

Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, December 1, 2017 at 2:30 p.m.
Stevenson Event Center
ORDER OF BUSINESS

1. Approval of Draft Minutes
 - a. Draft Minutes of May 19, 2017 (AS/SCM/318)
2. Announcements
 - a. Chair Einarsdóttir
 - b. Chancellor Blumenthal
 - c. Campus Provost/Executive Vice Chancellor Tromp
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports
CONSENT CALENDAR:
 - a. Committee on Academic Freedom (AS/SCP/1869) p.1
 - b. Committee on Admissions and Financial Aid (AS/SCP/1870) p.5
 - c. Committee on Affirmative Action and Diversity (AS/SCP/1871) p.15
 - d. Committee on Career Advising (AS/SCP/1872) p.22
 - e. Committee on Courses of Instruction (AS/SCP/1873) p.31
 - f. Committee on Educational Policy (AS/SCP/1874) p.37
 - g. Committee on Emeriti Relations (AS/SCP/1875) p.47
 - h. Committee on Faculty Welfare (AS/SCP/1876) p.50
 - i. Committee on Information Technology (AS/SCP/1877) p.59
 - j. Committee on International Education (AS/SCP/1878) p.63
 - k. Committee on Library and Scholarly Communication (AS/SCP/1879) p.68
 - l. Committee on Planning and Budget (AS/SCP/1880) p.74
 - m. Committee on Preparatory Education (AS/SCP/1881) p.88
 - n. Committee on Privilege and Tenure (AS/SCP/1882) p.96
 - o. Committee on Research (AS/SCP/1883) p.98
 - p. Committee on Rules, Jurisdiction and Elections (AS/SCP/1884) p.107
 - q. Committee on Teaching (AS/SCP/1885) p.110
 - r. Graduate Council (AS/SCP/1886) p.118
 - s. Special Committee on Athletics (AS/SCP/1887) p.127
 - t. Special Committee on Development and Fundraising (AS/SCP/1888) p.128
5. Reports of Special Committees (none)
6. Reports of Standing Committees
 - a. Committee on Faculty Welfare
 - i. Faculty Salary Analysis, May 2017 (AS/SCP/1863) p.130
 - b. Committee on Educational Policy
 - i. Amendment to Regulations 10.2.3.1.a and 10.5.2 (AS/SCP/1889) p.150
 - c. Committee on Teaching
 - i. 2016-17 Survey of Department Chairs, Managers, and Provosts on the use of Student Evaluations of Teaching (AS/SCP/1990) p.154
7. Report of the Student Union Assembly Chair
8. Report of the Graduate Student Association President
9. Petitions of Students (none)
10. Unfinished Business (none)
11. University and Faculty Welfare (none)
12. New Business

November 22, 2017

Academic Senate
Santa Cruz Division

Dear Colleagues,

I invite you to join us at the fall Senate meeting on Friday December 1, 2017 in the Stevenson Event Center from 2:30 - 5:00 pm. It will be followed by a reception hosted by the Chancellor and the Senate. The agenda of the meeting may be reviewed at: <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2017-2018/2017-December-1-Meeting/index.html>

The agenda focuses on many important initiatives that we believe will be of interest to Senate members and need to be discussed. The Chancellor will present updates on faculty achievements, the 2:1 frosh:transfer project and the DACA-related Senate resolutions approved at the spring meeting. As you may know, the State Legislature has created a mandate for an enrollment ratio of 2:1 freshmen to transfer students for every UC campus, and the mandate is linked to financial consequences for the UC system should any campus fail to meet this goal. The Committee on Admissions and Financial Aid and the Committee on Educational Policy are working with the Division of Undergraduate Education as well as departments and divisions on an admissions plan that will help us reach the 2:1 ratio. We appreciate the collaboration and support of departments in this endeavor.

We are especially excited to welcome Campus Provost and Executive Vice Chancellor Marlene Tromp. The Senate Leadership has been meeting with the CP/EVC regularly throughout the fall regarding a number of shared governance issues, including strategic academic planning, continued efforts related to Beyond Compliance, an extension of the campus' contract with Academic Analytics, the faculty recruitment call, and the creation of an Enrollment Planning Council. We look forward to her remarks addressing some of these issues.

The Senate meeting will include a report on faculty salary analysis from the Committee on Faculty Welfare. The Committees on Educational Policy (CEP), Planning & Budget, Courses of Instruction, and Preparatory Education have completed reviewing the proposal for an Academic Literacy Curriculum (ALC) that was created jointly by the Writing Program (WP) and the Council of Provosts (CoP). The Chair of CEP, Onuttom Narayan, will give a context for and present amendments to regulations related to the new ALC, and the Committee on Teaching will present an Online Course Evaluation Report.

We also look forward to reports from the Student Union Assembly (SUA) and Graduate Student Association (GSA).

Finally, I want to recognize the incredible contributions of faculty members from all divisions and departments currently serving on Senate Committees. It has been a busy fall and the Senate has been working well with campus leaders whom we thank for their open communication and commitment to consultation.

Have a great Thanksgiving holiday, and I look forward to seeing you next week.

Ólöf Einarsdóttir, Chair



Academic Senate
Santa Cruz, Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 19, 2017 Senate Meeting

The draft minutes from the May 19, 2017 Senate meeting were distributed via email on November 16, 2017 and will be presented for approval at the Senate Meeting on December 1, 2017. 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 30, 2017**. 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 16, 2017

COMMITTEE ON ACADEMIC FREEDOM

Annual Report, 2016 – 17

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 reviewed policy changes locally and systemwide as well as following up on the implementation of a threat detection software system, FireEye. A summary of committee business follows.

Committee Issues

One topic of discussion at the University Committee on Academic Freedom (UCAF) meetings concerned the Anti-Semitism Awareness Act, which was approved by the U.S. Senate in December 2016, but has not yet been approved by the House. This Act directs the Department of Education to use the U.S. State Department definition of “Anti-Semitism” in the *Special Envoy to Monitor and Combat Anti-Semitism of the Department of State*.¹ when investigating and responding to alleged violations of Title VI of the Civil Rights Act of 1964 at educational institutions that receive federal funding. UCAF, working with UC campus representatives drafted a statement on the Act to be endorsed by the Academic Council at their June 2017 meeting. The draft was discussed by the UCSC CAF with comments being provided to UCAF.

CAF received a faculty request to endorse a statement of principles based on a document created by Middlebury University faculty following an incident with disruption of a controversial speaker and some minor violence after the event. CAF did not proceed with this, as the topic is wrapped up with the difficult situation at UCB and UCD concerning advance cancellation of controversial speaker events in the wake of violent protests that appear to have included non-UC personnel. Public safety issues are in tension with the desire to protect freedom of speech and to ensure broad intellectual discourse on the campus, and UC does need to find a better way of handling this complex issue. That may be an agenda item for next year’s CAF (UCAF similarly opted not to endorse the specific Middlebury faculty statement, but provided input to the UC President, reviewed and commented on by UCSC CAF) outlining guiding principles.

An inquiry was made to CAF regarding the degree to which academic freedom protections in the Academic Personnel Manual (APM) apply to academic titles held by campus librarians. The union contract with the librarians does not specify specific portions of the APM concerning academic freedom the way they are called out in the union contract for lecturers, so it is not evident that the academic title for librarians provides general APM academic freedom protections. No action was taken on this topic, as it appears to be an issue of the contract with the union for the librarians and there is not a self-evident intrinsic linkage to the faculty academic freedom protections.

FireEye Implementation Progress at UCSC

The Office of the President rapidly, and with little/no Senate consultation, initiated a contract with Fidelis for monitoring cyberattacks on UC Campus network systems two years ago, following a breach of patient information at the UCLA Medical School. This was in response

¹ The *Special Envoy to Monitor and Combat Anti-Semitism of the Department of State* can be found here - <https://www.state.gov/s/rga/resources/267538.htm>

to a Federal mandate to protect confidential patient information in the UC Medical schools. UC has now developed a new contract with FireEye, a more capable, and potentially more intrusive threat detection system with a wide range of implementation levels. CAF consulted during the year with Janine Roeth, Information Technology Services (ITS) Director Client Service and Security, ITS infrastructure technician Bryon Walker who oversees the FireEye “black box” (which monitors and temporarily holds all unencrypted web traffic data) on campus as well as with FireEye personnel. The outcome of these consultations was positive for both the committee members and ITS staff. The mandated campus implementation of FireEye is not complete, but with input from CAF and other Senate committees, the lowest level of peripheral threat detection implementation of FireEye has been selected for UCSC as the campus does not have the issue of protecting medical school patient files. The appliances (data disks with web traffic) reside here on campus; data transmitted on campus is not monitored; only unencrypted data packets entering the border of our network system are stored, and this is only for a 24 hour period. The unencrypted metadata are continuously processed by the FireEye threat detection system, with threat alerts issued if the system identifies traffic from malicious domains or malware. FireEye may then issue a request to UCSC IT to gain access to the ephemeral database of full packet information for the purpose of evaluating the scope of the attack and applying learning algorithms to improve the detection system in the face of every-varying attack strategies. ITS reviews any requests for access to the full packet information by FireEye when a threat is detected and chooses whether to provide approval for access to the stored data. There are roughly 20 to 30 malware cases a month at UCSC and the black box default storage is about 10 days worth (about 2 terabytes a day) of data, so 1 day storage is a minimal level of full packet data availability, but is deemed sufficient for threat evaluation and learning of the monitoring system. ITS staff will log FireEye requests for data access and campus approvals for reporting purposes; only ITS Staff have direct access to the UCSC servers housing the full packet information. These data reports will provide some level of transparency and future Senate oversight. CAF and the Committee on Information Technology (CIT) plan to send out a memo during Fall quarter 2017 to inform faculty of the FireEye implementation and to recommend following best practices outlined on the ITS Security page.²

Policy Issues Under Review

Learning Data Principles

Senate committees were requested to review the draft principles and practices created by the Ed Tech Leadership Committee (ETLC) surrounding data privacy for students and faculty with regard to data analytics generated by service providers such as Canvas, Sakai, and Piazza for the UC system. Members reviewed this policy and were supportive of establishing principles around privacy and transparency but were concerned that the principle of freedom of expression not be compromised by metadata collection efforts. In light of this concern – and of the principle stated in the draft “Learning Data Privacy Principles and Recommended Practices” that UC faculty and students retain “ownership” of the data, and “ultimate authority of control” the Committee recommended creating a policy of a) documentation of any and all circumstances under which UC learning data could be accessed by or transferred to some other entity, without the express approval of UC faculty and students, and b) an indication of what the university’s response will be to attempts at or requests for such access or transfer. Members found the failure of an acceptable agreement between UC and Piazza troubling with regard to the use and protection of data in its system. The Committee agreed that University policy on

² The ITS Security page may be viewed at <https://its.ucsc.edu/security/stay-secure.html>

learning data should consider specifically prohibiting faculty from requiring students in a given course to use learning applications that involve the transfer of learning data to outside vendors or other entities, unless students are given the option to “opt in” or “opt out” of any arrangement that would allow the data to be transferred to and/or used by that outside vendor or entity. Faculty and students should be informed of potential data mining of personal information when signing up to access these websites.

Systemwide Review Draft Presidential Unmanned Aircraft System Policy

CAF commented on a new proposed policy for Unmanned Aircraft Systems (UAS). The policy is to establish minimum standards for the safe use and operation of UAS and Small Unmanned Aircraft Systems (SUAS), including drones and model aircraft, on any University location or at any “Authorized University Activity”. This policy requires that all UAS operations are performed in a manner that mitigates risks to safety, security, and privacy, and ensures compliance with the Federal Aviation Administration (FAA) Modernization and Reform Act of 2012 (Public Law 112-95) and all applicable laws.

The Committee had no argument with ensuring compliance with State and Federal laws for safe UAS operation and for reducing risk to liability. However, we share the concern raised by the Committees on Information Technology (CIT) and Research (COR) that the campus authorization process may become excessively burdensome on faculty and researchers, inhibiting their utilization of UAS technologies in research and instruction. The committee recommended clarifying and simplifying the authorization process required of researchers to deal with the practical issues of multiple flights, adjusted flight paths, and other realities of UAS deployments for research applications.

Systemwide Review of Draft Electronic Information Security Policy

The Committee reviewed the Office of the President’s draft Electronic Information Security Policy Manual and found the policy to be difficult to evaluate with regard to what is new and what changes were made to earlier IT security guidelines. This draft policy appears to be a combination of past policies, it would have been helpful for review if a red-line version had been provided noting all changes and additions. Members found it difficult to detect specific situations in which the security policies may impact academic freedom issues, so the overall policy manual was not troubling to CAF members.

Systemwide Review of Proposed Revised Academic Personnel Manual (APM) - 285, 210-3, 133, and 740

The Academic Affairs/Academic Personnel Vice Provost Lecturers with Security of Employment (LSOE) Subcommittee identified major areas requiring policy revision for the current LSOE faculty title series clarifying their roles for teaching, scholarly activity and service. CAF reviewed proposed revisions to Academic Personnel Manual (APM) - 285, 210-3, 133, and 740, and found the overall change of the Lecturer with Security of Employment series to the Teaching Professor series largely unproblematic, although vagueness remains with respect to the proportion of “Professional and Scholarly achievement and activity” expected for appointment and promotion in the Teaching Professor Series. While the description of Professional and Scholarly Achievement and Activity is significantly elaborated, there remains some concern that the vagueness of expectations offers potential for confusion. After review CAF did not see any other issues of concern for academic freedom.

CAF's recommendation for next year's committee:

- Follow up on campus final implementation of FireEye and monitoring of frequency of allocation of access to full packet information in response to threat detections.
- Monitor implementation of the UC Regents policy on intolerance and possible entry into law of the Anti-Semitism Awareness Act.
- Review academic freedom issues concerning contracted staff with academic titles.

Respectfully submitted;

COMMITTEE ON ACADEMIC FREEDOM

Gopal Balakrishnan

Eva Bertram

Darrell Long (W, S)

Tanya Merchant

Thorne Lay, Chair

Brittany Young (F), Graduate Representative

August 11, 2017

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
2016-17 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Admissions and Financial Aid (CAFA) continued its annual work evaluating the outcomes of the prior (2016) admissions cycle and adapting its consistent priorities to changing circumstances in shaping the class entering in fall 2017. As always, we worked closely with Undergraduate Education, Enrollment Management, and Admissions, whose energy and creativity provided us with both information and options for setting policy.

I.
WORK OF CAFA IN 2016-2017

A. Committee Foci

1. Holistic Review of frosh applicants

This year CAFA continued in its efforts to refine the Holistic Review (HR) policy that has served as the primary admissions policy for the campus since it instituted its own holistic review process in 2012. CAFA eliminated two of the HR scoring bands (4.25 and 4.75, leaving a scale of 1, 2, 3, 4, 4.5, 5), those small variations were difficult to discern for the readers and the differences were too small to significantly influence final selection. Changes were also made to the criteria language in several bands to provide clarity and consistency.

