority of freshmen are required to take a composition course in their first quarter, even if they have not satisfied ELWR. After completing – and usually passing – a fall core course that fulfills the C1 requirement, a surprising number of these students are still unable to satisfy ELWR. This raised serious concerns about the quality and rigor of writing instruction on our campus.

In collaboration with the Writing Program, the Colleges have developed a variety of different approaches to help ELWR-required students improve their writing before enrolling in a C1 course. These efforts led to the creation of more than ten different pathways by which students satisfy ELWR, C1 and C2 on our campus. At present, 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 or for international students in the Multilingual Curriculum. Due to the number and timing of these courses, ELWR-required students often find it difficult to satisfy other GE requirements; address potential deficiencies in mathematics; or take the foundational courses required for their intended major during their first two years. Most departments do not appear to be taking these challenges into account when developing advising plans and sample schedules for their majors. CEP was also concerned that many of the approaches designed to help ELWR-required students violated SCR 10.5.2, which states that ELWR-required students must take a C1 course during their first quarter at UCSC.

At the end of last year, CEP concluded that the satisfaction of ELWR should be a prerequisite for enrolling in a composition course, as is currently required at every other UC campus. CEP informed the administration, Colleges and the Writing Program of our desire to implement this

¹ For additional information about these concerns, please refer to the CEP annual report (<http://senate.ucsc.edu/senate-meetings/agendas-minutes/2015-2016/2015-November-13-Meeting/1802%20-%20CEP2014-15annualreportfin.pdf>), and the report CEP presented to the Senate in February of this year (http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/reports-and-presentations/Senate_Meeting_OverviewUCSCwritingrequirementsandMLC.pdf).

change as soon as possible, contingent on the approval of the required modification of SCR 10.5.2 by the Senate. CEP also asked that the Colleges develop a uniform set of core course requirements consistent with the proposed change in consultation with the Writing Program.

In January of 2016, the Council of Provosts (CoP) solicited feedback from CEP and the Committee on Planning and Budget (CPB) on several models for revising the College core courses and their relationship to the lower-division writing requirements. Both CEP and CPB strongly favored a straightforward model that would completely separate the lower-division writing requirements from core. This model would allow the core and writing courses to focus on distinct learning outcomes. Under this model, no student would be required to take a C1 course before satisfying ELWR. The segregation of students into different offerings of core based on their writing abilities would be eliminated, thus enhancing the community-building aspect of the core courses. Finally, the standardization of the writing and core requirements across the colleges would simplify pathways for students and the related advising and academic planning. Our only significant reservation about this model was the expense associated with the proposed expansion of the core course requirement to two quarters at all Colleges, which would also pose challenges for students pursuing majors with extensive lower-division requirements. CEP requested the Writing Program update the outcomes for Composition requirements (C1, C2) to enhance the vertical integration of writing. CEP reviewed and approved the revised outcomes during spring quarter. These can be found on our website² in the GE Requirements table under “Composition.”

The Council of Provosts submitted a formal proposal to revise the College core course requirements and their relationship to the lower-division writing requirements to the office of the Vice Provost Academic Affairs (VPAA) for Senate review in May of this year. Unfortunately, this proposal lack decanal feedback on the proposal and its financial viability. To avoid further delays, we reviewed the proposal and made the following decisions about aspects of the proposal under the purview of our committee:

- 1) CEP continues to support the college core course requirement. The requirement should be limited to the fall quarter of the freshman year, with the size and number of associated credits determined by the educational objectives of the course and available funding.
- 2) Core must be separated from the lower-division writing requirements, including C1, C2 and the courses that help students satisfy ELWR. The writing courses should be administered and taught by the Writing Program, not the Colleges. These courses must focus on making writing outcomes their priority.
- 3) The courses that satisfy the lower-division writing requirements should be vertically integrated with each other and the upper-division writing courses, including the courses that satisfy the disciplinary communication (DC) requirement.
- 4) CEP does not support the mandatory linkage of the lower-division writing courses to a specific topic (e.g. the college themes) or quarter (winter of the first year). This would have a disproportionate impact on students interested in STEM (and other) disciplines that require extensive lower-division coursework for admission to the major and timely progress to degree. In general, we believe that students should have much more flexibility

² The table may be viewed at - <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/ge-requirements/C1%20and%20C2%20Outcomes.pdf>

in the scheduling and theme(s) of their writing courses. To the extent possible, students should be given the opportunity to take a C1/C2 course related to the theme of their college during the winter if they wish to do so. Ideally, students should be allowed to take these courses in or near their college to perpetuate the sense of community established in the fall core course.

Our committee realizes that some of the above recommendations – including the separation of core from the lower-division writing requirements - will have significant financial ramifications, but student progress and success data suggest to CEP that more attention needs to be paid to writing instruction on our campus. Our recent meetings with divisional faculty revealed widespread dissatisfaction with the writing abilities of their majors. This is not surprising given that our writing requirements are minimal relative to those at other highly regarded institutions, including several other UC campuses.

The college core courses have long been a distinguishing feature of the first year experience at UCSC; they are treasured by many faculty, students and alumni. However, CEP does not believe it is appropriate to compromise the quality of the lower-division writing curriculum to finance the continuation of the college core courses in their current form, including their linkage to the writing requirements. If the campus lacks the funding required to fully support the recommendations of our committee, it may be necessary to increase the size of the core courses; decrease the number of credits associated with these courses; or explore other mechanisms for maintaining the viability of these courses. We sincerely hope this will not be necessary.

The Committee proposed changes to Regulation 10.5.2, which describes the mechanisms by which students satisfy the Entry-Level Writing Requirement (ELWR). Although the changes to SCR 10.5.2 that were approved by the Senate will not be implemented until the fall of 2017, the campus has an obligation to provide accurate information to prospective students and their families about the nature of the college core courses and the programs in place to assist incoming frosh satisfy ELWR and become effective writers. It is therefore critical to reach agreement on a plan for revising the lower-division core and writing curriculum consistent with the above decisions within the first few weeks of the fall quarter. The proposed changes, which were approved at the Senate meeting of May 18, 2016, go into effect fall 2017.³

CEP members and guests with conflicts of interest were recused from deliberations and recommendations on the topics of writing and core course curricula.

II. Multilingual Writing Curriculum for International Students (MLC)

Last year the Committee approved a Multilingual Curriculum for F1 Visa holders (consisting of four new courses (WRIT 24-27) on a trial basis with a preliminary report on its effectiveness due before the end of 2015-16 academic year. We were very impressed by the well thought out report; the MLC appears to have a very positive impact on international students who did not satisfy ELWR before entering UCSC. The Writing Program requested the extension of the MLC with the elimination of one of the four courses (WRIT 24). CEP approved this change for next year, with the further extension of the program dependent on updated information on

³ The proposed changes may be viewed at - http://senate.ucsc.edu/senate-meetings/agendas-minutes/2015-2016/2016-May-18-Meeting/1831%20-%20CEP_Reg_10.5.2Amendment_Proposal_Spring16fin.docx.pdf

the effectiveness of the program and its cost next year.

III. Non-degree academic programs

CEP discussed several non-degree programs this year, including the UCSC Scholars Program and certificate programs from two colleges, and (as noted above) the Multilingual Curriculum administered by the Writing Program.

CEP also discussed the criteria for creating and reviewing non-degree academic programs. The revised definition for non-degree program proposals such as certificates can be found on our policy webpage in the Undergraduate Degree Programs Definitions Policy document.⁴

IV. Requests for Enrollment Adjustments/Impacted Majors

During the academic year, our committee received inquiries from several departments in the School of Engineering and the Divisions of Social Sciences and Physical and Biological Sciences about the policies and procedures for restricting the access of students to popular courses or majors based on resource limitations. At present, there is no formal process for evaluating the carrying capacity of an undergraduate major or gating the flow of students into the program at the time of admission to either the campus or the major. After discussing this issue with CEP, VPAA Lee formed a working group to investigate this issue. The working group met once in spring quarter and will resume meeting next fall.

As an interim measure to assist Computer Science and other departments facing significant enrollment pressures, we approved restricting the initial enrollment in a relative small number of key courses to students who must take them to qualify for their major or complete their minor or major. Other students will be admitted to these courses on a space-available basis. Restricting course enrollment in this manner is labor-intensive for the Registrar's Office since it must be done manually. If this approach proves effective, we will investigate whether the process can be simplified or automated in the future.

V. Other Legislative Changes: Committee Charge and Creation of CCI Charge

At most other UC campuses, the work of our committee is subdivided between distinct Senate committees focused on policy issues (CEP) and the review of new courses and changes to existing courses. Although there are advantages to assigning these responsibilities to a single Senate committee, this has become increasingly impractical due to the size and complexity of our undergraduate programs. To address this concern, the Committee on Educational Policy (CEP) and the Committee on Committees (COC) proposed legislation to establish a separate Committee on Courses of Instruction (CCI) that will assume some of the current duties of CEP. This change will align our campus with other UC Senate structures and allow CEP to spend the time necessary for consideration of the broad policy issues required by the rapidly changing environment of higher education. The legislation that passed at the February 12, 2016 Senate meeting.⁵

⁴ This document may be viewed at - <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/UgradDegreeDefinitions2016-WEBsw.pdf>

⁵ The legislation may be viewed at - <http://senate.ucsc.edu/senate-meetings/agendas-minutes/2015-2016/2016-February-12-Meeting/1820%20-%20CEP%20Establishment%20of%20the%20Committee%20on%20Courses%20of%20Instruction.pdf>

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 to teach or assist in undergraduate course instruction.

This year, members reviewed proposals submitted during fall and spring quarters and recommended approval for the following proposals:

- Minors in Music and History of Consciousness.

CEP will review again after revisions:

- BA in Applied Linguistics and Multilingualism
- BS in Environmental Sciences

CEP participated in the external reviews of the following departments: Anthropology, Astronomy & Astrophysics, Biomolecular Engineering, Computer Engineering, Computer Science, Digital Arts and New Media, Ecology and Evolutionary Biology, Economics, Feminist Studies, Microbiology and Environmental Toxicology, Ocean Sciences, Politics, and Sociology. CEP also reviewed mid-cycle reports and made recommendations on the length of review cycle for Science Communication, Environmental Studies, History of Art and Visual Culture, and Music.

The following three UNEX certificates were renewed for another five years: Education Therapy, and Technical Writing and Communication. Another three UNEX certificates - Early Childhood Education, Early Childhood Education: Supervision and Administration, and Instructional Design and Delivery received extensions and will be reviewed during fall quarter. The certificate program in Web Content and Marketing Management was discontinued at the request of UNEX.

In addition to the issues discussed in earlier sections of the report, CEP reviewed and commented on the following issues and/or policies:

- Updated Open Campus Policy (December 2015)
- Proposed changes to Senate Regulations 417 and 621 (September 2015)
- Proposed Economics Department and Hastings M.O.U. for the MS in Applied Economics in Finance (November 2015)
- VPDUE Proposal for Undergraduate Student Winter Admissions (December 2015)
- VPDGS Miller consultation on Chancellor's Teaching Fellowship Awards criteria (December 2015)
- VPAA Draft Memo Calling for Review of Course Evaluations System (November 2015)
- VPDUE Proposal to Change Standard Classroom Time Slots, Passing Times, and Final Exam Block Time (January 2016)
- SIO/VPGE 3+1+1 Guidelines (February 2016)
- SIO/VPGE Proposal to Streamline EAP Course General Education Designations (February 2016)
- VPAA Draft Memo Calling for Updates to Department Instructional Workload Policies (March 2016)

- Proposal for Discontinuance of Education Department’s Collaborative Leadership Ed.D. (April 2016)
- Updated Credit Hour Policy (April 2016)
- SIO/VPGE Proposal for Study Abroad Program (April 2016)
- Proposal for Nanjing Audit University and UCSC Economics 3+1+1 Pilot Proposal (May 2016)
- Created Delegations Policy (May 2016)
- Updated Policy on Posthumous Degrees (May 2016)
- Review of VPAA’s Draft Revisions to Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change. (May 2016)
- VPDUE Request for CEP Review Departments for Challenge 45 Mandate (May 2016)
- VPDUE Request for DC Grant Award Recommendations (May 2016)

Statistics

CEP members reviewed 136 new course approvals (including 8 online courses) and 1050 course revisions, 76 program statements, and 4 posthumous degrees and 2 Certificates.

The Chair reviewed the following:

- 477 undergraduate student petitions,
- 81 requests for Graduate Student Instructors,
- 6 requests for Undergraduate Student Instructors,

CEP benefited from the expertise of an impressive group of invited guests, including the Associate Registrar Margie Claxton, the Academic Preceptors representative Jan Burroughs, Admissions staff Michael McCawley and Barbara Love, and Vice Provost and Dean of Undergraduate Education Richard Hughey.

Finally, we thank Senate Analyst Susanna Wrangell and Senate Executive Director Matthew Mednick for their outstanding work on behalf of CEP this year. It would have been impossible for our 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

Doris Ash

Faye Crosby

Matthew Guthaus

Dee Hibbert-Jones

Tonya Ritola

Tchad Singer, *ex officio*

Felicity Amaya Schaeffer

John Tamkun, Chair

Erica Halk, NSTF

Sean Keilen, Provost Representative

Seamus Howard, SUA

Vanessa Sadsad, SUA

August 31, 2016

Committee on Emeriti Relations Annual Report 2015-16

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met six times during the 2015-16 academic year. This year, CER's work focused largely on the re-envisioning and management of the Edward A. Dickson Emeriti Professorship Award and on monitoring the announcement and selection of the new third tier of retirement. In addition, CER co-sponsored the annual Pre-Retirement Planning Workshop along with the Academic Personnel Office (APO), and participated in the UCSC Retirees Welcome to Retirement Celebration in June 2016. This year CER developed connections with other UCSC Emeriti and groups serving retirees, and worked diligently to collaborate with several of these groups during the 2015-16 academic year in order to better serve UCSC Emeriti.

Encouraging Collaboration

CER began the academic year by calling together all UCSC Retiree affiliated cohorts to share purviews, concerns, and goals for the academic year. Representatives from CER, the Emeriti Association, the UCSC Retiree/Emeriti Resource Center, the Council of University of California Emeriti Associations (CUCEA), the Council of University of California Retiree Associations (CUCRA), and the UCSC Retiree Association were in attendance. The meet-and-greet format at Chair Errington's house allowed participants to get acquainted with other Retiree groups and resources on campus, encouraged open dialogue between the groups, and established a collaborative community of UCSC Emeriti service groups moving into 2015-16.

The Edward A. Dickson Emeriti Professorship Award

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 UC emeriti. Systemwide, the handling of the Dickson award varies. Some campuses have made it an administrative decision; some have given the responsibility to their respective Emeriti Associations; and at some, it is handled by Senate Committees. Until this academic year, the UCSC award has rotated through the academic 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) in 2006 and had been followed by the then-Vice-Chancellor for Academic Affairs, who had been asked by the then-Chancellor to handle it. The VCAA at the time was Alison Galloway.

At the request of CP/EVC Alison Galloway, the CER met with her on October 12, 2015 to discuss the way the Dickson Emeriti Professorship should be handled on our campus. CP/EVC Galloway expressed the view it was time 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 Emeriti Professorship Award. CER accepted the invitation and agreed to formulate a new process and guidelines for the award. The announcement of this change was made at the November 2015 Academic Senate meeting.

Following the fall Senate meeting, CER representatives had a productive and collaborative meeting with Executive Committee members of the Emeriti Association regarding the award and its re-envisioned implementation on our campus. An agreement was made that our proposal for the award would include the participation of an Emeriti Association Dickson Award Review and Nomination Committee, which will include an active member of CER as *ex officio*. CER proposed a set of guidelines for the award¹ to CP/EVC Galloway, including specific details regarding nominations, proposals, and award, which were approved by the CP/EVC in January 2016.²

A call for proposals went out to Senate Faculty, divisional deans, and department chairs on January 11, 2016 with a deadline for submissions of March 21, 2016. (We anticipate that in future, the process will be both launched and completed earlier in the academic year.) The submissions were forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which gave its recommendation to CER. The CER in turn sent a final recommendation to the CP/EVC for approval.

The 2016-17 Dickson Professorship was awarded to **Lewis Watts** and to **Charles (“Chip”) Lord**, both Emeriti of the Division of the Arts, and both with impressive records of creative achievement. Both Professor Watts and Professor Lord have the ability to transform elements of daily life into unforgettable visual images.

As a Dickson Emeriti Professor, **Lewis Watts**, Professor Emeritus of Art, will engage in a time-sensitive documentary photo project reporting on the immigrant crisis in Europe. He has previously photographed diverse populations in Europe, where his ability to gain access and trust has resulted in images that communicate the often overlooked human dimensions of individuals who are more than troubling statistics, more than an inconvenient ‘problem’. Professor Watts has already begun refugee documentary photography in the makeshift migrant camp called ‘La Jungle’ in Calais, and plans to continue this relevant and humanistic work in France in the months to come. **Chip Lord**, Professor Emeritus of Film & Digital Media, has built a distinguished career in video art and installations exploring urban settings. Through his lens, ordinary life is alternately curious, disturbing and beautiful. As a Dickson Emeriti Professor, Professor Lord will use his Dickson Award to extend his ongoing studies of individual cities with forthcoming projects in Miami and Phoenix, two cities dramatically impacted by critical contemporary issues. Professor Lord plans to explore the effects of climate change in Miami, Florida, focusing on the higher sea levels during the destructive ‘King tides’. Augmenting the Dickson Award with other research funding, Professor Lord will also concurrently explore Phoenix, Arizona’s curious intersections of hydrocarbon vehicle lifestyle, solar energy and urban sprawl.

The Dickson Emeriti Professorship Recipients were announced by Chancellor Blumenthal during the annual Emeriti Association luncheon on April 11, 2016 and at the Spring Academic Senate Meeting of 2016. In the future, we look forward to having the names of the new Dickson Emeriti Professors announced and publicized in additional venues.

¹ Errington to Galloway, 1/05/16, Re: Request for Approval – UCSC Dickson Professorship Award Guidelines

² Galloway to Errington, 1/06/16, Re: Edward A. Dickson Emeriti Professorship

Recipients of the Dickson Emeriti Professorship Award are asked to make the fruits of their research known and available to the larger campus community and beyond. Thus during the course of the academic year for which they are appointed, or the following year if necessary, each awardee must give a lecture, a performance, a workshop, or other such event concerning their research. These events will be announced by CER in a timely and appropriate manner and publicized further by other relevant groups.

CER is pleased to have collaborated with the Emeriti Association on this award and hopes that this will be the beginning of many collaborations yet to come. The CER looks forward to stewarding a new life for the Dickson Emeriti Professorship on the UCSC campus to bring the award back to the intended goals of the endowment and to make the campus community aware of the great research, service, and teaching performed by UCSC Emeriti.

Retirement – 3rd Tier (Retirement Options Task Force Report)

The 2015-16 budget agreement between the University of California and the Governor resulted in a new third tier of the UC Retirement Program (UCRP). A UC task force was charged with analyzing options for this new third tier including considerations of a full or partial defined contribution plan. The report with recommendations of the Task Force was distributed for divisional review and comment in January 2016.

In its committee response, CER recommended the Task Force's proposal of a new UCRP 2016 Tier (with the required PERPA cap) plus a Defined Contribution Supplemental Plan as the better option, but raised very serious concerns about the impact that a third tier will have on the future quality of the university. The committee noted that many Emeriti chose to stay with the university during their prominent careers not only due to the well-deserved reputation of the university, but also due to benefits associated with a defined benefit retirement plan. The committee further noted concerns regarding inequities that may be caused by a new third tier, and the transfer of risk to the employee and the effect that this may have on individual retirement preparedness.

Following divisional feedback, President Napolitano has implemented two retirement options for new employees hired on or after July 1, 2016: Option 1 – The current UC pension benefit capped at the PEPRA salary limit plus a supplemental 401(k) style benefit up to the IRS limit, or Option 2 – A new stand-alone 401(k) style benefit up to the IRS limit. CER, along with the Committee on Faculty Welfare (CFW), will continue to monitor the implementation and effects of the new third tier of UCRP retirement in 2017-18.

Pre-Retirement Planning Workshop

In spring 2016, the Academic Personnel Office and CER co-sponsored a pre-retirement workshop entitled "Joining the Ranks of Emeriti: The Nuts and Bolts of Academic Retirement." This annual event is organized and supported by APO, and the technical "nuts and bolts" are handled largely by APO, whereas CER contributes by securing a panel of Emeriti for the event to reflect on the process and on the state of being retired itself (rather than the mechanics of retiring), and to share their tips, cautionary and joyful anecdotes, and experience with negotiating the "nuts and bolts." Representatives from Earth and Planetary Science, History, Literature, and Anthropology participated on the panel. In addition, Chair Errington worked with VC Pamela Peterson to expand

and reorganize the written resources available to faculty thinking about retiring and in the process of retiring. We look forward to working further with APO to make the event even more useful. CER encourages those faculty planning on retiring in the next three years to attend next year's pre-retirement workshop.

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

August 31, 2016

Committee on Faculty Welfare Annual Report, 2015-16

To the 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 2015-16 focused attention on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life. CFW presented reports at both the winter and spring Senate meetings intended to keep faculty updated on the issues of healthcare, faculty salaries, childcare, and housing. New developments, CFW recommendations, and future committee priorities are described herein.

Healthcare

In April 2016 UCOP Human Resources announced the selection of Anthem Blue Cross, as the medical claims administrator and network provider for the following plans: UC Care, Health Savings Plan, Core, Medicare PPO, Medicare PPO without Prescription Drugs, and High Option Supplement to Medicare. In addition, behavioral health benefits for the non-Medicare plans (UC Care, Core and, Health Savings Plan) will be integrated back into the health plan under Anthem. These benefits were previously administered by Optum. The pharmacy benefits for these plans will be carved out and continue to be administered by OptumRx. The change in administration is effective January 1, 2017.

The impact of the new administration on provider networks and plan design is expected to be minimal. However, CFW will continue to monitor any new developments, and highlight the importance of employee access to both the Palo Alto Medical Foundation (PAMF) and Physicians Medical Group (PMG) local provider groups. Both of these groups currently accept a number of Anthem plans and, barring any unforeseen issues during renegotiations of contracts, this should hold for 2017-18. UC Care is continuing efforts to add an HMO option in the not too distant future, all of which CFW will continue to monitor closely in 2016-17.

Faculty Salaries

During the winter Academic Senate meeting, the Committee on Faculty Welfare reported on a [cursory analysis of campus salaries](#) across ranks relative to other UC campuses.¹ This was based on a UC wide salary database spanning the years 2010-2014. In spring, the committee carried out a more detailed analysis of a campus salary database spanning a 10 year period (2005-2015), the initial results of which are discussed below. During the spring, the chair of CFW also consulted with the chairs of CAAD and CAP on issues of salary equity.

With the quantitative analyses, CFW examined two aspects of faculty salaries; 1) overall medians across ranks and steps relative to UC, including an assessment of off-scales, as this is the primary

¹ Committee on Faculty Welfare Faculty Salary Analysis, January 29, 2016

sources of discrepancies in salaries between campuses, and 2) how off-scale salary as a function of years of service has evolved at UCSC over the last 10 years.

The purpose of examining medians and off-scales across campuses was to reevaluate the effectiveness of the Special Salary Practice or “Merit Boost Plan” initiated in 2008-09 to bring UCSC faculty salaries in line with our peer UC institutions. From Figure 1: Median Salaries for All UC Campuses, it is evident that UCSC still slightly lags UCSB, UCSD and UCI, the other coastal campuses that, historically, define our most immediate comparison class. It is also worth noting that both UCLA and UCB are also coastal/city campuses, with cost of living similar to Santa Cruz, but with medians much higher than UCSC.

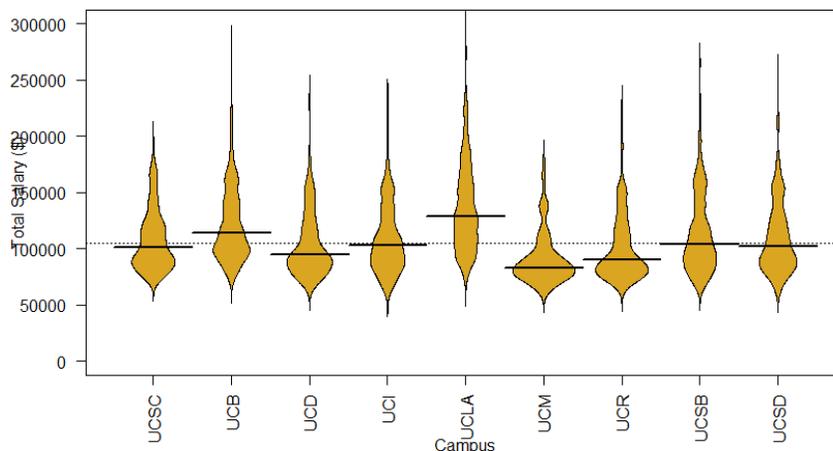


Figure 1: Median Salaries for All UC Campuses (2014). Solid lines show the median salary for each campus and the dotted line represents the median value for all ranks together.

In Figure 2, we compare the off-scale amounts at UCSC to the five closest campuses. To avoid skewing the results, we exclude UCLA and UCB as outliers on the high end, and also UCM because of its comparatively small sample size.

At the Assistant Professor rank, the UCSC median off-scale is comparable to UCI, but significantly behind those of UCSB and UCSD (the differences with UCSD are most significant at steps 2, 3, and 4). Compared to the off-scales for all ranks and steps (aggregated for the nine UC campuses) shown in Figure 3, our medians are below at several steps, Assistant Professor level 2 having one of the largest discrepancies (UCSC = \$12,050, UCSB = \$13,355, UCSD = \$21,300). This is of special note as this is the introductory level for most new hires; few are made at Assistant Professor 1.

At the Associate Professor ranks, UCSC off-scales lag behind UCI, UCSB, and UCSD, with the largest discrepancy at Associate Professor step 1 (UCSC = \$6,650, UCI = \$9,700, UCSB = \$10,100, UCSD = \$16,450). This pattern holds in comparison with the system-wide median.

At the Professor rank, UCSC median off-scales are between \$5K and \$10K lower than UCSB and UCSD -- see, for instance, the differences in off-scales for steps 1, 2, and 6.

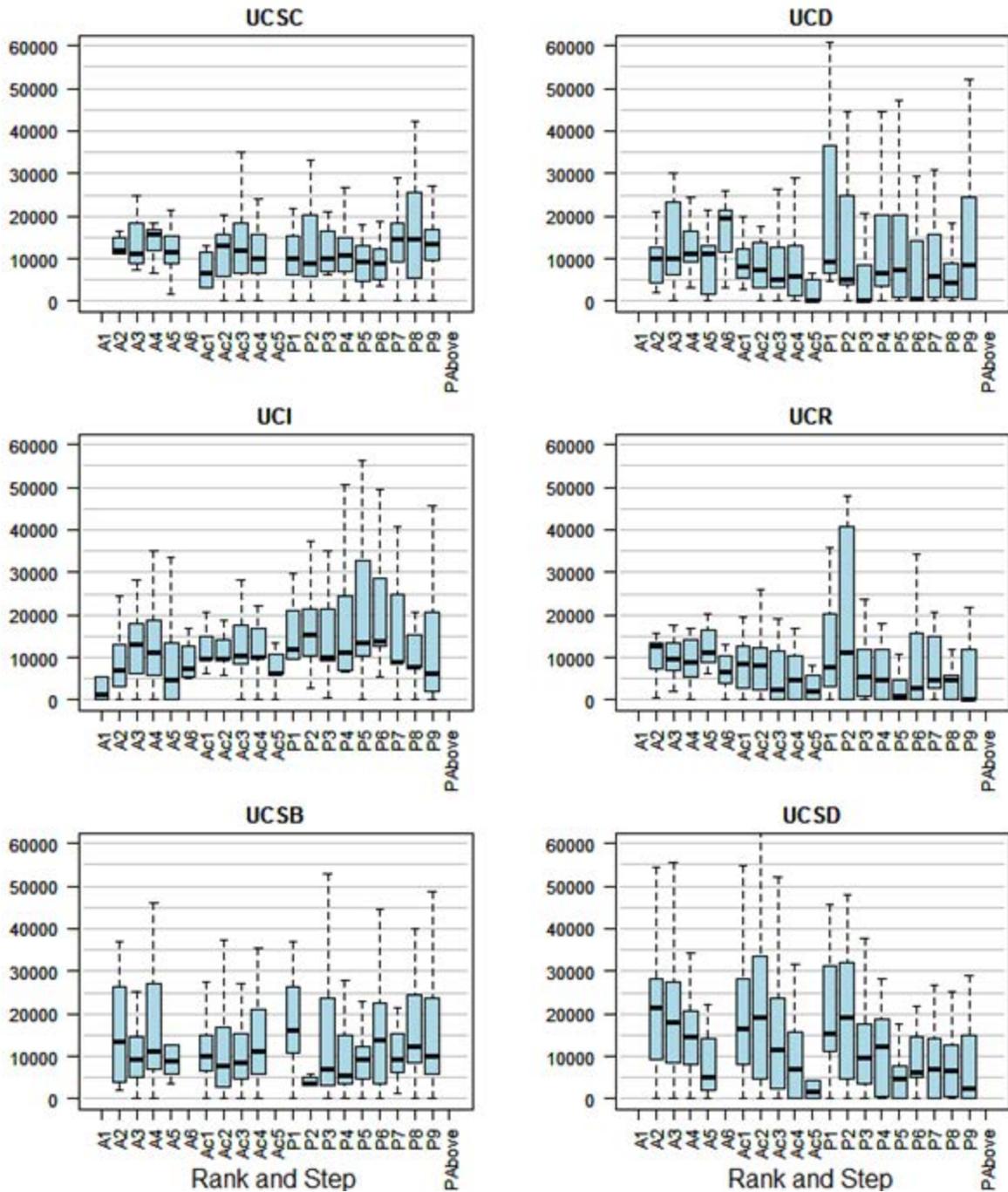


Figure 2: Boxplots of off-scales for all ranks and steps at six UC campuses (UCB, UCLA, and UCM are excluded)

The median off-scale amounts aggregated across all 9 campuses are shown in figure 3. Here the overall median values are relatively flat, but with greater spread in the higher ranks. In comparing these values with those for UCSC from Figure 2 the difference in these higher ranks is clear: the

UCSC values remain flat across ranks while the overall UC trend is for larger off-scales at the higher ranks.

