

**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 (JTFGG) 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 JTFGG 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 JTFGG 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 (VPA) 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 VPA 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 apprises 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