- a. **Priorities:** CAFA's priorities in shaping the class were consistent with last year's: ensuring first that every student offered admission is sufficiently prepared to succeed at UCSC, and among that population shaping a diverse class, both as a way to make sure we provide opportunity to all Californians and as a goal in itself for the intellectual, social and cultural benefit of the whole student body. We placed particular emphasis, within the constraints of Proposition 209, on increasing representation of African American and Native American students, since those groups need greater representation on campus to constitute a "critical mass" for mutual support.

- b. **Final Selection Criteria:** During the winter quarter the committee deliberated a set of admission scenarios provided by Enrollment Management and reviewed a set of diversity-promoting recommendations introduced by Michelle Whittingham, Associate Vice Chancellor of Enrollment Management (AVCEM). 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 strong academic preparedness and economic, racial/ethnic, and geographical diversity.

- c. **Waitlist:** In the spring, 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. *Transfer students and “2:1”*

New this year was a requirement established by the Governor and UCOP that each campus in the UC system admit one transfer student for every two admitted frosh, referred to as the 2:1 transfer ratio. As part of his May budget revision, Gov. Jerry Brown requested that \$50 million be sequestered from University of California funding until recommendations from an April 25 California State Auditor’s report, and other state commitments are implemented by the University. One of the stipulations is that the University must provide sufficient evidence that all university campuses, except UC Merced and UCSF, are on track to meet an enrollment ratio of 2 new incoming freshman for every 1 new incoming transfer by the 2018-19 academic year. UCSC currently has a frosh to transfer ratio of approximately 2.6 to 1.

The committee took several steps to help UCSC approach the 2:1 ratio without jeopardizing student success. We approved an administration request to offer admission to transfer students with a college GPA of 2.4 or higher (down from 2.6 in previous years and equal to the systemwide minimum), having reviewed evidence provided by Richard Hughey, Vice Provost and Dean of Undergraduate Education (VPDUE), that students with this entering GPA in earlier years were as successful as their peers in the 2.6-2.8 band. CAFA also voted to allow offers of admission to transfer students who applied to other campuses but who met the UCSC admissions criteria, in the spirit of the UC wide transfer referral pool already established for frosh applicants. The subject of establishing a transfer waitlist from UCSC applicants also arose as the result of a discussion regarding curricular issues that could result in a denial of admission for a transfer student. It is the committee’s understanding that a majority of these issues have to do with either a missing course from the 7-course pattern required for transfer, or a missing course required for major preparation in those departments that have such a requirement. Having a waitlist for transfer students would allow time for students, who otherwise meet the transfer admissions criteria established by this committee, to be considered for admission once they have addressed the issue that lead to their initial denial of admission. Normally these cases are handled through an appeals process which places more burden on the student. The administration may wish to consider sending a notice to these students describing the issue to be resolved along with an invitation to be on the transfer wait list.

3. *Nonresident Admissions*

- a. **Compare Favorably:** On an annual basis the systemwide Board on 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 nonresident (domestic and international) students should *compare favorably* to admitted California residents. While the policy does not specify the way the comparison should be made, high school GPA and SAT scores are collected by UCOP annually and used to report compliance with the

policy. As a campus that has only recently begun to build a significant nonresident cohort, UCSC must build both a general national and international reputation as an undergraduate destination and specific pipelines to high schools worldwide. Balancing this need, which is specific to the early stages of nonresident admission, with the compare favorably standard is difficult, and puts UCSC in a particularly difficult position with regard to this standard compared to other campuses.

- b. **CAFA's Campus Specific Perspective:** CAFA's first priority in this situation, as we seek that balance and work with the Administration, is to assure that wherever the balance is struck, we always enroll students who have a high probability of success here. CAFA's other primary goal is to admit and enroll students who make up a diverse population – diverse in socioeconomic condition, race, ethnicity, geography, and life experience. While the tuition brought by nonresident students supports campus services that benefit California students as well, nonresident students also contribute a cultural and intellectual diversity that benefits their fellow students in other ways. Viewing nonresident admissions from a diversity perspective invites a comparison to how we approach our other diversity goals (see final selection criteria); this can lead us to a point of clarity and consistency in our policy. Specifically, CAFA's position has been that:

- Every group of students we admit, resident or nonresident, should be expected to have a good probability of success here;
- This should be enabled by an absolute floor in academic preparation, most likely a specific minimum SSI score, since that is the best predictor we have at the moment; and
- The floor should be no lower for nonresident students than for those specific populations of resident students that we are most actively trying to enroll.

This local policy is in addition to BOARS's *compare favorably* policy, and, like *compare favorably*, can be thought of as having its roots in the 1988 Master Plan language for nonresidents being "held to at least equivalent levels of preparation" as residents, which in fact seems to suggest a floor rather than an average. Nonetheless, UCSC remains committed to improving its performance on *compare favorably* as normally measured (average GPA and SAT) from year to year. The magnitudes of the shortfalls are already very small (the reader is referred to CAFA's annual *compare favorably* report to BOARS and UCOP's annual report on the subject for details).

- c. **Systemwide cap on nonresident enrollment:** In May of this year the UC Regents voted to cap nonresident undergraduate enrollment to 18% at UC Davis, UC Santa Barbara, UC Santa Cruz, UC Riverside and UC Merced. Four campuses that already exceed that level — UCLA, UC Berkeley, UC San Diego and UC Irvine — will be allowed to keep but not increase the higher percentage they enroll in 2017-18. UCSC is not likely to approach this cap within the next few years.

4. *Early notification*

At the long-standing request of Athletics, and considering the interests of other academic and extracurricular units on campus, CAFA approved a pilot process for early admissions notification for prospective students who are recruited for their “special talents.” This process is intended to be applicable to Athletics, as well as to academic units, and performing arts groups, to name a few. Under the new policy nominators, who are approved by the nominating unit, can submit a short list of names of recruited students whom they would like to receive early consideration and notification for admission. These lists will be vetted for conflicts of interest by the office of the VPDUE, then sent to Admissions. As soon as all holistic review reads are completed, the previous year’s final selection criteria will be applied to these students’ applications, and if they would have been chosen by that criterion (or chosen automatically if their HR score is $>x^1$) then they will be admitted and notified as soon as possible.

B. Sub-Committee Efforts

1. *Appeals Subcommittee*

The Appeals Subcommittee, as of this writing, is performing its function of serving on the Cancellation Appeals Review Committee (CARC), and ruling on the appeals of students whose admission was canceled, usually because of senior year grades or failure to report official test scores, transcripts, etc. Because certain common conditions that don’t bode too badly for the student’s success (a single bad grade not in a required English course, for example, or a test score that came in only slightly late) were automatically treated with leniency this year, there are relatively few cases.

2. *Data Subcommittee*

The primary project of the Data Subcommittee was to spend extra time reviewing particular selection scenarios for the frosh class with Enrollment Management, so that a small and clearly described set of options could be presented for discussion with the committee as a whole.

II. ISSUES FOR THE NEAR FUTURE

A. Early Notification

Work with the VPDUE’s office to ensure that the early notification process approved last year is implemented for this admissions cycle, in a way that is consistent with the approved policy.

B. Major Impaction

There will possibly be one or more approved cases of major impaction this year, and CAFA will need to meet with the relevant parties to design major-specific admissions policies that support diversity as well as preparation within the entering class, possibly using the same sort of policies we normally use for the frosh class as a whole. As departments and divisions are probably not

¹ X being equal to the minimum HR score required for automatic admission as determined by CAFA.

familiar with these methods, care will have to be taken in explaining them, and it may be appropriate to bring CAAD into the conversation.

C. 2:1

CAFA will need to follow up with the Office of Institutional Research, Assessment and Policy Studies (IRAPS) on the performance of transfer students admitted with college GPAs in the 2.4-2.6 band to verify that their progress is acceptable. This will also be the case for students in programs with major preparation requirements that have recently been revised. There may be further steps proposed by the administration toward reaching 2:1 that will need CAFA's careful consideration. Relatedly, the committee may wish to consider the admissions requirements of the Transfer Admissions Guarantee (TAG) program which tend to be more stringent.

D. Compare Favorably

CAFA should also monitor the first-year performance of the most recent cohort of nonresident students as a metric for the *compare favorably* standard, particularly any admitted in the last cycle with incomplete test scores. In addition, we should explore, with the administration, the utility of stressing the new SAT specifically as the best standard of comparison, which it should be, considering that it is both universal and less subject to rote over-preparation, having not been around as long as the older test.

E. Admissions Deadlines for Submission of Required Documentation

At the end of the 2016-17 year CAFA engaged in conversations with the Office of Admissions regarding the use of unofficial scores in admissions and the test score deadline. AVCEM Whittingham polled colleagues systemwide on these topics. Four of the sister campuses indicated that they do not require official test scores for admission, and all of them are flexible on the July 15th test score deadline in a similar fashion to what they are for transcripts.

The AVCEM would like to work with CAFA on this next year as there may be continued benefits to being flexible on the admission side regarding the unofficial scores and allowing flexibility, like the transcripts, for the test score deadline to better align with other campuses regarding the cancellation aspect. The campus appeals policy would still remain, it would just be the extended deadline that would be new. The AVCEM suggests that this change could really help students and on-campus programming for Orientation, advising, enrollment, etc.

III.

ADMISSIONS AND FINANCIAL AID FOR FALL 2017

A. Admissions

A brief summary of UCSC admissions outcome data provided by UCSC Office of Enrollment Management (OEM) is outlined below. These data are reflective of reports based on a fixed point

in time at the end of each cycle. Data is dynamic and changes up until the full cycle has been completed.

It was a very successful year in terms of submitted applications. A total of 63,078 applications were received. Frosh applications totaled 52,975 (CA = 42,698, out of state = 3,809, and international = 6,468) and transfer applications totaled 10,103 (CA = 8,922, out of state = 187, and international = 994). Once again, we opened for winter transfer applications in selected majors in order to achieve our transfer enrollment goals. As of the writing of this report, we have received 224 winter applications for 2018.

A total of 33,242 undergraduate students were admitted for fall 2017. A total of 27,235 frosh, including 19,260 California, 3,160 out of state and 4,815 international. The total admission rate for all frosh was 51.4%. The average high school GPA of admitted frosh was 3.89 (on a 4.4 weighted scale), representing a 1% increase from fall 2016. The average SAT score taken under the old test system is 1910, representing a 5% increase from last year. The average SAT score taken under the new test system is 1276. The waitlist was utilized heavily to ensure we could manage up to the target enrollment for California. Of the California admit offers, 2,290 were from the waitlist. A total of 6,007 transfers were admitted, including 5,373 California, 68 out of state and 566 international. The admission rate for all transfers was 59.5%. In addition, 581 transfer students who had not finished their major preparation requirements were offered admission for winter 2018, allowing them time to complete the requirements. To date, 73 have accepted the winter offer.

Frosh Statement of Intent to Register (SIR) numbers total 4,753, including 3,829 California, 335 out of state and 589 international students. Of particular interest given the priorities outlined for the year, we report African American, Hispanic/Latino, and Local Control Funding Formula (LCFF+)² SIRs. California frosh African American SIRs reached 5.0%, increasing from 3.4% in fall 2015 and 4.1% in fall 2016; 29.0% are Hispanic/ Latino, increasing from 28.8% in fall 2015 and 26.7% in fall 2016. For out of state frosh SIRs, 6.6% are African American, increasing from 6.1% in fall 2015, yet down from 10.4% from fall 2016. There were 451 students from LCFF+ schools who accepted our offer of admission, representing 11.8% of the California SIRs, compared to 11.1% last year.

Transfer SIRs total 1,543, including 1,458 California, 16 out of state and 69 international students. California transfer SIRs reflect 5.9% are African American, increasing from 4.0% in fall 2015 and 5.0% in fall 2016; 31.6% are Hispanic/ Latino, increasing from 28.2% in fall 2015 and 31.1% in fall 2016. For out of state transfer SIRs, 12.5% are African American, increasing from 4.2% in fall 2015 and 4.6% in fall 2016. Efforts were made to maximize the admit offers for qualified transfer students in order to make progress on enrolling two California frosh for every one California transfer student, commonly referred to as 2:1. We expect to end up at 2.7:1

² The local control funding formula (LCFF) was enacted in 2013–14, and it replaced the previous kindergarten through grade 12 (K–12) finance system which had been in existence for roughly 40 years. For school districts and charter schools, the LCFF establishes base, supplemental, and concentration grants in place of the myriad of previously existing K–12 funding streams. LCFF+ refers to those schools that receive the supplemental and concentration grants due to the percentage of targeted disadvantaged pupils, defined as those who are classified as English learners (EL), meet income requirements to receive a free or reduced-price meal (FRPM), foster youth, or any combination of these factors.

this year, compared to 3.3:1 for fall 2016, in large part because of strategies to increase applications and admits, as well as the decrease in California frosh enrollment target.

Estimated enrollment vis a vis enrollment targets based on current active SIRs and expected melt:

Frosh	Fall 2017 Target Enrollment	Estimated Enrollments by Tuition Residency
California	3,300	3,401
Non-resident	600	610
Total	3,900	4,011

Transfers	Fall 2017 Target Enrollment	Estimated Enrollments by Tuition Residency
California	1,175	1,185
Non-resident	60	55
Total	1,255	1,240

We are also expecting approximately 80 transfer students in the winter of 2018 for a total of 1,265 of our 1,275 enrollment target.

B. Financial Aid and Scholarships

The demand for financial aid continues to increase, with about 78% of UC Santa Cruz students receiving some type of financial aid in 2016-17 (including grants, scholarships, fellowships, loans and/or work-study assistance.) In 2016-17, support has been provided to 13,027 undergraduate students and 1,635 graduate students.

1. 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.

2016-17 year was the third 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 \$160,000. 2015-16 saw an additional eligibility criterion added, a limit of \$160,000 in family assets, greatly reducing the number of eligible students at UCSC. In 2016-17, with the new criteria, the campus had 709 students receive an average award of \$2,046, with a total disbursed amount of \$1.45M.

2016-17 was the second 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 \$2,000 available per eligible student annually, but not all students will participate in the program. The program was first made available in the 2016 spring term, so less than \$100,000 was borrowed in the first year. In 2016-17, a total of \$350,000 was loaned to 138 students, an average of \$2,046 per student.

2017-18 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 2018. In fall 2018, more than 1000 first years students are being offered \$1,200 each to cover the gap created by the absence of Perkins.

2017-18 is 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 were able to file their FAFSA/Dream App for the 2017-18 aid year, using tax information from 2015.

2. 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) 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 first time since fall 2011, the system-wide in-state tuition was increased, an increase from \$11,220 to \$11,502. When combined with other elements of the student budget, such as housing/dining and health care, the average cost for a student living on campus in 2017-18 will be \$36,192. Under EFM, 2017-18 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 2016-17 the Financial Aid and Scholarship Office administered \$278 million in financial assistance to about 77% of UCSC’s undergraduate students, as compared to \$276 million / 80% in 2015-16.