In summary, UCSC still lags behind the overall UC median and our immediate comparison class, the coastal campuses (UCI, UCSB, UCSD). The Merit Boost program has helped reduce discrepancies in off-scales at the Assistant professor ranks, whereas at higher ranks, off-scales have improved, but still lag behind those of comparison campuses.

The second analysis was designed to better understand salary compression on campus using historical salary data spanning 10 years at UCSC. Because the on-scales have remained constant, to maintain salary competitiveness while preserving the significance of rank and step, the off-scales have steadily increased. This has become a necessity during recruitment as the base on-scale assistant professor salaries have not been competitive for years. Indeed, in 2015 the salaries of all assistant professors with less than 7 years of service are off-scale by more than \$10k. This has contributed to moderate salary compression and inversion, particularly in the associate professor and lower full professor ranks. Similarly, retention cases are also likely contributing to compression and inversion.

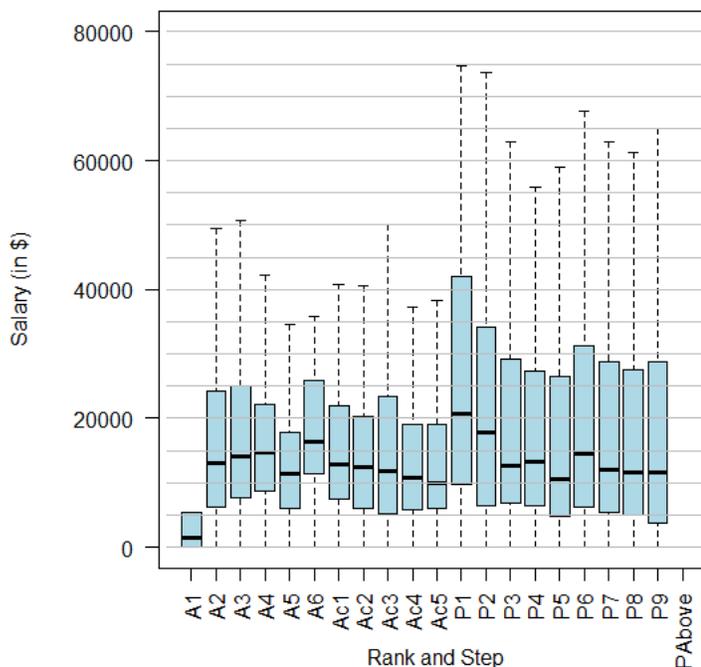


Figure 3: Box plots of off-scales for all ranks and steps in 2014 (aggregated for the nine UC campuses)

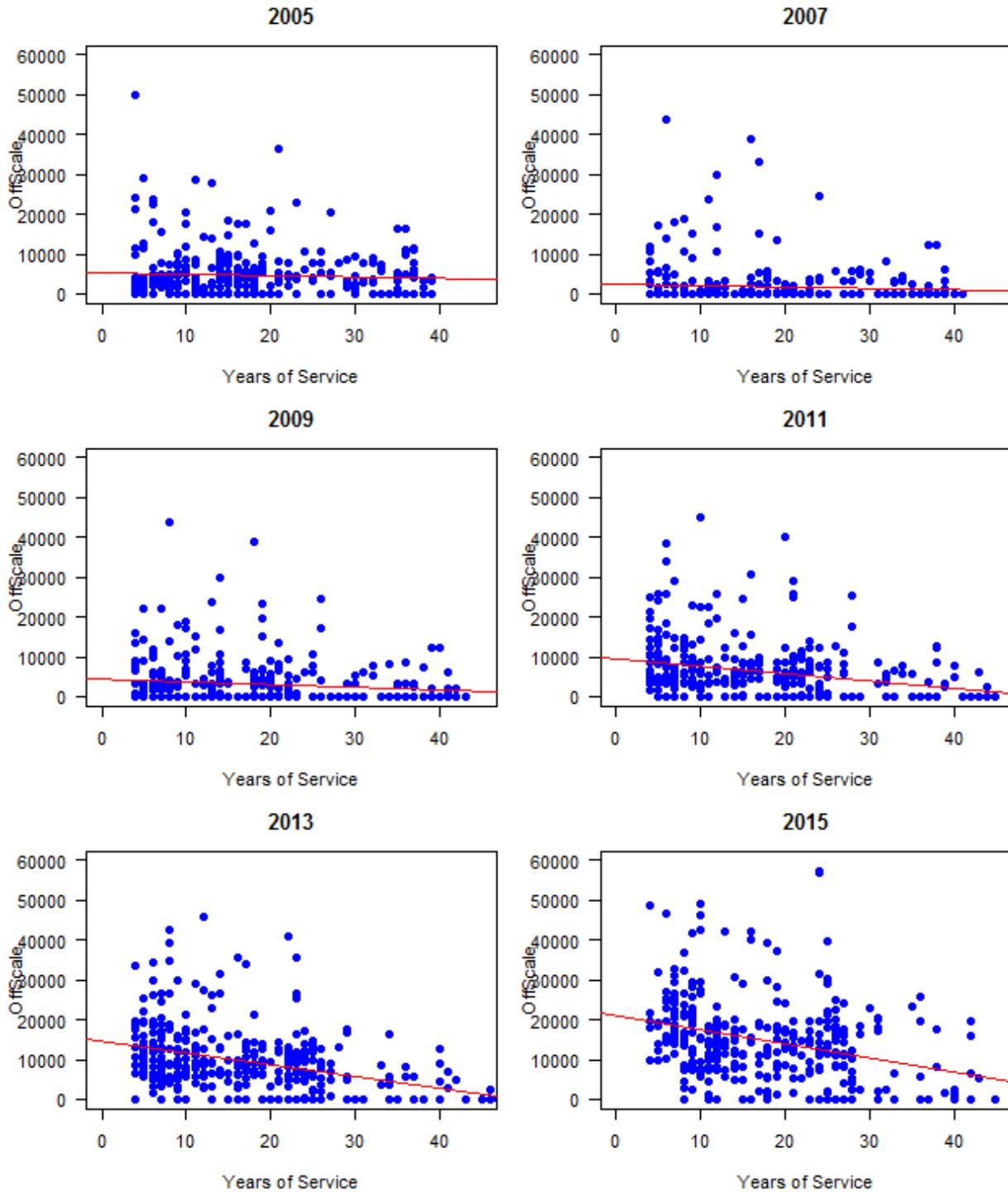


Figure 4. Off scale salary in dollars by years of service for the last 10 years, every other year plotted. The red line is a linear regression line fitted to the data.

UCSC Faculty Salary Competitiveness Report

In fall 2015, the Committee on Faculty Welfare was informed by Academic Personnel staff that the Academic Personnel Office (APO) is no longer producing its annual UCSC Salary Competitiveness Report as they no longer have access to the Office of the President's (UCOP) full salary data warehouse and because CFW does a similar salary analysis each year. To the committee's knowledge, the last Salary Competitiveness Report was drafted in 2012. In spring 2016, CFW wrote to Campus Provost and Executive Vice Chancellor (CP/EVC) Galloway and Associate Vice Chancellor (AVC) Pamela Peterson to formally request that the administration/APO resume its analysis and drafting of this critical report².

CFW has done its own faculty salary analysis using various methodologies in recent years. However, these Senate reports and analysis are intended to accompany or augment the administration's analysis, not replace it entirely. Administrative analysis of faculty salaries and the comparison of UCSC salaries to our sister campuses is absolutely critical in the periodic evaluation of the Special Salary Practice or "Merit Boost Program," which was created in 2008 to bring the UCSC salary median up to that of the systemwide median, and should be on the routine business calendar of the Academic Personnel Office. The analysis and conclusions generated by the report provide insight into whether the special salary practice is working and/or if it needs to be revised, and along with Academic Senate analysis and recommendations, will guide the administration's decision making regarding faculty salaries and overall faculty welfare on campus.

CFW's understanding is that the former APO Faculty Salary Competitiveness Report was based on UCOP data that is no longer be available. However, the data that CFW was able to obtain this past year appears to be sufficiently detailed to evaluate various metrics including salary and promotion growth, compression and inversion, and overall salary median comparisons with sister campuses. In the interest of shared governance, it seems appropriate that both the administration and the Senate continue to perform an analysis of UCSC faculty salaries each year so that we may collaborate together to ensure and protect the overall welfare of our faculty. CFW requested that the administration/APO resume its drafting of the UCSC Salary Competitiveness Report in 2016-17.

In response to this request, on August 19, 2016, CFW was informed by Associate Vice Chancellor Pamela Peterson that the APO will produce a new version of the annual faculty salary competitiveness report using available data³. The first report is expected to be completed by the end of September 2016.

UCOP New Building Funding Model

During consultations in 2015-16 with CP/EVC Alison Galloway (April 14, 2016) and Vice Chancellor of Business and Administrative Services (VCBS) Sarah Latham (May 26, 2016), CFW was pleased to hear that the mandate to increase enrollment and accept additional students in fall 2016-17 has sparked UCOP interest in the development of alternative funding models for UC building projects - notably partnership with third party developers and the possibility of systemwide building contracts. CP/EVC Galloway reported that the Office of the President

² Zachos to Galloway and Peterson, 6/09/16, Re: Administrative/APO Annual Faculty Salary Competitiveness Report

³ Peterson to Zachos, 8/19/16, Re: Annual Faculty Salary Competitiveness Report

(UCOP) will now allow campuses to go out to bid for several projects at a time to encourage contractors (vetted by the President) to bid for more years of continuous building, and allow the campus to move forward with several projects at a time. One of the challenges of building an employee child care center and faculty housing in the past has been the limited debt capacity and the limit of the campus working on one project at a time. The new model could potentially enable the campus to quickly expand student housing, while also providing an opportunity to enlarge the existing student child care center to include employee child care, and possibly initiate the second phase of Ranch View Terrace employee housing (RVT2) within the campus's debt capacity. This year, CFW strongly recommended that UC Santa Cruz take advantage of this new opportunity, which would serve multiple campus constituents and strengthen the mission of the campus using a multi-pronged approach.

As discussed in several consultations with campus administrators in the past, enlarging the current student child care center appears to be the best and most viable option for UCSC employee child care. Assuming expanding the footprint of the existing center is feasible, CFW feels that the costs of this option should be explored, as it may cost less than constructing a new building. However, before appropriating additional funds to explore another child care option, it must be clear that the ability to piggy-back projects other than those that increase bed space onto other projects is permissible under the new financing and construction model. CFW representatives are planning to meet with VCBAS Latham periodically during the summer as the details for this new building model are being solidified by a committee of which VCBAS Latham is a member at the Office of the President. It is of the utmost importance to CFW, that UCSC have a clear understanding of what is allowable under this new building model, and that employee childcare and housing needs are included as construction plans based on this model are developed. CFW will continue to consult with VCBAS Latham, and the next CP/EVC to ensure that employee child care and faculty housing remain a priority for our campus, and that CFW/Senate involvement occur at the beginning stages of development.

Child Care

CFW focused much attention in 2015-16 to the topic of child care. UC Santa Cruz continues to be the only UC campus that does not offer a child care program for faculty and staff, which is a concern given the new cohort of junior faculty expected in the next 7-10 years due to increased rates of retirement turnover and rebenching FTE. There is a long documented history of employee child care at UCSC and recommendations for moving forward which have not yet materialized. This history may be found in the [February 3, 2015 CFW Senate Report](#).⁴ Members agree that employee child care would contribute to recruitment and retention, and could potentially help address equity concerns on our campus, particularly in a climate of continuing deterioration of UCSC faculty total remuneration and the rising cost of living in Santa Cruz.

At the winter Academic Senate meeting on February 12, 2016, CFW reported that the UC matching grant offer by UCOP as authorized by President Atkinson in 2001, providing up to \$1.25 million as a matching one time allocation for creating a dedicated child care facility for each campus is still available. In April 2015, CP/EVC Galloway consulted with CFW on child care and stated an intention of taking the remaining \$730k of the original campus funds set aside for child care and

⁴ Committee on Faculty Welfare, A Brief History of Employee Child Care at UCSC and Recommendations for Moving Forward, February 4, 2015

using it to build a pool in order to take advantage of the UCOP matching funds offer. CP/EVC Galloway estimated that once established, it would take roughly \$250k/year to run an employee child care facility and noted that she was prepared to provide this support. As a response in its post consultation memo to the CP/EVC⁵, CFW agreed with this plan and recommended that starting in 2015-16, \$250k be added to this child care pool each year in order to build the pool and take advantage of the UCOP funds available to secure employee child care facilities. The committee unfortunately did not receive a response to this recommendation.

At the end of academic year 2014-15, CP/EVC Allison Galloway informed CFW that she had appointed Vice Chancellor of Business and Administrative Services (VCBAS) Sarah Latham as the campus point person for Child Care. However, in a later consultation with VCBAS Latham on November 19, 2015, VCBAS Latham clarified that she is not a campus point person for childcare, but that she had been charged with the single task of managing a committee of staff in May 2015 in the form of a Faculty and Staff Child Care Services Model Analysis Team that was charged with providing a technical analysis of two models for providing access to child care for UCSC campus faculty and staff: 1) a reimbursement model analysis and, 2) a contract-for-service model. Latham informed CFW that once the committee had completed its work, her charge and role regarding child care was complete.

The results from the Child Care Services Model Analysis Team were provided to the Academic Senate in October 2015 for review and comment. In its formal response to the Faculty and Staff Child Care Services Model Analysis Team report, the committee recommended that an on-campus center be pursued, but would support securing off-campus options if an on-campus site was deemed cost prohibitive. The committee further noted its concern that the analysis team did not contain a faculty representative, and recommended that all future analysis and deliberations regarding employee child care include both Senate and “at large” faculty representation so that the final decision may be made with full consideration of the needs and benefits of all campus constituents.

CFW was originally pleased to see the administration taking active steps towards securing child care for campus employees. However, the committee raised concerns about the analysis team report findings not being further pursued due to liability concerns, an apparent lack of resources, and a lack of will attributed to child care not being on the official list of campus priorities. These concerns were later confirmed during the consultation with CP/EVC Galloway on April 14, 2016. In the winter and spring quarters, CFW considered how it could change its strategic direction to encourage the campus to move forward with securing employee childcare for current employees and the incoming new faculty cohort. With news of the UCOP new building funding model, CFW has committed to being pro-active in the finalizing of new building funding model details at UCOP by requesting that VCBAS Latham (who is representing the UCSC campus during these UCOP discussions) meet with representatives from CFW and perhaps other Senate committees during summer 2016. CFW’s goal is to ensure that the option to include projects other than those that increase beds on campus is included in the final roll out of the new building funding plan. Committee members agree that utilizing the new building model, along with the UCOP matching grant, is realistically the best way to move forward with securing an employee child care facility under the current debt capacity. CFW looks to next year’s committee to determine how to

⁵ Zachos to Galloway, Re: CFW 4/02/15 Post Consultation, May 14, 2015

collaborate with other Senate committees to make employee child care an established priority for the campus.

Housing

In 2015-16, CFW focused on three main questions with regard to housing:

- 1) How can the campus start building Ranch View Terrace Phase II?
- 2) How does College Housing and Educational Services (CHES) establish the Housing program percent increase?
- 3) How can the campus assist faculty partners in finding local employment?

With low turnover, rising costs of living in Santa Cruz, and a large expected new faculty cohort in the next 7-10 years, this year CFW determined that increasing employee housing inventory was essential. The committee further determined that the easiest way to do so would be to move forward with the plans to build the second phase of Ranch View Terrace (RVT2). The main challenge for building RVT2 is finding the capital to start building. CFW will pursue the UCOP new building funding model aggressively in summer 2016 and academic year 2016-17, with the hope that the new funding model will enable the campus to break ground on RVT2 in the next 2-3 years.

This year the CFW Housing Subcommittee had several productive consultations and discussions with Colleges, Housing, and Educational Services (CHES) staff and worked directly with Steve Houser, Director of Capital Planning and Employee Housing to improve the transparency of the Re-Pricing program and clarify the need for Re-Pricing increases in the annual UCSC Employee Housing Re-Pricing Program Recommendation packets. As a result of these collaborative discussions, CFW was pleased to find that this year's proposal included additional graphs on program inventory and revenue, and housing costs vs. new hire monthly income that will assist all levels of review of this proposal. However, the committee noted that the factors used to determine the need and level of an increase were still not clearly stated in the recommendation.

Last year, CFW questioned the formula used to calculate proposed percent increases and were informed by Director Houser that there was not a clear cut formula, but that many factors and trends affect the need for an increase. This year, CFW recommended approval of the 2016-2017 proposed increase (~1.5%), which is in line with the current Consumer Price Index (CPI) and program expenses, but requested that a spreadsheet be included in future Re-Pricing program recommendation packets that lists all possible factors (such as hiring trends, waitlists, unsold units, construction costs, housing dues, etc.) ranked by weight for each year, and includes a brief explanation for why they are important. Although this year's proposal increase was modest, members agreed that inclusion of this spreadsheet would have shed light on how the percent increase was determined and would have greatly assisted reviewers in the assessment of this proposal. Also, for a more realistic market comparison, CFW recommended in its formal response, that homes within a 10 mile radius of campus be included in computing the median home price, not just the upper West Side.

The Housing Re-Pricing Program Recommendation for 2016-17 emphasized the use of Low Interest Option Supplemental Home Loan Program (LIO-SHLP) loans to increase unit turnover and assist faculty in purchasing homes off campus. Although this may have been a realistic solution in the early days of the program, the LIO-SHLP program is now rarely used for reasons

that remain unclear, and so listing this as a viable “solution” is somewhat of a misrepresentation. With the large new faculty cohort that is expected in the next 7-10 years, CFW’s response to the CP/EVC emphasized not only the need to increase campus housing inventory (e.g. break ground on Ranch View Terrace II), but the need for the CHES to consider additional ways to encourage unit turnover other than the LIO-SHLP program.

CFW sincerely appreciates Director Houser and the Faculty and Staff Housing Office’s willingness to work with the committee in recent years to improve the Housing Re-pricing Program Recommendation process and increase the overall transparency of the program. The committee looks forward to future collaboration with Director Houser and CHES.

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 housing inventory needs to be maintained if we hope to remain a vibrant research and teaching community. Current campus housing waitlists are getting longer, suggesting that the present inventory is may not be adequate so the campus must develop a plan to increase our housing inventory (i.e. RVT 2). CFW will continue to assess the housing program, and provide recommendations as required.

Partner Hire Resources

In 2015-16, CFW identified partner employment as an issue that could have a significant positive impact on household incomes and improve the recruitment and retention of faculty on the UCSC campus; however, there is currently little help on campus in this regard. With the goal of increasing spousal/partner employment and increasing the confidence of prospective faculty in relocating their families to Santa Cruz, CFW sent a program proposal to the CP/EVC for the creation of a list of UCSC faculty and their partners, who can provide general information regarding the local job market in varying fields of expertise. The committee recommended that this list be broadened to include contacts from across the divisions so that it may be used as a campus wide resource, and a tool for recruitment and retention. Further, the committee recommended this tool to be a centrally supported and managed resource in order to preserve its longevity and increase accessibility and usage across the divisions. Unfortunately, the committee has not yet received an official response to the proposal from the CP/EVC.

Retirement

A major change in the retirement benefit has been enacted as part of the 2015-2016 Budget agreement between the University, the Governor, and the Legislature. In return for a \$436 million contribution to the University of California Retirement Plan (UCRP) over the next three years, the University was required to implement a new pension tier within UCRP for employees hired on or after July 1, 2016. To save costs, the pension would have a cap on the amount of covered compensation (CCL) that can be used in calculating retirement income that matches the State retirement plans Public Employees’ Pension Reform Act (PEPRA) legislation (\$117,020). Despite serious concerns raised by the Academic Senate about the impact on recruitment and retention of quality faculty, UCOP accepted the agreement and moved forward with designing and implementing the third tier retirement plan.

The impact of the capped retirement plan will be significant for those future employees whose salaries rise above this cap, most of which will be faculty. To address this, President Napolitano

appointed a task force to develop options for plans that would support the University in remaining competitive enough to recruit and retain high quality employees and ensure the financial stability of UCRP. With feedback from the Academic Senate, the task force developed multiple options for retirement, two of which were selected to be implemented by July 1. The first known as Pension Choice, is a hybrid defined benefit and contribution plan, provides a defined benefit on eligible pay up to the PEPRA cap of \$117k. This is supplemented by a 401k style account that initiates on the date of hire. The investments in the pension are managed by the university, while those in the supplement are managed by the employee. The second option, Savings Choice, is more or less a 401k style plan with mandatory contributions matched by UC accumulating in a tax-deferred retirement account managed by the employee. The employee (7%) and university (8%) contributions to each plan are essentially the same. However, an additional 5% is contributed by the university to the supplement DC in Pension choice at the date of hire. This was provided to bring the benefit value closer to that of the Tier 2 retirement plan.

Choice of plans depends on a number of factors, but for most UC ladder rank faculty, Pension choice is the recommended option because of the reduced risk. There are clear rules about the ability to switch from one plan to the other that employees need to be aware of. Given the importance of such a choice, over the spring UCFW worked with HR to develop tutorials on the plans and factors to consider in selecting an option. The tutorials and guides can be found on the HR retirement benefits website. There are also consultants that can be contacted by email or phone to discuss the options.

The long-term impact of the changes in the retirement benefits on the quality of faculty at UC campuses is of great concern. The overall values of the new plans depends largely on the starting salary, rate of increase, and years of service. With optimistic assumptions of a 7.25% rate of return on the supplemental DC investments, and conversion to a fixed annuity of 4.75% at retirement, at 30 years of service the income replaced generally falls below that of the Tier 2 plan. Obviously, the income replaced could be higher or lower depending on market performance. However, the higher the salary, the larger the discrepancy. For those who reach the PEPRA cap quickly, that is highly meritorious faculty, the retirement benefit justification to remain at UC is diminished. In the worse cases, a reduced benefit will effectively lower the total remuneration for faculty, and thus have to be compensated for with higher salaries in order to compete for outstanding faculty. Some campuses, UC Los Angeles and UC Berkeley for example, might have sufficient resources (i.e. large endowments) to offer competitive salaries with larger off scales, whereas campuses such as UC Santa Cruz will be limited. Without the resources to provide a substantial boost in base salaries, it is likely that UCSC's ability to competitively hire and retain faculty will be disproportionately compromised by the reduction in retirement benefits. Further, with the 30% expected retirement and new faculty cohort in the next 7-10 years, CFW is concerned how an overall lower total remuneration for our campus will impact our ability to competitively hire the top faculty. The campus will need to consider how other benefits might help offset the reduction in retirement. These are issues CFW will need to continue to monitor and address next year and well into the future.

Transportation and Parking

In fall 2015, the Advisory Committee on Campus Transportation and Parking (ACCTP) was created to review policies, plans, capital improvement projects, transportation, parking, and

circulation programs and services for the UCSC main campus, 2300 Delaware Avenue, and the Coastal Science Campus. The primary objective of the committee is to recommend a sustainable funding model that ensures adequate support of programs, services, and infrastructure to provide access to campus-owned facilities.⁶ The committee advises on annual updates to the 10-Year Parking Plan and 5-Year Transit Plan, and associated fees and fare proposals. Committee membership, headed by VCBAS Sarah Lathan, includes Senate faculty representatives from CFW, the Committee on Planning and Budget (CPB), and a faculty member at-large. CFW participation on this committee has greatly enhanced the overall transparency of TAPS programs and the operating budget, and has assisted the committee in making more informed recommendations regarding programs, and fee and fare proposals.

During its meeting of March 31, 2016, the CFW reviewed the Transportation and Parking Services (TAPS) 3 Year Fee and Fare Proposal. CPB also reviewed the proposal and provided comments and feedback to the Chancellor. Overall, the committee was disappointed to see that little had changed from the original fare and fee increase proposed in May 2015, which was criticized by the Academic Senate and that recommendations for improvements made by the Senate were not addressed. However, in an effort to move forward and prevent further increase of the TAPS deficit, CFW approved the proposed 2016-17 fare and fee increases with a few conditions.

The committee's response raised concerns about the effects of the proposed increases (~5%/year) possibly having a negative impact on revenue and increasing the deficit. CFW recommended that the possible effects of the increases be thoroughly researched before the fare and fee increases are placed into effect. Second, the list of guiding principles generated by TAPS this year focuses solely on finances and budgetary transparency. CFW recommended that improvements be made to TAPS guiding principles to include service and welfare concerns, and that these improvements be made through an active collaboration between the ACCTP, TAPS, and CFW. The committee determined that the absence of service and employee welfare in the guiding principles negates the fact that Transportation and Parking exists to provide a service to the campus. Third, CFW's response noted that TAPS must continue to look to internal improvements to remedy and improve the unit's budget before future increases to fares and fees are proposed.

This year, the ACCTP meeting schedule extended into summer 2016. Summer meetings unfortunately clash with the research and travel schedules of many faculty, and make it difficult for faculty representatives to attend. CFW has requested that faculty schedules are taken into account when future ACCTP meeting schedules are set.

Acknowledgments

The committee would like to thank those who consulted with and/or provided information to the committee this year - Steve Houser and John Thompson (Faculty Housing), the Academic

⁶ Draft Advisory Committee on Campus Transportation and Parking (2015-16 Charge/Membership)

Personnel Office (Salary Data), VC Sarah Latham (CC), and CP/EVC Galloway.

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August 31, 2016

UNIVERSITY OF CALIFORNIA, SANTA CRUZ

AS/SCP/1822

COMMITTEE ON FACULTY WELFARE
Faculty Salary Analysis, January 2016

To: Academic Senate, Santa Cruz Division

The Committee on Faculty Welfare has recently completed its annual review of faculty salary comparative data using the most recent available salary data from October 2014. The data represent 6956 faculty members of all ranks and steps across all UC campuses, excluding UC San Francisco (UCSF). Of these, 5491 faculty members were on regular scale and 1460 were on the Business, Economics, and Engineering (BEE) scale.

This report is a follow-up to previous reports that were spurred by “Merit Boost Plan” initiated in 2008-9 on the recommendation of the Administration/Senate Task Force on Salaries by the administration, in cooperation with the Committee on Academic Personnel (CAP). The goal of this plan was to bring faculty salaries to the median level for UC campuses--UCSC’s salaries had previously been among the lowest. While early analyses showed the plan to be nearing its goal, recent analyses, especially the most recent 2015 report, demonstrated a stall in salary growth relative to the other campuses. Unfortunately, the conclusion of this report is similar.

In this report we follow the path set by the previous report in analyzing overall salaries and concentrate on off-scale amounts as on-scale salaries are mostly frozen, resulting in off-scale increments as the primary source of discrepancies across campuses. Similarly, we constrict our analysis to regular scale, academic year faculty; this is 74% of the total data provided by UCOP. Below we provide four figures summarizing this data as well as four tables in [Appendix A](#). The figures and tables provide median values to avoid outlier influences.

From Figure 1 below, median salaries for all UC campuses, it is evident that UCSC still lags UC Santa Barbara (UCSB) and UC San Diego (UCSD), and is slightly behind UC Irvine (UCI), which are coastal campuses that, historically, define our most immediate comparison class. It is also worth noting that both UC Los Angeles (UCLA) and UC Berkeley (UCB) are coastal/city campuses, with cost of living similar to Santa Cruz, but with medians much higher than UCSC.

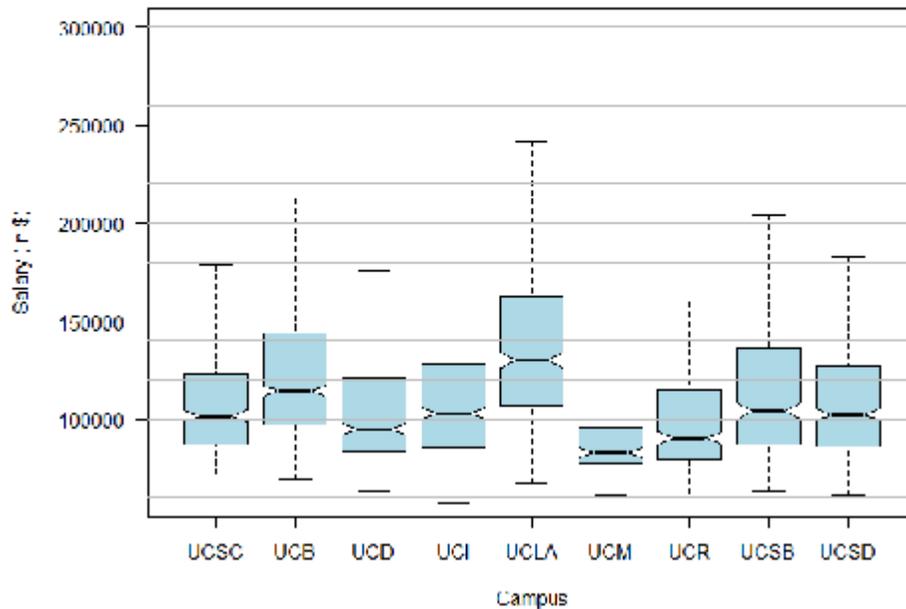


Figure 1: Box plots of 2014 salaries for the nine UC campuses (aggregated for all ranks and steps, including Above Scale). The medians are the horizontal lines inside the boxes.

In Figure 2, we compare the off-scale amounts at UCSC to our five closest campuses. To avoid skewing the numbers due to the large gap shown in Figure 1, we leave out UCLA and UCB as outliers on the high end, and also UC Merced (UCM) because of its comparatively small sample size.

At the Assistant Professor rank, the UCSC median off-scale is comparable to UCI, but significantly behind those of UCSB and UCSD (being the differences with UCSD being quite significant at steps 2, 3, and 4). Compared to the off-scales for all ranks and steps (aggregated for the nine UC campuses) shown in Figure 3, our medians are below at several steps, Assistant Professor Step 2 having one of the largest discrepancies (UCSC = \$12,050, UCSB = \$13,355, UCSD = \$21,300). This is of special note as this is the introductory level for most new hires; few are made at Assistant Professor Step 1.

UCSC off-scales at the Associate Professor ranks are starkly behind UCI, UCSB, and UCSD. Compared to the off-scale data in Figure 3, our medians are below at some steps, Associate Professor Step 1 being the one with most discrepancy (UCSC = \$6,650, UCI = \$9,700, UCSB = \$10,100, UCSD = \$16,450).

At Professor rank, the differences in off-scale between UCSC and those of the five closest campuses are also notable, as Figures 2 and 3 illustrate. When compared to the medians, depending on step, UCSC median off-scales are between \$5K and \$10K lower than UCSB and UCSD – see, for instance, the differences in off-scales for steps 1, 2, and 6 – and for some steps, more than \$30K below those at UCLA and UCB.

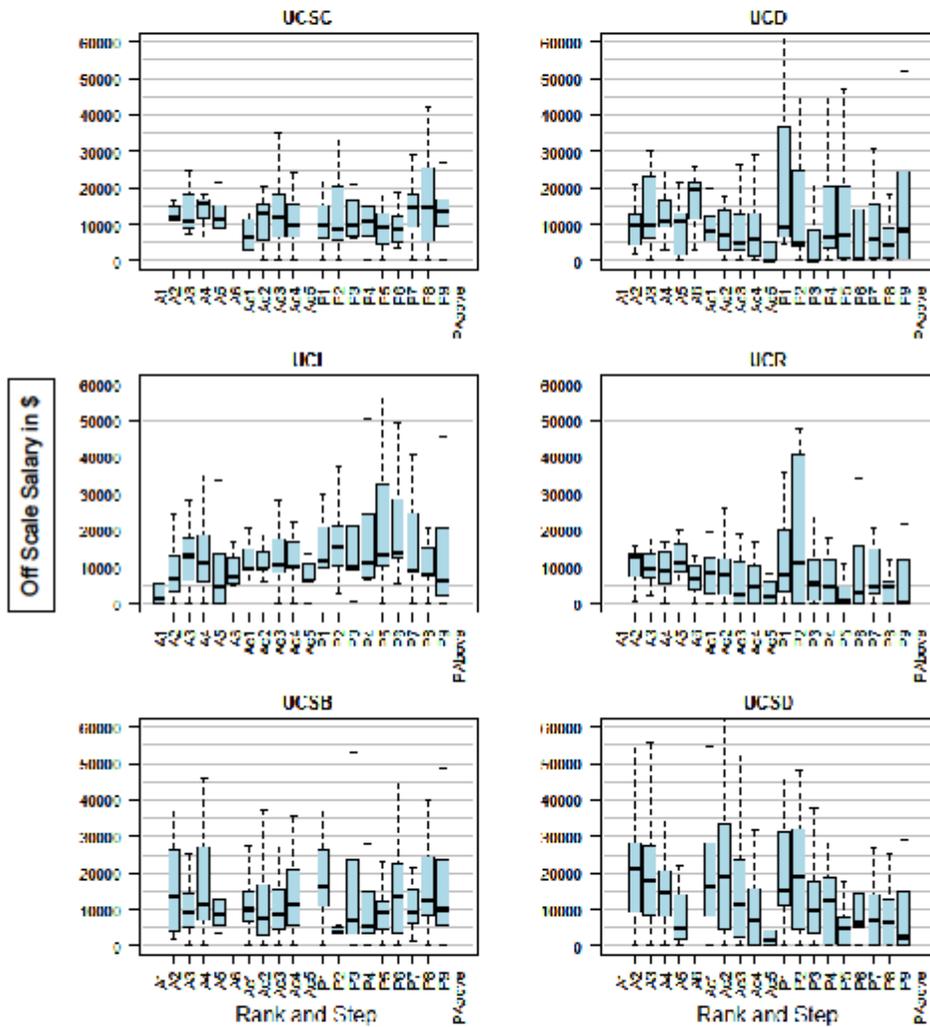


Figure 2: Boxplots of off-scales for all ranks and steps at six UC campuses (UCB, UCLA, and UCM are excluded)

Figure 3 presents the median off-scale amounts aggregated across campuses. Here the overall median values are relatively flat, but with greater spread in the higher ranks. In comparing these values with those for UCSC from Figure 2 the difference in these higher ranks is clear. The UCSC values remain flat across ranks while the overall UC trend is for larger off-scales at the higher ranks.

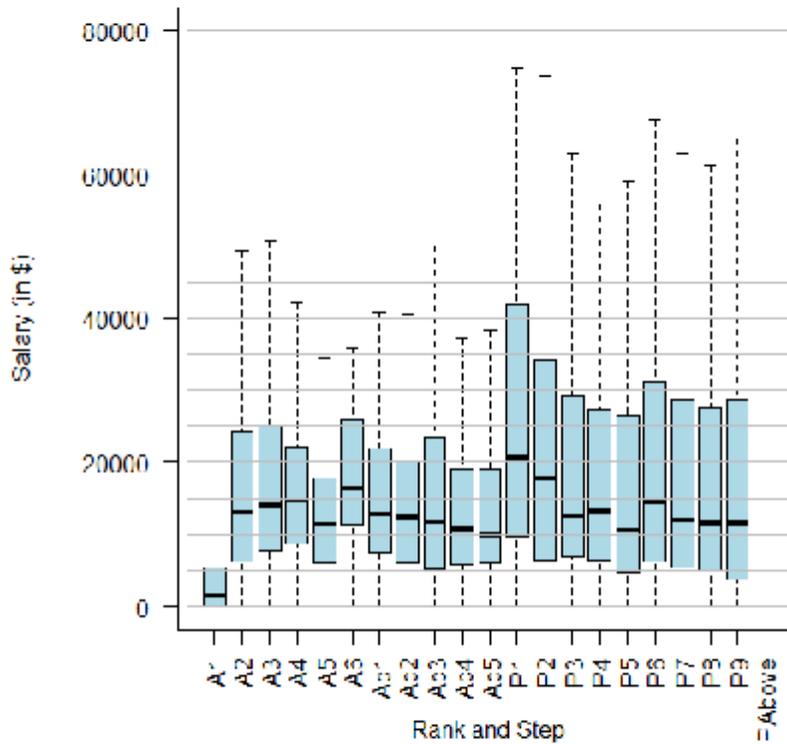


Figure 3: Box plots of off-scales for all ranks and steps in 2014 (aggregated for the nine UC campuses)

While the Merit Boost Plan has increased the overall remuneration, especially at earlier ranks, the trend across campuses is similar. Figure 4 shows the median overall salary data for the last three data periods. For each campus there has been an upward trend, UCSC included. However, the trends shown in Figure 4 suggest that it will be impossible for UCSC salaries to approach those at UCSD, UCLA, and UCB at the current “linear” rate of growth of UCSC salaries. In fact, UCSC’s salaries have remained flat compared to peer campuses, even as salaries have increased, suggesting a more aggressive salary strategy may be required.

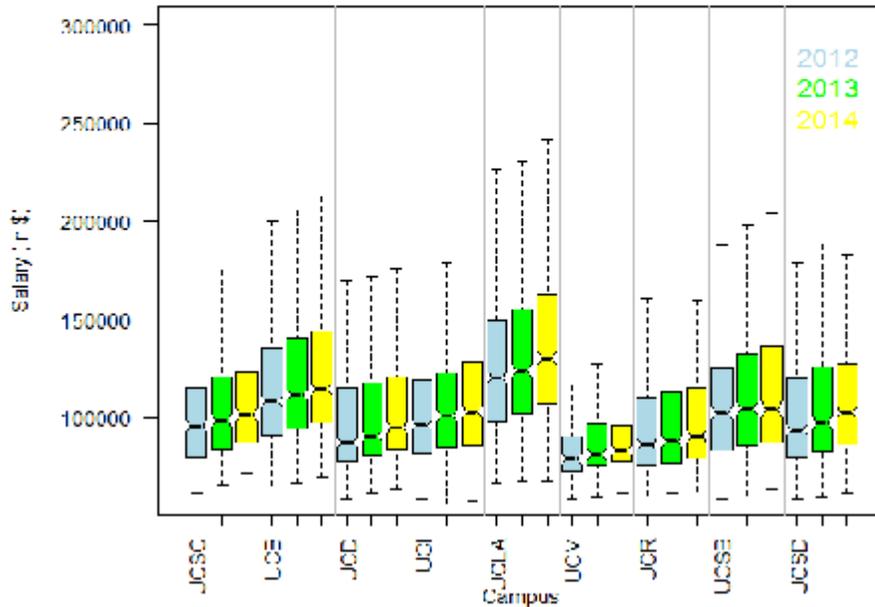


Figure 4: Box plots of median overall salary data for the last three data periods (for the nine UC campuses)

In summary, UCSC still lags behind the overall UC median and our immediate comparison class, the coastal campuses (UCI, UCSB, UCSD). While the Merit Boost program has had success in addressing discrepancies at the Assistant Professor rank, the program has been less successful at the higher ranks. Gains relative to other campuses have slowed in the last few years, likely due to other campuses initiating similar programs.

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January 29, 2016

Appendix A

Table 1: Median off-scales by campus and rank and step (Oct. 2012)

Rank	UCSC	UCB	UCD	UCI	UCLA	UCM	UCR	UCSB	UCSD
A1				6200		6200			24500
A2	6900	9600	4970	6900	23900	6300	10900	8900	17500
A3	12900	28700	9700	10800	17750	10700	7900	12750	14000
A4	7300	15200	7095	3600	22000	8850	10300	9150	8800
A5	8750	14700	8390	5250	19100	9300	9050	8050	12500
A6		13500	1520	0	18200	11050	11600		
Ac1	10350	24050	6000	9300	21700	4000	5000	8100	12550
Ac2	7450	16100	4890	9700	27600	8950	2000	7850	9600
Ac3	7900	13500	2460	7900	24050	12000	3200	5850	3750
Ac4	6100	16500	810	9400	27800	11400	2600	4200	4400
Ac5		7100	0	5600	15500	4750	3000		0
P1	6400	53300	3710	9400	39900	7800	2400	16050	7300
P2	6200	27500	0	9800	27100	6400	8300	10150	8400
P3	7400	16550	0	8700	28150	17500	200	3400	6000
P4	6800	10900	655	6800	37300	6800	3400	4800	10100
P5	7850	9300	0	6900	27100	11850	1050	8700	4400
P6	9300	14700	890	12100	24200	7700	4550	6250	4700
P7	8400	16300	5390	8300	29900	4500	4400	7250	11600
P8	5700	5700	5515	12100	18800		200	8100	6100
P9	6400	5600	410	4850	25950	16000	400	7300	600

Table 2: Median off-scales by campus and rank and step (Oct. 2013)

Rank	UCSC	UCB	UCD	UCI	UCLA	UCM	UCR	UCSB	UCSD
A1				5300		6300			
A2	7000	17000	7275	6150	25400	5750	12100	5700	17200
A3	11500	29300	8870	12000	26100	11050	6950	9100	19600
A4	13400	25800	11085	11000	19150	10500	10750	10200	13550
A5	11900	11400	10720	5100	29700	9750	10850	8100	5900
A6		15900	3150	5200	19700	8700	7400		
Ac1	9850	30100	7940	9400	24450	7450	6600	9700	12100
Ac2	10000	21200	2705	11900	25200	10400	2700	8700	13250
Ac3	8400	3390	8100	27100	13100	7400	8900		
Ac4	6500		1250		28400	8400	4600	6300	8400
Ac5			0		19400	9700	100		0
P1	8900	69100	4740	10550	43350	32500	2400	15600	16350
P2	6400	27200	1010	10000	30800	8350	6200	4650	6100
P3	9700	20950	0		30750	12800	3300		7400
P4	7100		8090	8500		6900	3500	4900	12410
P5	8900	12150	0	10300	29300	16800	1900	8900	5800
P6	9500		1220	14150	30400	7900	4000	9100	6100
P7	11100	16050	4740	8500	32050	4600	4500	8900	11750
P8	5800	9900	5500	7500	28000	22100	5550	9300	6350
P9	11600	10300	3970	6645	29900	16300	300	9000	5700

Table 3: Differences in median off-scales between 2014 and 2013 by campus and rank and step.

Rank	UCSC	UCB	UCD	UCI	UCLA	UCM	UCR	UCSB	UCSD
A1	0	0	0	-3900	0	-6300	0	0	0
A2	5050	5600	2673	700	1100	-50	400	7655	4100
A3	-300	900	1030	1150	0	-450	2850	300	-1600
A4	2300	-1200	156	300	6350	450	-1850	1000	1150
A5	-350	5850	479	-450	-6600	100	200	800	-750
A6	0	1450	16368	2050	12850	-1500	-800	0	0
Ac1	-3200	900	241	300	1150	-950	2050	400	4350
Ac2	3100	-5700	4498	-2200	5850	2150	5300	-1100	6050
Ac3	3500	11410	-2950	-16550	16400	3750	-6600	8700	11600
Ac4	3500	14950	4518	9900	900	150	100	4900	-1350
Ac5	0	13400	0	6100	-1200	300	2150	0	1700
P1	950	3100	4624	1250	2050	-32500	5250	500	-850
P2	2550	1700	4270	5300	6400	16250	5100	-950	13200
P3	400	7350	0	10000	950	400	2150	7000	2400
P4	3800	15750	-1489	2700	37400	2900	1100	500	-260
P5	200	2400	7296	3300	-350	500	-900	300	-1200
P6	-750	20500	-787	-375	9050	9600	-1000	4900	200
P7	3500	-3500	1161	300	-650	300	400	300	-4900
P8	8600	10800	-1333	300	5350	700	-900	3100	350
P9	1900	300	4381	-545	900	500	-100	900	-3162

Table 4: Median off-scales by campus and rank and step (Oct. 2014)

Rank	UCSC	UCB	UCD	UCI	UCLA	UCM	UCR	UCSB	UCSD
A1				1400					
A2	12050	22600	9949	6850	26500	5700	12500	13355	21300
A3	11200	30200	9900	13150	26100	10600	9800	9400	18000
A4	15700	24600	11241	11300	25500	10950	8900	11200	14700
A5	11550	17250	11200	4650	23100	9850	11050	8900	5150
A6		17350	19519	7250	32550	7200	6600		
Ac1	6650	31000	8181	9700	25600	6500	8650	10100	16450
Ac2	13100	15500	7203	9700	31050	12550	8000	7600	19300
Ac3	11900	14800	5150	10550	29500	11150	2300	8700	11600
Ac4	10000	14950	5768	9900	29300	8550	4700	11200	7050
Ac5		13400	0	6100	18200	10000	2250		1700
P1	9850	72200	9364	11800	45400		7650	16100	15500
P2	8950	28900	5281	15300	37200	24600	11300	3700	19300
P3	10100	28300	0	10000	31700	13200	5450	7000	9800
P4	10900	15750	6601	11200	37400	9800	4600	5400	12150
P5	9100	14550	7296	13600	28950	17300	1000	9200	4600
P6	8750	20500	433	13775	39450	17500	3000	14000	6300
P7	14600	12550	5901	8800	31400	4900	4900	9200	6850
P8	14400	20700	4166	7800	33350	22800	4650	12400	6700
P9	13500	10600	8351	6100	30800	16800	200	9900	2538

UNIVERSITY OF CALIFORNIA, SANTA CRUZ

AS/SCP/

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.

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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.

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Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

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Adrian Brasoveanu
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February 4, 2015

Committee on Information Technology Annual Report 2015-16

To: Academic Senate, Santa Cruz Division

Executive Summary

The Committee on Information Technology (CIT) is charged with advising on acquisition, implementation, utilization, and impact of instructional technology, information systems, software and electronic communication facilities, including wireless service.

In 2015-16, the committee spent a majority of its time discussing cyber security and learning about the current state of IT security on campus and potential proactive steps to maneuver the campus towards a securer cyber security environment. Members continued monitoring eCommons and began advocating for the adoption of a new learning management system – Canvas – after issues of eCommons' vulnerability became apparent. Lastly, CIT followed up on requests from faculty members concerning ITS support services and computing resources for faculty.

Campus Cyber-Security Monitoring

The University of California has acquired a new cyber-security monitoring system called FireEye in response to the cyber-attack at the UCLA Health Center in June 2015. Although FireEye does have greater intrusive capability, the campus will continue to adhere to the UC Electronics Communication Policy.

UCSC will be the last campus to implement this system. The committee has partnered with the Vice Chancellor for Information Technology (VCIT) Mary Doyle in a communication to address and inform faculty about their security monitoring and breaches concerns, best practices, and recommendations for IT security.

The campus has an open network system that is assigned geographically; however, the most effective way to curtail cybersecurity breaches would be to move the campus towards a closed network. The committee consulted with the Information Technology Services (ITS) Network Operations Manager John Haskins to determine the feasibility of implementing a closed network and learned that it would be difficult. This type of project will require large scale coordination to gather expertise in ITS and a tremendous amount of research to assess the implication of transitioning to a closed network. Other issues that need to be reviewed and considered are:

1. Defining the service for the support of network infrastructure
2. Access control
3. Firewall expenses
4. Equipment replacement cycle
5. Overall budget
6. Personnel

Another option the campus can explore is to implement protected subnets (e.g. Police Department and Bay Tree Bookstore); this will also entail significant discussion and collaboration with ITS. The School of Engineering has support for outbound packet data protocol but not inbound where the protection is by access. The committee would like to revisit the topic of implementing a closed

network in January 2017, as ITS will have a better idea on the scalability based on the status of the Telecommunications Infrastructure Update project.

Campus Learning Management & Course Evaluation System

The Committee on Information Technology in consultation with the Committee on Teaching (COT) has made the recommendation to the CP/EVC to move the campus rapidly toward acquiring a new learning management system given eCommons' increasingly unstable support environment. The campus will be able to take advantage of the knowledge and expertise gained from the other UC campuses (Berkeley, Merced, Irvine, and Davis, including UC Online Education and UCSC Extension) that have contracts with Canvas. The committee will partner with COT in ensuring the transition from eCommons to Canvas will be as smooth as possible and have made the following recommendations to the CP/EVC:

- 1) After at least a year-long period in which faculty and instructors have access to both eCommons and Canvas to migrate content from one platform to the other
- 2) Provide the highest level of technical support available from Canvas, with online support for faculty and staff
- 3) Employ of student workers to assist with troubleshooting during the changeover
- 4) Provide easy and convenient opportunities for faculty to be introduced to the new system
- 5) Provide possible incentives for early adoption

Chair Renau served as the CIT representative on the Vice Provost of Academics Affairs' Online Course Evaluation Steering Committee to assist in selecting a new course evaluation system for the campus. The transition to a new evaluation system has been on an aggressive schedule due to the instability of the current system. There were four vendor demonstrations in April 2016 and the evaluation system is anticipated to be implemented by Fall 2016. We look forward to working on the transition to a new learning management and course evaluation system to enable our instructors and students to have a better teaching and learning experience.

IT Support & Computing Equipment Resources for Faculty

In 2014-15 a professor from the Social Science division requested CIT advocate for better IT support services and timely computing equipment replacement. CIT did not take up this matter previously because the Committee on Research (COR) was working with divisions on this topic but decided to examine the faculty's concern this year.

The committee consulted with the IT Support Center Manager to better understand IT support service on campus and was provided an overview of the campus ticketing system. He informed the committee of ITS' new service level agreement¹ for all assistance request to be assigned within four hours, down from eight hours. Other recent process improvements included continual ticket review, consolidating knowledge, implementing remote connect, and defining first tier assistance (80% of the student employees are new) with escalation to professional IT employees. IT support services seems to be timely and reasonable and perhaps the initial frustration in support services was due to personnel turnover and changes within the unit. ITS accountability services and system metrics² are available for review.

¹ The agreement may be viewed at - <http://its.ucsc.edu/sla/campus-its-sla.html>

² The metrics may be viewed at - <http://its.ucsc.edu/sla/metrics.html#resolution>

The other matter of concern was the lack of basic computing equipment resources. CIT consulted with the Committee on Research (Chair Whittaker) to learn about computing equipment request through COR's faculty and special research grants. Chair Whittaker noted the increase in computing equipment requests in grant proposals, but COR is unable to approve these proposals because the grants are intended to further research. COR has brought their concern about the lack of computing equipment resources to the attention of the Campus Provost/Executive Vice Chancellor (CPEVC) Alison Galloway in 2014-15 and conveyed that computing equipment should come from central funds. CIT and COR partnered on a correspondence to the divisional deans to advocate for the review of the computer replacement policy and requested that there be a plan to restore computing equipment funding to provide faculty with the tools necessary to engage in basic teaching, research, and service activities. We are happy to note that we received a response from the Dean of Social Sciences indicating plans to restore computing funding. Next year, CIT and COR will follow up with the other divisional deans.

ITS Updates & Other Committee Business

VCR & CIO Cyberinfrastructure Summit

The 2015 Vice Chancellors of Research and Chief Information Officers Cyberinfrastructure Summit resulted in a white paper and a draft recommendation for a system-wide alliance to enable system-wide support for multi-campus research. VCIT shared with the committee the draft proposal to create a UC Research Cyberinfrastructure Alliance. The committee reviewed the draft recommendation and would like more clarity on the resource allocation for the storage and equipment of data, an integration plan, and the funding support for the proposed salary.

UC Learning Data Privacy Principles & Recommended Practices

The Director of Learning Technologies Jim Phillips, who is a part of the UC Ed Tech Leadership Group, requested that the committee review a draft of the "UC Learning Data Privacy Principles and Recommended Practices" document. Members reviewed the draft and agreed that the purpose sounds reasonable as organizations are trying to monetize student data, although it is not clear what solution or policy changes will need to occur.

Telecommunication Infrastructure Upgrade Project (TIU)

The TIU project is in the second stage of the project out of four total phases. Most of the campus phones are now on voice over internet protocol although analogue is still available (in case of emergencies) in specific buildings. The upgrade is intended to increase the campus resiliency and wireless speed. The committee will continue to monitor the status of this significant project.

Updates from Vice Chancellor for Information Technology

The committee was pleased to partner and work with VCIT as a standing guest on the committee. The VCIT kept the committee informed of ITS projects and news. The following may be of interest to the Senate:

- Recent implementation of multi-factor authentication³ on campus to increase password security
- ITS review of Educate, an Amazon coursework services (which provides free credit to faculty) to understand the full implications for the campus
- The campus acquisition of the license for SPSS, a statistical software program for students, faculty, and staff
- ITS creation of a section on the Campus Directory site to provide faculty the ability to input their “Area of Expertise” in an effort to facilitate collaboration and the ability to search for faculty by their research and expertise

Upcoming Agenda for 2016-17

The committee will continue to monitor the cyber security situation on campus, work on the adoption of Canvas, and work on the integration of the yet to be determined online course evaluation system.

Members will explore the following topics further in 2016-17:

Data Center/Space. The committee would like to gain a better understanding of the options available for a data center or other space to store excessively large amounts of data. The campus once had a partnership with the University of California, San Diego; that partnership is no longer available, and the data storage options on campus are not adequately meeting the needs of faculty.

Software & Licenses. Committee members commiserated about their experience purchasing software and licenses, as new faculty member and are interested in reviewing and improving the process. Relatedly, it would be useful to have communication or accessible resources (e.g. workshop, website, on-boarding) to inform faculty on all related IT issues, including how to get their research started or purchase software or equipment. Further, CIT members would like to be more involved in future campus-wide acquisition of software.

Computer Labs. A member remarked that the computers in the labs (e.g. Social Sciences 1, Engineering 109) are slow and would like to see if it is possible to improve the processing speed to make better use of classroom time.

Respectfully submitted;

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³ More information about multi-factor authentication may be viewed at - <http://its.ucsc.edu/mfa/index.html>

August 31, 2016

Committee on International Education 2015-16 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 and 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.

Strategic Planning and Campus Structure for Internationalization

The most critical issue for CIE this year has been engaging with the administration on campus structure and strategic planning for internationalization. This engagement, for several reasons, has also been the committee's biggest challenge this year. While some progress has been made, a clear understanding of the administration's vision and commitment to this issue, and what resources and investments are planned, is needed to plot a prudent pathway forward.

Vice Provost for Global Engagement Search

During 2014-15, the committee responded to the CP/EVC's announcement (May 29, 2015 Senate meeting) that plans were in place for the creation of a Vice Provost for International Engagement on the campus. The committee's correspondence (June 2015) articulated recommendations under four broad themes/needs for the campus, including:

- the need to build a strategic and collaborative process for global engagement
- research as the leading edge of our outward move, which includes international collaborations and activities that connect research, teaching, recruitment, and partnerships
- international graduate and undergraduate recruitment
- building faculty regional work groups with the goal of strengthening regional expertise and interdisciplinary alliances, to improve the quality and breadth of both research and teaching on campus.

In that letter, the committee articulated its interest in continuing collaboration with the administration as the VPIE search takes shape and is launched. In 2015-16, the committee revisited this issue and followed up with the CP/EVC (November 2015). The committee raised a set of questions around the job search, including a timeline for finalizing the job description, the scope of the search and plans for advertising the position, as well as the role for faculty in the search process. As yet, the committee has not received a response to its correspondence on this topic.

The CP/EVC, in an email to the campus (April 2016), announced that Senior International Officer Joel Ferguson was appointed as Interim Vice Provost for Global Engagement. According to that e-mail, the VPGE will provide campus leadership in the prioritization of strategic goals, execution of programs that increase the success of international students, establishment of worldwide research partnerships, and raising the campus' international presence. However, the committee remains unclear about the administration's plans to launch the VPGE search. VPGE Ferguson, during consultation (4/19/16), noted that the recruitment for the permanent VPGE is expected to

begin at the discretion of the new CP/EVC, likely after January 2017. Given the delay in the CP/EVC search, it is not clear if the VPGE recruitment will also be delayed. The committee looks forward to collaborating with the administration, and will continue to make every effort to actively participate in the VPGE search next year.

Collaboration with Interim VPGE on Strategic Planning

The committee consulted with SIO/Interim VPGE Joel Ferguson during winter and spring quarters (January 2016, April 2016, May 2016) on the topics of strategic planning for internationalization, vision and goals for internationalization, infrastructure to support internationalization, and his trips abroad.

Developing a campus strategic plan for internationalization emerged as the most significant and complex topic of consultation during spring consultations. The VPGE proposed that the committee take the lead to create a strategic plan for global engagement for UCSC. He noted the need to build both a top-down and bottom-up process and the need to build consensus, areas where CIE could provide support. He also proposed the American Council of Education (ACE) as a resource that can help with the strategic planning process, through their “internationalization lab.” International Education Office Director Becky George, who attended the consultation with VPGE Ferguson, has experience with the ACE labs. VPGE Ferguson has stated he will create a task force to build a strategic plan, which would be an eighteen-month process, and he has proposed that CIE take a lead role in this process.

CIE invited VPGE Ferguson to consult again with the committee at its last meeting of spring quarter, and provided a set of questions for the consultation. In its letter to the VPGE (5/13/16), the committee raised several concerns. First, the committee sought to clarify the nature of the collaboration between CIE and the newly formed Division of Global Engagement toward developing and advancing a campus strategic plan. The committee communicated that any efforts to develop a strategic plan should be led by the VPGE. This includes providing leadership and infrastructural support. CIE is committed to being an active partner and to *collaborate* in the development and advancement of a campus strategic plan. The committee also recommended consideration of alternate ways to proceed with strategic planning, in place of the ACE internationalization lab. The committee requested data on how other campuses, particularly UC sister campuses, have proceeded with internationalization. The committee also suggested an alternative to the proposed eighteen-month plan, a process that would bring similar results within a shorter time frame and leverage existing reports and efforts completed in recent years. Finally, the committee requested samples of ACE reports from comparable universities who had contracted with them, in order to assess the value of the ACE process. During the final consultation (5/31/16), the questions were discussed at greater length, although without the data on sister campuses and a draft charge and timeline for the proposed task force anticipated from the VPGE. At this consultation, VPGE Ferguson noted the central administration’s preference for campus development of its own strategic planning process, modeled after the ACE lab, but conducted in-house. The VPGE discussed possibilities for task force membership, and noted that next steps include asking the Chancellor to put forward a charge for the task force, and developing a list of names for possible membership. The VPGE expects to launch a task force as early as fall quarter 2016.

In the coming year, CIE expects to revisit and update the Senate Executive Committee's *Proposal for a Framework for International Engagement* (February 2015) and share this information with the VPGE as part of its broader collaboration on strategic planning for internationalization. The committee agrees that a strong sense of vision, goals, and purpose aligned with faculty needs is necessary in the planning process. Clear administrative vision and commitments are also needed, particularly given the changing context of issues impacting internationalization at the state, UC, and local levels.

International Collaboration Agreements

Following up on last year's report on this issue ("Making International Collaboration Agreements Swift, Flexible, and Open," May 2016), the committee pursued the topic of international agreements, the MOU process, and support for developing pipelines and collaborations as well as plans for international outreach, with VPGE Ferguson (CIE to VPGE January 12, 2016; April 12, 2016). The committee did not have adequate time for consultation with the VPGE on this issue, however, and remains concerned about a vision and strategy for developing research partnerships, campus infrastructure for support of internationalization initiatives, levels of staff support, and administrative commitment. Recommendations in the committee's May 2015 report include updating campus guidelines on international collaboration agreements, making available to faculty an open web based summary of existing collaborations, creating a central archive for agreements, and developing a process for top-down and bottom-up agreements. The committee will continue to monitor this issue in 2016-17.

International Enrollment and Recruitment

The committee's interest in better understanding current international enrollment and recruitment efforts on the campus stems from long-standing interests in 1) furthering the goal of increasing international enrollments on the campus, 2) increasing the depth and quality of the international pool, 3) increasing the yield and retention rate of the international students, 4) availability of resources to support international students on the campus.

The committee appreciates that many factors impact campus decisions about international enrollment. More recently, the political context in California has also become more fraught for internationalization, evidenced by the release in March 2016 of the State Auditor's Report "UC: It's Admission and Financial Decisions Have Disadvantaged California Residents." To better understand enrollment and recruitment, the committee decided to re-institute consultation with the Associate Vice Chancellor for Enrollment Management (AVCEM) Whittingham on this topic. Specifically, the committee sought to understand the vision and goals for international admissions; review the Office of Admissions International Recruitment Plan (and better understand outreach activities), enrollment targets for the next academic year; and receive an orientation into selection criteria, yield, and composition of the applicant pool. The committee reviewed data on recent trends in international enrollments at both the campus and UC level prior to consultation. The committee will continue to review and monitor these issues on an annual basis.