2016-17 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	70.5%	\$197,676,792	\$ 16,542
UCSC Scholarships*	14.9%	\$ 8,263,080	\$ 3,261
Federal Pell Grants*	41.1%	\$30,969,287	\$ 4,445
Student/Parent Loans	50.6%	\$77,202,099	\$ 9,000
Federal Work-Study	8.6%	\$ 2,707,972	\$1,855
* Included in gift aid			

Of the UCSC students receiving bachelor’s degrees in 2015-16, 67.5% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$22,582. 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, 68% of seniors graduated in 2015 had student loan debt, with an average of \$30,100 per borrower.³

Each year, the U.S. Department of Education calculates cohort default rates for loans by campus. The national 3-Year average was 11.3% for 2013 (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.

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2010	4.3%	4.2%
2011	5.6%	5.7%
2012	3.5%	3.4%
2013	3.1%	3.1%

³ This data can be found at <http://projectonstudentdebt.org>

2014	3.1%	Not Yet Available
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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:

2016-17 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	153	\$ 724,373	\$4,734
Campus Merit Scholarships	277	\$ 311,294	\$1,124
Pister Leadership Opportunity Awards	15	\$ 146,099	\$7,689

For additional information, please note that the Office of the President maintains numerous reports regarding student financial support.⁴

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, 2017

⁴ The reports can be found at <http://www.ucop.edu/student-affairs/data-and-reporting/reports-to-the-regents-on-student-financial-support/index.html>

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY 2016-17 Annual Report

To the 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.

I. ISSUES CAAD ADDRESSED IN 2016-17

Diversity Statements

Guidelines for Diversity Statements in Target of Excellence Waivers

Committee member Ingrid Parker and Chair Miriam Greenberg, with feedback from members of CAAD, CAP, and the SEC, drafted a set of guidelines for the Diversity Statement that is currently a required element of a Target of Excellence (TOE) waiver of open recruitment proposal. The diversity statement policy is to allow the candidate to be evaluated fairly in the Senate review process, which includes an evaluation of their past and potential contributions to enhancing and supporting diversity. However, not all TOE candidates may be familiar with diversity statements and their purpose. The purpose of the Diversity Statement Guidelines is to assist candidates as well as department chairs with the TOE process. The guidelines were shared with Herbie Lee, interim Campus Provost/Executive Vice Chancellor (CP/EVC) and Martin Berger, acting Vice Provost of Academic Affairs (AVPAA), who provided feedback. AVPAA Berger shared the document with the Associate Vice Chancellor of Academic Personnel, Pamela Peterson and as well suggested that the Guidelines be shared with the academic deans with a timeline for review and response.

Diversity Statement for Tenure-Track Searches

In March of 2017, AVPAA Berger requested feedback from CAAD and the Committee on Academic Personnel (CAP) on a proposal to make diversity statements mandatory for all ladder rank faculty hires, as opposed to limiting them to TOE proposals. The committee discussed concerns about unintended negative consequences of this proposal, particularly for entry-level applicants, who may not have had the opportunity to think about diversity in the way UCSC does. These concerns were shared by and ultimately expressed jointly with Committee on Academic Personnel in a response drafted by Chair Greenberg and CAP Chair Freccero. Further comments will be provided once this proposed policy is presented to the Senate as a proposed amendment to the Campus Academic Personnel Manual (CAPM).

CAAD Forum

This year CAAD made significant progress in the design of the CAAD Forum, a website to introduce the campus to the themes and issues that our committee addresses. This progress was made with the help of funding received through the Office of Diversity, Equity and Inclusion (ODEI) Co-Funding Program. The funds have supported the development of a “graphic

interface” currently being designed by Hannah Rogge. The expectation is that the site will be up and running by the end of the academic year 2018.

A graphic was designed by Ms. Rogge and selected by the committee that will serve as the visual interface for the website to help guide visitors to the site. The design, known as the “spiral,” represents diversity and equity related issues that faculty face over the various stages of an academic career. (See attachment.)

In addition to the spiral, there will be a repository for academic research on various subjects such as bias in course evaluations, faculty salary equity, and family friendly policies. It could also be used to provide access to information on funding through entities such as the UCOP, the National Science Foundation, and others.

Work-Life Balance and Family Friendly Scheduling

CAAD became interested in the issue of family-friendly scheduling based on concerns amongst committee members as well as separate communication to the committee from other faculty who requested we address this issue. Faculty reported experiencing such scheduling as a burden, often alone and in silence, especially as junior and non-senate faculty, and as faculty with family obligations. We conducted research and learned that the scheduling is being addressed as a diversity and equity issue on campuses around the U.S. In particular we reviewed a celebrated Brown University initiative, launched by the upper administration, which asks all department chairs and program directors “to increase awareness of the challenges posed by after-hours programming and to offer concrete suggestions by which chairs and directors can continue to build the research capacity of the university without marginalizing or disadvantaging faculty members with young families.”

Members considered how to proceed in a way that was most inclusive and effective. We noted that while Brown emphasizes faculty with young families, there should be ways to accommodate anyone who may have significant scheduling conflicts due to family obligations or other significant personal burdens on time. In addition we sought to include both scheduling of events and extra-curricular programming with class scheduling. We would like to work on this issue in the coming year with the Committee on Faculty Welfare (CFW) and the Center for Innovations in Teaching and Learning (CITL), to develop broad guidelines for department chairs and program directors on programming considerations and teaching accommodations that are family-friendly and enhance work-life balance. An aspect of this that we will explore could be a policy change, namely: providing all faculty, including non-senate faculty, an opportunity to comment on the assignment of class times before they become final and request for an accommodation if necessary.

Faculty Salary

Faculty Salary Transparency

The committee next discussed a letter from the CFW to the Campus Provost/Executive Vice Chancellor Alison Galloway concerning faculty salary transparency. The letter was in support of correspondence sent to the CP/EVC from the Committee on Academic Personnel (CAP) that

requested that faculty salary data be shared with the divisional deans and department chairs. The reason for CAAD' interest was the data's possible use in gauging faculty salary equity across divisions and to identify possible disparities that aligned with the gender and or race of faculty members. Chair Greenberg suggested that CAAD draft correspondence in support of CFW and CAP. Members suggested that linking salary to faculty diversity is important. Members also want to look at the correlation between the rate of advancement and the percentage of female faculty within a division and to understand how instructional workload may impact rate of advancement.

Faculty Salary Equity Studies

CAAD reviewed correspondence drafted in response to a campus faculty salary equity study [SES] conducted in 2015. In that correspondence dated June 29, 2015, the committee took issue with how the data was interpreted, and with the conclusions drawn from this data. These concerns were shared with the VPAA Herbie Lee during a November 2, 2015 consultation, and memorialized in a post consultation memo dated December 11, 2015. In particular CAAD argued against the contention in the study that no significant inequities across gender were found in salary and rates of advancement. Rather, we found that, looked at across departments and divisions, inequities were significant and should be examined. CAAD also pointed to the need for additional research on potential teaching and service related disparities (for instance how the labor of teaching large lecture "service classes" and doing service more generally is shared); the potential bias of, and over-reliance upon, student evaluations in the personnel review process; and potential disparities in, and perceived negative consequences of, taking advantage of family friendly policies.

At its October 26 meeting, the Academic Council approved recommendations from the University Committee on Affirmative Action, Diversity, and Equity (UCAADE) for best practices for a future UC-wide SES on the basis of gender and ethnicity. The recommendations were sent to Provost Aimée Dorr, who forwarded them to Vice Provosts for Academic Affairs/Academic Personnel on December 9th with a request for feedback. Academic Council Chair Jim Chalfant is requesting feedback from Divisional committees on Academic Personnel, Faculty Welfare, and Diversity.

Members and Chair Greenberg asserted that points raised during the committee's review of the 2015 campus faculty salary equity study should be renewed in its response to the UCAADE request. These were shared in the committee's February 2, 2017 correspondence on this issue to Senate Chair Einarsdóttir.

In addition to these original points members thought that more detailed data needs to be gathered with regard to:

- The role of grant revenues in determining regular salary and supplemental salary, and disparities between departments and divisions in which research is or is not typically grant-funded.
- Disparities in instructional workload between departments and divisions in which faculty get course release for lab-based research —i.e. in STEM fields—and those that don't—in Arts, Humanities, humanistic Social Sciences.

- The “invisible labor” of female and under-represented faculty doing diversity-related service that is not necessarily viewed as compensable normative service.
- Best practices from salary equity studies conducted on other UC campuses.

UCAADE will be advocating for a new UC-wide SES in the year to come, and CAAD hopes to support and advise such a study on our campus.

Faculty Evaluations

Committee on Teaching - Course Evaluation Survey

This year, prompted by the development of the new online course evaluation system, and building on its longstanding interest in this issue, the committee joined forces with the Committee on Teaching (COT) and CAP in an effort to propose a shift in the culture of evaluations on our campus. Members noted that there are two ways in which evaluations can be used: 1) As a formative tool – where lessons are gleaned from student feedback 2) As a summative tool – used as a measure of teaching effectiveness. To assist in this, it was suggested that the departments should explain what their theory of teaching is - such as on the role of teaching - to better contextualize the evaluations on the formative side. Members also noted that the participation rate for online evaluations is low and incentives, such as not releasing grades until the evaluation is completed, should be explored. In furtherance of this partnership with COT in particular, Chair Greenberg presented on the issue of bias in course evaluations during an April 19, 2017 COT and Senate-sponsored event entitled, *Town Hall: Future of Online Course Evaluations*.

One of the main findings from our cross-committee consultation and research was that the emphasis on “multiple measures” of teaching effectiveness upheld in the APM should be better enforced. Course evaluations in the form of student evaluations of teaching [SETs] are related to student satisfaction not teaching effectiveness, which is best measured by what the student learned. Other criteria used in faculty evaluations can and should include the quality of mentorship, syllabus reviews, the statements by faculty themselves, and potentially, peer evaluation of teaching. It was suggested that course evaluations need to play a less dominant role in evaluation teaching effectiveness. CAAD emphasized that the role of the design of evaluation tools in increasing the potential for bias should be appreciated, along with the potential for over-reliance on SETs in faculty evaluation in increasing the impact of this bias.

These issues were explored during the November 14 consultation with the VVPAA Herbie Lee. The committee explored the possibility of working on guidelines for how course evaluations are used to assess teaching effectiveness with the VPAA and with the CAP. This could help to ensure departmental conformity with systemwide policies. Members suggested that there should be some way to incentivize participation such as attaching the release of grades to the completion of the course evaluation. CAAD will be following up on this in the fall of 2017.

II. ISSUES, POLICIES, AND PROGRAMS WITH DIVERSITY IMPLICATIONS REVIEWED BY CAAD IN 2016-17

Systemwide and Divisional Issue Reviews

In addition to the issues discussed in earlier sections of the report, the committee reviewed and commented on the following issues, policies, and programs:

Systemwide

- Review: Proposed Revisions to Academic Personnel Manual sections 15 & 16 and Senate Bylaw 336
- Review: Proposed Revisions to the Professional Degree Supplemental Tuition (PDST) Policy
- UCAADE Faculty Salary Equity Report
- Review: Systemwide Review of Presidential Policy Business and Finance Bulletin (BFB) - G-28 Travel Regulations

Divisional

- Summer Session Salary Adjustment Proposal
- UCSC Special Salary Practice
- Considerations for Improving Curricular Capacity and Capping Program Enrollment
- 2017 Affirmative Action Plan

CAAD also reviewed thirteen (13) waiver of open recruitment proposals (Target of Excellence and Spousal/Domestic Partner proposals).

III. CONSULTATIONS

Vice Provost of Academic Affairs Herbie Lee - November 14, 2016

The committee discussed the following with VPAA Lee

- the possibility of requiring a diversity statement for all faculty hires
- the status of the new online design for faculty evaluations
- working together to raise awareness of implicit bias in faculty evaluations
- working together to develop best practices in assessment that both limit the effects of bias in personnel reviews and improve the formative value of assessment for faculty

Jody Greene, Director, Center for Innovations in Teaching and Learning - November 28, 2016

The committee discussed Director Green's vision for the newly created Center for Innovations in Teaching and learning (CITL), and explored ways that CITL might interface with CAAD. The discussion touched on the "CAAD Forum" for use as a tool to disseminate research on diversity and equity related issues, including these issues that relate to teaching:

- Teaching Assessment: This includes: a) a page on the Forum devoted to bias in teaching evaluations, currently focused on gender bias and which we hope to expand to explore race and other forms of difference, and b) a broader, multi-committee effort to change the

culture around teaching assessment, taking into consideration the best design, use, and interpretation of evaluations, as well as expanding emphasis on alternate measures

- Campus and classroom climate and cultural competency as it relates to climate for our diverse faculty, as well as pedagogical implications of changing student demographics for faculty and T.A's.

Associate Chancellor Ashish Sahni, Linda Scholz, Campus Diversity Officer for Staff and Students - April 3, 2017

During the spring quarter the committee met with Associate Chancellor Ashish Sahni and the new Campus Diversity Officer for Staff and Students, Teresa Maria Linda Scholz. During the consultation the committee discussed identifying areas of policy overlap for faculty, staff and students and the goals for the 2018 Affirmative Action Plan for the campus.

Acting Vice Provost of Academic Affairs Martin Berger - May 22, 2017

The committee discussed ways that CAAD might work more effectively with mentorship programs on campus, both for new faculty and graduate students, to help address diversity and equity-related concerns for new faculty and graduate students, and the possible introduction of Faculty Equity Advisors (FEA) on the UCSC campus.

IV. CAAD ON SYSTEM-WIDE 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 2016-2017 academic year. Traditionally the chair of the Committee on Affirmative Action and Diversity (CAAD) 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. Lastly, the CAAD chair represented CAAD on the 2015 Chancellor's Achievement Awards for Diversity selection committee.

V. CO-SPONSORED EVENTS

A Conversation on Race, Justice, and Reparations in Response to Police Violence —with members of Chicago Torture Justice Memorials— February 3rd and 4th, 2017

Chicago Torture Justice Memorials (CTJM) is a collective of artists, activists, and attorneys that helped organize for, and win, landmark reparations legislation for African Americans tortured by Chicago police, as well as funding for public memorials and education to reckon with this history. This two-part event, organized by CAAD and CTJM member Laurie Palmer, and supported by an ODEI Co-Funding grant, brought four members of CTJM to the UCSC campus to discuss the social and historical context of police torture in Chicago and how the group achieved a historic victory in securing reparations for survivors of torture and their families. CTJM members also facilitated a workshop and conversation on organizing for racial justice and against police and other state sanctioned violence now, and on engaging art, social media, collaboration, direct action, and other temporal- and location-specific strategies in these efforts. Discuss how this was part of ODEI's call for conversations on race, policing and justice and in anticipation of what we expected would be Michelle Alexander's Martin Luther King Convocation.