Faculty Regional Workgroups

Throughout the year, the committee discussed how to best facilitate the implementation of Faculty Regional Workgroups. 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 workgroups to facilitate international outreach and collaboration. The committee considered the workgroups this year as a source of networking, potential collaboration, information sharing, and community building. The committee discussed alternative models for implementation – for example, a low traffic email list. The committee also discussed the possibility of two levels, a core advisory group that would be comprised of members with regional expertise willing to have proactive involvement in campus internationalization issues and a general group interested in discussion and information sharing. The committee considered, but did not find it feasible, taking the lead in establishing the workgroups, and agrees these groups are best administered and overseen by the Vice Provost for Global Engagement. The VPGE’s current work surveying faculty about their international research connections (building on CIE’s 2013-14 Faculty Survey), which he discussed in consultation with the committee (April 2016), could present the possibility of a launching point for faculty regional workgroups. This issue needs further consultation with the VPGE, and will be a continuing issue for the committee in 2016-17.

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:

- Review of Proposed Revision to Senate Regulation 621 (October 2015)
- SIO/VPGE Proposed 3+1+1 Guidelines (February 2016, April 2016)
- SIO/VPGE Study Abroad Proposal (April 2016)
- NAU/UCSC Economics 3+1+1 Pilot Proposal (May 2016)

Chair Li represented CIE on the campus Task Force for China Scholarship Council Proposal.

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:
 - VPGE plans for the creation of a Strategic Plan for Internationalization
 - Administrative search for Vice Provost for Global Engagement position
 - Campus plans for internationalization and graduate growth
- *Monitor Progress of the Division of Global Engagement to Ensure International Faculty Presence on Campus is Visible:* This includes making visible about where faculty are active, sharing faculty accomplishments (i.e. Fulbright appointments), and building a visible Division of Global Engagement web presence.
- *Monitor Development of Administrative Process for Campus International Agreements:* the committee will continue to engage the administration proactively on this issue.

Respectfully submitted;
COMMITTEE ON INTERNATIONAL EDUCATION
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Yat Li, Chair

August 31, 2016

Committee on Library and Scholarly Communication Annual Report 2015-16

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) is charged with advising the campus administration on local and systemwide library and scholarly communication policies. Scholarly communication is the modality by which research and creative work are made public; including publishing, technology, archiving, and copyright. The committee also advises on the administration of campus libraries and on matters concerning acquisition and management policies for collections. The committee meets biweekly to support this charge and to better understand and learn about the challenges facing our libraries.

Library Funding and Budget

COLASC continued discussing the state of the library's budget. UCSC has the lowest level of funding per student of all UC's. We are not a member of the Association of Research Libraries (ARL) in part because our total expenditures, salaries/wages for professional staff, number of FTE, and budget for collections are all too small for us to qualify. Other than UCSC, in the UC system only UCM (a much smaller and younger campus) and UCSF (which is not eligible because it does not grant undergraduate degrees) are not members of the ARL. The library is in need of a budget increase. Committee members suggested highlighting the amount of funding the library needs to receive funding parity with similar campuses in the annual budget review submission to the CP/EVC.

The committee spent several meetings discussing possible alternate budget models for the library. Currently, the CP/EVC allocates a lump sum to the library. This sum is not formally tied to number of faculty, number of students, grant funding, or any other objective numeric metric; however, the need for additional resources (collections, staffing, and services) obviously increases as the campus grows. The committee discussed some of the pros and cons of moving to a funding model that would tie part of the library's budget to one or more of these metrics. For example, the library might receive a set percentage from the indirect cost recovery portion of research grants, or there might be a minimum amount of funding per student. It is unclear whether models such as these are politically or pragmatically viable and whether they would ultimately provide a floor of funding under which the library would not sink or would serve instead as a cap to funding. The committee expressed interest in continuing these discussions in the future, including garnering information about whether such models have been successful for other university libraries, inside or outside the UC system.

Associate University Librarian John Bono presented information about the library's budget to COLASC. The committee learned that seventy percent of the library's collection budget is slated for the California Digital Library agreement (a multi-campus package) and the remaining thirty percent are for UCSC-only journal subscriptions and monographs. The committee was surprised to learn that one-time funds (consisting of savings from open provisions, collection carry-forward, and other project funding) were relatively high at half the amount of the permanent budget. The campus has an ongoing structural budget deficit which necessarily leads to budgeting uncertainty and poses a challenge to the ability to plan thoughtfully for the future. The committee expressed

a desire for greater consultation regarding budget decisions and that Senate priorities be accorded due weight in decision-making. The COLASC chair also participated in a consultation between University Librarian Elizabeth Cowell, John Bono, and Committee on Planning & Budget (CPB). In this consultation, CPB reviewed a high-level budget and discussed library funding models, the use of GSRs in the library, and equality across the 10 UC campuses in access to library resources. The committee looks forward to continuing to work together with Librarian Cowell to advocate for needed resources for the library and to consult with her on faculty needs and priorities for the distribution and use of those funds.

Demand-Driven Acquisition Model for Collections

Since 2013, the library has implemented a demand-driven acquisition model, whereby purchase of monographs (but not journals) for the collection are made only upon request by a UCSC library patron (student, staff, or faculty). These requests can easily be made for many items through a “request purchase” button that will appear when a search for an item is conducted. Alternatively, there is an online form to request a purchase. The committee discussed the implications of this change. The committee also discussed possible methods for communicating this relatively new model to the campus community, because it is the impression of the committee that this change in our acquisition model is not well known. One concern of the committee is whether this model relies too heavily on the initiative of faculty, staff, and students to develop the collections. Although faculty and graduate students can perhaps be relied upon to build the collections in areas important for their own research, there may be less incentive to thoughtfully plan for building collections in areas important to the undergraduate curriculum and the general needs of the undergraduate population. An evaluation of the books that have been purchased through the demand acquisition model found that the types of books are comparable to what the acquisitions librarians used to order under the older model. A concern that a model like this might lead to exploding costs has not been realized; in fact, we are now spending less on increasing our book collections than under the old model. A related concern is whether this model will have a cascading effect of reducing the collections budget if users aren’t requesting purchases and if the resources will eventually be diverted to other priorities. When collections fall behind, it is virtually impossible to catch up later, even if additional funds are allocated for this purpose. The committee plans to further explore this topic and recommends continual review of the type of requests that have been submitted and the purchases made under the demand acquisition model.

Ithaka S+R Undergraduate Student & Faculty Surveys

The Head of Assessment and Planning provided an overview of the undergraduate (2015) and faculty (2014) survey results along with the Institutional Research & Policy Studies’ undergraduate and graduate student experience survey sections related to the library. The undergraduate survey (11% completion rate) showed that students are actively using the library two or three times a week. The issue of space was raised in several ways: availability of exam and group study space, increasing seating areas, and the need for more power outlets. Undergraduate students emphasized an interest in learning skills that will help them with their careers either through work experiences or in their field of study.

The faculty survey (28% completion rate) showed that faculty did not visit the library often although they used the database, subscriptions, and collections. The survey found that faculty are interested in managing access to resources, undergraduate research support, and assistance with

negotiating copyright. Surveyed faculty raised concerns about not having an intellectual property specialist available at the Library. It does not seem that faculty are moving towards ebooks. Because the faculty survey was designed to answer specific questions of interest to the library administration (rather than being designed to assess faculty needs and priorities), the committee also reviewed the collation of the faculty qualitative responses, which represent faculty concerns or thoughts that were not specifically addressed in the closed-ended questions in the survey. This review revealed some concern with the library's emphasis toward the provision of new services (e.g., digital storage) and whether this would have an impact on the provision of basic library services. There were comments about the library being under-resourced, focusing specifically on reduction in library staff (e.g., the Science & Engineering Library no longer employs a reference librarian), limitation of hours (e.g., McHenry's reference librarian hours are limited from 1-5pm), a lack of support for the teaching mission of the library (e.g., in-person instruction services are no longer provided for lower division courses), and inadequate collections (e.g., needing to use other libraries or simply purchase materials for one's personal collection because they are not available at UCSC). A number of comments also decried the elimination of the Slug Express campus mail delivery program and questioned why such a (presumably) inexpensive program could not be resumed, given the great time savings to those faculty who need to check out UCSC and ILL materials. Other comments requested more information about copyright and the ability to use materials in teaching. It is impossible to say how prevalent these concerns are without conducting a new survey that asks specifically about these issues, and the committee discussed the possibility of designing such a survey, perhaps working with Committee on Teaching (COT) and Committee on Research (COR) to ensure that it addressed faculty needs related to both teaching and research. Committee members also discussed further analyzing the existing survey data next year by specific demographics or divisions to better understand the responses and would like to collaborate with Librarian Cowell on identifying possible changes to support faculty based on the survey results.

Senate Forum

The prior year's committee had made tentative plans to conduct a forum on copyright during Fall 2015. The committee discussed whether to conduct such a forum and also discussed possible related forum topics such as publishing open-access textbooks, student access to information, and scholarly communication beyond academia (e.g., social media, traditional media, blogs, web pages). In the end, the committee was uncertain whether any of these topics would be of broad enough interest to faculty to proceed. The committee will re-visit hosting a forum next year, and invites Senate members to share their thoughts about their needs for information or workshops related to the library and/or scholarly communication.

UC Open Access Policy – eScholarship Harvesting Software

On July 24, 2013, Academic Council voted to approve the UC Open Access Policy, which requires Senate faculty to upload the author's accepted version of their scholarly articles to an open access database, unless they opt out of doing so. UC has created an automatic "harvesting" software to make adding publications to this database (the eScholarship repository) easier for faculty. This software was rolled out to UCSC in fall quarter 2015 and faculty began receiving emails from the software when relevant publications were found. The committee discussed the strengths and weaknesses of the harvester. It has the ability to search faculty scholarly articles in a variety of fields to upload to eScholarship. On the other hand, initial reports indicate that it might not be nuanced enough. For example, faculty with common surnames are getting flagged for many

articles they did not write. UC will continue to refine and improve the harvester, with the goal of making it easier for faculty to upload articles. The ultimate goal is to provide access to the research and scholarship of UC faculty as widely as possible.

Letter to Faculty

To facilitate communication about issues related to the library and scholarly communication, COLASC decided to send a letter to faculty providing a summary of the most relevant information, especially information that the committee felt might not be well disseminated currently. The committee completed drafting the letter at the end of the year and will send it to Senate faculty in early fall 2016, when it will be most useful. The committee welcomes feedback about the existence and content of the letter.

De-Duplication of the Science & Engineering Library Collections

During the last meeting of spring quarter, the committee reviewed a plan to de-duplicate the Science & Engineering Library stacks. Librarian Scott informed the committee of the Library's effort to de-duplicate the collections. Although the immediate impetus was the requirement to create more study seating, the library collections were never meant to be archival, but rather to be a working collection of materials that are actively used by the campus. A large portion of the Science & Engineering collection is duplicative, with about 80% of items also held elsewhere in the UC system. Also, a significant portion of the collection has not been checked out since 1994 (when the library switched their system to begin tracking checkouts). Some percentage of materials (including most journals) is available online and none of these are ever touched in their print form once an e-version is available. The Library will keep the titles that have been checked out or looked at within the last five years; they will also keep everything published in the last 5 years. Reshelving statistics are used to determine which items have been "touched". For the 20% of titles that are unique to our library, they are looking to see if the items are truly unique. Any de-duplicated title that is not already stored in a UC regional storage facility will be sent there. The de-duplication is planned to occur over the summer and be completed by the beginning of the 2016-17 academic year. The committee plans to request a follow-up report on this process once it is complete.

Consultations

Digital Scholarship Commons

The library has opened a new Digital Scholarship Commons on the ground floor of McHenry Library; it is a resource for divisions, instructors, and graduate students for the creation, management, and delivery of digital content and to enable the library to partner in research projects. Digital scholarship is a method to analyze and interpret materials in new ways, using visualization to change or reimagine concepts. It is headed by Director Rachel Deblinger, who gave a presentation to the committee on February 24, 2016 about the Digital Scholarship Commons and the new directions for the provision of digital services by the library. Digital Scholarship Commons Director Deblinger was a part of the Council on Library and Information Resources Postdoctoral Fellowship program; that fellowship position has now been transformed into a permanent line. She is actively working with the Humanities division to foster digital scholarship on campus.

UC Curation Center

COLASC consulted with John Chodacki on March 31, 2016, the recently hired Director of the University of California Curation Center (UC3), who will work with UC campuses to ensure that the California Digital Library's digital curation services meet the needs of faculty. These services include digital preservation, data management, and reuse. UC3 provides consulting services and resources for faculty to make informed decisions on digital curation and preservation, web archiving, and research data management. For example, there is a *data management plan* resource to walk researchers through creating a long term data management plan that will adhere to government funding requirements.

Prelinger Library

The committee invited Film and Digital Media Professor Prelinger, an archivist, writer, filmmaker, and co-founder of the Prelinger Library to consult with COLASC. The focus of the Prelinger Library isn't solely about collections. Rather, the focus is to create a space for the community to be creative and social. Professor Prelinger believes that physical materials are being re-validated and there is great potential in the collection for interaction, surprise, and discovery. He believes the future of the library is in the interaction between people and the library's collections.

Review of Policy Changes and Official Correspondence

Revised Library Start-up Funding Proposal

The committee reviewed on February 4, 2016 a revised version of a proposal to modify the allocation of library start-up funds for new faculty. Under the new policy, the Library will receive permanent funds of \$2,500 for each new centrally funded FTE and an additional \$2,500 in one-time funds for each faculty hire (whether a new FTE or an existing FTE). Previously, all start-up funds were one-time funds. The other major change is that funds will be controlled centrally, rather than by the individual faculty members. This will ensure that funds are actually spent, because most new faculty do not spend their library start-up funds during the available time window. The expectation is that the Library will manage the funds in such a way as to ensure that the collections needs of newly hired faculty are met. The policy was approved by the CP/EVC in January 2015 and it will be reviewed in 2018-19.

Review of Proposed Revision to Librarians Series: APM-360 & APM-210-4

The committee reviewed on April 14, 2016 the proposed changes to the Academic Personnel Manual, which applies to unrepresented librarians. The changes were intended to align policies for unrepresented librarians to those for represented librarians (which had recently changed). The committee found these changes unproblematic.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2016

Committee on Planning and Budget Annual Report, 2015-16

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) worked on several issues this year, including a) strategic academic planning, engaging specifically with academic metrics, major impactation, and enrollment and capacity planning, b) reviewing divisional faculty FTE requests and participating in shaping the planning process for future cycles, c) general budget review, d) review of Silicon Valley programs market studies, and e) graduate growth. The committee also continued monitoring and engaging with several issues proactively, which included extensive consultation with the Division of Undergraduate Education (DUE) on several issues, review of the Transportation and Parking Services parking rates proposal, and participation in capital planning and housing issues. Extensive routine business for the committee included review of new degree program proposals, participation in external reviews of several departments, and review of off-cycle and waiver of open recruitment FTE requests. A detailed summary of CPB's work in 2015-16, as well as a list of anticipated issues for 2016-17, is provided below.

Strategic Academic Planning

Metrics

In an effort to contribute to campus efforts to enhance academic planning, CPB formed a subcommittee to work on the issue of academic metrics. CPB believes that this is an extremely timely discussion, especially as the campus engages in the process of creating a new Long Range Development Plan (LRDP) and enters a transition phase in leadership. The subcommittee's work became the basis for a report addressing three questions: Why do we need academic metrics, what metrics should be used, and how should we use these metrics? The report reflected the general consensus that, when combined with other sources of information, academic metrics could be a good means by which to initiate a data-driven conversation about allocation of FTEs and other resources and, more broadly, about academic planning. Metrics could also help guide enrollment management and admissions decisions.

An important outcome of the conversations with the Deans and other campus leaders was the realization that different fields face different limits with regard to expansion. The use of data comparing UCSC departments to departments in comparable institutions and to disciplinary norms would allow for a better-targeted allocation of FTEs and other campus resources. Tracking the evolution of metrics over long periods of time could provide early warnings about impending trends. Furthermore, the creative use of metrics could help decision-makers think outside the box. For example, supporting undergraduate programs that even out enrollments across disciplines and divisions could have the effect of enhancing graduate education in fields in which graduates are not supported through faculty research grants. Instead of metrics being used as evidence of areas where departments and divisions are falling short, metrics, the subcommittee came to recognize, can be used to identify opportunities. As such, metrics have the potential to provide the necessary background for a thoughtful and contextualized discussion around resource allocation.

In the report's summary, CPB urged the administration to use metrics in a thoughtful and contextualized manner. The reputation of programs and departments within their respective

disciplines might not be adequately reflected in some of these metrics. External reviews of departments and programs provide substantial qualitatively oriented information that can be used to interpret metrics (and, at the same time, metrics can highlight critical issues to be addressed during an external review). As the system of metrics matures, it should be more tightly integrated into the external review process.

Enrollment and Capacity Planning

UCSC has recently faced significant enrollment pressures, and substantial additional growth is expected over the next few years. Due to the changing nature of student interests, this growth has impacted some divisions and departments much more than others. In particular, the most striking enrollment growth has occurred within the Baskin School of Engineering (BSOE), which added 850 student FTE over the last four years, while the rest of the campus actually shrank by 77 students.

As we plan for future growth, it is appropriate to consider where this growth can be expected to occur; the proposed majors of incoming frosh can serve as a helpful leading indicator of future enrollment changes. These data show that frosh interest in BSOE majors almost tripled (from 340 to 1007) between fall 2011 and Fall 2015, while frosh interest in other divisions stayed steady or declined. Consequently, it appears that BSOE enrollment pressure will intensify further over the next few years. Within BSOE, this enrollment surge is focused predominately within Computer Science and Computer Engineering. Elsewhere across the campus, a number of other departments also have enrollments that are disproportionately large in comparison to the size of their faculty, potentially degrading the undergraduate experience.

Addressing these issues requires a multipronged approach involving changes in policies used to allocate resources (faculty FTE, TAs, supplementary instructional funds, etc.) to departments and divisions, adjustments in our admission policies (e.g., to increase the number of students pursuing careers in disciplines with additional capacity), better curricular planning (to ensure that enough seats are available in key courses in impacted majors), development of new multidisciplinary undergraduate programs that can relieve the loads of intensive programs in high demand, and possibly the creation of policies to gate access to specific programs based on available capacity. Accordingly, CPB engaged with the administration and other Senate Committees (particularly CEP and CAFA) in exploring these options. This has led to the creation of Major Impaction Policy Working Group that will meet during the coming 2016-2017 academic year.

One policy change that CPB has been particularly interested in investigating is the possibility of gating access to certain high-demand majors. Unlike many universities, UCSC does not currently have a formal process for declaring certain high-enrollment majors to be impacted and for limiting student access to those majors. CPB has had some discussions with CEP Chair Tamkun about developing such a process, but it is not clear how soon such a process could be finalized and implemented. In the absence of such a policy, access to classes in popular majors is problematic; long wait-lists are increasing time to graduation and adversely impacting student retention. Recent faculty FTE authorizations have been helpful, but are not commensurate with the disproportionate enrollment growth due to competing campus priorities. Enrollment growth has also put significant pressure on classroom space, particularly for the few large lecture theatres on campus.

Salary Upgrades

During our regular consultations with divisional deans it became clear that funding faculty salary upgrades, specifically for divisionally-held FTEs, is a growing concern. To investigate the issue further, members of the Committee on Planning and Budget (CPB) met with staff and/or Deans of the Humanities, Social Sciences, and Physical and Biological Sciences. Two main insights arising from those meetings follow:

1. For faculty hires on the regular salary scale, the existing system that allows divisions to retain salary savings for up to the salary of an on-scale Professor step 1 (currently, \$85,500) seems to be operating more or less as intended. In particular, it encourages divisions to hire most of their faculty at the Assistant Professor level while providing enough flexibility for them to cover salary upgrades for new faculty, and to hire at a higher level when appropriate. We do note, however, that the gap between starting salaries and on-scale Professor 1 salaries is shrinking, which is beginning to limit the flexibility of the divisions. Changes introduced last year to the funding formula for salary upgrades for centrally-allocated FTE have been helpful, but might prove insufficient in the medium term.
2. For faculty hires on the Business, Economics and Engineering (B/E/E) scale, the situation is more muddled. The situation of greatest concern arises in the Economics Department, where recent starting salaries (in the \$120,000-\$125,000 range, based on data provided by the Division) far exceed the on-scale salary for a B/E/E Professor 1 (currently \$105,100). Although the Social Sciences Division receives additional support from the center to cover 75% of the salary upgrades above B/E/E Professor 1, it is still the case that the Social Sciences Division currently needs to generate permanent savings elsewhere of at least \$5,000 to fund each replacement hire in the Economics department, even if that hire is at the Assistant Professor level. The Baskin School of Engineering is currently covered by a special policy, and average starting salary, although close to the B/E/E Professor 1 rate, has not yet exceeded it. Hence a similar problem has not arisen there yet, but is likely to come up in the not-too-distant future.

At this point it is not clear what changes in policy (if any) the committee should recommend, and this is a matter of on-going concern.

FTE Review

CPB devoted significant effort this year to FTE and recruitment planning, with the committee's role being to offer advice to the Campus Provost/Executive Vice Chancellor (CP/EVC). Always an important part of CPB's charge, academic planning is especially critical now because the campus is approaching the end of the "rebenching" period that has provided a stream of new FTEs to the campus.

Before offering its response to the decanal FTE plans submitted to the CP/EVC, CPB consulted in person with each of the deans, including, in the case of the Baskin School of Engineering, both the incoming and acting deans. The committee invited the chairs of CEP and the Graduate Council to sit in on its consultations with the deans and solicited the input of these two chairs as well. We are grateful to all who took the time to consult with us, and are particularly grateful to the CP/EVC and to the Vice Chancellor for Planning and Budget (VCPB) for their willingness to consult regularly with the committee and to strive to answer questions that came up in the course of our

deliberations. Cooperation between the faculty senate and the administration on such a fundamental, cross-cutting matter as academic planning is critical to the long-term health of the campus.

CPB agreed with the priorities that the CP/EVC laid out in her Faculty Recruitment Call to the deans, where she highlighted: “1. Enhancing the campus’s research profile by supporting doctoral growth in existing programs or new programs with high growth potential”; and “2. Maintaining or increasing the excellence of existing undergraduate programs, or improving the educational experience for a substantial number of undergraduate students.” CPB found these goals usually easy to reconcile, since the programs with the potential for responsible graduate growth were often the same as those attracting increased levels of undergraduate student interest and high enrollments. However, requests contained in decanal responses often addressed only one of the two main drivers; requests that addressed both drivers were a relative minority.

In response to the individual recruitment plans submitted by the deans, CPB stressed the desirability of cross-divisional planning and coordination. CPB identified several areas where this will be particularly important in the future, including: mathematical sciences (both pure and applied), statistical sciences, language and linguistics, gaming and computational media, human-computer interaction, psychology and neurology, biological sciences, material science, Latin American and Latino studies, race and ethnicity; and writing. CPB worked with the CP/EVC and the Vice Chancellor for Planning and Budget (VCPB) to develop a planning calendar for next year in which due dates will be moved up to allow more time for collaborative planning between and among units, including divisions (see below). Like the previous year’s CPB, the 2015-16 committee continued to stress the importance of developing an overall strategic academic plan for the campus to guide both shorter- and longer-term hiring decisions. An overall academic plan will remain important even after the current period of rebenching has come to an end, since anticipated retirements and planned UC-wide enrollment growth mean that the campus will continue to reshape itself.

A key goal of CPB this year was to improve the planning process and to make Academic Senate input both more timely and effective. To this end, CPB worked with the CP/EVC to arrange a joint meeting between the academic deans and representative members of CPB to discuss what worked well this year, what needs to be improved, and what kinds of changes to processes are most desirable. The CP/EVC, VCPB, and vice provosts were also present. One of CPB’s main concerns, as outlined in a memo which the committee forwarded to all participants prior to the meeting, was the timeline of the FTE-planning process. The committee suggested that the FTE call be prepared in the summer and released by the CP/EVC in early fall to allow adequate time for both Senate consultations and internal consultations within the divisions. CPB also emphasized that all FTE requests -- not just requests for new positions allocated from the center, but also requests to fill divisionally-held FTE or to reauthorize recruitments -- needed to be backed up by a strong rationale. Other recommendations from CPB included more coordination of recruitments across divisions to avoid overinvestment or duplication, and putting in place mechanisms to address campus-wide needs, such as undergraduate service curricula, that do not always align with divisional priorities. CPB also recommended that the FTE process be rendered as transparent as possible. In particular, as the vice chancellors and vice provosts have come to play an increasing role in providing input to the CP/EVC on FTE allocation, it is crucial that their recommendations,

like those of CPB and the deans, be formalized in writing and backed up with supporting arguments, and that they be shared with the different stakeholders. Having found the post-FTE-planning process meeting that took place this year to be useful, CPB proposes that it be repeated in the future, with the difference that all participants submit their concerns in writing in advance in order to give ample opportunities for meaningful discussion at the meeting itself. CPB also recommends that a separate meeting be devoted to future strategic academic planning.

Budget Review Process

Using the guidelines set forth by the CP/EVC in her letter of December 8, 2015, CPB evaluated the budget submissions from the Academic and non-Academic units in two primary categories: requests for one-time funds, and permanent funding. Due to the nature of the budget submissions, CPB focused its recommendations to the CP/EVC on proposed reductions/cuts and augmentations, and, where possible, the committee tried to group requests that were complementary in nature. One of the inherent values of performing the budget review as a comprehensive campus effort is that the Senate and administrative leadership can see how to combine or leverage investments to best serve students and faculty.

CPB prioritized augmentations that provided services with direct impact on students, addressed potential campus liabilities, enhanced our campus visibility, and provided long-term efficiencies or led to ongoing savings in the permanent budget, in that order. Similarly, when evaluating reductions our focus was on avoiding those that could negatively affect these areas.

Reductions: The committee found most proposed reductions appropriate. Our only concern in this area related to a temporary structural issue, by which reductions were passed through from one unit/Principal Officer to another in an amount CPB questioned. CPB is confident that as the campus financial system adjusts to organizational restructuring over time, this matter will resolve itself.

Augmentations: CPB's recommendations for permanent funds prioritized support for advising services, student support services, and positions addressing key campus system user-experience and vulnerabilities that if unremedied might lead to important financial and reputational costs. As for one-time requests, CPB recommended investment in instructional equipment, student learning management systems, a variety of services focused on the student experience, and career planning. Additionally, CPB strongly supports the use of GSRs to enhance capacity in support units. In principle, such appointments seem a good use of internal university resources and align with the campus graduate growth and professional training goals. We view the routine institutional barriers to this distribution of labor as correctable, and hope to see progress made in this area next year.

The usefulness of the budget review process is reliant on the emphasis placed on its exploration/discussions/outcomes by the Administrative Leadership of the campus. CPB continues to hold out hope that full-unit budgets (rather than just marginal augmentations and reductions) will be the focus of these reviews, as reviewing only the delta of augmentations/reductions often obscures critical economies of scale and duplication of efforts. Although the budget review process is cumbersome, CPB holds it to be one of the most critical the campus undertakes. We believe that such reviews should take place on an annual basis and not only be deployed in times of financial stress to identify budget reductions. During the academic year just concluded, CPB

reviewed in detail the budgets of the Library as well as campus Grounds Services and Custodial Services. Units that the committee would be interested in investigating in upcoming years include housing, dining services, student business services, University Relations and IT services.

Silicon Valley

CPB continued to pay close attention to UCSC's nascent Silicon Valley Initiative. We consulted on preliminary infrastructure, space, and support staffing plans. We also evaluated campus FTE requests in light of how these positions might best fold into proposed Silicon Valley programs.

Perhaps most substantively, CPB reviewed and discussed the Silicon Valley Programs Market Studies prepared by UPCEA (University Professional and Continuing Education Association). The studies analyzed seven programs, one of which we had not previously seen. Given the risks incumbent in this initiative and the presence of potentially competing programs, we had strongly advocated for these studies, and found that in most instances they were in concord with our original spring 2015 recommendations. We reassessed our earlier rankings in light of the new details provided by the studies, finding the original Computational Media pre-proposal (now broken into three parts: Serious Games, Human-Computer Interaction, and Computational Linguistics/Natural Language Processing) strongest, and the Data Science proposal second-strongest. The remaining programs continued to raise unresolved questions: we felt that Global Technology for Social Innovation could benefit from further scoping and reconceptualization; that the lapse of the UCSC/NAMS contract rendered the Aeronautics proposal not viable at this time; and that the newly proposed Multidisciplinary Master of Engineering program needed further development and articulation before its merits could be fully evaluated.

CPB continues to feel that Silicon Valley programs must meet certain criteria in order to succeed. We expect to revisit these criteria in the course of our continuing reviews:

- 1) **Strong faculty hires, ideally with industry ties.** Industry leaders interviewed by UPCEA regularly stressed that the programs should seek to hire first-rate faculty.
- 2) **Commitment from faculty on the main campus.** Faculty backing is essential for a program to proceed expeditiously through the process of further planning and implementation, and for the two sites to maintain vital interactions.
- 3) **Resilience.** Since the industries targeted by these proposals experience periods of boom and bust, UCSC should develop an array of programs that meet the needs of prospective students and employers during cycles of both economic expansion and contraction. Such programs will likely prove more resilient and durable over the longer term.
- 4) **Synergies.** Some overlap and/or interconnectedness among programs selected for implementation will make it easier for faculty and students on this Silicon Valley campus to develop a thriving intellectual community.

For the upcoming year, CPB looks forward to reviewing program proposals to be implemented in Silicon Valley and learn more about the campus investments in the SV Center that will support the implementation of these programs.

Graduate Growth

The imperative of graduate growth was a key context for many of the issues discussed by CPB

during the 2015-2016 academic year, including FTE requests, budget recommendations, program reviews, and metrics for resource allocation. The report from the Joint Senate/Administrative Task Force on Graduate Growth (TFGG), which was submitted in June of last year and included three CPB members, was presented at the Academic Senate meeting in the fall. A subgroup of members along with the Chair of Graduate Council met with the Vice Provost and Dean of Graduate studies (VPDGS) Tyrus Miller in September, October, and December of 2015 to provide feedback and get updates on the implementation of the recommendations of the TFGG. The recommendations were also discussed with the CP/EVC. While some of the recommendations have been implemented, including partial carry-over of block funds, others are still in progress. CPB members consulted with Vice Provost Miller on a variety of issues, including sustainability of graduate growth, the changing numbers of Ph.D. and Master's students over the last several years, and lessons learned from pilot plans to incentivize graduate growth. CPB also discussed with the VPDGS the timeline for implementation of the TFGG recommendations, including progress on the non-resident tuition remission for foreign students after one-year residency, and the need for information on the size and quality of the applicant pools to the various campus graduate programs in order to determine where faculty allocation could have the most impact with respect to graduate growth. CPB continues to closely monitor the issue of graduate growth and urges the administration to put resources toward the non-resident tuition remission initiative and professional development for graduate students.

VPDUE Consultations

In the course of the 2015-16 academic year, CPB consulted several times with the vice provost and dean of undergraduate education (VPDUE). The following is a list of some of the key topics the committee discussed with him.

CORE proposal: One important topic was the draft or pre-proposal for revising the lower-division writing and College core course requirements submitted on January 14, 2016 by the Council of Provosts (CoP), which was considered by CPB over the course of several meetings. CPB focused on the proposal's budget and planning implications with the aim of informing the deliberations of CEP, the committee holding primary authority in matters to do with undergraduate education. Prior to submitting its response to the draft proposal, CPB consulted with the chair of CEP as well as with the VPDUE. After its first consultation with the VPDUE on the issue, CPB sent a written request (on Jan. 25) asking him for cost estimates for the various possible models for configuring Core and writing requirements put forward by the Council of Provosts. While CPB is keen on improving the quality of writing instruction and retaining a core-course experience for incoming students, the committee is concerned about the budgetary implications of the CoP's pre-proposal. As this revision is currently configured, it will almost certainly increase costs; however, if properly done, it should also increase educational effectiveness. Therefore CPB believes that it should be supported by a reasonable level of investment. At the end of the 2015-16 academic year, the committee remained worried that the cost of the options presented so far probably goes beyond what the campus can reasonably afford. The committee is convinced that the process of revising core and writing requirements would greatly benefit from the leadership of the VPDUE and of the Deans of Humanities and Social Sciences to provide the CoP with a clear envelope of resources that the campus is willing to commit to this effort. CPB also recommends that the Council of Provosts considers making more use of graduate teaching fellows in core courses, which would increase graduate support and also give departments and programs a greater stake in their

continuance. This approach would also have the advantage of giving undergraduates more meaningful contact with advanced graduate students.

Enrollment Management: CPB is looking forward to the development of the Curriculum Management Project (CMP). One of the problems with the current Curriculum and Leave Planning process has been that class-size forecasts are based on the most recent offerings of courses. These projections have proven brittle and unreliable when it comes to making predictions for disciplines that have experienced large increases (or decreases) in enrollments within a short time frame. The committee would like to see course enrollment forecasts take into account data on projected majors from student SIRs for the current and/or most recent year(s) (as appropriate), as well as major declarations and enrollments in key prerequisite courses. This will enable planning to more closely track trends in student interest and to adapt to rapidly changing environments. Greater accuracy in projecting course enrollments will facilitate appropriate classroom and TA assignments which, in turn, will have the important outcome of making it easier for students to get into the courses they need.

Regarding admissions of both new and transfer students, CPB concurs with the VPDUE about the need to upgrade our modeling capabilities so that we can obtain more reliable and precise yield predictions. The committee therefore appreciates the need to use external consultants in the short term, but also believes that, in order to save money over the longer term, the campus must move immediately to build its own internal capabilities in this area. In particular, CPB has strongly recommended discontinuing the use of the Ruffalo Noel Levitz consultants and working with our own faculty to develop similar in-house capabilities. Cost savings would be significant. We look forward to receiving an update from VPDUE early in the fall quarter on: undergraduate admissions outcomes, the effectiveness of the Ruffalo Noel Levitz prediction tools, the details of the most recent contract with them (scope, expiration, length and cost), and the VPDUE's plans for discontinuance.

Multilingual Curriculum (MLC): CPB believes the VPDUE's office should now have enough information to generate an estimate of any incremental costs of this program, which is designed to assist international and multilingual students with their English-language and writing skills, and that such information should be used in evaluating its continuation. Looking forward, the committee believes that the VPDUE should collaborate with the Writing Program and the Humanities Division to generate a proposal that satisfies the requirements outlined by CEP's correspondence dated June 2, 2016. CPB urges that this proposal clarify the role of the VPDUE's office in mounting this program; while the MLC proposal was originally forwarded to the Senate from the VPDUE's office, the Writing Program and the Humanities Division appear to fund and run the program. CPB could provide more useful advice if it was clear what unit has primary responsibility for the curriculum.

Summer Academies: CPB agrees with the goals for these programs: enhancing student success, improving retention, and easing the adjustment of international and other new students to the campus. The committee looks forward to receiving information about the 2016 Summer Academies that could address our concerns about their financial structure and the impact on enrollment planning. In particular, CPB would like to see budgets that lay out both income and costs from these well-supported and well-staffed academies. The VPDUE has assured us that the

summer academies are self-funded and revenue-neutral -- but what precisely do “self-funding” and “revenue neutral” mean in this context? How do we reliably measure the impact of these academies on student success given that they are more likely to attract motivated students to begin with? What metrics should be used here? CPB is firmly of the view that Summer Academies constitute an academic program and are therefore subject to Senate review, their self-funding / revenue-neutral nature notwithstanding.

Transportation and Parking Services (TAPS)

CPB spent considerable time reviewing the TAPS Three-Year Fee Increase Proposal. The committee appreciates the efforts of VCBAS Latham and VCPB Delaney in deploying a much more transparent and inclusive rate review process this year, beginning with the constitution of the Advisory Committee on Campus Transportation and Parking (ACCTP) in fall 2015 and extending to their receptiveness to consultation with the committee in response to CPB concerns about the TAPS parking fee increase proposal.

The final proposal reviewed by CPB involved a complex array of variable rate increases. Although there were some important differences from last year’s rate increase proposal (maintaining the existing definition of carpools as two or more persons and preserving the “B” permit for graduate students, both recommended by CPB), the structure of the rate increases was very similar to last year’s proposal, and hence, concerns raised by CPB in the previous year (May 8, 2015) remain.

Given the need to increase parking and transportation revenue, both to fund new projects and to maintain current service levels, and given that rates have remained constant over a period of ten years for many programs, CPB supports increasing fees, and recognizes the need for a system that incorporates annual automatic increases (May 13, 2016 correspondence). However, CPB raised concerns about assigning differential rate increases to all services, both in regard fairness and to the potential effect of these increases on user behavior. The strategy of holding down the costs of “A” permits while applying large increases to other programs could potentially change the transportation equilibrium on campus, a possibility which the proposal does not take into account, and which could lead to increased environmental impact and parking congestion on campus.

CPB supported ACCTP’s decision to retain “B” permits for graduate students as an option, and wondered if the opportunity exists to differentiate the rate structure for A and B permits. CPB suggested evaluating the possibility of linking parking rates to staff and faculty salaries as a way of addressing affordability issues. CPB also wondered why a uniform percent increase in rates was not considered by the ACCTP, which might be better received by most constituents than the proposed non-uniform increases. Moving forward, CPB recommends that a mechanism to track and evaluate the change in user behavior and its impact be put in place *prior* to the increases taking effect in order to make any needed corrections for the second year of proposed fee increases. Requesting and analyzing this information, particularly in light of the reduction in Transit services to campus that the city plans to implement, is a pending task for next year. CPB also recommends that the basis for formulas used by TAPS for determining “equivalent” fees for dailies based on A permits should be reviewed by CPB and other representatives. CPB recognizes the importance of robust Senate engagement on this matter, and will continue to monitor these issues in the next year, both through its ACCTP representative and through full committee consultation as needed.

Capital Planning & Housing

During the 2015-2016 academic year, the Committee on Planning and Budget devoted a significant amount of attention to issues associated with capital planning, maintenance and construction. The campus continues to face significant challenges in meeting its capital infrastructure needs, given the pressures associated with expanding the faculty and opening new programs and areas of inquiry, 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. Efforts to address these issues have been hampered by the transition to a new policy whereby the Office of the President will now provide funding for no more than 50% of approved campus capital projects, with the remainder needing to come from campus resources by increasing our debt burden or from tapping private sources. These circumstances led to a number of challenges requiring significant consideration and discussion over the course of the year, and in some cases, ongoing work that will warrant further Senate consultation and oversight well into the 2016-2017 academic year.

CPB provided a member for 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 Kresge College Project (KCP) Committee was convened to re-design Kresge College in view of its deteriorating physical condition, the need for more beds on campus, and more up-to-date notions of how best to provide a supportive environment for its residents and to embed academic, service, and administrative functions within that environment. The Campus Planning and Stewardship (CPS) committee considers the "big picture" of the capital planning and maintenance process, evaluating reports and recommendations from groups such as ASP and KCP, providing critical review, and eventually forwarding its recommended capital projects to the EVC. A single CPB member represented the committee on all three capital-planning committees, which had the advantage of providing continuity and a consistently informed perspective.

The primary focus of the ASP task force was the continued development of the 2300 Delaware facility. During the prior academic year, funding had been approved for the development of "warm-shell" space that would provide infrastructure improvements generic to any research activity that would be housed there. During this academic year, consideration was given to the office, meeting, and classroom space that would be needed to house the academic groups and provide administrative support and appropriate amenities for their activities. A funding proposal was forwarded to CPS for consideration.

The KCP Committee met several times during the academic year. The process began with a "visioning" exercise brokered by the Brightspot consulting agency, whom UCSC had worked with before on the development of the Institute for Arts and Sciences. Major stakeholders (current and past provost, college advisers, students and faculty) along with other expert staff discussed the positive and negative aspects of the current design of Kresge College and how to design a new college that would appropriately interconnect (increased) residential space with academic and administrative space while holding true to a Kresge College ethos that was itself clarified during the engagement with the consultancy. This work resulted in a set of parameters that will guide the

specifics of the proposal for the redesigned college. The development of this proposal is underway as the 2015-2016 academic year comes to an end.

Over the 2015-2016 academic year the primary focus of the CPS committee, at least from the perspective of CPB, was the prioritization of capital projects in face of the limited funding available to the campus for design and construction. Several dozen projects were divided among five categories: academic buildings, gift-funded initiatives, housing, infrastructure projects, and transportation projects. Some projects fell into more than one category (primarily academic projects for which the campus hopes to obtain substantial gift funding). The CPS membership was divided into five subgroups, with each subgroup responsible for prioritizing proposals in one of the five categories. In a subsequent meeting, the full membership of CPS took these categorical prioritizations as input for the development of an overall prioritization to be used in formulating the campus's official, externally directed, ten-year capital plan. The impression given at the April 19, 2016 meeting was that the result was a straw prioritization that would then be subject to further critical review, particularly by the Academic Senate.

As a final point, CPB was visited earlier in the academic year by Sarah Latham, Vice Chancellor for Business and Administrative Services (BAS). Vice Chancellor Latham expressed a concern that initiating planning activities for numerous projects, irrespective of their worth to the campus or likelihood of being built, was consuming a disproportionate amount of BAS's resources. CPB discussed possible ways of evaluating and selecting or rejecting projects before the start of the planning process within BAS. These ideas were presented to Peggy Delaney, Vice Chancellor for Planning and Budget, who agreed to consider the issue. A more recent follow-up discussion with Vice Chancellor Latham suggested that no significant measures had yet been introduced to address her concern. CPB will continue to monitor this issue in the next academic year.

New Vice Provost Offices

The most critical recent campus organizational changes have been the creation of two Vice Provost Positions, Vice Provost for Global Engagement (April 15, 2016) and Vice Provost for Student Success (November 24, 2015). CPB has been actively engaged with the work of these officers pre- and post-appointment, and looks forward to continued momentum in both areas in 2016-17. The committee has struggled to fully understand the purview of these positions, particularly given that no job description has been created for the VPGE (current responsibilities are defined by those of the former position of Senior International Officer [SIO]). CPB is also concerned that both offices have very limited staff, and that some of the functions key to accomplishing their mission are not under the Vice Provosts' direct supervision.

CPB consulted with VPSS Padgett on May 10, 2016. The focus of the consultation was on understanding the scope of this position and its relationship with other campus officers (as understood by its current holder), as well as on the allocation of investments from the UCOP Student Success Initiative (supporting disadvantaged undergraduates, use of ALEKS for mathematics placement, funding EAB Student Collaborative software, mental health, and advising), the reformulation of writing/core requirements following the CoP proposal, and the metrics of success by which the office should be evaluated. In addition, CPB consulted with VPSS Padgett on May 26, 2016 regarding his proposal to expand the scope of the Student Success Evaluation and Research Center (SSERC). CPB was supportive of most of the goals of the

SSERC, but was concerned about the high cost of a full-time faculty director. The committee recommended that the Center proposal emphasize quantitative analysis that would directly inform faculty decisions about curricular matters.

Given that the VPGE position was not formalized until the spring 2016 quarter, CPB did not consult in person with this officer during the current academic year. However, the scope of this office was a frequent topic of discussion with the CP/EVC during weekly consultation. For the upcoming year CPB looks forward to working with the VPGE, Committee on International Education, and Senate Executive Committee, and to participating in the search for a permanent VPGE.

Shared Governance and Consultation Process

CPB is grateful to CP/EVC Galloway for consulting regularly with the committee. During the 2015-2016 academic year, CPB developed a consultation calendar in collaboration with the Administration that outlines key training sessions and deadlines associated with the committee's regular business. This year CPB also started submitting in writing a list of consultation topics for the CP/EVC in advance of each week's meeting. These two measures proved very effective in improving the timeliness and effectiveness of the consultations. We believe that other committees would benefit from adopting similar practices.

One area where challenges remain is the faculty FTE allocation process. CPB firmly believes that the process could be substantially improved and Senate consultation facilitated if FTE planning started earlier in the academic year. Based on our experience from the last two years, the committee has advocated for the Office of Planning and Budget to prepare a draft of the faculty FTE call during the summer so that consultation with the committee can proceed during the first three weeks of the fall quarter, with the final letter sent out to the Deans no later than mid-October, with a deadline for Decanal response no later than mid-December. Moving to this earlier schedule could be further facilitated if the criteria on the basis of which FTE are to be allocated were to remain more or less stable for next academic year. A full set of recommendations to improve the faculty FTE process was transmitted to the CP/EVC and the VCPB, and CPB will follow up during the summer to facilitate the adoption of this new timeline.

Looking forward, a major challenge for CPB will be to continue the tradition of close consultation with the CP/EVC (through weekly visits to the committee as well as through weekly private meetings with the Senate leadership, including the CPB chair) as we transition to new campus leadership.

Regular Committee Business

New Program Proposals

CPB reviewed proposals for the establishment of a B.S. in Environmental Sciences, M.S. in Coastal Science and Policy PDST program (professional degree with supplemental tuition), M.F.A. in Dance SSGPDP program (self-supporting program), M.F.A. in Social Documentation, and M.S. and Ph.D. degrees in Computational Media.

External Reviews

CPB supplemented the universal charge with specific questions for the departments of Astronomy & Astrophysics, Biomolecular Engineering, Digital Arts and New Media, Feminist Studies, Ocean Sciences, Politics, Sociology, and Community Studies (the last named a purely internal review). Committee responses to the external review reports for discussion during closure meetings were prepared for the departments of Ecology and Evolutionary Biology, Computer Engineering, Anthropology, Computer Science, Microbiology and Environmental Toxicology, Economics, and Community Studies (again, an internal review). CPB also reviewed mid-cycle reports and made recommendations on length of review cycle for Science Communication, Environmental Studies, History of Art and Visual Culture, and Music (deferral request).

On the administrative side, the committee also reviewed and commented on the Campus Bookstore Consulting's (CBC) external review report on the Bay Tree Bookstore.

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests

CPB reviewed and made recommendations on eight additional or second-hire requests, three Presidential Postdoctoral Scholar hire requests, one Target of Excellence waiver of open recruitment proposal, and two Spousal/Partner waiver of open recruitment proposals.

Local and Systemwide Issue Review

In addition to the issues discussed in earlier sections of the report, CPB reviewed and commented on the following issues and/or policies:

- Proposed Economics Department and Hastings M.O.U. for an MS in Applied Economics and Finance (November 2015)
- Library Proposal for Use of Start Up Funding (November 2015)
- Faculty and Staff Child Care Services Model Report (December 2015)
- VPDUE Winter Admissions Feedback Request (December 2015)
- Biology Minor Administrative Oversight Change Proposal (January 2016)
- VPDUE Proposal to change Standard Classroom Time Slots, Passing Times, and Final Exam Block Time (January 2016)
- Review of Retirement Task Force Options Report (February 2016)
- SIO/VPGE Proposal for 3+1+1 Guidelines (February 2016)
- UC Recruit Governance Board's proposed guidelines: Search Waivers for Academic Appointees at the UC (March 2016)
- VPAA Draft Memo Calling for Updates to Department Instructional Workload Policies (March 2016)
- Employee Housing Program Resale Pricing Proposal (April 2016)
- Proposal for Discontinuance of Education Department's Collaborative Leadership Ed.D. (April 2016)
- SIO/VPGE Study Abroad Student Processes Proposal (April 2016)
- VPDUE UCSC Scholars Program Proposal (April 2016)
- Review of Systemwide APM 360; APM 210-4 (May 2016)
- Games and Playable Media Recruitment FTE Transfer Proposal (May 2016)
- Nanjing Audit University and UCSC Economics 3+1+1 Pilot Proposal (May 2016)
- Art Design: Games and Playable Media B.A. Administrative Oversight Change Proposal (June 2016)

- VPSS Proposal to expand the scope of the Student Success Evaluation and Research Center (June 2016)
- Review of VPAA’s Draft revisions to *Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change* (June 2016)

Continuing Issues for CPB 2016-17

- Strategic Academic Planning—continuing to engage with this issue, including academic metrics, major impaction, and enrollment planning
- Graduate growth—monitoring the Joint Senate/Administrative Task Force for Graduate Growth recommendations, specifically for Non-Resident Supplemental Tuition funding.
- Faculty recruitment requests—continue to monitor and participate in implementation of changes to the FTE planning process
- Long Range Development Plan—engage with the administration in the early stages of development.
- Capacity planning—continued committee participation in the Major Impaction Policy Working Group.
- Silicon Valley—Monitor progress of programs being developed.

Respectfully submitted;

COMMITTEE ON PLANNING AND BUDGET

Adrian Brasoveanu

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Loisa Nygaard

Rick Prelinger

Danilyn Rutherford

Bruce Schumm

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Don Brenneis, *ex officio*

Ólöf Einarisdóttir, *ex officio*

Abel Rodriguez, Chair

Whitney DeVos, Graduate Representative

Guillermo Rogel, Undergraduate Representative

Hannah Tuong, Undergraduate Representative

August 31, 2016

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 meetings. All CPB letters and reports, unless otherwise noted, represent the consensus opinion of CPB.

Committee on Preparatory Education Annual Report 2015-2016

To: Academic Senate, Santa Cruz Division

The Committee on Preparatory Education's (CPE) issues and discussions focused on continuing items from last year. As part of CPE's charge, the committee reviews the mathematics placement exam results as well as the exam questions. This is the second year that the Mathematics Department and the Physical and Biological Sciences Division sponsored a self-paced online program, ALEKS PPL. Based on data, this program can predict a more accurate placement based on the student's progression in preparation and learning proficiency. We would like to emphasize that the ALEKS product has two different modes, one for placement and one for students who require Math 2. Members were ready to review a proposal from the Council of Provosts on the restructuring of the College core course and the lower division undergraduate writing curriculum, but did not receive a complete proposal for review in spring. The Senate was asked to review the interim data report for the Multilingual Curriculum program for international students and a proposal from undergraduate education on revising class time slots. CPE discussed the current process for ELWR satisfaction and that requesting CEP review the current process for holds placed on student accounts who have not satisfied ELWR by the fourth quarter.

ALEKS PPL and the Online Math Placement Exam (MPE)

CPE's purview requires annual review of data pertaining to student success with regard to mathematics placement on campus; in the past the Mathematics Department provided data for the math placement exam. The exam itself has changed over time. First, the exam was in person using the exam developed by the Mathematics Diagnostics and Testing Project (MDTP), then an online version was created by the department, and finally, a new version was created in collaboration with McGraw-Hill Education, an outside vendor. As we noted above, the product used for Mathematics Placement is ALEKS PPL (placement, preparations and learning). The Committee reviewed data and discussed strategies for supporting the continuation of the ALEKS PPL program initiated during fall quarter. This year Mathematics' Undergraduate Vice Chair, Professor Debra Lewis, was a member of CPE, and before any discussion or decision was made on the subject, member Lewis recused herself.

Committee members agreed that the potential benefits of the Mathematics Department's adoption of ALEKS PPL is advantageous to the student populations, both native and transfers alike. Ample time for assessment and opportunities for reassessment in ALEKS PPL may reduce the negative effects of anxiety and advantages of common standardized test-taking strategies, improving estimation of mathematical proficiency. Supportive, encouraging advising helps students maximize the benefits of the progressive improvement of their math skills. In CPE's response to the Mathematics Department, we encouraged outreach in the form of an email to newly SIR'ed (Statement of Intent to Registrar) students, letting them know that enrolling in this program during summer can guide their decisions when enrolling for a math course in fall, avoiding enrollment in the wrong course which could delay progress to degree.

ALEKS “Course Product” for Math 2 and Math 2T CEP Report

This year the Mathematics Department offered courses Math 2 (revised) and new course Math 2T as adaptive courses with online participation in the self-paced program with in person sections. CPE was updated by the Committee on Educational Policy (CEP) for a data request due in spring quarter to continue the course offerings; CEP has extended this deadline to fall quarter since they were not able to review by the end of spring quarter. CEP has requested a data report that compares placement scores with other higher educational institutions that also use this program for mathematics placement.

One of the comparable variables for data is the grades students receive as they progress through other higher math courses. This information is not so easy to obtain. There are many variables with the number of course offerings and inconsistencies with grading based on the instructor (ladder rank faculty, lecturers and graduate student instructors, less variation, most mirror ladder rank faculty mentor). Students are also influenced by the different teaching styles. The data sets could track students who intend to continue in the mathematics course sequences and their progress. This would be good for assessment of the program and student retention rates. CPE members strongly emphasized the need for clarity on accountability for implementing and storing the data results of this mathematics assessment program in our response to the department.

CPE is interested in open and accessible data for campus constituents to have informed discussions, with aggregate – not individual – data. CPE did not have time this year to review the report during spring quarter and will recommend next year’s committee review the full report for data on the models used for Math 2 and 2T by the start of fall quarter 2016.

College Core Course and Undergraduate Writing Curriculum Proposals

Only two members (due to being one member short and recusals) reviewed the proposal for revising the College core courses, a non-degree program annually affecting almost all of UCSC undergraduate first year student experiences; we are unable to make any conclusions as the proposal in its current state is incomplete. It would be helpful to have the support of the respective deans and associated costs based on college models of lower division undergraduate writing requirements. CPE is deferring reviewing to next year’s committee when a complete proposal is expected in fall quarter.

Multilingual Curriculum Program for International Students

This year CPE was given the opportunity to review the preliminary assessment report on the four course multilingual curriculum. We 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. We recommend, based on the data presented in the report, that the curriculum be approved for another year; we deferred indefinite approval to Committee on Educational Policy (CEP) in consultation with the Committee on Planning and Budget (CPB). We support the Writing Program’s request for suspension or elimination of WRIT 24 unless there is data supporting continuation of the course.

CPE shares CEP's concern that College core course writing assignments may be geared towards an increasingly small percentage of UCSC frosh. As the report points out, some, assignments may not be appropriate for international students unfamiliar with US cultural schema. We are pleased that the Writing Program will be exploring solutions for improvements of the student experience. We agreed with the Writing Program on collaborating with the Languages and Applied Linguistics Department faculty expertise to create and enhance course content. The Committee also supported the offering of the AWPE placement test during the summer to help with planning the courses, sections and student placement.

We would like to review a formal proposal and data set next fall, along with the Committees on Educational Policy and Planning and Budget.

Standard Time Slot Schedule Changes Proposal for Senate Review

VPDUE Hughey requested Senate review of a proposal based on serving increased enrollments per the UCOP mandate. CPE members discussed the revised course time proposal to reduce class meeting times and align the current class time slots closer to the UC standard. The second request was to reduce the finals schedule from three to two hours. This change was not approved but maybe reviewed in fall quarter based on faculty survey results requested during spring quarter 2016.

The proposal requested reducing Monday, Wednesday, Friday (MWF) class slots by 5 minutes per day and reducing Tuesday, Thursday (TTh) class slots by 10 minutes per day. The passing time between classes would be 15 minutes every day, reduced from 20 minutes on MWF to the current 15 minutes established for TTh classes. Members discussed and had concerns with the requested scheduling changes.

Members agreed that no one would want to teach the late Monday and Wednesday class time slot from 9-10:35 p.m.; it has many negative implications and concerns as to safety on campus, transportation, instructors with children and partners, and work life balance issues. Currently, the late night course sections have a low attendance rate as well as low course offerings. Members have observed first hand issues with classroom seating capacity during the class offerings; the current policy is that all enrolled students must fit into the classroom, but the truth is only a subset of the class show up, except at exams. Many seats are unfilled during some course lectures.

CPE prefers not to cut back on teaching instruction time but instead change how the courses are offered during the week. Members are concerned with keeping integrity and rigor in our courses. For our response we pointed out there are 49 instruction days per quarter, distributed among the two-day a week and three-day a week per week classes. If 5 minutes per day is reduced from the MWF time slot, this amounts to reduction of 7% of class time and/or materials for instruction. For the MW/TTH course offerings, this would be 9.5% less. Members agreed this would negatively affect course pedagogy. We offered instead a plan to book classrooms for median/average attendance and have overflow rooms with lectures recorded and rebroadcast; thus students can watch remotely, taking in person quizzes and exams in sections. This allows students a choice and would require no changes in current scheduling other than small tweaks. The campus may want to consider moving away from a MWF weekly offering to three weekly

classroom offerings of two day a week and keep passing time at the 15 minute limit. Members were not generally supportive of the change in final examination time block; this is a reduction of 33% time/material to be covered on the final exam and necessarily reduces the rigor and breadth of the subject matter.

The two-hour time block would result in many more students with multiple exams per day, increasing the need to reschedule exams. UCSC has a reputation of economic good, and our ability to attract good students is based on the institution's reputation of the students we have graduated. Maintaining the highest quality of education we can deliver is paramount to keeping UCSC successful in its mission.

A density plot of student attendance, classroom occupancy, and capacity as it varies throughout the year would be instructive; CPE was unaware if such data had been gathered. Several fixes might accommodate both current schedule and physical classrooms if such data can be analyzed in the near future. CPE hoped other alternatives would be considered.

Entry Level Writing Requirement (ELWR) Procedural Request Change for Holds

ELWR Coordinator Parameter updated members on students who are not ELWR satisfied. These students are required to be enrolled in ELWR writing courses to satisfy the requirement before their fourth quarter or face having a hold placed on their enrollment for the next quarter. Students who have not satisfied ELWR by the fourth quarter may be barred from enrolling in a fifth quarter. This practice does not take into consideration the students who do pass ELWR at the end of the fourth quarter. While the hold is being removed, the affirmed students miss out on first and second pass enrollment deadlines, which can delay major coursework, progress to degree, visa status, and enrollment into a Community College course, if needed. It sends a mixed message that is part of a broader retention/student success issue.

The current process (which is labor intensive) for preventing enrollment is to place a hold on ELWR-required students' records midway through the quarter. The hold is then lifted after (and only if) the student satisfies ELWR. This procedure follows the letter of the law but results in difficulties for the students, and these difficulties have increased significantly as the number of fourth quarter ELWR-required students has increased. (Ten years ago, the ELWR Coordinator might have placed 10-20 such holds. This year 116 holds were placed.)

The current process results in fourth quarter ELWR-required students missing both first and second pass enrollment. Thus, by time they can begin enrolling, all other students have had a chance to complete enrollment, leaving very few openings in highly impacted courses and in major courses. As a result, many students who satisfy ELWR in the fourth quarter find themselves off-sequence in a major course series, which can significantly impact time to degree. We are also concerned that fourth quarter International students in this situation will face worries about their visa status if they are unable to enroll for classes at the usual time.

We suggest discontinuing placing holds on fourth quarter ELWR-required students, allowing them to enroll normally since during the enrollment period they have not yet failed to meet the ELWR timeline. Once the ELWR results are available, any fourth quarter students who do not satisfy ELWR would be administratively dropped. This eliminates an unfair penalty currently

placed on an increasingly large cohort of students and honors the spirit of system-wide ELWR regulations. CPE sent a formal request to CEP for a change to the procedures we use to prevent ELWR-required students from taking classes beyond the fourth quarter. CEP will review CPE's request fall quarter.

Santa Cruz Regulation (SCR) 10.5.2: ELWR Satisfaction Criteria

The Committee may consider any issue regarding undergraduate preparatory education and its administration. In consultation with the Writing Program, it proposes the means by which students may satisfy the University Entry Level Writing Requirement and it oversees ELWR instruction in consultation with the Committee on Educational Policy (CEP). CEP proposed changes to SCR 10.5.2 this year in consultation with CPE, members found the changes unproblematic but had concerns with the change from an ELWR satisfying writing section to an ELWR satisfying writing course without the final outcome of the re-design of the College Core courses.

Systemwide Proposed Revisions to Senate Regulations 417 & 621

The Committee on Preparatory Education did not, as a committee, review the proposed revisions to remove any language referencing community college credit for Senate Regulation SR 417 or the change in title for SR 621 from Advanced Placement to Standardized Examination Credit. The Committee Chair agreed with the changes for updating and clarifying the language for both SR 417 and SR 621 and did not feel this proposal required full committee review.

Recommendations for CPE 2016-17:

- ELWR Procedural Request Change for Holds, follow up with CEP decision
- Review data on the ALEKS PPL results for students who enrolled in Math 2 or Math 2T
- Review the updated data report on the Multilingual Curriculum program due fall quarter

Respectfully submitted;

COMMITTEE ON PREPARATORY EDUCATION

Debra Lewis
Gabriel Elkaim, Chair

Sarah-Hope Parmeter, ELWR Coordinator
Sarah Michals, NSTF Rep.

August 31, 2016

Committee on Privilege and Tenure Annual Report 2015-16

To: Academic Senate, Santa Cruz Division

Grievances

Six grievances were filed with the committee during the 2015-16 academic year, and one during the summer of 2016. Four of the grievances have been dealt with; review of the remaining three is ongoing, and will be completed during the 2016-17 academic year.