MLK Convocation

Chair Greenberg participated in planning for the convocation for three years, advocating for her first choice, Professor Michelle Alexander, author of *The New Jim Crow*. Last year, Prof. Alexander was chosen by the committee, and Chair Greenberg reached out to a number of prominent faculty on campus with connections to her, asking them to contact her in hopes she could come, but she was unavailable. In fall 2016, she was again selected by the committee, and this time accepted the invitation. In anticipation of the scheduled visit, CAAD joined ODEI in organizing a campus-wide reading and discussion of a new edition of her book that occurred on December 2, 2016 at College Nine's Namaste Lounge. Unfortunately, Prof. Alexander was ultimately unavailable for the event, and CAAD helped publicize the quickly organized visit by Ben Jealous, former head of the National Association for the Advancement of Colored People. We hope that she will be available this coming year, and we will build on the successful experience of these reading groups and offer them once again.

Respectfully submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

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August 31, 2017

COMMITTEE ON CAREER ADVISING

Annual Report, 2016-17

To: Academic Senate, Santa Cruz Division

The Committee on Career Advising (CCA) reconvened in 2014-15 to launch the UCSC Faculty Mentorship Program and increase the culture of mentoring on campus. 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 2016-17, the committee managed the second year launch of the UCSC Faculty Mentorship Program and focused much of its attention on matching mentees with mentors and following up on the progress of their collaboration, developing supportive materials on mentoring, organizing events for the program participants, and making program improvements for 2017-18. With the overall goal of improving the culture of mentorship on our campus, CCA additionally conducted several surveys on the topic of “mentoring”, reached out to divisional deans regarding divisional mentorship programs and resources, and continued a campus dialogue on mentorship, which next year’s CCA committee could continue to foster.

The following detailed report on the committee’s accomplishments for 2016-17 groups CCA’s diverse activities under these two major areas of focus: the management and improvement of the UCSC Faculty Mentorship Program, and the overall development of a strong mentoring culture on our campus. These two foci are closely interrelated and CCA has worked under the understanding that the successful development of each one will complement and reinforce the other.

UCSC Faculty Mentorship Program: Management and Development

Goals, Structure and Growth of the Program

Under CCA’s direction, the UCSC Faculty Mentorship Program launched in fall 2015. The goal of the program is to support the retention of diverse, high quality faculty, and to assist them in achieving career satisfaction and advancement. In so doing, the program assists departments, divisions, and the campus in serving their goals and mission through the engagement of successful, thriving faculty.

Mentees are paired with mentors from within their division but outside their department (to protect confidentiality, but also to provide valuable support on divisional culture and facilitate divisional networking). Participation in the program is optional for new faculty. In the first two years of the program’s operation (2015-17), mentors were enlisted through personal invitation by the CCA. Starting in winter 2017, Senate faculty were invited to express their interest in becoming mentors for the program through the annual Senate Service Preference Survey. A high number of faculty submitted positive responses, and this large pool of potential mentors will prove instrumental in the success of the program in the future, as the numbers of mentees increase significantly each year.

Since 2017-16, CCA takes into consideration the research interests of mentors and mentees in order to determine their matching. In addition, for 2017-18 CCA invited participating mentees to

express any other strong preferences they might have concerning their prospective mentor, and will make an effort to fulfill them.

In 2015-16, the UCSC Faculty Mentorship Program began with 15 mentors serving 47 new UCSC faculty. In that first year of the program, “new faculty” included junior faculty who had been on campus for less than three years and recently hired Assistant Professors. In 2016-17 “new faculty” included the most recent hires of both assistant and associate professors. During this, the second year of the program, participation grew exponentially, and included 28 mentors and 74 mentees (some of which were mentors and mentees in the previous year and requested to continue their participation in the program.) For 2017-18, CCA added newly hired Full Professors to its mentee ranks, in addition to the new Assistant and Associate Professors joining the campus.

Events Organized by CCA

CCA aims to accomplish the mission of the UCSC Faculty Mentorship Program through three intersecting modalities: mentoring, professional development, and community building. The events organized by CCA aim to promote these three modalities.

Annual Meet and Greet Fall Event

UCSC Faculty Mentorship Program participant survey feedback from 2015-16 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 program participants to get acquainted in an informal setting. With support from the office of the Vice Provost of Academic Affairs, the first Meet and Greet Event took place on October 19, 2016. The event was well attended with roughly 36 attendees, and feedback from participants indicated that they found it meaningful and engaging. Activities were structured around the concepts of storytelling and sharing common challenges, coping mechanism and core values. Overall, the event was geared to introduce the work of CCA, connect mentors with their mentees, assist new faculty in networking with other junior and senior faculty across departments and divisions, and establish a supportive mentoring community for the year. The 2017 Meet and Greet Event will be held on October 18, 2017.

Topical Workshops for New Faculty

This year CCA continued its series of lunch workshops for new faculty through the UCSC Faculty Mentorship Program. The lunches focused on different topics of interest and included administrative experts, Senate colleagues, and peers. Pizza and drinks were provided courtesy of the Office for Diversity, Equity, and Inclusion (ODEI).

The fall 2016 workshop on the topic of “Teaching” was well attended and included presenters Jody Greene (Professor in Literature and Founding Director of the Center for Innovations in Teaching and Learning, CITL), Tracy Larrabee (Professor in Computer Engineering), and Maria Evangelatou (CCA Chair and Associate Professor in History of Art and Visual Culture). Tools and general tips for teaching shared during the workshop may be found on CCA’s website.¹

¹CCA Website: <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/Mentoring%20Resources.html>

The winter 2017 workshop was focused on the topic of “Work-Life Balance” as suggested by Assistant Professors in the UCSC Faculty Mentorship Program and included presentations by Meg Corman (Special Assistant to the Chancellor and VC of University Relations) and Jim Moore (Assistant Dean of Graduate Studies). Unfortunately, the event was not well attended. CCA later determined that the timing of the event may have been inconvenient. In addition, a later survey of Assistant Faculty in the UCSC Faculty Mentorship Program (described in detail below) suggested that although individual participants had expressed an interest in the topic of work-life balance, overall, it was not a high priority in terms of mentoring. Given that the topic of work-life balance continues to be of concern to a number of faculty who find it difficult to make the time to attend a workshop on the subject, next year’s committee may want to consider very brief relevant presentations (e.g. 5 minutes on basic tips and resources) in the context of other relevant events, for example on teaching, research, the path to tenure, or support for new academic parents. Faculty can achieve better performance and experience greater satisfaction in all these areas if they are better prepared to maintain work-life balance. Relevant tips on mindfulness and recreational resource may be found on CCA’s website.²

The spring 2017 workshop on “Path to Tenure” was a large success with over 38 attendees. Committee on Academic Personnel (CAP) member Brad Olsen (Education) in addition to Amy Lonetree (History), Sylvanna Falcone (LALS), Benjamin Storm (Psychology), Victoria Stone (METOX), Dorian Bell (Literature), Noah Finnegan (Planetary Sciences), Sikina Jinnah (Politics) shared their experience and expertise on the topic. Attendees were able to ask questions about teaching, research, service, diversity, and personnel review file preparation, and benefited from hearing about CAP’s Top 10 Tips for Faculty, which is located on the CAP Senate website.³ CCA invited all Assistant Professors (and not just UCSC Faculty Mentorship Program junior mentees) to this workshop, which contributed to the event’s good attendance and positive impact. Next year’s CCA may want to consider opening up all its workshops to faculty beyond the Mentorship Program participants, in order to better serve all faculty and contribute in promoting a campus-wide culture of mentoring. Feedback from Assistant Professors attending the spring 2017 workshop on “Path to Tenure” was overwhelmingly positive, but also indicated that faculty would like more time to explore this rich and important topic and all its ramifications.

CCA thanks all the panelist and presenters that participated in this year’s workshops and is grateful for the support and funding from the ODEI, without which these events would not be possible.

New Faculty Orientation

The New Faculty Orientation Day was reinstated in fall 2015, partly thanks to the advocacy of CCA. Since then, the morning session of the day (with presentations on various aspects about campus administration, student life, and faculty resources) is organized by the office of the VPAA, while the afternoon session, dedicated primarily on teaching and research, has been organized by CCA.

²CCA Website: <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/Mentoring%20Resources.html>

³ CAP Website: <https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html>

The 2016 event was highly successful with roughly 27 new faculty attending. During spring and summer 2017, CCA worked on revamping the orientation agenda based on feedback from the 2016 orientation, and securing presenters for the next afternoon session of the New Faculty Orientation on September 22, 2017. CITL director Jody Greene was consulted for the planning of the panel on teaching, and outgoing and incoming Chairs of Committee on Research (COR) (Steve Whittaker and Dejan Milutinovic respectively) were consulted for the planning of the panel on research. The event is also an excellent opportunity for CCA to introduce new faculty to the UCSC Faculty Mentorship Program and events. It is the hope of the committee that the orientation will remain an annual tradition.

New Online Resources on Mentoring

In fall 2016, CCA researched mentoring programs and online mentoring resources of several prominent academic institutions to identify tools and recommendations that could be adopted at UCSC. This research evolved into the creation of a user-friendly mentoring resources page⁴ on the CCA Senate website, which includes tips for mentors and mentees, suggested topics of discussion, and suggested activities for mentors and mentees. CCA will continue to fine-tune this resource and enrich it with additional tools and tips in 2017-18.

Collaboration with the VPAA and ODEI

In March 2017, CCA consulted with Interim Vice Provost of Academic Affairs (VPAA) Martin Berger, and Campus Diversity Officer Linda Scholz of the Office for Diversity, Equity, and Inclusion (ODEI). The UCSC Faculty Mentorship Program was originally proposed by VPAA Herbert Lee and former ODEI Director Sheree Marlowe in December 2013 and intended to be managed by CCA with support of the VPAA and an active role of the ODEI in terms of events and program evaluation. The parties met to discuss the organization of events, program evaluation, recognition of mentor service, online resources for new faculty, incentives for departments to develop in-house mentoring programs, and possible collaborations to promote a campus-wide culture of mentoring.

During the consultation, the parties agreed that a large-scale UCSC Faculty Mentorship Program event during the spring quarter, much like last year's event on "microaggressions", would be beneficial to mentorship program participants and the general campus community.

Based on VPAA Herbie Lee's original Mentorship Program proposal (December 19, 2013), CCA understands that it is the role of the Office of Diversity, Equity, and Inclusion (ODEI) to produce such workshops and events for the Mentorship Program. CCA is eager to hear the ODEI's suggestions for the workshop in 2017-18, and will provide faculty perspective and committee feedback and/or additional content for the event.

With regards to UCSC Faculty Mentorship Program Evaluation, CCA sees two different components in this evaluation process, as stated in its post-consultation memo of April 11, 2017⁵: CCA is responsible for evaluating how the committee's efforts support UCSC Mentorship Program participants (mentors and mentees). The VPAA and ODEI should be

⁴ CCA Mentoring Resources Web Page - <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/Mentoring%20Resources.html>

⁵ Evangelatou to Berger, 4/11/17, Re: CCA: Post Consultation – March 7, 2017

responsible for an annual institutional evaluation/report on what UCSC has done to carry out the campus mentoring program (which is broader than the CCA) and accomplish the goals established in the original program proposal. CCA recommended that such a report include input from CCA on program participation, management, and events; input from the ODEI on what it has done (e.g. organize an annual large-scale event, etc.); and VPAA contributions (e.g. funding, publicizing, advocating, etc.)

In meeting, Interim VPAA Berger offered to share the importance of mentoring with departmental chairs during chair trainings, and to advocate for the inclusion of the importance of mentoring in the language of the annual CP/EVC and Committee on Academic Personnel (CAP) memo, as both of these actions will work to increase the culture of mentorship on our campus. CCA hopes that this will become a regular part of these annual trainings. Further, in meeting, the parties discussed the possibility of including a category calling for the notation of mentorship in faculty bio-bibliographies (Biobibnet).

CCA and several Senate committees (Faculty Welfare, Affirmative Action and Diversity, Information Technology) are in agreement that there should be a “one-stop shop” user-friendly webpage for new faculty resources. CCA also recommends that campus units and Senate Committees are invited to participate in the drafting of sections of this online resource that are relevant to their purview. CCA requested that the Interim VPAA advocate for streamlining online resources with the Interim and incoming CP/EVCs and the Academic Personnel Office, and recommended that the page be located on the APO website. CCA appreciates Interim VPAA Berger’s assistance in making this need known, and in working with the administration to improve the available resources for new faculty, and looks forward to future collaborations with the VPAA Office and the ODEI.

As is evident from the above consultation topics discussed with the Interim VPAA and ODEI, besides managing the UCSC Faculty Mentorship Program CCA is also committed to promoting a campus-wider culture of mentoring and advocating for relevant resources. The second part of this report focuses on this aspect of CCA’s work.

Advocating For a Strong Mentoring Culture On Our Campus

Collaboration with Deans and Departments

On December 14, 2016, Chair Evangelatou attended a meeting of the Council of Deans to brainstorm ways that divisions and departments could collaborate to increase the culture of mentoring on campus. Chair Evangelatou shared a list of CCA recommendations for deans, chairs, and departments to support new faculty and enhance the UCC culture of mentorship, which included:

- Encourage departments to assign mentors to new faculty
- Recognize the service of faculty involved in mentoring and professional development
- Encourage departments to allow all faculty to attend personnel review discussions of the same or higher rank
- Organize workshops that address discipline specific faculty concerns
- Organize “sharing and revision” working groups

- Foster community building (events, workshops, working groups, etc.)

In meeting, Chair Evangelatou offered to visit department chair meetings in each division to share these suggestions with department chairs and encourage them to initiate a dialogue with faculty regarding good practices and activities that can contribute to faculty mentoring, professional development, and community building campus-wide. CCA hopes to undertake these visits in 2017-18 and will present an updated list of suggestions to department chairs, which will include recommendations regarding the challenges and needs of new academic parents, and specific tips for the development of successful departmental mentoring programs.

Mentoring Surveys

Assistant Professor Survey on Departmental Mentoring

With the goal of improving the overall mentoring culture on campus and in looking forward to collaborating with deans and department chairs on the topic, in spring 2017 CCA surveyed Assistant Professors on mentoring within their department.

The committee received 46 responses (out of 111 Assistant Professors invited to participate) from faculty representing all five divisions. The data indicated that 82.6% of respondents had a mentor in their department and that 66.7% of these mentors were not mentors in a structured program, but rather mentors that faculty sought out themselves. Of those with mentors that they seek out themselves, 46.5% indicated that they were satisfied with the level of mentoring provided in this fashion, while 30.2% indicated that mentors that they sought out themselves did not provide enough mentoring, and that they would prefer a more structured departmental mentoring program.

When asked if their department has a culture of assistance/helpfulness to junior faculty, 50% responded “Yes, very much so”, and 45.7% indicated “somewhat”. A small percentage answered “No”. Members noted that there is room for improvement with regards to enhancing the culture of assistance to junior faculty. However, the committee was pleased to find that when asked if their department encourages junior faculty to ask questions regarding their needs and development, 95.7% indicated that their department either “strongly encourages” or “encourages” junior faculty to ask questions.