Charges

Charges were presented by the administration against two members of the faculty this year. The Charges Committee reviewed the cases and returned with recommendations for discipline. For one of the cases a hearing was scheduled but not held because of early resolution; for the second case a hearing has yet to be scheduled but will most likely occur in the fall.

Updated Presidential Policy on Sexual Violence and Sexual Harassment

In the fall of 2015, the Committee on Privilege and Tenure (P&T) reviewed the proposed revised Presidential Policy on Sexual Violence and Sexual Harassment. The chief concern of the committee was vagueness in the language used to describe voyeurism. It was unclear in the document if voyeurism constituted assault, or what the ramifications for voyeurism should be. It was clear to P&T that this type of behavior constitutes sexual harassment, though this was not clearly defined. P&T proposed that this prohibited activity and its legal ramifications be more clearly classified in the final document.

UCSC Disciplinary Process

This year the committee reviewed the February 17, 2016 report of the Joint Administration-Academic Senate Committee on Faculty Discipline. The report related to disciplinary proceedings for faculty respondents in cases alleging sexual violence, sexual assault, or sexual harassment pursuant to the recently adopted University of California Policy on Sexual Violence and Sexual Harassment. While the report was useful in highlighting general issues of outdated policy applied during the discipline process, members thought that the report fell short of proposing adequate remedies. The committee was primarily concerned with how transparency concerning the process might be enhanced on this campus.

Although the report emphasizes the importance of reducing the amount of duplicative investigations by different parties, it did not give clear recommendations regarding how such reduction can be accomplished.

Second, P&T had concerns regarding the “3-year rule” and the role of department chair as the point at which the administration (in the person of the chancellor) is to be deemed to have known about an allegation of faculty misconduct. Policy dictates that any suspected SVSH misconduct must be immediately reported to a department chair by any responsible employee who becomes aware of it. In the case of other kinds of faculty misconduct, however, our own campus policy does not seem to involve the department chair at all by P&T’s reading of CAPM 002.015 E.1.

The designation of all faculty as “responsible employees” who would be mandatory reporters is troublesome. The effect is that nearly everyone that a potential claimant might want to confide in or seek counsel from are made unavailable for confidential advice.

Lastly, the report focused mostly on the need for education and transparency rather than changes in policy; more clarity is needed.

Title IX Training

During the winter quarter P&T members participated in a Title IX training led by Tracey Tsugawa, Title IX Officer for UCSC.

Respectfully submitted;

COMMITTEE ON PRIVILEGE AND TENURE

Maureen Callanan

Josh Deutsch

Shigeko Okamoto

Alex Pang

Larry Polansky (*W & S*)

Carl Walsh

Jorge Hankamer, Chair

August 31, 2016

**Committee on Research
Annual Report 2015-16**

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) is charged with reviewing the campus and system-wide policies and issues related to the campus research mission. The committee also advises and collaborates with the Office of Research in support of faculty research. It directly supports campus research by awarding faculty research grants, special research grants, and travel grants.

In 2015-16, the Committee on Research addressed a broad range of issues of significance to campus research policy and infrastructure. Most importantly, we continued a campus-wide survey and evaluation of shared research equipment and facilities, which will require follow up by the 2016-17 COR. COR continued to consult with Vice Chancellor Research (VCR) Brandt about policies and structures within the Office of Research (OR) and other issues related to the research climate on campus, new initiatives for seed funding, and the NASA Academic Mission Support (NAMS) proposal. COR has also coordinated with the Committee on Information Technology concerning the university policy for computer replacement because this is impacting research. 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), and we have introduced a modified funding model to exploit UCSC's research strengths. In addition, COR collaborated with the Sustainability Office to evaluate proposals for the 2016-17 Campus Sustainability Champion award, funded by the Office of the President. We have also evaluated new research center proposals for both Open Software and Data Science, and participated in defining the process for the Institute for Marine Sciences evaluation, as well as campus policies for more general Organized Research Unit (ORU) evaluation.

An overview of the committee's work in 2015-16 follows:

Activities Regarding Matters of Research

Shared Research Facilities and Equipment

The committee has been working towards documenting shared research infrastructure and equipment across the campus. This survey is part of COR's larger agenda to examine the current state and future possibilities for research infrastructure on campus. Successive years of cuts have led to reductions in support for faculty research via direct COR funding. Perhaps more significantly there have also been cuts to both shared research equipment and technical support at the divisional level. Our goal with the survey was twofold. First, by documenting and publicizing such research resources, we hope to make them more readily accessible to campus researchers, as well as prospective faculty hires, post-doctoral candidates, and graduate students. Such documentation should also reduce the unnecessary duplication of similar facilities by different researchers. Second, we hoped in our survey to identify situations where research resources are underutilized or unused, where strategic support from the Office of Research or divisional deans might allow these resources to be better exploited. To this end we specifically requested that deans inform us of strategic opportunities to better exploit research resources. In addition, we requested that for each research resource the respective division specify how that resource might be used by others (contact, cross charging model or booking method), as well as stating, where relevant, the level of

technician support for the resource. COR received responses from all of the divisions. We are currently working with the Office of Research to create a website cataloging these shared research facilities and resources, as well as the methods for accessing these. This should allow campus researchers to better exploit these resources. The committee will continue this initiative during 2016-17. We will work with the Office of Research to assess and potentially redress issues related to management, staffing, funding models and sustainability of these facilities. In particular we want to explore how these resources might be better publicized and exploited.

Faculty Computing Support

In 2015, the committee consulted with the Campus Provost/Executive Vice Chancellor Alison Galloway on making it a campus priority to restore funding for faculty computing equipment and software but we remain deeply concerned that faculty are not provided with the necessary equipment to engage in basic teaching, research, and service activities.

In 2015-16, COR continued discussion of the appropriateness of COR research funding being allocated to routine computer equipment and computer replacement. We also reviewed divisional policies for purchasing and replacing faculty computers. Due to budget cuts, 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. Faculty also report that there is decreased support for computing equipment by federal funding agencies as funding such basics is considered by these agencies to be the responsibility of the institution (see UC Systemwide Uniform Guidance Workgroup Assessment Report, December 5, 2014).

This has emerged as a clear problem as recent years have seen increasing numbers of Faculty Research Grants requesting funds for replacing outdated computers. The absence of campus support has led to faculty attempting to replace computing equipment by applying (in COR's view inappropriately) for COR grants. In COR's FRG/SRG grant reviews, we saw further requests for replacement of standard computing equipment and upgrades, which we deny as a matter of policy, although if faculty apply for specialized computing equipment that is required to support their research we will review such requests. We should also note that we clearly publicize this policy on the grants application website. Nevertheless, such computer equipment replacement applications consume both faculty time in writing denied proposals as well as COR committee time in reviewing them. COR remains clear in its position, that it is the administration's responsibility to provide faculty with the computing equipment and software necessary to support basic teaching, research, and service activities. An additional independent consideration is that there are also economic and security issues associated with the costs of maintaining and upgrading obsolete equipment. We hope to see the central administration and divisions make restoring funding for faculty computer replacement a priority in the coming year.

To this end, COR Chair Whittaker consulted with the Committee on Information Technology (CIT) following both committees' shared concern about the lack of basic computing equipment resources. COR and CIT wrote to the divisional deans advocating a review of the computer replacement policy and encouraging deans to create a plan to restore computing equipment funding in the upcoming academic year. We have received a response from the Division of Social Sciences

indicating that they may restore funding. Both committees will follow up with the other divisions in the upcoming year. We believe that this is an important need that requires institutional support.

Developments to the Faculty Research Grants Process

COR invested several meetings in reviewing and extending the faculty grants process in consultation with VCR Brandt. Our goal was to explore ways to identify, reward and showcase grants that are consistent with core research strengths of the university. In our modified grants process, VCR Brandt provided additional funding support for grants that were consistent with key UCSC research themes. These themes had previously been identified by the Committee for Planning and Budget's initiative to identify research clusters as part of the Faculty Initiated Group Hire (FIGH) program. Special Research Grants (SRGs) consistent with these themes were evaluated during the regular grant review process, and three outstanding grants identified. These three proposals each received additional seed funding, doubling the awards for these applications. These successful proposals are detailed below. COR acknowledges the support of the Office of Research in supporting these three proposals. The Office of Research was also generous in supplementing the regular COR budget to support several other highly competitive proposals that would not have been funded otherwise. Next year, COR will explore modifications of this new process that facilitate collaborative research, possibly involving a series of themed workshops.

Updates and Consultations with the Office of Research

The committee continued to extend a standing invitation to Vice Chancellor for Research Scott Brandt to attend COR meetings (except those where we reviewed faculty and special research grant proposals) to consult on issues of mutual concern regarding research policy and climate on campus.

Academic Analytics. The Office of Research has been using the analytics database to explore opportunities to strengthen campus research by strategically reviewing divisional and departmental scholarly productivity, submitted and approved grant proposals, along with comparative data from similar institutions. COR met with Tedd Siegel (Assistant Vice Chancellor of Research) to discuss the deployment of Academic Analytics. While such data have been used in the past to review research strengths across divisions and departments, COR members are concerned about this seemingly underutilized resource given the subscription charge for the analytics database. At the same time the committee expressed concern about potentially evaluative applications of such information. It was noted that such data is viewed only in the *aggregate* (e.g. center, division, department) and is not used for individual or personnel review. The committee would like to work with the Office of Research next year revisiting this issue to better understand how the benefits of this technology might be balanced against these concerns and to explore with VCR Brandt opportunities to present such information to each department allowing them to better understand how this can better facilitate their research.

Office of Sponsored Projects Unit. Director Kate Aja provided an overview on the Office of Sponsored Projects (OSP). The committee explored with Director Aja faculty concerns about grant submission and support. In discussions, Director Aja acknowledged OSP's challenges in processing the different types of overheads, waivers, creating budgets, and having to balance researcher expediency against university and funder policy. Other delays may arise from UC requirement that there is an agent for the Principal Investigator to accept and manage the funds while it's not required by the agencies. Next year, COR will continue to explore repeated faculty

concerns and work with OSP to address these issues. COR notes with approval that OSP is working on being more proactive, creating opportunities to inform faculty about processes and policy, in particular in supporting the Arts and Humanities. COR also welcomes the creation of new OR positions (Mohamed Abousalem, Assistant VCR and Audrey Levine, Director Research Development) that will allow the Office of Research to be more strategic in supporting research, particularly in the areas of funding agencies and industry partnerships.

COR also discussed relations between foundation related gifts and grant support and noted with approval the closer links between the Office of Research and University Relations. Our committee also noted efforts to publicize research across the campus in the form of the Inquiry Magazine. COR is very supportive of these developments.

We also discussed research training and grant workshops. The Office of Research held a Research Development Conference and hosted an early career grant writing workshop to provide training and ongoing professional consultation. The Office of Research would like to offer such courses on a yearly basis and have them taught in-house rather than by an external consultant, developments that COR enthusiastically supports.

Further initiatives discussed by COR and VCR Brandt include publicizing shared research resources within divisions, updating the research website to include such resources, providing agency centered support, and incentives for faculty to pursue large collaborative projects with the dedicated infrastructure for proposals. We are also interested in exploring research opportunities involving the new Silicon Valley Campus. We will follow up on these opportunities in 2016-17.

Research Grants

Our main activity during the winter quarter involves grant reviewing. In 2015-16, the committee had two funding sources: the University Opportunity Fund with two components and a small amount from the Earle C. Anthony Endowment.

Budget Source	Amount
Opportunity Fund – Indirect Cost Receipt from federally funded grants	\$300,124
Education Fund – Indirect Cost Receipt from privately funded grants	\$56,000
Earle C. Anthony Endowment	\$3,839
Total	\$359,963

Each year, the committee solicits applications for its three research programs: New Faculty Research Grants (NFRG), Faculty Research Grants (FRG) and Special Research Grants (SRG). This year there were 177 proposals, of which 106 (60%) were funded. This represents an increase of 14% over 2014-15. Our approach followed prior COR policy in using our budget to fund the majority of FRGs. Furthermore, this year the Office of Research provided additional seed funding for SRGs. We were also attentive to the need to support non-tenured and more junior faculty. Overall we were able to fund approximately the same number of proposals as 2015-16.

New Faculty Research Grants (NFRGs). The NFRG programs provide new faculty access to funding in the current fiscal year. It has proven helpful to new faculty as they establish their research careers. Of the 16 NFRG requests, 15 were funded. The award amount increased from last year's \$16,989 to \$27,218 this year following an increase in new faculty applications and proposals funded.

Faculty Research Grants (FRGs) and Special Research Grants (SRGs). As noted earlier, we modified the Special Research Grant submission and evaluation process to identify outstanding proposals addressing UCSC-relevant themes. VCR Brandt generously provided matching seed funds to support those special research grant proposals related to the themes of cultural crossings, data science, and sustainability that had previously been identified during CPB's Faculty Initiated Group Hire (FIGH) process. The committee received twelve theme research related projects which were considered for additional seed funding. The committee awarded additional seed funding to the following proposals:

- Jarmila Pittermann, *Ecology & Evolutionary Biology for Sustainability: The heat is on: the effects of elevated temperatures on understory ferns across the range of the redwood forest* (\$16,000)
- Kristina Lyons, *Feminist Studies for Sustainability: Comparative Research on Transformative Agro-Environmental Politics in Columbia and Turkey* (\$15,900)
- Lars Fehren-Schmitz, *Anthropology for Cultural Crossings: The Black Death in Africa: A paleogenomic study of global disease transfer and cross-cultural interactions* (\$15,712)

VCR Brandt has graciously offered to provide another year of seed funding for the COR's research grant program in 2016-17. The Office of Research continues to be interested in seeding research in new areas or to create opportunity for collaboration especially with scholarship where it's more difficult to obtain funding which can leverage new sources of funds. COR will continue to consult and collaborate with the VCR in support of these goals. In particular we will explore opportunities to support collaborative research.

While it is hard to draw concrete conclusions about the success of this new initiative on the basis of a single year, we were nevertheless pleased to see an increase in the number of funding applications which were up 14% from 155 in 2014-15, to 177 in 2015-16. At the same time, this increase in applications represents a challenge given that our base funding has remained static over this period, so that we are able to fund proportionally fewer proposals than last year.

Travel Grants. The committee also supports faculty travel to scholarly meetings and intercampus grants for faculty or graduate travel to research facilities, field stations, and sister UC campuses. Senate faculty may apply for the \$700 or \$250 travel grant respectively, provided the travel meets eligibility guidelines. This year 201 grants were dispersed.

Our overall spending for all grants is below. Note that our spending this year was greater than our income, as we had carryforwards from 2014-15. Despite this one-time increase in funding we were still compelled to turn down deserving grant applications, a situation that will be exacerbated in subsequent years, especially if submissions continue to rise.

Research Grant Program	Funded	Amount
New Faculty Research Grants	15	\$27,218
Faculty Research Grants	69	\$109,637
Special Research Grants	22	\$164,274
Scholarly Meeting & Intercampus Travel	201	\$136,419
Total	301	\$437,548

Faculty Climate Action Champion Award

The Sustainability Office requested that the COR committee assist in reviewing the Faculty Climate Action Champion Award proposals. As part of President Napolitano’s Carbon Neutrality Initiative, the Office of the President provided the campus with funding to promote faculty innovation and leadership on climate action and sustainability. The selected Champion is expected to apply their expertise towards advancing research and education surrounding climate action, providing a public lecture at the end of their tenure to discuss their work and activities as Champion. COR reviewed the call and application process. Members then reviewed the proposals and provided our recommendation for Kristy Kroeker, Assistant Professor of Ecology & Evolutionary Biology on her proposal to expand her research on the ecological effects of climate change and ocean acidification to include the potential repercussions of these changes on human health, as well as potential nature-based interventions in the ocean.

Despite the strength of the recommended proposal, the committee was concerned about the amount of notice for the award call. The short submission period meant that just three applications were submitted. If the award continues next year, the committee would like to collaborate on an outreach plan with the Sustainability Office, with much more notice being provided, and details of the call supplied more directly to researchers in the area of Climate Action across all divisions, so that a broader set of high quality proposals can be solicited.

Other Committee Business

The committee also provided feedback to new proposals concerning Organized Research Units (ORUs) and Centers.

Organized Research Unit’s Five-Year Review Process. Organized research units (ORU) on campus have not been adhering to the Regent’s policy of periodic five year review. The Office of Research has therefore recently proposed adapting the department review self-study process for the ORU review process. The Office of Research initiated an ORU review with a self-study for the Institute of Marine Sciences (IMS) and following this will be the Genomics Institute. Committee members assisted the Office of Research by commenting on the planned review process and in reviewing the potential candidates to serve on the external review panel for the

Institute of Marine Science. We should also note that our recommendations for the review committee were largely not acted upon.

The committee reviewed the draft ORU five-year review process documents and provided comments and feedback to VCR Brandt. We recommended that the review clarify the role of the Committee on Planning and Budget as evaluations of research units on campus have clear budgetary implications. We also felt that reviews should involve input from Graduate Council as there are clear grad student concerns. Next year, the committee will follow up on the status of the Institute of Marine Science review, the ORU five-year review process documents, and consult on the emerging Office of Research's ORU review process.

We also reviewed various proposals for new centers.

Center for Research in Open Source Software (CROSS) Proposal. The Computer Science Department proposed a novel research center that combines the goals of a public research institution (with the mission of creating knowledge for the public good), and industry (whose goals are commercial). The funding model proposed by CROSS involves using an alumnus sponsor's gift to establish a center and leveraging industry memberships to sustain it. While this is not typical for a campus research center, nevertheless the committee felt that the proposal presented a cogent plan, with projects being agreed with sponsors and research products being generated as open-source software. While generally being supportive of the new center, COR members noted the heavy emphasis of the center's mission on commercial research and expressed concern that the research might be biased toward the interests of industry partners. We recommend adding an "at large" faculty member, who is not an affiliate of CROSS to the Institutional Advisory Board – someone with broad knowledge of Software Development. This "at large" member can provide external advice and input to help balance the interests of industry members with our mission as a public research institution. That said, the committee was highly supportive of the proposal, and we are looking forward to hearing about its outputs.

Data, Discovery and Decisions Center for Excellence Proposal. The committee was also positive about the proposed center from the Computer Science, Applied Math & Statistics, Economics and Technology Management departments. The proposal includes external industry consortium partners. We recognized the clear opportunities in this exciting research area, given recent interests in methods and findings surrounding large scale data analysis. While being very supportive of the center, COR felt the proposal's start up plan could be strengthened by providing more detailed descriptions of research and benefits to the campus, clarifying how the Center will operate in relation to consortium partners and listing potential partners or targeted companies, their level of commitment and prior relationships. In its current form, it is unclear who the Center will be requesting funding from and the contingency plans if there are additional grants or if membership goals are not met.

Student Success Evaluation & Research Center. The Vice Provost for Student Success drafted a proposal to expand the scope of the Student Success Evaluation & Research Center. COR felt that this Center has clear potential to improve the undergraduate academic experience which is critical for the success of the campus. Nevertheless, the committee felt that the proposal could be enhanced by a clearer definition of student success with accompanying statements about the center's anticipated contribution to such student success. We also felt that the types of collaborations

supported by the center could be made more explicit. The committee also recommended more directly addressing some of the critical areas for student success, such as course and major impaction, core writing and prerequisite courses, and engagement with the Hispanic Serving Institution program initiatives.

The committee discussed and provided feedback on various issues to the Academic Senate and research related proposals, including:

- Vice Provost & Dean Undergraduate Education Standard Time Slots Proposal
- UC Openness in Research
- Revised Library Funding Proposal
- Draft Campus Wet Lab Study for Thimann Labs and Engineering Building

Upcoming Agenda for 2016-17

The committee will further explore the following topics further in 2016-17:

Building a Collaborative Research Community on Campus

Committee members discussed different approaches for faculty collaboration such workshops involving “one minute” research presentations, Faculty Initiated Group Hire (FIGH) themed events, along with grant writing workshops to encourage collaborative research on campus. The committee would also like to review Office of Research data such as PI submissions, success rates and grant re-submissions. In addition we would like to offer interest-based opportunities for faculty to collaborate on shared research goals. Ideally, this might be supported by a series of workshops throughout the year (two to three) starting in early November. These workshops might identify research themes that again might be supported in the SRG funding process by OR seed funding. COR would also like to facilitate collaboration between the Arts and Humanities Division to include specific foundation workshops, grant support, and increased access to research funds by ensuring that COR grants proposal have a faculty reviewer from the Arts Division.

Faculty Workload Policy

As part of efforts to provide more incentives to faculty for undertaking research, members would like to review campus workload policies. We want to explore possible incentives for faculty who mentor a large number of graduate students or who administer large numbers of grants. Each division on campus seems to have different practices in relation to course load. Furthermore, there are even differences within divisions.

Using Analytics for Faculty & Students

Chair Whittaker has been appointed the COR representative on the Academic & Research Analytics Steering Committee by the CPEVC. The administration would like to make greater use of the data collected on students and faculty. Committee members would like to continue to monitor this emerging area to ensure the information used is to promote equity and efficiency for faculty.

Support for Graduate Students

The committee is interested in exploring graduate student funding especially at the central level. Other higher education institutions are providing highly competitive multi-year offers with the result that our campus loses high quality graduate candidates. Members would like to better understand the “graduate student instructor” (GSI) model and if this might be used to alleviate

Committee on Research – Annual Report 2015-16

financially stressed students. The committee would like to invite the Vice Provost & Dean of Graduate Divisions to discuss support for graduate students.

Finally, the Committee on Research would like to acknowledge all the hard work and wise counsel provided by our staff analysts, Kim Van Le, Matthew Mednick and Mary-Beth Harhen.

Respectfully Submitted;

COMMITTEE ON RESEARCH

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August 31, 2016

Committee on Rules, Jurisdiction, and Elections
2015-16 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (RJ&E) met quarterly in 2015-16. This report summarizes the Committee's work during the year.

Advice and Interpretation of Legislation:

Dickson Professorship Award Draft Resolution: RJ&E reviewed the draft resolution proposed by the Emeriti Association leadership for the November 3, 2015 Senate Meeting regarding the Dickson Professorship Award. Members looked for conformance and compliance to policy and focused on two questions; 1) Is it appropriate for a Senate resolution to assume delegation of rights belonging to the EVC?, 2) Does the draft resolution conform to the standard template for resolutions proposed by the Division? With regards to the first question, as the award is under the direct authority of the EVC, the RJ&E suggested that the resolution be rewritten as a "recommendation" to the CP/EVC or a "call on" the CP/EVC versus a general statement that henceforth the Emeriti Association conduct the annual selection. With regards to the second question, RJ&E referred the authors to the divisional website for exemplars of the appropriate Senate resolution format.

Committee on Education Policy Proposed Amendment to Bylaw 13.17: RJ&E reviewed the Committee on Educational Policy's (CEP) proposal to amend Bylaw 13.17 with the intention of establishing a new Committee on Courses of Instruction (CCI). The committee did not find any issues of conformance or compliance with policy but did find some ambiguity regarding the scope of CCI's authority. Members suggested that additional language explicitly stating that all duties not retained by CEP would be delegated to CCI, with a description of those so delegated, was necessary for clarity. This is because while exercising its due diligence the committee observed that on campuses with similar committees, the two committees are separate and distinct.

CEP Proposed Revisions to Appendix C: RJ&E reviewed the Committee on Educational Policy's (CEP) proposed revisions to Appendix C which describes the Undergraduate Academic Assessment Grievance Procedure. Pursuant to amendments made to Bylaw 13.17 that were approved by the Senate at its February 21, 2016 meeting, these procedures are now be under the purview of the newly established Committee on Courses of Instruction (CCI), the Academic Assessment Grievance Committee (AAGC) having been dissolved by the aforementioned legislation. RJ&E did not find any issues of conformance or compliance with established policy. The committee did, however, have some concerns with the changes in process presented in section IV of the document. These changes raised issues of procedural due process because they alter the nature of the inquiry and the presentation of evidence to the detriment of the grievant. As a remedy, the committee suggested that language pertaining to the informal investigation be rewritten so as to preserve for the grievant a right to present evidence at their discretion, not at the discretion of CCI. Additional minor editorial suggestions were offered to provide clarity to the document.

Committee on Research Proposed Amendment to Committee Charge: RJ&E reviewed the Committee on Research’s (COR) proposed legislation to amend its committee charge as described in Bylaw 13.27.2, and did not find any issue of conformance but did suggest edits for clarity.

Bylaw 13.4.8: Waiver of Vote: RJ&E discussed an inquiry regarding the interpretation of Divisional Bylaw 13.4.8 in cases where a divisional member who is on leave has not waived their right to vote and has indicated in advance their intent not to vote on a specific issue. The committee determined that normal voting procedures apply in the situation described and that divisional members on leave should be marked as “absent, not voting” if they were not present for the vote or did not record a vote once a defined voting period has ended. Any advance notice of absence was deemed immaterial.

Special Committee on Athletics

RJ&E reviewed the Committee on Committee’s (COC) resolution to create the Special Committee on Athletics (SCA) and did not find any issue of conformance.

Committee on Committees Elections:

RJ&E reviewed the COC nomination petitions which were submitted by the February 1 deadline. As the number of nominees matched the number of vacancies, RJ&E certified for the division the appointment of the nominees on February 3, prior to the scheduled date of ballot distribution, February 12, had an election been required.

Santa Cruz Division Manual updates:

This year the Senate Manual was updated in two significant ways. First, editorial corrections were made to the manual when gender specific pronouns were replaced with gender neutral pronouns. In all some 113 gender specific pronouns were replaced with gender neutral pronouns. Second, in the College Bylaws section, the bylaws for the ten individual colleges will each start on a new page that will be listed in the table of contents at the front of the manual. This will simplify the editing process in the future as well as make locating the bylaws of the ten colleges easier.

Respectfully submitted;
COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Elliot Anderson
Chris Connery (W, S)
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August 31, 2016

Committee on Teaching Annual Report 2015-16

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. It was a busy and highly productive year for the COT. We initiated new policies, helped form a new Center for Innovations in Teaching & Learning (CITL), addressed campus-wide technological changes involving online student evaluations as well as a new Learning Management System (Canvas), developed the COT website as a repository for professional development resources regarding teaching, held a panel discussion on integrating technology into courses, and adjudicated the selection process for recipients of the Excellence in Teaching Awards. A brief overview of the committee's notable work in 2015-16 is provided below.

Creating a New Faculty Service Center: The Center for Innovations in Teaching & Learning

The Committee on Teaching is proud of the part we played in establishing a new professional development center for teaching and learning for the campus, currently known as the Center for Innovations in Teaching & Learning (CITL). Working closely together with the VPDUE and the EVC, the re-establishment of a center focused on innovative teaching and effective learning has been a main focus of COT over the past two academic years. The announcement of firm funding for the new center represents the culmination of these efforts, and also marks the beginning of an exciting new chapter in UCSC's "uncommon commitment" to teaching. CITL's mission is to provide practice-based and empirically sound mentoring and support to faculty, instructors, and graduate students to improve teaching and learning. Teaching support for instructors will be confidential and is not a part of decisions related to continuation of appointment, promotion, or tenure.

At the November 2015 Senate meeting EVC Galloway announced that the Center (based on a joint COT and VPAA proposal submitted in July, 2015) would be funded for three years at approximately \$300,000 per year. Prior negotiations indicated that a base funding level of approximately \$160,000 would likely be sustained indefinitely, and that the additional funds used to "kick-start" the center would fade after three years, creating the need to secure grants and other forms of external funding to sustain the same level of programming.

Sitting at the helm of the Center will be the newly appointed Faculty Director, Professor Jody Greene, who has agreed to serve a three-year term. The COT helped draft the job description, served on the search committee (COT Chair and a member), reviewed the interview questions, and attended the candidate presentation. We are delighted with this appointment and look forward to facilitating the work of CITL as it gets off the ground. Professor Greene, who will report directly to the VPAA, will *sit with* COT in meetings in the coming year.

COT consulted with Keith Brant, the Vice Chancellor for University Relations, in November to identify prospects for grants and fundraising to augment and expand CITL's operations in the future. The VCUR provided various suggestions and has generously offered his staff to assist in CITL fundraising efforts. The Committee discussed the possibility of using the Excellence in Teaching Awards to showcase and publicize teaching among the alumni community as well as with the broader Santa Cruz community. We anticipate that CITL will work closely with COT, the VPAA and the University Relations development staff for guidance and advice on naming the Center, formulating a fundraising plan to appeal to potential donors, and applying for grants and other outside sources of funding.

We were fortunate to have a 2015-16 Chancellor's Graduate Intern, Mecaila Smith, who provided substantial support for developing the CITL by exploring how other centers are organized and what other centers offered, attending conferences to learn about best practices, creating an annotated bibliography of related research, synthesizing the research into "Research Spotlights" and compiling resources for the website [teaching.sites.ucsc.edu]. Her report is attached as an appendix. She was assisted in her efforts to improve the website by the Chancellor's Undergraduate Intern, Leanna Parsons. Leanna also created a brief independent report based on interviews with instructors regarding classroom climate, use of trigger warnings and micro-aggressions in classrooms.

Course Evaluation Policy

In response to a request by the VPAA, the COT, in conjunction with the Academic Senate, has accepted a new policy role that mirrors the role CAFA plays in the admission process; the Committee on Teaching will lead the effort to create policy on course evaluation for instruction in consultation with the VPAA and the following Senate committees: Academic Personnel, Affirmative Action and Diversity, Educational Policy, Graduate Council and the Senate Executive. We have been reading research on this issue and collecting information about different types of course evaluations that go beyond student evaluations of instruction. Developing the policy will take time, and will continue into next year. Preliminary conversations involved recommendations on the following topics: student eligibility to submit an evaluation, timing to pull rosters for evaluation, incentives to improve response rate, and a "statement of principle" to frame and guide the policy.

In the meantime, the campus will be moving to a new online course evaluation system, as the old system was unreliable and the new LMS does not offer this option. The Committee on Teaching has been very involved in this process and several committee members attended the four system demonstrations, participated in discussions and evaluations of systems, and have worked with the campus administration, other committees, and the search committee to find a viable system. Our hope is that such a system will go beyond summative evaluation for personnel actions to facilitate instructor pedagogy. We feel that a new online course evaluation system should be capable of providing instructors with mid-quarter data so that an instructor can make changes within the quarter to facilitate student learning, and allow instructors to learn from whatever data is collected. However, the system with the most flexibility regarding these features was not selected as a finalist. Final selection will be made soon, and will hopefully involve COT.