The survey asked faculty to consider 25 topics on which they might want more mentoring, divided under the rubrics of teaching (10 topics), research (8 topics), path to tenure (3 topics), and other (4 topics). The summary of the results is as follows:

- Concerning teaching, at least close to 35% of participating faculty indicated they would like more mentoring on most topics (planning courses and class sessions, evaluating and grading student work, getting more constructive feedback by students, accessing campus resources for students in need and teaching DRC students). Around 50% or more of participating faculty indicated they wanted more mentoring on working with challenging students (academic integrity, disruptive behavior, disgruntled students, students under severe stress, etc.), as well as attracting, advising and teaching graduate students. Around 31% of respondents would like more guidance in mentoring undergraduate students and around 23% would like mentoring on working with Teaching Assistants.

- Concerning research, about 43-58% of the respondents indicated a desire for more mentoring on five of the eight topics. Specifically, more than 50% of participating faculty would like more mentoring on networking nationally and internationally and on obtaining funding and applying for grants. Almost 49% of participating faculty would like more mentoring on developing and following long term career plans. Finally, about 42-43% of participating faculty would like more mentoring on understanding campus organization and locating resources and on developing and maintaining effective work habits. About 35-39% of the faculty would like more mentoring on the other three research themes (in ascending order, attracting and working with graduate student researchers, establishing and managing a research group and preparing manuscripts and publishing). These results indicate that as a research university UCSC could use more effective mentoring to better support its faculty succeed in the research mission they share with the campus.
- Concerning the path to tenure, more than 50% of participating faculty would like more mentoring on appropriate service commitments and writing a strong personal statement for personnel reviews, and more than 45% would like more mentoring in order to better understand promotion, mid-career and tenure requirements and expectations. CCA notes that departmental mentoring could play a pivotal role in improving faculty mentoring on promotion. CCA has conducted a survey on departmental practices concerning personnel reviews (see below) and believes that allowing all Assistant Professors to at least attend personnel reviews of the same or higher rank can be very helpful in their successful preparation for their own personnel actions.
- Miscellaneous topics: about 31% of faculty would like more mentoring regarding time management; 24% of participating faculty indicating they wanted more mentoring on work-life balance and family friendly policies; and 13% desired more mentoring on life in Santa Cruz.

In conclusion, the topics which attracted the highest ratings (above 50%) and therefore indicate a particularly strong need at improving relevant faculty mentoring are as follows:

- Working with challenging students (academic integrity, disruptive behavior, disgruntled students, students under severe stress, etc.)
- Advising and teaching graduate students
- Networking nationally and internationally
- Obtaining funding and applying for grants
- Writing a strong personal statement for personnel reviews
- Appropriate service commitments (department, college, divisions, campus, profession/discipline)

In 2017-18 CCA will revisit this data in order to formulate recommendations for campus improvements, and will share detailed/divisional results with deans, the VPAA and the ODEI, as well as other relevant campus units and Senate committees (such as CITL, COT and COR) in order to collaborate on mentorship events and improve overall mentorship at UCSC.

Divisional/Departmental Mentoring Practices Follow Up

In winter 2016, CCA conducted a survey on department mentoring practices. As the culture of mentoring is constantly changing on campus, in spring 2017, CCA followed up with divisional deans, department chairs, and managers to update its records to ensure documentation of the most current and accurate information.

The committee received responses from 29 out of 37 campus departments polled (see summary in Appendix A). Of those responding, CCA was pleased to find that 14 of the responding departments have a formal mentoring program in place. In addition, the Baskin School of Engineering has established a new one-year mentoring program for new faculty starting with new hires arriving in 2016-17. Further, 11 responding departments offer some mentoring support without a fully structured program.

CCA commends those departments and divisions with structured programs and looks forward to continuing to work with deans and department chairs in 2017-18 to further the number of mentoring options and resources for faculty on campus.

Survey of Department Personnel Review Practices

In fall 2016, CCA surveyed assistant deans on departmental practices concerning merit and promotion personnel reviews. The committee sought to find out how and which departments allow Assistant or Associate Professors to attend personnel review discussions of the same or higher rank. Specifically, CCA inquired as to whether Assistant and Associate Professors are included in the discussion and reading of files, and whether they participate in the department vote.

CCA contends that allowing Assistant and Associate faculty to participate in such proceedings (at least as observers) helps these faculty better understand the relevant process and requirements, and thus allows them to be more informed and successful when their own review comes up. This would support the more than 50% of faculty in our survey who would like more mentoring on appropriate service commitments and writing a strong personal statement for personnel reviews, and the more than 45% who would like more mentoring in order to better understand promotion, mid-career and tenure requirements and expectations.

Survey results (see Appendix B) showed that, out of 37 departments on campus, 20 departments allow for all ranks to attend discussion and vote on all personnel review actions. In addition, 6 departments allow junior faculty to attend the discussions for higher rank personnel actions (i.e. mid-career review / promotion to tenure), but do not extend Bylaw 55 rights to junior faculty to vote in these actions. 11 campus departments do not invite junior faculty to attend discussions or vote on the personnel actions of higher ranked faculty.

CCA intends to communicate the findings of this survey to all divisional deans and offer relevant recommendations in 2017-18 for a more inclusive practice across campus. CCA appreciates the collaboration of assistant deans in providing information in this survey.

Future Plans for CCA

In 2017-18, CCA plans to continue to collaborate with the VPAA, ODEI, and Council of Deans to strengthen the culture of mentoring on campus. In addition, Chair Evangelatou has offered to visit divisional department chair meetings to discuss tips for enhancing mentorship. The committee also hopes to collaborate with CITL and the Committee on Teaching (COT) with regard to mentoring on the topic of “teaching”. CCA may also want to consider collaborating with the Committee on Faculty Welfare (CFW) and ODEI, and with the group of new academic moms (a faculty-driven initiative that began in 2017) on mentoring and support for young academic parents. In addition, CCA will consider further improvements to the UCSC Faculty Mentorship Program and the mentor/mentee matching process, including training or peer mentoring sessions for mentors.

Finally, we would like to express our deepest gratitude to committee analyst Jaden Silva-Espinoza who with her incomparable experience, work ethic, dedication and humor has helped CCA manage an increasing workload and plan ahead. Jaden’s tireless work, sensible approach and institutional knowledge have been instrumental in the successful function of CCA and we hope she will continue to help the committee move forward for many years to come!

Respectfully submitted;
COMMITTEE ON CAREER ADVISING
Christopher Chen
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Maria Evangelatou, Chair

August 31, 2017

APPENDIX A

Mentoring Practices at UCSC on the Divisional and Departmental Level

(Results from 2015-16 and 2016-17 survey conducted by CCA)

Green: Departments with a Formal Mentoring Program. **Blue:** Departments that Offer Some Mentoring Support. Without a Fully Structured Mentoring Program

Arts:	B SOE	Humanities:	PESci	Social Sciences
Art	Applied Mathematics & Statistics	Feminist Studies	A stronomy	A nthropology
F DM	Biomolecular Engineering	H istory	C hemistry	Education
H AVC	Computational Media	History of Consciousness	E arth & Planetary Sciences	E conomics
M usic	Computer Engineering	L anguage and Applied Linguistics	E cology and Evolutionary Biology	E nvironmental Studies
Theater	C omputer Science	L inguistics	M athematics	L AIS
	E lectrical Engineering	Literature	M olecular Cell & Developmental Biology	P olitics
	T echnology Management	Philosophy	M icrobiology and Environmental Toxicology	P sychology
		W riting Program	Ocean Sciences	S ociology
			P hysics	

APPENDIX B

Personnel Review Practices by Department (color-coded summary)

Green: universal (all ranks vote on all files). **Blue:** all ranks attend discussions but do not vote on some (e.g. mid-career or tenure). **Orange:** all ranks do not attend/vote on some actions (e.g. mid-career or tenure).

Arts	BQS	Humanities	PESci	Social Sciences
Art	Applied Mathematics & Statistics	Feminist Studies	Astronomy	Anthropology
FDM	Biomolecular Engineering	History	Chemistry	Education
HAVC	Computer Engineering	History of Consciousness	Earth & Planetary Sciences	Economics
Music	Computational Media	Language and Applied Linguistics	Ecology and Evolutionary Biology	Environmental Studies
Theater	Computer Science Assistants have	Linguistics	Mathematics	LALS
	Electrical Engineering	Literature	Molecular Cell & Developmental Biology	Politics
	Technology Management	Philosophy	Microbiology and Environmental Toxicology	Psychology
		Writing Program	Ocean Sciences	Sociology
			Physics	

COMMITTEE ON COURSES OF INSTRUCTION
Annual Report 2016-17

To: Academic Senate, Santa Cruz Division

The newly established Committee on Courses of Instruction (CCI) had an exceptional year in spite of structural limitations the committee faced. The committee's responsibilities include the review of campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consultation with other committees and administrative units, as well as the consideration of graduate student instructors, student petitions and grievances.

Course Priority Enrollment Request for Majors

Last year the Committee on Educational Policy (CEP) received requests from the Computer Science and Physics departments about policies and procedures for restricting the access of students to popular courses for 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 VPAA Lee, a working group was formed to investigate this issue. The working group met and submitted a draft policy on impaction for majors to the Senate for comment and review; the Senate is waiting for a follow-up during fall quarter.

As an interim measure to assist Computer Science and other departments facing significant enrollment pressures, CCI approved restricting the initial enrollment in a small number of key upper-division courses required for students to qualify for their major or to complete their minor or major. Non-majors 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, as it must be done manually. If this approach proves effective, we will investigate whether the process can be simplified or automated in the future.

Computer Science requested a renewal for a two-tier process for enrollment gating in upper-division courses. CCI reviewed the request for their majors during first and second pass enrollment, as well as the Physics Department's request for priority enrollment for one of their courses.

CCI reminded the departments that this process is very labor-intensive due to the manual nature of setting-up and monitoring these restrictions. CCI approved both departments' requests for one year only and encouraged the departments to monitor enrollments during the year to see if any additional courses can be removed from this status in the future.

Undergraduate Course Supplemental Form

A few years ago CEP made changes to the undergraduate course supplemental form to streamline the review process to encourage the answers members required for course approval. This year CCI experienced this same phenomenon, sending out numerous requests for more

information to departments, which delayed the approval process. CCI added additional questions, hoping to reduce uncertainty. The new form was available during fall quarter.

Appendix C and Student Grade Grievances

The Committee reviewed seven grade grievance cases this year, updated Appendix C and created a grievance process map for students to reference on our website. Last year the Committee on Educational Policy (CEP) made conforming changes to Appendix C and recommended that CCI review and update the language. Members revised the CEP language in the Appendix to avoid the expectation that a “hearing” would be held. Members disagreed with RJ&E’s interpretation that students have an implied right to a hearing. We have updated the language to be consistent with actual practice and adjusted the language to include the process for an “informational investigation.”

The following cases were reviewed by the Committee Membership:

- Case A: The student argued that a lower non-passing grade was due to inconsistent grading, lack of clear guidelines and late notification of coursework grading. Student was short two points in a capstone course and could not graduate. Members worked with the faculty member, after a request for information was sent and determined that the student’s score did indeed add up to a passing grade and approved the change from a non-passing to a passing grade.
- Case B: This student had taken the course multiple times and cited lack of criteria for lab diligence points on the syllabus; the student was two points short of passing. The Committee reviewed the materials (including syllabus) and did not find sufficient evidence to approve the request; the grade will stand as recorded on the transcript.
- Case C: The student requested to change the grading option from letter grade to pass, no pass or withdraw. Student claims the instructor was unresponsive on student’s progress in the class which made it difficult to determine if a change to the grade option was warranted by the deadline. This is the only avenue students have for grade option changes after course completion. After deliberation and instructor consultation, members granted the student’s request, changing the letter grade to a grade option of pass.
- Case D: The student was never signed up for two independent studies; he successfully completed one of the courses. The request was to remove the grade and second course from the transcript. The case was determined without committee deliberations based on the evidence provided by both the Department and Registrar’s Office and supported the student’s request to remove the grade and course from the transcript based on clerical error.
- Case E: The student was accused of academic dishonesty, however, the instructor failed to file the paperwork within the specified quarter, and the Student Academic Misconduct process was compromised. Members supported the request to remove the course and grade from the student’s transcript.
- Case F: The student requested removal of grade and course from the transcript. The committee could not establish *prima facie* with regard to grading based on non-academic criteria. The grade will stand as recorded on the transcript.

- Case G: The student requested removal of grade and course from the transcript. The committee could not establish *prima facie* with regard to grading based on non-academic criteria. The grade will stand as recorded on the transcript.

Other Legislative Changes: Committee Charge and Delegation Policy

CCI wanted to continue the practice begun by CEP of delegating specific routine administrative duties related to undergraduate course approval and student petition policies to several units on campus. The proposed CCI legislation changes to the committee charge were approved at the May 19, 2017 spring Senate Meeting. CCI will monitor and review the policy on an annual basis during fall quarter and post the policy for the current year on the committee website. The following delegations were approved:

University Registrar

- Course Approvals for renumbering courses within the lower to lower division and upper to upper division course structure, non-essential suspension and reactivation of courses, course enrollment limit increases, cross-listing, adding or deleting of cross-listings and allowing suspension and reactivation of cross-listings with no changes to either course description

College Provosts

- Withdrawal from a class, including verification of medical/emergency after the campus deadline
- After a full regular (FWS) quarter has passed, requests for retroactive W must, however, come to CCI

Curriculum Management Group

Project Managers Don Moonshine and Stacey Gustafson gave a presentation on the phases to revamp the current systems (catalog, curriculum leave planning (CCLP), online course approval (OCA) in place and met with Senate committees to seek advice and comments on what changes faculty would like the new online system to have. The Senate Committees on Courses of Instruction, Educational Policy and Graduate Council provided additional feedback for curricular management system changes. There was support for a standardized form for program statements and course approvals, with a balance of information that is concise. There should be multiple fields; some of these should be fixed, others with optional drop down menus and a few free format options. Ideally, the user should be able to choose what is needed and have the option (field) slide up if not needed. Headings and fonts should be adopted. Many members supported an “Open Read” view for anyone wanting to check the progress of their request. Undergraduate and Graduate degrees would be listed independently of a department. Ideally, creating separate sections in the catalog for each constituents programs, with links to departments for referencing other information. Track changes are very important for reviewing as well as editable comments. Some information should auto-fill and dependencies should be automatic (e.g. pop up window).

For course approvals, members stressed the need for instant responses that can be sent directly to the instructor or department when the course requires more information or is approved. Notification does not always reach the right person; there needs to be a standardization of

communication from the system after the workflow is completed and in the Senate queue. When faculty view courses, keep these notifications specific to the department, and make this as transparent as possible. For example, our committee needs to know when a department is cancelling a course that another may have on their program statement. Syllabi must be added as a document or have a field to copy and paste. The standardized form should cover all aspects of course approval process, fields not needed would roll up, allowing for some free formatting for notes. Easy viewing of tasks, GE options, sorting, notifications, mouse-over or clicking a course should pull up the information from the course section of the catalog (description, prerequisites, terms in which course is offered). Reporting tools on types of GEs and course approvals (new, revision, cancellation, etc.). Members benefitted from the expertise and collegial reception the Curriculum Management Group offered.

In Depth Review of Courses

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

- Crown/Merrill/Oakes/Rachel Carson Colleges request for a College 3 precalculus course and lab offering. As this was a duplicate course offering (Math 3 is offered by the Mathematics Department), the Committee on Educational Policy (CEP) needed to weigh in on the course offering. After review, the committees submitted a joint response approving the special section of the two-unit supplemental lab to be offered by the Colleges. The Mathematics Department will offer a special section for students in the Colleges.
- Online Course Approvals and Renewals: (1/23, 2/6) CCI sent out requests to departments requesting online course reports due after the first year of offering an online course (one department sent their report in early). The following online course reports were requested: BIOE 107: Ecology, Earth 3: Geology of National Parks, Econ 133: Security Markets, and Writing 2: Walt Disney. The Mathematics Department submitted their report for online course Math 23A, Vector Calculus, and was reapproved with a report due fall 2020. The Committee received only one other online course report, for Earth 3. Members reviewed and reapproved with a report due Fall 2020. CCI will send out requests in early fall to departments that have not yet submitted their online course reports. The Committee approved the following online courses: Art 80T, Anthro 110I, BIOE 109, BIOE 125, Econ 10A and 10B, 194, HAVC 186I, Lit 61U, Socy 173X.
- The Committee experienced considerable challenges with the Online Curriculum Approval (OCA) system. Understandably, ITS and Registrar Office staff do not want to spend time upgrading our present system when a new one is currently being designed. Departments were submitting word documents into the system, and this was challenging for members to review online; on some mobile devices, the forms opened up blank. A memo was sent out requesting that faculty, department staff, and colleges submit documents in pdf file format for review.

Other Curricular Business

CCI members reviewed 159 new course approvals (including 10 online courses), as well as 365 revisions, and 1 posthumous degree certificate and many general education designations including: CC, ER, IM, MF, PE-E, PE-H, PE-T, PR-C, PR-E, PR-S, SR, TA.

The Chair reviewed the following:

- 420 undergraduate student petitions;
- 155 requests for Graduate Student Instructors;
- 4 requests for Undergraduate Student Instructors; and
- 1 request for an Individual Major.

Additional Issues Reviewed by the Committee:

Learning Data Principles

Senate committees were requested to review the draft principles and practices created by the Ed Tech Leadership Committee (ETLC) surrounding data privacy for students and faculty with regard to data analytics generated by service providers such as Canvas, Sakai, and Piazza for the UC system. CCI reviewed the draft principles and recommended practices and realized the need for UC to develop these procedures around transparency, but had no additional recommendations to add.

Review of Proposed Revisions to SR 630

The Academic Council endorsed the revisions to SR 630.D to include the Natural Reserve System (NRS) California Ecology and Conservation Courses, which are part of a systemwide program, for credit and to meet residency requirements in accordance with the regulation’s current definitions. Other programs such as the Education Abroad Program, UC Washington, D.C. Program and the UC Center in Sacramento Program are included in the original version of this Senate Regulation. The Committee on Courses of Instruction reviewed the proposed changes to Senate Regulation 630.D and is in favor of supporting these amendments that allow students to receive credit toward their senior residency requirement.

Systemwide Review on Proposed Revised Academic Personnel Manual on Teaching Professors

The Academic Affairs/Academic Personnel Vice Provost LSOE Subcommittee identified major areas requiring policy revision for the current LSOE faculty title series, clarifying their roles for teaching, scholarly activity and service. CCI reviewed proposed revisions to Academic Personnel Manual (APM) - 285, 210-3, 133, and 740, and found the overall change of the Lecturer with Security of Employment series to the Teaching Professor series largely unproblematic, although vagueness remains with respect to the proportion of “Professional and Scholarly achievement and activity” expected for appointment and promotion in the Teaching Professor Series. While the description of Professional and Scholarly Achievement and Activity is significantly elaborated, there remains some concern that the vagueness of expectations creates potential for confusion regarding the expectations. From CCI’s viewpoint, the revisions to the Teaching Professor series are an improvement.

CCI benefited from the expertise of Associate Registrar Margie Claxton, and we are grateful she is a member of the committee. We also benefitted tremendously from the expert assistance and dedication of Susanna Wrangell.

Respectfully submitted;
 COMMITTEE ON COURSES OF INSTRUCTION
 Noriko Aso

Myanthy Fernando
Kevin Karplus
Anatole Leikin
Jie Qing
Margie Claxton, *ex-officio*
Gina Dent, Chair

August 29, 2017

COMMITTEE ON EDUCATIONAL POLICY Annual Report 2016 -17

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy's (CEP) responsibilities include the review of undergraduate programs, program statements, and consultation with other committees and administrative units on a broad range of issues concerning undergraduate education. In addition to these routine activities, the committee spent considerable time reviewing issues pertaining to the courses that satisfy the College core and lower-division writing requirements; reviewing numerous information requests by the Senate and other departments, and revising outdated policies

I. Proposed changes to the lower-division writing and college core course requirements

Background

The campus writing requirements consist of the Entry- Level Writing Requirement (ELWR), the lower-division Composition 1 and 2 (C1, C2) requirements, and the upper-division Disciplinary Communication (DC) requirement. Students must also fulfill the requirements of their college, which typically include a core course taken during the fall of the freshmen year and in some cases a second core course taken during the winter. This arrangement dates from 2005, with the C1 and C2 requirements partially integrated with the college core course.

Over the past three years, CEP has spent a considerable amount of time discussing the lower-division writing and core course requirements in close consultation with other Senate committees, faculty, the college provosts and the administration. Due to the partial merger of the college core course and lower-division writing courses, the 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 significant concern for the effectiveness of our lower-division writing curriculum and the linkage of the core courses to the lower-division writing curriculum.¹

In the spring of 2015, 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. The modification of SCR 10.5.2 required to implement this change was approved by the Senate last year to go into effect in the fall of 2017. In the spring of 2016, CEP made the following additional recommendations regarding the future of the college core courses and lower-division writing curriculum:

1. 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

¹ For additional information about these concerns, please refer to CEP's 2014-15 and 2015-16 annual reports and the report CEP presented to the Senate in February of 2016 (http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/reports-and-presentations/Senate_Meeting_OverviewUCSCwritingrequirementsandMLC.pdf)

administered and taught by the Writing Program, not the Colleges. These courses must focus on making writing outcomes their priority.

2. 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.
3. In general, students should have flexibility 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. However, we did 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).
4. The college core course requirement should be maintained, but 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. During the past year, CEP worked with Council of Provosts, the Writing Program and the administration to facilitate the implementation of the above recommendations from 2015-16. Proposals for revising the college core courses and lower-division writing curriculum were developed by the Writing Program and Council of Provosts (with input from Humanities Dean Stovall and Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey) and submitted to the Vice Provost for Academic Affairs (VPAA) for review as non-degree programs.² We did not receive the proposals until relatively late in the academic year, making it impossible to finalize and launch the revised curriculum in the fall of 2017 as originally planned. We therefore reluctantly agreed to defer the introduction of ELWR satisfaction as a prerequisite for C1 courses until the fall of 2018; this change was approved by the Senate on May 19, 2017.

Although the purview of our committee does not extend to budgetary issues, our feedback on the proposals from the Writing Program and the Council of Provosts was based on the amount of funding available to support the revised core and writing curriculum and feedback from the Committee on Planning and Budget about the cost of the proposed curricula.³ As described below, we considered the proposals from the Writing Program and the Council of Provosts separately because they severed the linkage between the lower-division writing and core courses as recommended by CEP, the Committee on Planning and Budget (CPB) and the Senate Executive Committee (SEC) last spring.

Proposed changes to the lower-division writing curriculum

The Writing Program submitted a strong proposal to simplify the complex set of courses and pathways that are currently used to satisfy the ELWR and Composition (C1 and C2) requirements while improving the quality of writing instruction offered to UCSC undergraduates. According to their proposal, students would satisfy the C1 and C2 requirements by taking

²<https://academicaffairs.ucsc.edu/documents/Academic%20Programs%20and%20Units%20Policy%20and%20Procedures%20November%202016%20FINAL.pdf>

³ Interim Campus Provost/Executive Vice Chancellor Herbie Lee informed the Senate that he was willing to invest an additional \$300,000 per year to support the revised core and writing curriculum.

courses offered by the Writing Program (WRIT 1 and WRIT 2, respectively) as opposed to a college core course. Students would have greater flexibility regarding the scheduling of their C1 and C2 courses, and they will benefit from the enhanced vertical integration of these courses with their other writing courses such as the DC.

The Writing Program presented two alternative plans for ELWR-required students who are not in the Multilingual Curriculum (MLC). Consistent with the recent changes to Senate Regulation 10.5.2, students would be required to satisfy ELWR before attempting WRIT1 under both plans. In the first plan, students would take WRIT 20 until they satisfy ELWR by earning a grade of C or better in this 5-credit, repeatable course. In the second plan, students close to ELWR satisfaction would take a different course, WRIT 20A, until they satisfy ELWR by earning a grade of C or higher in this repeatable 3-credit course. Both plans would replace the current system for ELWR satisfaction with course grades rather than portfolio review. Additionally, both plans would require students to satisfy ELWR by the end of their third quarter, rather than the fourth quarter.

CEP supported the Writing Program's proposal to replace the portfolio review with grades as the mechanism for assessing ELWR satisfaction. A student's grade in a preparatory writing course should accurately reflect their writing ability; they may find it hard to understand if they receive a good grade in one of these courses but are unable to satisfy ELWR via portfolio review. Using course grades to assess ELWR satisfaction will minimize this problem. We also note that the use of grades in specific writing courses to satisfy ELWR is common at our sister campuses.⁴ The proposed transition from portfolio reviews to course grades to assess ELWR satisfaction is therefore consistent with systemwide practices.

CEP also supported the Writing Program's proposal to reduce the deadline for satisfying ELWR from four to three quarters. This deadline should apply only to students who are not English Language Learners (see below). No UC campus gives students other than English Language Learners more than three quarters (or two semesters) to satisfy ELWR. If a student is unable to satisfy ELWR by the end of the first year, they should be advised to take preparatory writing courses at a community college until they are prepared to tackle university level work and return to UCSC. This aspect of the Writing Program's proposal is also consistent with the standards of our sister campuses, including those with relatively high percentages of ELWR-required students. After considering the proposed curricula for ELWR-required students, we asked the Writing Program to go further and construct a plan for a three-credit ELWR course for all students (except ESL students, who are discussed in the next section).

The Writing Program also presented a secondary proposal describing potential changes to the MLC, including the potential elimination of the first of the three courses in the MLC, Writing 25. If approved, this change would go into effect in the fall of 2018. As previously noted by both CPB and our committee, it is troubling that only international students on F1 visas are allowed to participate in the MLC. We decided that all English language learners must be allowed to participate in this program regardless of their visa status. We encouraged the Writing Program and the Department of Languages and Applied Linguistics to submit a proposal to revise the

⁴ We note that portfolio review separate from the course grade may be in violation of Senate Regulation 636.C

MLC to better meet the needs of all English language learners next year, for implementation in the fall of 2018. This proposal should describe the mechanism that will be used to identify the students who will benefit from the MLC and the number of quarters they should be given to satisfy ELWR. CEP will not approve the further extension of the MLC until this issue is addressed.

Other Changes to the Lower-Division Writing Curriculum

During the spring of 2016, representatives from CEP sought input from divisional deans and department chairs about potential changes to the lower-division writing curriculum and its relationship to the college core courses. Although these conversations revealed broad support for splitting the core and writing requirements, faculty in the School of Engineering and the Division of Physical and Biological Sciences divisions were concerned about the potential impact of this change on their majors. For example, ELWR-required students would be required to take a minimum of four five-credit core and writing courses in their first two years, which would make it difficult to follow the standard academic plans for STEM majors and graduate on time. This prompted us to consider whether additional modifications of the lower-division writing requirements would ameliorate these concerns without compromising the quality of writing instruction offered to our students.

Most other UC campuses require only one or two lower-division composition courses carrying a total of approximately 4 to 8 quarter credits, and total of 9 to 15 quarter credits of writing instruction.⁵ Requiring two composition courses carrying a total of 8 quarter credits, together with a 5 credit DC course, would place our composition requirements near the middle of the UC system. This could be accomplished by converting WRIT 1 and WRIT 2 from 5 credit to 4 credit courses or changing the C1 course from a 5 credit course to a 3 credit course. However, there are advantages to the second option. It would ensure that all students, even those who complete the C1 requirement before coming to UCSC, take a 5 credit C2 course and a 5 credit DC course at UCSC. It would also be easier to implement, since 3 credit courses are not uncommon at UCSC (meeting twice a week instead of three times). Therefore, we asked the Writing Program to amend their proposal so that the C1 course carries 3 credits, with the C2 course remaining as a 5-credit course. The approval of this change would require a modification of the Senate regulation covering the Composition requirements.

Second, we asked the Writing Program to construct a plan with a 3-credit ELWR course for all non-ESL ELWR-required students instead of the differentiated 3-5 credit model described above. Although this would make UCSC an outlier compared to other UC campuses, we note that all ELWR-required students (including ESL students) in Crown College currently take Writing 20 in their first term and approximately 80% of these students fulfill their ELWR requirement by portfolio review at the end of six weeks. While we recognized that a 3-credit course meeting twice a week for 10 weeks has a different rhythm than a 5-credit course meeting three times per week for 6 weeks, this would suggest that a 3-credit ELWR course should be sufficient for most of these students, especially since ESL students would be moved to the MLC curriculum. We were also mindful of the fact that, if the ELWR and C1 courses are 3 credit courses and the

⁵ Note that the course credits are defined using the same criteria on all UC campuses: the typical student must devote approximately three hours per week per credit at campuses on the quarter system. At campuses on the quarter system other than UCSC, a “standard” course carries four units of credit and a student takes an average of four courses per quarter.

college core courses are converted to 3 credit courses as discussed below, students would be able to take a college core course, a writing course (either ELWR or C1) and two 5-credit courses as a normal load (16 credits) in their first term.

We also considered another suggestion to mitigate the impact of separating core and writing requirements: to allow students near the cusp of ELWR satisfaction to satisfy both ELWR and C1 by taking a single course. Precedents for this model are rare in the UC system, and our committee believed that it would be quite challenging for a single course to satisfy the distinct educational outcomes associated with preparatory writing and C1 courses. Such a model would also require a reversal of the change to Senate Regulation 10.5.2 that was enacted in 2016. Considering all these factors, our committee did not support this proposal.

Proposed changes to the college core course requirement.