Adoption of a New Learning Management System

The Committee was asked to provide feedback to the Committee on Information Technology (CIT) request to adopt another learning management system, Canvas. Committee members reviewed CIT's 2014-15 Canvas Research Project Report and the fall 2015 Pilot survey for faculty and students and, after lengthy discussion, had reservations about endorsing a switch from eCommons to Canvas. Nonetheless, after further consultation with the Senate Executive Committee and CIT, the Committee agreed that it was best to move toward acquiring a new system given eCommons' deteriorating support environment. COT and CIT have made the following recommendations to the CPEVC to ensure the transition from eCommons to Canvas will be as smooth as possible:

- 1) at least a one-year period in which faculty and instructors have access to both eCommons and Canvas to migrate content from one platform to the other
- 2) provision of the highest level of technical support available from Canvas, with online support for faculty and staff
- 3) employment of student workers to assist with troubleshooting during the changeover
- 4) easy and convenient opportunities for faculty to be introduced to the new system
- 5) possible incentives for early adoption

These recommendations were made in a letter to the EVC and at the May Senate meeting.

Forum on Teaching Innovation

On January 13, 2016, The Committee on Teaching hosted a panel discussion and presentation focusing on the use of technology in the classroom, *Innovations in Teaching with Technology*. Nadini Bhattacharya (Mathematics) demonstrated her approach to active learning in teaching a large introductory mathematics class (~400 undergraduate students), Jenny Lynn (Classical Studies) discussed using online quizzes to guide student reading and test student comprehension and Aaron Zachmeier, Academic Affairs Instructional Designer and Leslie Kern, FITC Operations Manager provided an overview of the services and technology available to support faculty in developing online and hybrid instruction. This event was sparsely attended, although the video¹ of the session is available. For future events, the COT would recommend greater publicity in multiple venues [e.g., newsletter, blog, email announcements to department managers, posters, etc.], better timing for the event, developing "buzz" surrounding the event with a controversial topic or a more interesting title, and a larger outreach effort, especially to new faculty and graduate students.

In the future, COT anticipates that forums on teaching innovation will be joint ventures with CITL. We have asked the ETA winners to join us in presentations, and have volunteer professors [e.g., Professor Brad Olsen] who are willing to share their expertise with the UCSC community.

Excellence in Teaching Awards

As a result of agreements reached last year, COT and the Academic Senate now have administrative oversight of the Excellence in Teaching Awards (ETA). In adjudicating these awards, we look for evidence that the nominee has thought deeply about teaching and learning, and effectively applies that thinking in the classroom. Beginning this year, new policies have

¹ The video may be viewed at - <http://senate.ucsc.edu/senate-meetings/senate-forums/2016-January-13-forum-on-teaching-with-tech.html>

been implemented regarding the timing of student nominations, and the type of awards given. In the past, student nominations were collected once a year. Beginning with the 2015-16 Excellence in Teaching Awards, the committee solicited nominations at the end of each quarter so that the nominations would not unfairly favor faculty and instructors who teach at the time of the nomination.

This practice resulted in a record number of nominations - 619 nominations for 350 different instructors - almost three times as many nominations as we've seen in previous years. We see this as evidence of the strong commitment by UCSC faculty and instructors to their students and their teaching.

The criteria for the selection of the ETA winners is student nominations, augmented by statements of teaching philosophy from the finalists, and letters of support from department chairs. All members of the COT were allowed to weigh in on the selection of the candidates. After much deliberation, the Committee selected nine instructors to receive teaching awards, including the Ron Ruby Award, awarded to a faculty member in the Physical and Biological Sciences Division. An additional four candidates were chosen to receive letters of Honorable Mention. We plan to continue to offer Honorable Mention letters to recognize excellence given the breadth of the field of candidates. Chancellor Blumenthal presented the awards to the ETA recipients at a luncheon hosted by the Chancellor's Office at the Arboretum.

The ETA recipients have been asked to participate in a forum on teaching, to be recorded for the website, and to help with publicity in the 2016-2017 year as part of the award. For more information about each recipient, please see the Tuesday Newsday story about the ETA.²

2015-16 Excellence in Teaching Awards

- Caitlin Binder, Chemistry - Ron Ruby Award
- Dean Mathiowetz, Politics
- Douglas Bonett, Psychology
- Faye Crosby, Psychology
- Glenn Millhauser, Chemistry
- Matthew Lasar, History
- Melissa Sanders-Self, Literature
- Richard Mitchell, Mathematics
- Tracy Larrabee, Computer Engineering

Letters of Honorable Mention

- Aaron Meininger, Economics
- Michael Rexach, Molecular, Cell and Developmental Biology
- David Bernick, Biomolecular Engineering
- Patrick Tantalo, Computer Science

² This story may be viewed at - http://news.ucsc.edu/2016/06/teaching-awards.html?utm_source=06-07-2016&utm_medium=email&utm_campaign=tuesday-newsday

Members of COT met with, and contributed to, the following university subcommittees:

- Classroom Committee
- Advisory Committee on IT
- Course Evaluation Committee
- Online Education Course Review Committee

In addition, we sent out a notice to the campus community regarding course integrity, material and intellectual property, provided a presentation at the new faculty orientation, and presented written feedback on various issues to the Academic Senate and other groups on campus, including:

- Vice Provost & Dean of Undergraduate Education Standard Time Slots Proposal
- Pilot of Seat-less Class Sections by Computer Engineering Department

Upcoming Agenda for 2016-17

The amount of work done by the Committee was difficult to complete in 90 minutes every other week. Therefore, we have increased the time commitment for our meetings to 120 minutes in the upcoming year.

We recommend several priorities for next year. Foremost, we are eager to partner with the Center for Innovations in Teaching and Learning in facilitating the teaching agenda on campus. We anticipate significant involvement in helping to launch this new center, coordinating faculty development efforts with the Faculty Director and participating in the hiring of the Professional Development Coordinator. Secondly, we need to formulate the policy around course evaluations, working with the VPAA and other committees and ascertaining that the new system is compatible with our recommendations. Ensuring a smooth transition for faculty and instructors from eCommons to Canvas as a Learning Management System will also occupy the committee, as will the transition to a new student evaluation system. The committee will need to keep abreast of developments in both arenas.

An area of concern that we were not able to address this year involves the way in which decisions are made that impact pedagogy without sufficient consideration for the impact on instruction. An example is the configuration of large lecture halls, online delivery of courses that degrade the interpersonal teacher/student relationship, and increases in class size due to budget constraints. Decisions based on student overcrowding and a lack of resources do not adequately consider how people actually learn and important pedagogical issues. We have communicated these concerns to CEP and will hopefully meet with a representative from CEP in the coming year to discuss them further. We intend to present a white paper on pedagogical issues to the senate that discusses how people learn and crafts an argument for paying attention to pedagogy in decisions about class size and resource allocations.

In addition, we will continue to adjudicate the ETA and to provide input into issues regarding classroom climate and scheduling, as we see these as ongoing concerns.

Respectfully Submitted;
COMMITTEE ON TEACHING
Phil Hammack
Marc Matera
Matthew McCarthy
Danny Scheie
Technologies
Judith A. Scott, Chair

Christopher Kan, Graduate Representative (*F*)
Jessica Xu, Undergraduate Representative
Jim Phillips, Director of Learning

August 31, 2016

Graduate Council 2015-16 Annual Report

To: Academic Senate, Santa Cruz Division

Graduate Council (GC) worked on several issues this year, including a) participating in the Senate's broader engagement with graduate growth planning, b) authoring a GC delegation policy, c) developing and approving policy and guidelines for Five-Year Contiguous Bachelor's/Master's pathways, d) reviewing divisional faculty recruitment requests, e) reviewing changes to Sexual Violence and Sexual Harassment Policy and the impact on graduate students, and f) monitoring graduate programs under GC review. The Council also spent a considerable amount of time on routine business, including reviewing new degree programs and new non-degree 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 Fellowships. A detailed summary of the Council's work in 2015-16 is provided below.

Graduate Growth

The Joint Senate/Administrative Task Force on Graduate Growth (JTFFGG) released its report in June 2015, which outlined a set of recommendations for growth of graduate education and research at UCSC. The Council reviewed the report and spent a considerable amount of time engaging with the broader goal of facilitating development of campus strategic and long term achievable goals for graduate growth, including monitoring and supporting progress toward implementation of recommendations in the JTFFGG report.

During the year, the Council consulted with the Vice Provost and Dean of Graduate Studies (VPDGS), with the goal of covering several topics, including: vision and specific strategic plan for graduate growth, including proposals for nonresident tuition waivers and multi-year offers; plans to develop models of various possible actions to predict or estimate the impacts of those actions on graduate growth; and planning for achieving the campus aspirational graduate enrollment goals. The Council also specifically requested data from the graduate division to help inform questions such as arriving at achievable incremental growth goals, quality and depth of graduate applicant pools, and funding sources for graduate student support (TAships vs. GSRships/other fellowships) at UCSC and other UCs. During the consultations, the VPDGS and Council specifically discussed the need for a central administrative commitment to and prioritization of graduate growth, as well as strengthening the commitment to the research and graduate elements of the campus mission and aligning those elements with campus planning.

This year, the Council also reviewed initiatives from the VPDGS intended to contribute to graduate growth. For example, a risk reserve and a carry forward option were two new features to the block allocation formula supported by the Council (described in Block Allocation Formula section below). This is a positive starting point, and the Council supports implementation of other impactful initiatives on the campus to facilitate graduate growth, including a funding model that better supports multi-year offers and implementation of nonresident tuition remission. These initiatives were recommended in the JTFFGG report, and both will help increase the competitiveness of our doctoral programs for attracting top graduate student talent at a national and international level.

During spring quarter 2016, the Council established a subcommittee on graduate growth, and drafted a report summarizing goals and recommendations endorsed by the Council for doctoral and master's enrollment growth, drawing on the Council's analysis of Planning and Budget and UCOP data. This report will be finalized and presented at a Senate meeting during fall quarter 2016. The Council strongly supports the goal of strengthening and growing graduate, and particularly doctoral programs, on the UCSC campus to achieve a proportion of graduate enrollments commensurate with an aspiring Association of American Universities (AAU) research university and our comparative sister campuses in the UC system.

Delegation Policy

In 2014-15 Graduate Council revised its bylaws. The revised bylaws, among other changes, formalized a process to monitor and review administrative decisions delegated by the Council to the Graduate Division on an annual basis.

During the 2015-16 year, the Council developed and approved its first "Delegations of Authority" document, which is intended to provide a comprehensive list of routine administrative decisions delegated to the Vice Provost and Dean of Graduate Studies, as well as those decisions delegated to the Council Chair and any other administrative officers. The document also establishes that the Council will annually monitor and review its delegations of authority and consult with the VPDGS, who will report every fall on 1) the formulation of general procedures established in conformity with the delegations of authority, and 2) any re-delegations of authority. The first consultation with the VPDGS on delegations of authority is scheduled during fall 2016.

Bachelor's/Master's Guidelines

During 2014-15, Graduate Council reviewed and commented on guidelines developed by the Vice Provost for Academic Affairs (VPAA) for five-year contiguous bachelor's/master's paths using existing bachelor's and master's programs (reviewed by GC in May 2015 as "One Year Master's Pathways" and February 2015 as "Joint Bachelor's/Master's"). In November 2015, the VPAA approached the Council with a third revision, requesting that the Council take the lead in the development of the guidelines. Bachelor's/Master's paths are under purview of the Graduate Council.

The Council formed a subcommittee to address this issue and developed policy and guidelines, approved by the Council in January 2016. The guidelines emphasize the rationale and advantages of contiguous bachelor's/master's pathways, and that the two degrees are earned sequentially; students must complete the bachelor's degree before enrolling in the master's program. The bachelor's/master's path is intended to enable well prepared undergraduates to complete specific upper division or graduate courses in the latter stages of their undergraduate degree and apply those courses toward a master's degree once admitted to the master's program. The Council's Five-Year Contiguous Bachelor's/Master's Guidelines are available on the Academic Senate website.

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 did not review nor make recommendations on the block allocation formula between the 2005-06-and 2013-14 academic years. In 2014-15, the Council made the decision to reinstate annual review of the block allocation formula.

This year, 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 November 19, 2015. The Council review of the formula focused on gaining understanding of the factors considered, how it is determined, and how allocations are made across programs. The Council will continue annual review and consultation with the VPDGS on the block allocation formula.

Early in fall quarter 2015, the Council reviewed the VPDGS proposal to establish two new initiatives intended to help normalize block funding to graduate programs: 1) a risk reserve equal to 10% of a program's block allocation that the program can draw upon to cover an unexpectedly high graduate enrollment yield rate, and 2) a carry forward option that will allow programs to carry forward up to 10% of the unused block fund allocation to a subsequent recruitment cycle. The Council enthusiastically supported both initiatives. However, Council members also raised a concern about the practice of using three-year block allocation averages in calculating allocations and how this might impact programs differentially. Members suggested it might be helpful to have different models that might, for example, differently account for newer programs and accommodate different block funding scenarios.

Review of 2016-17 Divisional Faculty Recruitment Requests

Graduate Council has only recently been engaged in the review of divisional faculty recruitment requests, beginning in 2012-13 in context of campus planning for graduate growth. Over the last three years, the Council has significantly increased its engagement with this issue, and has devoted significant time to reviewing and commenting on the divisional faculty requests. As part of the process, the Council Chair attended the Committee on Planning and Budget's (CPB) consultations with each of the academic deans, and the Council reviewed the CPB pre-consultation memos and decanal responses from each division to inform its review.

The faculty recruitment request process was somewhat modified this year, with the CP/EVC indicating that for 2016-17, central funding for FTE recruitments would be pre-allocated to each division, and FTE recruitment 'envelopes' were provided to each division to inform their FTE recruitment requests. The preliminary allocations for 2016-17 included one growth faculty FTE each for the Arts and Humanities Divisions, two to three to the Social Sciences, and five to seven each to the Physical and Biological Sciences and the Baskin School of Engineering. CP/EVC Galloway's letter outlining the preliminary FTE allocations also noted that seven faculty FTE were reserved for strategic, high impact hires, and another four for Silicon Valley programs.

Principles Guiding Review of FTE requests

Strong graduate programs should be a high priority for the campus, since they increase our campus's research excellence and reputation, enhance our undergraduate educational mission, and increase our graduate education profile. Given this, Council reviewed the divisional requests for faculty recruitment authorization with a guiding principle that the proposed hire directly contribute

to strengthening and growing doctoral programs on campus. The Council evaluated the broader impact the requested FTE might have on strengthening and growing existing doctoral programs, or contributing to the establishment of new doctoral programs in areas of need or campus strengths. Council's position is that the most effective way to achieve the goal of doctoral growth is to invest in growing and strengthening departments and programs with faculty able to mentor and support doctoral students in numbers appropriate for their discipline. This principle is entirely consistent with the CP/EVC's first of two primary drivers for evaluating 2016-17 faculty recruitment requests (*enhancing the research profile of the campus by supporting doctoral growth in existing programs or new programs with high growth potential*). As a secondary principle, the Council also considered whether the proposed FTE would enhance faculty contributions to diversity, promote cross divisional collaborations, and/or reinvigorate areas of historical excellence, consistent with complementary evaluation criteria set out in the FTE call.

Reflections on Process

Vice Chancellor of Planning and Budget Delaney's request for Council feedback on the FTE allocation process and timeline this year provided the opportunity for reflection on the process, including the challenges and opportunities moving forward. Graduate Council's broad recommendations for next year include:

1. Begin the FTE process earlier in the academic year, in order to allow the division more time to construct well-rationalized, data driven FTE requests and support greater coordination of synergies in FTE requests across divisions;
2. Retain the same main drivers for FTE allocations for next year, however, modify the language to emphasize "enhancing the research profile of the campus by directly supporting doctoral growth in programs with high growth potential." This modification of the language for the first primary driver will assist in the evaluation of FTE requests that hold the greatest promise to contribute directly to graduate (doctoral) growth;
3. Ask divisional deans to explicitly articulate how the requested FTE will directly support doctoral growth in the departments/divisions, based on development of a set of metrics that would facilitate evaluation of the merit of the FTE requests within and between divisions; and
4. Enhance transparency of the process by articulating in the CP/EVC's call letter the process that will be used to evaluate the requests in reaching FTE allocation decisions, including the various Senate and Administrative groups that will review the requests and provide input. Further, *written* recommendations should be submitted by all of the groups that advise the CP/EVC. Currently, it appears only the Senate (GC and CPB) recommendations are put in writing and made widely available.

SVSH Policy and Graduate Student Impacts

During 2015-16, Graduate Council reviewed several items related to Sexual Violence and Sexual Harassment (SVSH), including a draft of the proposed new UCOP SVSH policy, the Joint Administration-Academic Senate Committee on Faculty Discipline Report, and the fall 2015 findings from the UCSC "Campus Sexual Violence and Assault Survey for Grads" conducted by

the UAW Anti-Oppression Committee and GSA Solidarity. This review occurred in a context of high profile reports of SVSH cases at UC campuses.

Council review of these materials raised concerns about several issues related to graduate students: 1) the implications of their designation as “responsible employees” in the new SVSH policy, and 2) their designation as possible “complainants.” The Council observed that the nature of the professional relationship between graduate students and faculty puts them in a position of potential vulnerability that may have wide ranging impacts, from reporting SVSH incidents to student success. Graduate students, in essence, are somewhat unique in terms of their responsibilities and vulnerabilities, and as such, have specific needs. For example, review of the proposed UCOP SVSH policy raised several issues related to the clarity of the proposed policy, definitions of reporting responsibilities and contexts in which these responsibilities are in effect, and the adequacy of the policy as proposed to sufficiently protect graduate students in their multiple and shifting roles as students and university employees.

During spring quarter 2016, a graduate student representative raised concerns about the vulnerabilities of graduate students as mandated reporters and complainants in SVSH cases, as well as concerns with length of time for review and general reporting structure. The Council reviewed the 2015 UCSC GSA/UAW survey, which queried graduate students about their experiences with harassment and violence, knowledge of campus resources and responsibilities related to SVSH, and graduate student concerns.

The Council sought further engagement in these issues to better understand how the Title IX Office serves the needs of and interfaces with the graduate student population on campus. The Council consulted with Title IX Office Director Tracey Tsugawa, who provided an orientation into the issues, as well as the impact of the new policy on SVSH and state and federal legislation. Given its concerns about the role of graduate students as mandatory reporters of SVSH, the Council was pleased to hear about efforts to provide training to all students on this issue, and in particular, GC noted its support for the Title IX Office’s initiative to provide in-person training to incoming graduate students. The Council also recommended that the Title IX office consider in-person training for faculty graduate directors, who could then serve as points of information for graduate students.

The Council also followed up with CP/EVC Galloway on this issue, stating its support for the allocation of additional resources to hire two additional staff FTE for the Title IX office, and recommending the allocation of further resources to the office. The Council also strongly supports the CP/EVC’s stated commitment to change the culture and create a “no tolerance” climate for SVSH at UCSC (Beyond Compliance Town Hall, May 2016). The Council agrees that a shift in culture will require consistent messaging from the administration and greater awareness at all levels of the university, something that will undoubtedly require sustained conversations, a process which is already underway. The Council expects to continue engagement with this important issue in the next academic year.

Program Monitoring

TIM Graduate Programs

During 2014-15, after lengthy deliberation and assessment of the Technology and Information Management (TIM) graduate programs due to concerns about the capacity of the programs to offer UC-quality instruction, Graduate Council made the decision to indefinitely suspend the M.S. program, but not the Ph.D. program, beginning in fall 2015 (communicated in letter of February 18, 2015). The Council requested an annual report on the status of the Ph.D. program and 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.

Graduate Council reviewed the Technology Management Department's report of the TIM graduate programs in January 2016, which included a request to resume admissions to the M.S. program. The Council found that the report did not adequately address all of the Council's conditions outlined in its February 18, 2015 letter. Council requested that the department submit a revised report addressing all of GC's conditions, provide an updated FTE hiring plan, and an updated curriculum and leave plan (CLP). While the Council acknowledged that some of the Council's concerns were mitigated by the decision to not offer the TIM program through the Silicon Valley campus, concerns remain over the small number of FTE in the program, the uncertain future of the FTE hiring and resource plan, and the ability to mount successful and sustainable Ph.D. and M.S. programs even if restricted to the UCSC campus. The Council also requested an explicit resource commitment from the appropriate resource controlling administrator, and given the leadership transition in the Baskin School of Engineering, provided the option to re-submit the report when the new Dean is in place. The Council did not receive a response, and followed up with the TM department (May 19, 2016). The Council requested a revised annual report by September 15, 2016. The TM department agreed that waiting for the incoming Dean's arrival would give the department additional understanding of plans for the school and department. A revised report should be forthcoming.

Education Ph.D. Program

The Education Department, on Council's request, submitted the second (of four) annual reports that apprise the Council of the status of the Ph.D. program (September 2015). The Council agreed that the report was thorough and responsive, and demonstrated continued improvement of the program since the first report was submitted in 2014. The Ph.D. program was retooled into a "single track" program, effective 2014-15. After review of the report, the Council raised a number of issues and made recommendations that the Education Department should address in its 2016 report, including in the areas of evaluating student feedback on course changes, monitoring progress to degree, revising the graduate student survey to better address student morale and faculty interaction issues, and addressing potential impacts of looming faculty retirements. The Council commended the Department for its efforts to address the Council's concerns to date, and expressed enthusiasm for progress made since the Department's re-structuring of the Ph.D. program.

Regular Committee Business

New Degree Program Proposals

GC reviewed and approved two proposals: M.S. and Ph.D. degrees in Computational Media (October 2015), and an M.F.A. in Social Documentation (July 2016).

Graduate Council also reviewed a proposal for an M.S. in Coastal Science & Policy, a professional degree with supplemental tuition (PDST) program. Council outlined a set of recommendations for revision (May 2016), and expects to review a revised proposal in fall 2016. Graduate Council also reviewed a proposal for a low-residency M.F.A. in Dance, a self-supporting program (SSGPDP). The Council outlined a set of recommendations for revision (May 2016) and expects to review a revised proposal in fall 2016.

New Non-Degree Proposals

Non-degree proposals include Designated Emphases (DE), Five-Year Contiguous Bachelor's/Master's paths, and non-SR 735 graduate certificates. The Council reviewed and approved proposals for Designated Emphases in 1) Human Language Media and Modeling (December 2015), proposed by the HLMM faculty to be housed in Computational Media, and 2) Scientific Computing (December 2015) proposed by the Applied Math and Statistics Department.

The Council reviewed and approved proposals for four Five-Year Contiguous Bachelor's/Master's programs: Computer Science (April 2016), Philosophy (April 2016), Microbiology and Environmental Toxicology (June 2016), and Scientific Computing and Applied Mathematics (June 2016).

The Council approved one non-SR 735 graduate certificate proposed by the Graduate Division and the Institute for Science and Engineer Educators (ISEE) in STEM Teaching (November 2015).

External Reviews

The Council submitted universal charge questions for upcoming external reviews in Astronomy & Astrophysics, Biomolecular Engineering, Digital Arts and New Media, Feminist Studies, Ocean Sciences, Politics, and Sociology. In addition, the Council prepared external review report responses for closure meeting discussions for Ecology and Evolutionary Biology, Computer Engineering, Anthropology, Computer Science, Microbiology and Environmental Toxicology, and Economics. The Council also reviewed mid-cycle reports and made recommendations on length of review cycle for Science Communication, Environmental Studies, History of Art and Visual Culture, and Music (deferral request).

Program Statement Changes

GC reviewed 29 proposed graduate program statement changes for the 2016-17 catalog copy.

Course Reviews

A subcommittee of Graduate Council members reviewed proposed new graduate courses and proposed course revisions throughout the year.

GSI Requests

The Council delegates to the Council Chair review and approval of Graduate Student Instructor (GSI) 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 six GSI requests from the Education and Literature departments.

Fellowship Review

A Graduate Council subcommittee advised the Vice Provost and Dean of Graduate Studies on the selection of Cota Robles Fellowships.

The Council reviewed a proposal from the VPDGS for Dissertation-Year (DYF) and Dissertation Quarter Fellowship Changes. The proposal requested a change to the process of review from one where Graduate Council reviews and ranks the candidates and provides recommendations to the Graduate Division for selection and administration of the fellowships, to a process where candidate review and selection is performed at the level of the academic division, with the divisional deans deciding on a division specific process for review and selection. The VPDGS proposed to provide one Presidential DYF and one Chancellor's DYF, along with a number of 1 - 3 quarter Dissertation Quarter fellowships to each of the five academic divisions. He also proposed moving the selection and awarding process timeline from spring to winter quarter. *The proposed changes would remove Graduate Council from review and recommendation of the DYFs.*

After lengthy deliberation, the Council supported the proposed changes, with the following agreements: 1) The Council articulated the need for a common framework for the divisional review process that is transparent and equitable, while also balanced with sufficient flexibility to accommodate the disciplinary differences across divisions that should be considered in the review of the DYF candidates. The Council requested that the VPDGS develop/clarify a common framework for the review process at the divisional level, including the aspects of review that are common across divisions and those aspects that have dean discretion and flexibility for change. 2) The Council agreed that it is appropriate for GC to maintain oversight of the DYF recommendation process. Systemwide Senate Bylaw 330 states as one of the duties of divisional Graduate Councils, to: "recommend the award of fellowships and graduate scholarships, including honorary traveling fellowships, according to the terms of the various foundations." Graduate Council, in supporting this proposal, delegated this authority to the Graduate Division, with recognition that the VPDGS will re-delegate the DYF review and selection process to the academic divisions, with a common framework for evaluation as noted above. *The Council requested that the Graduate Dean report in writing annually in fall quarter to the Graduate Council with the review and selection process used in each of the academic divisions, and a summary of the number of candidates reviewed (broken down by academic department/program), their ranking, and selection.*

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:

- Proposed Economics Department and Hastings M.O.U. for the MS in Applied Economics in Finance (November 2015).
- VPDGS Proposal to Establish Annual Graduate Mentorship Award (December 2015)— Revised proposal expected in fall 2016.

- VPDUE Proposal to Change Standard Classroom Time Slots, Passing Times, and Final Exam Block Time (January 2016).
- SIO/VPGE 3+1+1 Guidelines (February 2016).
- VPAA Draft Memo Calling for Updates to Department Instructional Workload Policies (March 2016).
- Proposal for Discontinuance of Education Department’s Collaborative Leadership Ed.D. (April 2016).
- Proposal for Nanjing Audit University and UCSC Economics 3+1+1 Pilot Proposal (May 2016).
- Review of VPAA’s Draft Revisions to *Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change*.

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 2015-16. The Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2016-17:

- Graduate growth—the Council will continue to participate in and monitor campus planning for graduate growth.
- Graduate student welfare and professional development.
- Graduate program monitoring—continue to monitor Technology and Information Management (TIM) graduate programs, Education Ph.D. program.
- Engagement with Administration on academic program planning.
- Review of revised new program degree proposals first reviewed in 2015-16: Dance M.F.A. (SSGPDP) and Coastal Science and Policy M.S. (PDST).

Respectfully submitted;
GRADUATE COUNCIL
Anjali Arondekar (*F, S*)
Robert Boltje
David Brundage
Vilashini Cooppan (*W*)
Pascale Garaud
Jonathan Kahana (*S*)
Roberto Manduchi
Dean Mathiowetz
Dard Neuman
Stefano Profumo
Ruby Rich (*F, W*)
Tyrus Miller, *ex officio*
Don Smith, Chair

Christy Caldwell, LAUC Representative
Anjali Dutt, Graduate Representative
Jessica Perez, Graduate Representative (*F*)
Jess Whatcott, Graduate Representative

August 31, 2016

Special Committee on Athletics
2015-16 Annual Report

To: Academic Senate, Santa Cruz Division

The Special Committee on Athletics was charged on February 16, 2016 with drafting a report on the status of the athletics program at the University of California Santa Cruz. The report was completed and submitted to the Academic Senate and a supporting oral report given at the May 18, 2016 Academic Senate meeting. Both versions of the report are attached hereto as an appendix.

The Special Committee on Athletics will continue to meet during the 2016-17 academic year with the objective of working with stakeholders to help draft a strategic plan for a thriving and self-sustaining athletics program at UCSC.

Respectfully Submitted;
SPECIAL COMMITTEE ON ATHLETICS
Lissa Caldwell
Matt O'Hara
Greg O'Malley
Gene Switkes
Dan Wirls
Cliff Dochterman, *Ex Officio*
Jason X. Prochaska, Chair

August 31, 2016

SPECIAL COMMITTEE ON ATHLETICS

Interim Report

To: Academic Senate, Santa Cruz Division

Executive Summary

As we submit this interim report, UCSC students will be polled to assess their support for a steep rise in student fees to nearly fund the entire operating budget of UCSC's student athletics program. By all appearances, this program has been successful, both in competition and in the classroom; for instance, the current student athletes boast over a 3.3 GPA and the program has retained and graduated 100% of its students for 5 years running. Nonetheless, the administration has stated its intent to terminate student athletics if the unprecedented mechanism of an administration-mandated opinion poll fails.

We believe any such action would be premature, for numerous reasons. First, in our limited time as a committee, we have already identified many potential co-benefits to the university and affected constituencies that seem to have been underappreciated or ignored in the decision-making process. Second, the athletics budget is more complex than has been previously represented and requires further examination in light of current funding constraints. Third, we are concerned that the university has failed to engage properly and fully the key stakeholders of the student-athletics program in this process: the full student body, faculty, alumni, and the surrounding community. This is especially problematic given that the likely low rate of student participation in the voting process may not fairly represent the student body as a whole, and that this one cohort of undergraduates is assigned to make a decision that impacts a much greater constituency. Fourth, abruptly eliminating a successful program that serves and promotes UCSC would publicly signal a university in decline. We therefore recommend that the administration, in partnership with these stakeholders (including our committee), work together in 2016-2017 to foster a comprehensive investigation and campus-wide conversation about the value and costs of athletics to UCSC.

Introduction

At the winter 2016 meeting, the Senate approved the creation of a special committee on student athletics to examine the value and costs of NCAA athletics at UCSC. Because the committee membership was not determined until late April, we are not prepared to issue a complete report. However, intervening events compel us to bring this matter to the Senate's immediate attention. Specifically, the campus administration has declared that they will end NCAA athletics unless students express significant support to raise substantial new fees for student athletics. As this report is being submitted, students are voting on an unprecedented opinion poll as part of the spring student elections process. The question is as follows:

“Would you support a new student fee of approximately \$90 per quarter (\$270 per year) to retain the current NCAA Athletics program at UC Santa Cruz?”

According to the university campus elections website:

“If a simple majority of students who vote in the 2016 election vote YES, the question will be placed on the 2017 ballot as a student fee referendum. If the simple majority threshold is not met, the NCAA Athletics Program will be eliminated by June 2017 when the temporary funding expires.”

Yet as we quickly discovered during our preliminary research, the issue is far more complex than has been presented to the students in the opinion poll. Specifically, we have uncovered a number of important factors that warrant additional investigation and discussion before implementation of such a drastic decision as termination.

Such an outcome would make UCSC the only UC or CSU without either NCAA or NAIA athletics. Nationwide, Spelman College is the only other university or college to have eliminated NCAA athletics. We feel strongly that such an action has the potential for long-term consequences that affect the campus along the many dimensions of recruitment, retention and community relations, as well as student life, and we are alarmed that the process has proceeded without extensive consultation with the Academic Senate.

Brief Background

Since 1981, the University of California, Santa Cruz has participated in intercollegiate athletics as a member of the NCAA Division III. Over 5,000 student athletes have participated in UCSC athletics, distinguishing themselves in the classroom and in competition. MIT, Emory, NYU, and the University of Chicago are examples of other institutions that support Division III athletic programs -- an academically selective and rigorous cohort. Division III athletics do not allow athletic scholarships for student athletes. All other UC campuses (save Merced) are members of the NCAA at Divisions I or II. Their athletics budgets and programs dwarf those of UCSC.

At UCSC, the athletic program (currently consisting of 15 teams, men and women) has been supported by a combination of campus funds and student fees. Our student athletes regularly pay for their own equipment and travel for athletic events. The UCSC funding level is below even that of the smallest Division III schools, which are often 1/10 the size of the UCSC undergraduate population (e.g. Mills, Cal Tech, Scripps, Pomona, University of LaVerne).

In 2014 the University announced its intent to suspend campus funding of UCSC athletics following a three year period when they would provide increased support (~\$1M per year) to cover wage and benefits increases for coaches on contract agreements and several other new expenses. After this period, funding would need to be derived from student fees. Last year Athletics staff developed a referendum to fund student athletics with a \$117 per quarter fee. The proposed athletics fee received 40% approval in the spring 2015 vote. It should be noted that starting in 2014 student referenda have required a supermajority of 66% approval from at least 25% of the student body. Even when the

threshold for approval was a simple majority almost no fees over \$10 a quarter, for any purpose, had passed in recent years.

UCSC Athletic Budget and Comparison to Other UCs

UCSC is noteworthy for its lean athletics budget. Athletics has been funded by a \$5 per quarter student fee, which raised \$162,263 in 2015, and by some limited central funds, which were recently enhanced for the three-year period. Prior to 2014, the central contribution was about \$225,000 per year. As noted, for two years the central contribution has been temporarily raised to \$1 million.

Other UCs, most of which are either Division I or II, typically have much higher student fees designated for NCAA athletics. For example, Riverside has a \$105 per year fee and Merced \$150 per year. Merced, it should be noted, is currently a member of NAIA but plans a transition to NCAA. UCSD funds its annual ~\$7M budget for student athletics primarily from fees. We are soliciting more information because some UC fees for athletics are consolidated into omnibus categories, such as Davis' \$549 per year campus expansion fee.

At several UC campuses at least, the central administration makes a substantial contribution toward athletics. As an example, the Irvine athletic budget includes "institutional support" (tuition, state) of \$9.5 million while student fees provide \$3.8 million. Riverside is another example with about \$8 million in direct institutional support and \$2 million in student fees.

In sum, other UC campuses use a range of funding models. A successful and sustainable program at UCSC may require a combination of central funding and significant student fees.

Future Budget

The present opinion poll specifies a \$270 yearly fee which, if eventually funded, would yield ~\$2.9 million for the athletics program ($\$270 \times \sim 16,000$ undergraduates, less 33% redirected to student aid funds). Given sufficient time, the Special Committee on Athletics is prepared to bring to the Academic Senate an analysis of how this figure relates to the current and future funding requirements of UCSC athletics. Among relevant considerations are: careful examination of the current athletics budget, possible increases in salary levels as mandated by the Department of Labor, and the potential loss of significant gifts and donations to the campus.

The Special Committee on Athletics is sensitive to the competing fiscal needs of our students and of our campus. However the significant consequences of the loss of intercollegiate athletics compel us to request sufficient time to provide a careful budget analysis, one that is essential both to justifying the level of any proposed student fee increase and to communicating to students and faculty how these funds would be utilized.

Our Student Athletes

Approximately 300 undergraduates participate on the NCAA teams at UCSC (52% are women). The program has recently added a men's track and field team and is expanding the women's track and field squad. This will increase participation significantly.

The UCSC athletes are talented students who have performed significantly above campus averages in the classroom. According to OPERS, NCAA student-athletes at UCSC have a 3.3+ average GPA (versus a 3.08 campus average). 71% of the student athletes have a GPA of 3.0 or better, and 31% have 3.5 or better. Regarding retention, athletics reports a 100% graduation rate for five years in a row. This greatly exceeds the campus average of 58%.

Admissions and Retention

Athletics can be viewed, in part, as a recruitment and retention program. Through athletics we attract a talented and diverse cohort of students who wish to compete at the NCAA level. If the administration terminates athletics, that source of applicants will be eliminated. And, most of the current student athletes have expressed their intent to transfer from UCSC if the program is terminated.

The absence of athletics at UCSC could well have a broader and ongoing effect on admissions. It is not simply the scholar-athletes who will enroll elsewhere. We must consider the potential impact on many applicants who are not athletes. Upon learning UCSC has no intercollegiate athletics program, their first – and quite rational – reaction might be to wonder what else is lacking at our university.

As noted above, the retention rate for student athletes at UCSC has been 100% for 5 years running. Student retention is now a priority for this administration. Over the past several years, it has developed several recruitment and retention programs at substantial administrative cost. Many of these resources are rightly aimed at students whose preparation puts them at risk of not succeeding. NCAA athletics at UCSC has a record of attracting and retaining students who, as a cohort, are well above average and who graduate on time. Our committee wishes to examine the success of these new retention programs relative to their cost and relative to the record of athletics in recruiting and retaining successful students.

Alumni

At most universities, student athletics offers a sustained connection between the university and its alumni. This holds true even for smaller, Division III programs (e.g., Amherst, Pomona). Overall, our student athlete alumni have a favorable impression of their experience at UCSC, and University Relations reports alumni interest in providing support. For instance, when revered men's tennis coach Bob Hansen retired, tennis alumni raised an endowment in his honor that generated several five-figure gifts. The men's tennis endowed fund has a market value in the \$25-30K range. Given that our student athlete alumni are typically in their 20s, 30s, and 40s, and have not yet reached maximum earning potential, this kind of support is remarkable for demonstrating their commitment and appreciation to the university and the athletics program. At the same

time, our research has revealed that alumni appreciation of athletics has been severely tempered by the administration's handling of the athletics program and the proposal to terminate the program. It has been reported to us that major gifts to the university have been rescinded or postponed specifically because alumni are dismayed by the prospect of termination. As our research uncovered, when alumni feel that their university is not even covering the basics of a program for which they care deeply, there is a limit to what those alumni are willing to contribute, even if they have significant funds to offer.

Fundraising and University Relations

The concerns of alumni are shared among a wider group of supporters, including parents of current and former students and members of the local community. Parents are often shocked by the very lean budgets for athletics programs. In response, parents often support their children's athletics experiences, on top of paying tuition, simply so that their children have a good experience. As noted, we have reports that several very large planned gifts to upgrade university athletics facilities and programs have been withdrawn. These programs and facilities would not be exclusive to the athletics program but shared by and benefit the larger university community, comprised of students, faculty, staff, and Santa Cruz residents. Hence, this potential loss would not only damage the public image of the university, but also would also reflect poorly on the university's efforts to engage meaningfully with supporters in ways that benefit the entire university community on and off campus.

Community

UCSC's athletics program is deeply invested in the larger community beyond campus. The majority of the 300 student athletes at UCSC engage and promote a range of outreach activities within Santa Cruz County. These include youth clinics, summer camps, volunteer coaching (over 100) in youth programs, and in-school K-12 programs. With the termination of Santa Cruz Shakespeare, athletics is one of the few UCSC programs that consistently engages our university with the surrounding community. Additionally, the program provides the community one of the few opportunities to attend high-level sporting events in the county.

UCSC's Broader Image

The UCSC Slug mascot was conceived by athletics and stands as the most recognizable image of our campus. While student athletics may never be, and perhaps should never be, a focal point of our campus, intercollegiate sport is widely viewed as a fundamental component of higher education. Intercollegiate activities such as athletics, among others, greatly enhance the university and our students' experiences by taking our campus to other campuses and bringing other campuses to ours. Our student-athletes are among the best public representatives of our campus.

Perhaps more importantly, as faculty, we have great concern that the termination of UCSC student athletics, a program that distinguishes itself in the classroom and in competition, would signal to the world that we cannot maintain a first-class university. At the least, it may contribute to our reputation as a lower-tier campus in the UC system.

Despite the capital campaign, higher tuition, and deals with the governor and legislature, UCSC seems stuck in a perpetual budget crisis. In such an environment, nearly any expenditure not related to the classroom is up for grabs. And each individual cut or program termination seems justifiable and free of notable negative consequences. The university is nearly unique in not having an Arts and Lectures program, which it dropped in 2009. Likewise the university ended a 30-plus year relationship with Shakespeare Santa Cruz by withdrawing funding in 2013 and then removing them from the glen in 2015. None of these things by itself has been a true catastrophe. At some point, however, we will have no relationship to the Santa Cruz community, no campus life beyond what students can manage to create for themselves, and few of the extra-curricular attributes that characterize a top-notch institution.

Concluding Remarks

With student athletics at this critical juncture, the administration has failed to properly engage its stakeholders – students, faculty, alumni, and the community – in the matter. Nor has the administration successfully informed students on the critical role student fees play in supporting campus activities more generally. The administration’s neutrality and passivity can be viewed as an abdication of leadership on issues vital to the campus: let the students decide, even when few students fully understand the context and implications of the choices they confront.

Irrespective of the outcome of the ongoing opinion poll, we recommend that Academic Senate advise the administration to take the next year to further consider how the campus can develop a sustainable model for student athletics that incorporates the needs and wishes of all its stakeholders: foremost students, but also faculty, alumni and the community. This committee offers to extend its activities through the 2016-2017 academic year to work with the administration and other constituencies to achieve this goal.

Respectfully Submitted;
SPECIAL COMMITTEE ON ATHLETICS
Lissa Caldwell
Matt O’Hara
Greg O’Malley
Gene Switkes
Dan Wirls
Cliff Dochterman, *Ex Officio*
Jason X. Prochaska, Chair

April 12, 2016

**Committee on Research
 Change to Bylaw 13.27.2**

To: Academic Senate, Santa Cruz Division

The Committee on Research proposes an amendment to Bylaw 13.27.2. COR assessed a need to update the charge to clarify the committee’s proactive strategic role in Senate research and remove dated information. COR proposes the following changes:

Existing Bylaw	Proposed Bylaw
1) Consults regularly with the Vice Chancellor for Research (VCR), advises the Chancellor, and informs the Division concerning issues pertaining to the research mission at UCSC and the University of California, such as campus budgetary needs for the support of research and the support of research infrastructure; policy and strategy regarding the pursuit and acceptance of such support; promotion and coordination of multidisciplinary research and collaborative work among faculty; and policies governing acceptance of extramural funding.	1) The committee informs the Division on issues pertaining to the research mission at UCSC and the University of California, consults with the Vice Chancellor for Research (VCR), advises the Chancellor, and explores new initiatives to enhance the quality, relevance, sustainability and support for research. For example, the committee addresses campus research budgets, research infrastructure, policy and strategy, promotion and coordination of multidisciplinary research, collaborative research among faculty, and policies governing acceptance of extramural funding.
2) Advises the VCR on policies for periodic evaluation of administrative entities that support faculty research, including such offices as the Office of Research, Office of Sponsored Projects, Office for the Management of Intellectual Property, Information Technology Services, UCSC Natural Reserves, Committee for the Protection of Human Subjects, and the Chancellor's Animal Research Committee.	2) Advises the VCR on policies for periodic evaluation of administrative entities that support faculty research, including such offices as the Office of Research, Office of Sponsored Projects Office for the Management of Intellectual Property and Compliance Administration and UCSC Natural Reserves. Information Technology Services, Committee for the Protection of Human Subjects, and the Chancellor's Animal Research Committee
3) Makes recommendations to the VCR on the establishment of Organized Research Units (ORUs); advises the Chancellor and VCR on nomination procedures for directors of ORUs; consults with the appropriate dean or VCR on the composition of the external committees for quinquennial and sunset reviews of ORUs; reviews and comments on the reports of external ORU review committees; and consults with the appropriate dean or VCR on the continuance of ORUs.	3) No Change

4) Establishes and implements policies and procedures governing the allocation of funds within the purview of the Faculty Grants Program for the conduct of research and for travel to attend scholarly meetings, informs the Division of these policies and procedures, and periodically evaluates them.	4) No Change
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Respectfully submitted;
COMMITTEE ON RESEARCH
John Bowin
Matthew Clapham
Sharon Daniel
John Musacchio
Jarmilia Pittermann
Fernando Leiva
Brandin Nusbaum
Raquel Prado
Steve Whittaker, *Chair*

August 31, 2016

Science and Engineering Library Resolution

To: Academic Senate, Santa Cruz Division

Be it resolved that the Santa Cruz Division of the Academic Senate:

Condemns the dramatic reduction of the print collection at the Science and Engineering Library without proper and timely consultation with the Committee on Library and Scholarly Communications (COLASC) and the affected faculty

Deplores the destruction of books from the Science and Engineering Library without an opportunity being given to members of the university or the public to save the books

Rejects the library's decision to choose which books to be discarded without seeking the opinion of the faculty in the affected departments, who have professional expertise in the relevant fields

Calls on the University Librarian to commit that such an action will not be repeated, and that the Academic Senate will be adequately consulted and the faculty informed before making significant changes to the on-campus collections and archives of the University Library

Calls on the University Librarian to provide the faculty with a list of books removed from the Science Library, and take steps to reacquire (in print or online form) those books that the faculty consider extremely important

Calls on the Chancellor and CPEVC to reaffirm the role of the University Library as a teaching and research library that is key to supporting faculty and student research as well as instruction.

APPENDIX A

Dear Librarian Cowell,

We are writing to you as faculty members from various science departments who are shocked to see how the print collection in the Science Library has shrunk over the summer, dwindling from a collection that occupied two floors to one that now occupies a fraction of one floor. Our understanding, which may be imperfect, is that a large number of books and journals have been either sent to NRLF or -- when copies are available in other UC libraries -- destroyed. We have problems with both the process and the outcome:

1. We are surprised that such a wholesale reduction of the print collection has happened without any effective notice to, or consultation with, the science and engineering faculty. While we understand that it is ultimately the administration's prerogative to decide how much space to provide to the print collection in the Science Library, there is far more extensive consultation even when parking fees are raised by a hundred dollars; the books in the library are much more directly related to the academic mission of the university, and their destruction is more irreversible. We question whether such a drastic reduction of the print collection was advisable, and how the priorities of faculty research collections and special collections were balanced.

Although books at the NRLF and other campuses can be retrieved quickly, their removal from our library is not cost-free: it prevents browsing, so that only people who know what they are looking for will have access to the book. This is particularly damaging for those students who do not come from an academic environment, such as first-generation students, who are enterprising enough to look through the stacks to find alternatives to a course textbook or topical monograph that they find useful (even if the instructor did not). We have heard that the library's response to this complaint is that browsing is still possible through your online catalog. Surely you understand that the meager description in the online catalog is utterly inadequate for this purpose; even Amazon.com, despite having book descriptions, ratings and reviews, increasingly uses "Look Inside" to allow people to view tables of contents and subject indices.

2. Even if it turns out that the magnitude by which the print collection was reduced was unavoidable, we are astonished that the items to be discarded were chosen by the library without any input from the faculty. It would be difficult for any of us to make such decisions on behalf of our departments, without advice from our colleagues, and we believe that the library staff have less professional expertise in our fields than we have. The list of books that were tentatively scheduled for removal should have been circulated to the science and engineering faculty, and books that were considered to be essential -- even if rarely used -- should have been retained.

3. We are dismayed to learn that books have been destroyed without any opportunity being given to faculty or students to save them. We understand that the library's response to this is that UC policy does not allow personal use of material by University employees. If it is indeed the case that this policy applies even when a book is being discarded, we think it is completely irrational. We would appreciate it if you could give us a reference to the policy, so that we can confirm that it does indeed force the library to destroy books it is discarding, and try to have this policy changed.

We have several objectives in writing to you. First, we would like the library to halt the destruction of books if it is still continuing, until and unless it is confirmed that this is unavoidable. Second, if the transfer of books to NRLF is reversible, we would like the names of books that have been transferred to be circulated to the faculty, so that any book that should have been retained can be retrieved. Third, we seek your assurance that major decisions by the library will only be taken after the relevant Senate committees and the faculty at large have been given sufficient time to comment, and their opinions have been considered; where professional expertise in academic disciplines is required, it should be recognized that this is the province of the faculty.

We look forward to hearing from you.

Sincerely,

Anthony Aguirre, Physics
Alex Ayzner, Chemistry
Stephanie Bailey, Physics
Frank Bauerle, Mathematics
Robert Boltje, Mathematics
Rebecca Braslau, Chemistry
Frank Bridges, Physics
George Brown, Physics
Mark Carr, EE Biology
Phil Crews, Chemistry
Michael Dine, Physics
Alice Durand, Physics
Sandra Faber, Astronomy
Peter Fischer, Physics
Viktor Ginzburg, Mathematics
Howie Haber, Physics
Lindsay Hinck, MCD Biology
Tesla Jeltema, Physics
Robert Johnson, Physics
Kathleen Kay, EE Biology
Yat Li, Chemistry
Pradip Mascharak, Chemistry
Claire Max, Astronomy
Francois Monard, Mathematics
Richard Montgomery, Mathematics
Ruth Murray-Clay, Astronomy
Onuttom Narayan, Physics
Michael Nauenberg, Physics
Jason Nielsen, Physics
Harry Noller, MCD Biology
Scott Oliver, Chemistry
Ingrid Parker, EE Biology

Jarmila Pittermann, EE Biology
Donald Potts, EE Biology
Stefano Profumo, Physics
Jie Qing, Mathematics
Pete Raimondi, EE Biology
Art Ramirez, Physics
Jevgenij Raskatov, Chemistry
Hartmut Sadrozinski, Physics
Peter Scott, Physics
William Scott, Chemistry
Bakthan Singaram, Chemistry
B. Sriram Shastry, Physics
Alexander Sher, Physics
Andy Skemer, Astronomy
David Smith, Physics
Susan Strome, MCD Biology
Junecue Suh, Mathematics
William Sullivan, MCD Biology
Anthony Tromba, Mathematics
Martin Weissman, Mathematics
David Williams, Physics
Quentin Williams, Earth & Planetary Sciences
Stan Woosley, Astronomy

(Names added after the letter was sent)

Susan Carpenter, MCD Biology
Josh Deutsch, Physics
Bill Mathews, Astronomy
Torsten Ehrhardt, Mathematics
Longzhi Lin, Mathematics
John Faulkner, Astronomy
Laurel Fox, EE Biology
Suresh Lodha, Computer Science

Cc:

Chancellor George Blumenthal
CPEVC Alison Galloway
VPAA Herbie Lee
COLASC Chair Eileen Zurbriggen
COLASC Analyst Kim Van Le
Senate Chair Ólöf Einarsdóttir
Senate Director Matthew Mednick

APPENDIX C

Dear Professor Nielsen, Professor Narayan, and all those concerned:

Thank you for the opportunity to respond to your concerns. At this point, the consolidation of the Science & Engineering Library is complete. No more volumes are being removed as part of the project. 100% of the collection was duplicated across the UC libraries and beyond and is available either via interlibrary loan (ILL) or online. No titles were sent to NRLF as a result of this project. As part of the consolidation, we shared journal volumes with print archives around the country including the JSTOR, UC Shared Print, Journal Archives of California (JACS) and the WEST archives, from which they can be requested via ILL.

We collect extensive data about the use of the collection, both in house use, meaning books that we reshelfed that were not checked out, and circulation statistics. After an intensive analysis of the data, we did not see evidence of much in house use or circulation of the collection. For example, only 5% of the titles were checked out when the project started. We acquire less and less print in the STEM fields. The journal and increasingly monographic content most heavily used is online. System and user data tell us that a majority of students, faculty, and staff have discovered the most effective way to browse is through our online catalog or other online portals because they provide access to more content.

With regard to unique items, at the outset of the project, we moved all items from the Lick Library to Special Collections in McHenry Library. We felt the material was too valuable to remain in open stacks. We did not find any other unique material.

In terms of consultation, the renovation study from the architect was completed in December 2014. It included the concept of the consolidation of the collection, which I discussed with the Committee on the Library and Scholarly Communication in broad strokes because we did not yet have a sense of the details of the plan. Objections were not raised. I consulted with the Committee on May 26, 2016 and discussed the details and timeline of the project. I was not asked to hold off on the project. The Committee understood the acceleration of the project was driven by the dire lack of study space, loss of lounges in the Colleges and the increase in enrollment.

I met with the Physical and Biological Sciences Department Chairs on April 20, 2016, asked for feedback at the meeting and welcomed email comments. I did not receive any feedback at the meeting or email afterwards. I consulted with the Academic Deans, the Administrative Leadership Team, the EVC/Provost and Chancellor. When the timeline for the consolidation project accelerated at the end of spring quarter, Dean Koch sent an email to all department chairs and managers in the division (June 22, 2016) reminding them of the plan and timeline, and we received only one response from a faculty member in the division.

At the beginning of the project we created this webpage to inform people of the progress and completion of the project: <http://guides.library.ucsc.edu/generalcollections/sci-collections->

[project](#). We kept a news item up on the library homepage alerting constituents about all phases of the project. I understand that this process was different than the journal cancellation exercise we went through when our budget was significantly cut beginning in 2008. At that time we were actually losing access to online journals that were being used. In this case, the use data, pressing student need for space, continued access to content online and via ILL for materials that had not been used led to a different consultation process and accelerated timeline.

Had I heard significant concern, I would have addressed it. Having received none, I moved forward as planned.

I will always consult and respond to feedback.

Respectfully,

A handwritten signature in cursive script that reads "McCowell".

M. Elizabeth Cowell
University Librarian

Cc: John Bono, Associate University Librarian, Planning and Resource
Management Kerry Scott, Associate University Librarian, Collections and
Services

To: Academic Senate, Santa Cruz Division

At the Academic Senate meeting on November 18, 2016, we hope to discuss the following issues:

Long Range Enrollment Plan (LREP)
Impaction Work Group
Long Range Development Plan (LRDP)

Respectfully Submitted;
Abel Rodriguez
Kim Lau, Vice-Chair
Ólöf Einarsdóttir, Chair

appendices

November 7, 2016

APPENDIX A

Long Range Enrollment Plan, Impaction, and Long Range Development Plan

Last spring, the State Legislature allocated an additional \$25 million to UC to increase the number of in-state undergraduates by 5,000 for the 2016-17 academic year. The UC Regents approved the enrollment plan¹ in November of 2015 and UC President Napolitano shared the campus targets in a Dec. 22 letter to UC chancellors.

UC Santa Cruz's increased enrollment in 2016-17 is our response to targets that President Napolitano set under a plan to increase the systemwide enrollment of new California undergraduates by 10,000 over the next three years, including a combined 5,000 freshmen and transfer students in 2016-17. Campus administrative and Senate leadership are examining implications for the campus — including everything from the impact on faculty, staff, graduate and undergraduate students to teaching space, student housing, and student support services — and how to address them. Toward that end, we jointly invite all faculty to participate in an initial discussion of these critical issues at the November 18, 2016 Senate meeting.

Our hope is to open a dialogue between faculty and Senate and campus leaders with the primary objective of soliciting input on what is and is not working with the new influx of students. In particular, we would like to hear from the faculty what compelling examples exist or could be formulated to report on the impacts of increased enrollment across campus and in specific disciplines (e.g., the campus move to shorten class periods; reduction in writing assignments; etc). These measures will be critical at both the campus and the systemwide levels as UC negotiates enrollment targets and budget compacts with the Governor and Legislature.

The campus process of planning and responding to enrollment growth has only just begun. Your feedback is essential at this early stage and throughout the process. This year we will begin to develop two major campus plans: UCSC's response to the Long Range Enrollment Plan (LREP) and the Long Range Development Plan (LRDP). The systemwide LREP centers on each campus' specific enrollment targets, broken down by categories at each level: undergraduate (California residents, transfers, non-resident and non-resident transfer) and graduate (PhD, MFA, masters and non-degree). The LRDP process is in its initial stages and will incorporate LREP assumptions, space needs and available funding, as well as collaborations with the City and County. The purpose of this discussion is to invite open questions and comments, which can be incorporated into the considerations for planning and the timeline and format of future consultations.

As student demand shifts and resources remain limited, a program may find that their existing resources are no longer sufficient to accommodate all qualified students. In response to this changing landscape, VPAA Lee has been leading a joint Senate and administrative working group to investigate ideas for improving capacity and a process for capping admissions and major declaration when all other measures have proved insufficient. This group has provided an interim

¹ The enrollment plan may be viewed at - <http://universityofcalifornia.edu/press-room/regents-committees-approve-plan-enroll-more-californians>

report, which is included in the Senate agenda package. In this draft report, the working group summarizes the guiding principles supporting their deliberations and requests faculty feedback on capacity issues, policies on enrollment caps and how to minimize impact of such policies on program diversity. The November 18 senate meeting will be a primary opportunity for sharing concerns with and providing feedback to the work group.

APPENDIX B

**Impaction Working Group
Interim Report Academic Senate**

As student demand shifts and resources remain limited, a program may find that their and their division's existing resources are no longer sufficient to accommodate all students who are interested in the major. A ten-member working group comprised of faculty, administrators and staff has been meeting during the Fall 2016 quarter to investigate options and generate a set of recommendations, some of which can be implemented immediately by departments, others will require approval of the relevant Senate committees. The group as a whole has met roughly bi-weekly during the Fall 16 quarter, and has formed four subcommittees to investigate specific issues.

This brief report is meant to inform the faculty at-large of the status of the work, bring transparency by allowing faculty to ask questions and raise concerns, and solicit feedback on specific issues that the working group has struggled with.

Working Group Membership:

Herbert Lee, VPAA (Chair)
Richard Hughey, VPDUE
David Smith, Chair, CAFA
John Tamkun, Chair, CEP
Abel Rodriguez, Chair, CPB
Tracy Larrabee, at-large faculty representative
Margarita Azmitia, at-large faculty representative
Matthew Mednick, Academic Senate Director
Kyle Eischen, Assistant Dean, Social Sciences
Meg Lehr, Planning and Budget

Guiding principles:

1. Impaction declaration and capacity management should be the exception and not the rule.
2. Capacity for undergraduate instruction in a major should be assessed with objective metrics that take into account faculty workloads across the spectrum (undergraduate and graduate instruction, research, and service) and can be compared against other UC campuses. The assessment should also involve a comparison of the major's curriculum (both in terms of size and complexity) against other UC campuses, and an assessment of advising capacity for the program.
3. Limits to the number of majors admitted to some oversubscribed majors should be allowed, as is the case in almost every other UC campus. However, caps should be allowed only if other policies or processes are not enough to bring the number of qualifying majors to numbers that are consistent with the capacity available. Example alternatives include:

- a. Changes to the qualification policies that promote student success by channeling students who are highly unlikely to be successful in the major towards other degrees early in their career.
 - b. Tightening of enforcement of major declaration policies to minimize late declaration.
 - c. Restricting and/or prioritizing enrollment in gateway courses to majors.
 - d. Restructuring and streamlining of curriculum
4. The impaction/capacity management process should be faculty driven but in close collaboration with Academic Senate, divisional Deans, and other administrators.
 - a. Regardless of formal approval of impacted status for a program, any measures that would normally require approval by CEP and/or CAFA will still be discussed with and approved by those committees, and approved jointly rather than separately to insure that the solution makes the most sense overall.
 - b. There is an expectation that Academic deans will be involved in the generation of proposals, that local resources will be exhausted first, and that divisional staff, including curricular analysts, will provide substantial support for generating impaction reports/proposal.
 5. Any cap at the time of admission must be tightly coupled with changes in policies for major declaration so that students are not allowed to game the system by declaring one major on their application and then switching to their preferred majors.
 6. Any restrictions/caps should be clearly communicated to students applying to the campus.
 7. Departments must understand and attempt to minimize the impact of policy changes on student diversity when pursuing actions.
 8. The process for major impaction/capacity management should be kept as simple as possible and put as light a burden on departments and faculty as possible.
 9. Impaction should not be used as an excuse for reducing divisional resources allocated to departments.

Issues on which the working group is looking for feedback:

1. Should we think about caps as temporary solutions only (a way to manage impaction) and, therefore, require departments/divisions to generate an exit plan, or allow some of them to become permanent (a curricular capacity tool)? Permanent caps might make a lot of sense when constraints derive from lab/space availability. Also, permanent caps might be appropriate if the campus moves in the direction of strategic academic planning.
2. Most thinking has focused on majors. But there are a number of aspects of our service curriculum (understood as curriculum that spans large number of students across multiple divisions) that are also impacted. How could we think about those?
3. Should enrollment caps be applied at declaration time, admission time or both?
4. Should caps be applied to both students admitted as frosh and as transfers, or should transfer students be exempted from caps?
5. How do we minimize the impact of some of these policies on the diversity of the programs?
6. Should (at least some) minors and/or double majors involving impacted programs be limited?
7. What is the campus, divisional, and departmental responsibility to provide access to majors?