Our committee also considered a proposal from the Council of Provosts to create a first-year curriculum consisting of a one to two quarter course sequence for all incoming students. A 5 credit core course focused on critical reading and academic discourse--College 1: Academic Literacy and Ethos--would be taken during the fall quarter by all incoming freshman. During the winter quarter, students would have the option of taking a C1 or C2 course related to the theme of their college.

Our committee's overall impression of the provosts' proposal was favorable. The proposal documented students' challenges with academic reading and cited research suggesting that a high-impact first-year curriculum would support a significant percentage of our students, including those from historically marginalized communities and/or disadvantaged socioeconomic backgrounds. Reading as a subject of study offers promise for a college core course and aligns with the colleges' thematic foci in obvious ways.

While there is no doubt that many students could benefit from the proposed revision to the college core courses, some members of our committee were concerned about two points. First, the cited literature about the first-year experience highlighted the benefits of additional instruction in reading for less well prepared students, but not necessarily the typical UCSC student. Second, high-achieving students who enter UCSC might not need the same kind of instruction in reading at the college level. We recognized that students with varied academic preparation levels already take courses alongside one another elsewhere in the university curriculum. But we were concerned about reading as the primary subject matter of the core courses because it is a developmental proficiency; some students need more guidance and time than others to develop successful reading practices. However, these concerns may not apply to academic ethos part of the curriculum which appears to be beneficial to all incoming frosh.

CEP also supported the Council of Provosts desire to limit the size of the College 1 courses to only 30 students; a course focused on cohort building and academic ethos would be less effective in a large-lecture format. We found the justification for why this course must carry five credits to be less compelling. In some colleges, international students who are enrolled in the MLC take a lower-credit version of the college core course, which suggests that a lower-credit course might also be sufficient for domestic students. Moreover, with the removal of writing objectives from the core course, it is logical to expect that fewer credits should be sufficient. Finally, a 3 credit

core course--along with 3 credit ELWR and C1 courses--would simplify scheduling and reduce the overall cost of the core and writing curriculum.

CEP also discussed whether College 1 should satisfy an existing GE requirement to provide additional flexibility to students and minimize their time to degree. Any GE designation carried by a College 1 course would need to match the educational objectives of the course; to do otherwise would risk repeating the problems associated with the fusion of the college core courses with the C1 and C2 requirements. This would not be an insurmountable obstacle for colleges with themes that are clearly aligned with existing GE requirements, if they were 5 credit courses. For example, 5 credit versions of the Crown and Rachel Carson College core courses might satisfy the Perspectives Technology & Society (PE-T) and Perspectives Environmental Awareness (PE-E) General Education (GE) requirements respectively. However, with a 3 credit model for College 1 courses, the options would be limited: only the Practice Service Learning (PR-S), Practice Creative Process (PR-C) and Practice Collaborative Endeavor (PR-E) designations would be possible. We recommended that each college consider whether any of these designations would be appropriate.

The provosts also proposed the option of an integrated two-quarter experience by creating winter C1 and C2 courses linked to the themes of some colleges. Students should have as much flexibility as possible regarding 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, but we did not support making this a requirement for students in any college.

II. Legislation Revisions to Santa Cruz Regulations (SCR)

It was brought to the attention of the Committee that our delegation policy was not explicitly stated in our charge Santa Cruz Regulation, (SCR 13.17.9) as required by Systemwide Bylaw 20. In addition to making this required change, we recommended the addition of the Chair of the newly formed Committee on Courses of Instruction (CCI) Chair as an *ex-officio* of CEP to facilitate interactions between the two committees. The changes to CEP's charge were approved during the Spring Senate meeting. Several other conforming changes were made to clarify how various responsibilities related to course approval and program authorization are divided between CEP and CCI.

III. Course Repetition Policy

The committee responded to inquiries about campus policies concerning the repetition of courses, which are covered by SCR 9.1.8. Students repeat a course for credit if a grade of C-, D, D+, D-, or F is received. Provosts can approve the repetition of a course more than once if there are extenuating circumstances such as health or other serious personal issues. Provosts should consult with Department faculty and staff before approving such requests.

CEP was asked to clarify if students must be allowed to repeat a course more than once if the denial of the request would prevent them from completing the requirements of their major. Concerns had been raised that this might violate UC Legislative Ruling 6.11.C (clause 3), which concerns actions that effectively disqualify a student from the University even though they satisfy the minimum standards of SR 900.A. However, SR 900.C allows for more stringent norms if they are based on regulations adopted by a Division and approved by the Assembly;

SCR 9.1.8 satisfies this condition. Although students do not have the right to repeat courses more than once, CEP expects colleges to consider the likelihood that a student will pass a course on their third attempt and complete the requirements of their major. Although the department's recommendation should be taken into consideration, the ultimate decision rests with the College Provosts.

During spring quarter CEP received a related request from a department seeking clarification of the conditions under which a UCSC student who has unsuccessfully taken a UCSC course twice can take it for a third time through Open Campus. A student must obtain the permission of the instructor to take a course through Open Campus. SCR 9.1.8 applies to courses taken through Open Campus; if a student wishes to repeat a course more than once via this mechanism, they must therefore also obtain permission from the provost of their college. CEP asked the Registrar of UCSC Extension to include the necessary permissions (i.e. College Provost approval) on the relevant forms to ensure that students do not use Open Campus to circumvent SCR 9.1.8.

IV. Priority Enrollment Requests check spring quarter

Numerous groups of students - including veterans, Regent's Scholars, a subset of students with DRC accommodations, and members of a variety of other groups have priority when enrolling for courses. In addition, students who earn UC credit based on their scores on AP and IB exams can often enroll in classes earlier than their peers due to their advanced standing. CEP discussed priority enrollment after receiving a request to grant priority enrollment status to students in the School of Engineering Summer Bridge Program. While we understand that priority enrollment would incentivize students' participation in this program, we did not find the rationale provided strong enough to grant this request. CEP does not want to consider programs requesting this status in isolation due to the potential impact on programs lacking sufficient capacity to accommodate all students interested in their courses. The committee will revisit this issue next year.

V. Double Counting Policy: Counting Credits for Double Majors

SCR 10.4.7 specifies how units are counted for students pursuing more than one major. The regulation states that the credits used to satisfy the requirements for each major must include a minimum of 40 upper-division credits not used to satisfy the minimum credits of any other major or minor. The interpretation of this regulation is straightforward for majors with minimal overlapping requirements. The situation is more complex for majors with extensive, overlapping requirements, including many combinations of majors and minors in Physical & Biological Science and the School of Engineering. This has led to considerable confusion concerning campus policies regarding the double counting of upper-division credits for double majors. CEP therefore requested a clarification of SCR 10.4.7 from the Rules, Jurisdiction & Elections (RJ&E)

Committee. Specifically, we asked whether the minimum credits referenced in the regulation refers to 1) the campus minimum of 40 upper-division credits for a major, or 2) the minimum requirements of a specific major. RJ&E informed CEP that "the minimum credits of any other major" refers to the specific program requirements of a given major, not the upper-division credit requirement. Based on this information, CEP will clarify the policies regarding the double counting of credits and consider whether changes to SCR 10.4.7 are warranted next year.

VI. Report on Catalog Year Changes

Three years ago, CEP gave the Provosts the ability to delegate the authorization of catalog year changes for students who were returning to UCSC after more than two years absence to the Academic Preceptors. The Council of Academic Preceptors and the Council of Provosts asked CEP to continue to delegate the authority to make exceptions to catalog rights for GE satisfaction prior to 2010. Our committee agreed to extend this delegation for one more year, beginning fall 2017-18. We do not anticipate renewing this agreement, as all re-entering students should now follow the 2010 General Education requirements.

We also authorized the Registrar's Office to remove 900 previous GE designation from course descriptions beginning in fall 2017. Students who will require a catalog year change for GE requirements will be able to petition through appeal with the Committee on Courses of Instruction effective fall 2018.

VII. Request to Change Procedures Regarding ELWR Holds

At the request of the Committee on Preparatory Education (CPE), we reviewed the procedures used to prevent students who have not satisfied ELWR from taking courses beyond the 4th quarter. To prevent these students from taking classes beyond the 4th quarter, a hold was placed on their record. This caused difficulties for the students who satisfied ELWR by the end of their 4th quarter; their inability to sign up for classes often caused them to fall off-sequence in a major course series, which can significantly impact time to degree. To address this problem, CEP agreed to allow these students to enroll in classes during at the normal time during their 4th quarter. Once the ELWR results are available, students who do not satisfy the requirement will be administratively withdrawn by the Registrar's Office.

Routine Business

The committee participates in external reviews of academic departments and programs, new program proposals, changes to existing programs, and catalog materials.

- New program proposals reviewed and approved this year included Applied Linguistics & Multilingualism B.A., Science Education B.S., and Minor in Sustainability Studies.
- CEP recommended the discontinuance of the B.S. in Physics Education and Biology Education.
- CEP participated in the external reviews of the following departments: Applied Mathematics, Statistics, Biomolecular Engineering, Earth & Planetary Sciences, Education, Feminist Studies, Film & Digital Media, History, Music, Politics and Sociology.
- CEP also reviewed mid-cycle reports and made recommendations on the length of review cycle for the following departments and programs: History of Consciousness, Latin American and Latino/a Studies, Literature, Physics, Spanish Studies, Technology Management, Theater Arts and the Writing Program.
- The UNEX certificates in Embedded Systems and VLSI Engineering were renewed for another five years. More information about the following certificates were required before CEP could approve their renewal: Early Childhood Education and Early Childhood Education: Supervision and Administration, Instructional Design and

Delivery. The Supply Chain Management certificate is pending approval due to inconsistent course numbering.

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

- VPAA Request for Renaming College 8; Rachel Carson College (October 2016)
- VPAA Request for Review of seven FTE Transfers (October 2016, February 2017)
- Senate Chair request to review the draft Presidential Policy on International Activities for Systemwide Review (October 2016)
- Senate Chair request to review the draft UC Learning Data Privacy Principles & Recommended Practices (October 2016)
- CPE Request to Review Procedures Regarding ELWR Holds (October 2016)
- Vice Provost for Student Success (VPSS) Request for Alternate Advising Plans (November 2016)
- VPDUE Request for Final Exam Schedule Changes (November 2016)
- CEP reviewed and rescinded the policy on Open Campus (November 2016)
- VPAA Request to Review Teaching Assistant Allocations for Graduate Students (January 2017)
- VPAA Request for External Review Deferral for the Computational Media Department (November 2016)
- VPDUE Request to review proposed summer salary adjustments (January 2017)
- Senate Chair request to review the draft proposed revisions to Senate Regulation SR630 for the addition of systemwide course additions (January, 2017)
- VPAA request to review the Curricular Capacity Report (January 2017)
- Review Request for Impaction from Computer Science Department (January 2017)
- Review report on catalog year changes (February 2017)
- Registrar request to review appeals to graduation for students who miss the deadline. (February 2017)
- VPDUE request to review the policy on Withdrawal or “W grade” guidelines (February 2017)
- VPDUE request to review the policy on waiving two units for the 180 unit graduation requirement (February 2017)
- CEP discussed the Senior Comprehensive Exit Requirement (February 2017)
- CEP discussed a policy for online course offerings (February 2017)
- CEP consulted with the Curricular Management Group for program statement priorities for vendor selection (March 2017)
- VPAA request to review the MOUs for the Arts Games and Playable Media major and Computer Game Design (March 2017)
- Review of conforming changes to legislation for CEP’s charge and other Santa Cruz Division Chapters shifting duties from CEP to CCI (April 2017)
- Review Disciplinary Communication Grants (DCG) submissions (April 2017)
- Review Major Transfer Screening requests (May 2017)
- Senate Chair request to review UCSC’s Electrical Safety Policy (May 2017)
- Senate Chair request to review the draft Pedestrian Plan (May 2017)
- Senate Chair request to review Sustainability and Academic Planning (May 2017)

CEP benefited from the expertise of an impressive group of invited guests, including the Associate Registrar Margie Claxton, and Academic Preceptors representative Ethan Hutchinson. Finally, we thank Senate Analysts Susanna Wrangell and Kim Van Le and the 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

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September 27, 2017

COMMITTEE ON EMERITI RELATIONS

Annual Report 2016-17

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met three times during the 2016-17 academic year. This year, CER's work focused largely on making improvements to the timeline and call of the Edward A. Dickson Emeriti Professorship Award. In addition, CER co-sponsored the annual Pre-Retirement Planning Workshop along with the Academic Personnel Office (APO), participated in the UCSC Retirees Welcome to Retirement Celebration, and proposed legislation to increase CER membership.

CER Legislation

The previous CER Charge in the Santa Cruz Division Manual limited the membership of the committee to two emeriti and one non-emeritus, plus the Chair of the Committee on Faculty Welfare serving as ex officio. This year, in order to expand the membership of the committee, CER proposed legislation changing the charge to expand the membership to include "at least two emeriti and no more than five emeriti and one non-emeritus Santa Cruz Division members". The legislation change was approved during the spring Senate meeting of May 19, 2017.

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. In 2015-16 and by request of CP/EVC Alison Galloway CER assumed management of the award and collaborated with the UCSC Emeriti Association to re-envision the award and create a new process and guidelines for the award on our campus.

A call for 2017-18 proposals went out to Senate Faculty, divisional deans, and department chairs on November 18, 2016 with a deadline for submissions of January 16, 2017. The deadline was later extended to January 30, 2017 in order to encourage more applications. 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. CER is pleased to continue its collaboration with the Emeriti Association in this endeavor.

The 2017-18 Dickson Professorship was awarded to **Catharine Cooper, E.G. Crichton, and Murray Baumgarten.**

Murray Baumgarten, Professor Emeritus of Literature (Humanities), will be pursuing his ongoing research on Primo Levi. His proposal was entitled "From the Ghetto to the Nazi Lager: Primo Levi's Modern Journey."

Catharine Cooper, Professor Emerita of Psychology (Social Sciences), will update and revise her book, which will include web-based and other modalities of outreach, called "Bridging Multiple Worlds Toolkit."

E.G. Crichton, Professor Emerita of Art (Arts), will complete her research project entitled "OUT/LOOK and the Birth of the Queer."

All three of these Emeriti wrote persuasive proposals, and are doing projects that are timely and relevant, and have done outstanding work in the past. Designating them as Dickson Emeriti Professors and providing them with modest funding that will help them to complete their projects will honor them as well as be a credit to UCSC.

The Dickson Emeriti Professorship Recipients were announced by Chancellor Blumenthal during the annual Emeriti Association luncheon on March 23, 2017 and at the Spring Academic Senate Meeting of 2017. In the future, we look forward to having the names of the new Dickson Emeriti Professors announced and publicized in additional venues.

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. In order to emphasize this requirement, in spring 2017, CER made adjustments to the 2018-19 award call to further emphasize and clarify the expectations regarding a final presentation and/or event and associated budget. These events will be announced by CER in a timely and appropriate manner and publicized further by other relevant groups.

Retirement – 3rd Tier and a Need for Education

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). Following divisional feedback, President Napolitano 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), have continued to monitor the implementation and effects of the new third tier of UCRP retirement in 2017-18.

In meeting, members expressed concern about the lack of systemwide pro-active education for incoming and junior faculty considering the new options and the associated risks. CER encourages the UCSC administration and Benefits Office to offer workshops and take active steps to ensure that incoming faculty are prepared to make informed decisions while choosing a retirement plan, and to ensure their retirement readiness in the future.

Pre-Retirement Planning Workshop

In past years, the Academic Personnel Office and CER have 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 contributed 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). During Spring of 2017, the plan was changed to create an occasion in which both

faculty and staff participated in a joint informal panel about the state of retirement and retiring, sharing their tips, cautionary and joyful anecdotes, and experience with negotiating the “nuts and bolts.” (The “nuts and bolts” of retiring are somewhat different for staff and Academic Senate faculty, particularly because of the possibility of teaching recall as well as various privileges, post-retirement associations, and so forth; but many social and psychological aspects of retirement and planning for it are shared by the two categories.)

This year, the informal joint panel included emeriti from Literature, Social Sciences, and Physical and Biological Sciences, as well as two staff members, one from the Library and one from Information Technologies. All panelists did an excellent job, and CER believes this new format is very productive and enjoyable for both categories of retirees. CER encourages faculty who are planning on retiring in the next three years to attend next year’s pre-retirement workshops.

Respectfully submitted;
COMMITTEE ON EMERITI RELATIONS
Linda Burman-Hall
Daniel Selden
Stefano Profumo, *ex Officio*
Shelly Errington, Chair

August 31, 2017

COMMITTEE ON FACULTY WELFARE Annual Report, 2016-17

To: Academic Senate, Santa Cruz Division

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

CFW’s work in 2016-17 focused attention on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life. This year, CFW decided to conduct a survey of Senate faculty to determine the top faculty welfare priorities for the campus. Determining faculty welfare priority was deemed especially timely in view of the imminent hire of a new Campus Provost/Executive Vice Chancellor. In addition, CFW worked closely with the administration to implement employee childcare, brought 2016-17 increases in out of pocket maximums for UC Care to light systemwide, and urged the administration to consider Santa Cruz cost of living when considering faculty salaries and conducted, for the first time, a system-wide comparative study of salary competitiveness factoring in cost of living following three different metrics.

Faculty Welfare Priorities

One of the primary goals of the Committee on Faculty Welfare (CFW) during the 2016-2017 academic year was to establish a list of *top five faculty welfare priorities* for the campus to submit to the attention of the incoming CP/EVC. In order to accomplish this goal, during fall 2016 CFW conducted a survey of Senate faculty on faculty welfare priorities. The committee shared these results with Interim CP/EVC Lee on March 6, 2017.¹ in order to open up a conversation of shared campus priorities in terms of faculty welfare.

The survey yielded 137 responses, i.e. a response rate of around 25% of all campus faculty. As for demographics, the majority of respondents were Full Professors (27% response rate, 82 respondents), with a significant representation of Associate Professors (22%, 31 respondents) and of Assistant Professors (22%, 20 respondents), and a small representation of Emeriti (3 respondents) and Lecturers w/ SOE (2 respondents). Of the 124 respondents who answered an optional question about gender, 50.4% were male, 46.3% were female, and 3.3% elected “other (not listed)”.

The survey indicated that all ranks and genders shared the same top five priorities in terms of faculty welfare concerns. **The top priorities are: faculty salary, a childcare facility, research resources, housing, and healthcare.** However, the committee found that the relative ranking of these five priorities varied according to the respondent cohort. CFW looked at the response averages as well as at the number of times an item was ranked as a top priority, and compared this to a breakdown by:

- (1) Assistant and Associate Professors only;
- (2) Female respondents only; and

¹ Profumo to Lee, 33/6/17, Re; Top 5 Welfare Priorities for Senate Faculty

(3) Female Assistant and Associate Professors respondents only.

CFW found that the responses from group (1) were similar to the overall responses, with the only difference of childcare *financial assistance* being included in the top 5 and not health care; Group (2), female respondents, ranked *by far as the top priority* having a childcare facility on campus, with research resources and salary the top priorities number 2 and 3, respectively, and housing being rated as highly as having financial help for childcare. Finally, group (3) ranked having a childcare facility on campus as by far the top priority, similarly to group (2).

How can and should these results guide campus priorities and the stream of resources, and what do the results mean for the UCSC campus? CFW deemed that the answer to these questions should be an act of shared governance between the administration and the Academic Senate. However, following the results of the survey, it was clear to CFW that in order to recruit and retain high-quality faculty the UCSC campus will need to (1) create and maintain **competitive salaries** and (2) **establish childcare for campus employees** in the very near future while continuing to monitor healthcare and providing housing help and research resources.

Healthcare

During Open Enrollment in fall 2016, CFW noted that there would be significant increases in out of pocket maxima (also known as MOOPs) for those enrolling in UC Care in 2017. The concern was brought by Chair Profumo to the attention of the University Committee on Faculty Welfare and the UC Health Care Task Force (HCTF). Neither parties were aware of the potential significant impact of the planned increase. The conversations resulted in UCFW demanding a consultation with UC Care Executive Director Self-Funded Health Plans Laura Tauber, and at a following meeting with consultants from Alliant, who had determined the nature of the MOOP increases. As a result, it was determined that the process had not been conducted in a clear and fair way, and a joint statement by UCFW and the HCTF demanded that limits be returned to the 2016 levels. The committees were informed that it was too late to change the out of pocket maximums for 2017, but the maximums are expected to return to the 2016 levels in 2018.

Faculty Salaries

The Committee on Faculty Welfare annually reviews faculty salary comparative data and recently finalized its analysis of faculty salaries on the most recent data available, comparing UCSC with the other UC Campuses. The most recent data available to CFW corresponds to the October 2015 payroll extract in the UC Office of the President Corporate Data Warehouse. This dataset does not reflect all 2015-16 personnel actions, nor the July 1, 2016 academic salary plan. The data contained salary information on 7,309 faculty members from all campuses except UC San Francisco, a primarily medical campus. Of these faculty, 1,532 were on the Business, Economics and Engineering (BEE) scale, and 5,777 were on the regular (REG) scale. In this analysis CFW also used most of the available archival data from previous years, namely from 2005 to 2015 for UCSC and for 2011 to 2015 for the other UC Campuses.

This year's CFW salary analysis focused on three aspects:

1. A **comparison of median UCSC salaries** at the Assistant Professor, Associate Professor, and Full Professor steps 1-5, steps 6-9 and Above Scale ranks **with the 9 UC Campuses**

- medians**, including an analysis of the 75th and 90th percentile (corresponding, respectively, to the top 25% and 10% salaries at each rank/step);
2. A systematic study of the effect of the **cost of living** in comparing UCSC salaries with those UC-system-wide;
 3. A study on the **effects and trends of UCSC's "Special Salary Practice"**, also known as "Merit Boost Plan" in comparison with salary growth trends in the UC-system.

The summary of the findings pertaining to the above three aspects are as follows:

- UCSC's salaries on the REG scale continue to lag the system-wide median by up to 5%; the salary gap is much more significant at the 75th percentile (typically around 5% at *all ranks*) and at the 90th percentile (typically around 10% at *all ranks*); the salary gap at the 90th percentile is also very significant for the BEE scale.
- Factoring in cost of living, UCSC's median salaries lag between 5% and 10% the system-wide medians consistently through all ranks on the REG scale; This finding is largely independent of the methodology and sources employed to assess cost of living, and of comparing UCSC's salaries to the 7- or 9-campus medians.²
- UCSC's "Special Salary Practice" (SSP) has *barely allowed UCSC's median salary growth to be on par with system-wide salary growth*, at all ranks. UCSC median salary growth with the SSP was nonetheless *slower than system-wide growth at all ranks/steps*: continuing with the current SSP would not even close current UCSC's salary gaps. Our analysis indicates that eliminating the *current* SSP would widen UCSC's median salary gaps at all ranks anywhere between 7% and 11% over the next 5 years and between 10% and 20% over the next 10 years.

For several reasons reported in CFW's full salary report, CFW's 2017 Faculty Salary Analysis exclusively focuses on comparing UCSC median salaries with the 9-campus median salaries, and not with the 7-campus median. The analysis also additionally focuses on the median 75th and 90th percentile (i.e. the subset of 25% and 10% highest salaries at a given rank/step) salary comparison. It is the Committee's opinion that competitive salaries for high-performing faculty are highly strategic, for reasons that include (i) preventing departures of faculty ("preventive retention") and (ii) enhancing the quality of campus' research and reputation.

Figure 1 shows, for the REG salary scale, the percent difference between UCSC's median salaries at the 5 rank/steps of (1) Assistant Professor (all steps), (2) Associate Professor (all steps), (3) Professor, steps 1-5, (4) Professor, steps 6-9 and (5) Professor, Above Scale, and the 9-campus median salaries at the same 5 ranks/steps. The blue columns indicate the median of all salaries at the given rank/step, while the red columns the 75th percentile (top 25% salaries at that rank/step) and the orange columns the 90th percentile (top 10%).

² The "7-campus" set excludes UCSF, UCB and UCLA; the "9-campus" set excludes UCSF.

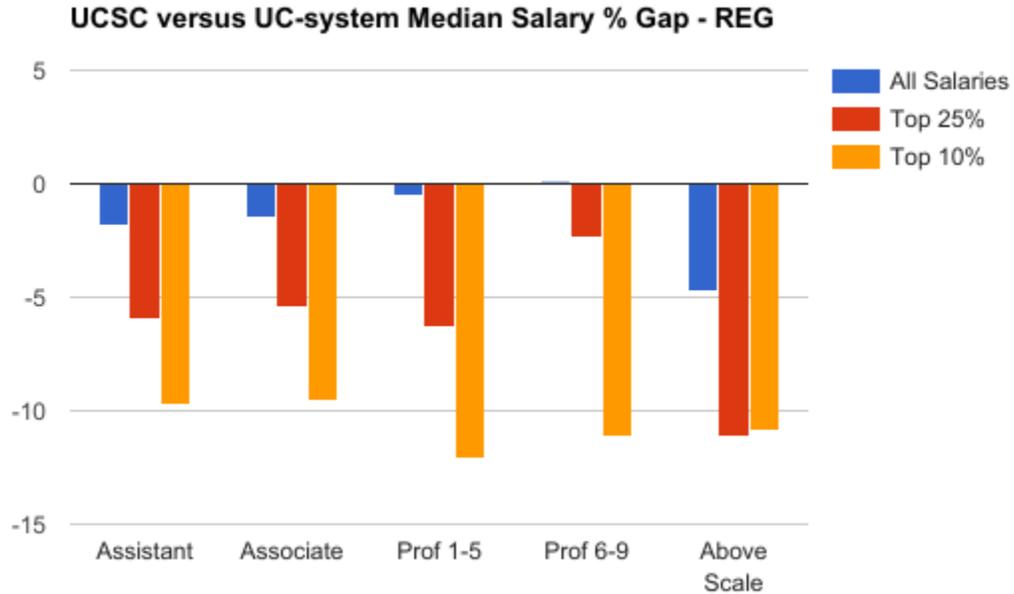


Figure 1: Salary gap between UCSC median salaries at a given rank/step and the University of California 9-campus median salaries, on the REG scale

Including all faculty at a given rank/step, *UCSC median salaries continue to lag behind the 9-campus median* with the one exception of Professor 6-9 (+0.1%). The largest gap is at the Professor Above Scale rank (-4.7%), followed by the Assistant Professor rank (-1.8%). UCSC salaries fare much worse in the top 25%, with gaps ranging from -2.4% at the Professor 6-9 rank to -11.1% at the Professor Above Scale rank, and typical gaps around 5%. The trend is increasingly worse for the top 10% earners, with typical gaps around 10%, with the largest gaps at the Professor 1-5 rank (-12.1%) and the smallest gap at the Associate Professor rank (-9.6%).

Figure 2 shows the same analysis for the BEE scale, where, however, the significance of our results is somewhat impacted by the much smaller statistics. The key trend of UCSC’s median salaries vary significantly, lagging behind 9-campus levels for the top earners (90th percentile) is confirmed, with typical gaps between 10% and 20% across all ranks and steps for the BEE scale.

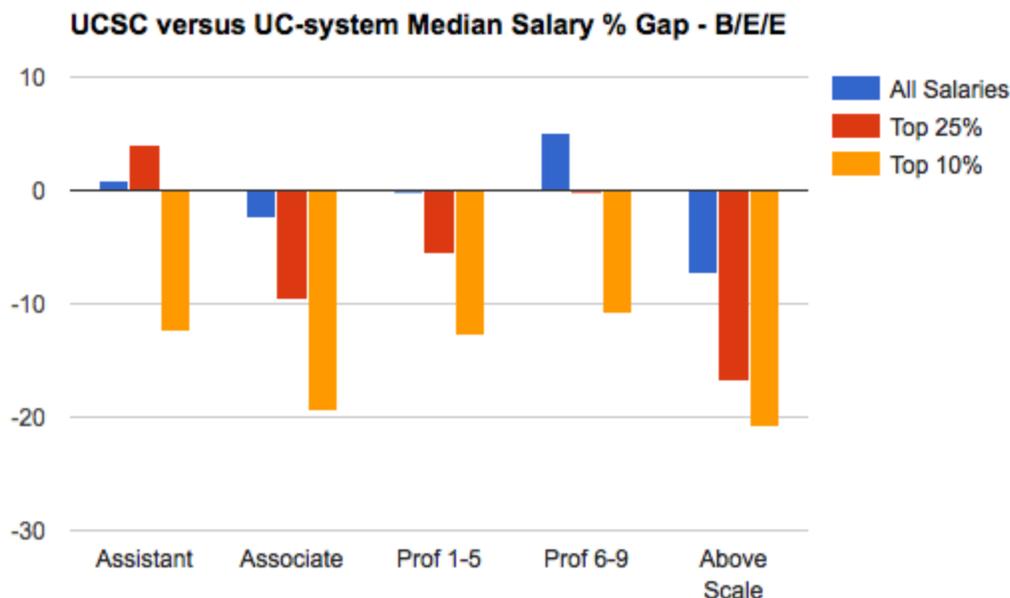


Figure 2: Salary gap between UCSC median salaries at a given rank/step and the University of California 9-campus median salaries, on the B/E/E scale

These results indicate that UCSC’s median salaries, even without considering the significant impact of different cost of living across the 9 campuses, *have not closed the gap to system-wide levels*. Furthermore, CFW’s analysis finds that the largest differences emerge among the top earners/highest performers at all ranks and steps, indicating that *high-performing faculty at UCSC tend to have much less competitive salaries than at other UC campuses*. This fact has important implications for retentions and for the campus reputation and image.

Factoring the cost of living is a key element in gauging the competitiveness of salaries. As indicated in the Senate Executive Committee (SEC) Recommendation on Faculty Salaries dated May 5, 2009 (p. 2): “Our longstanding position at the bottom end of the salary comparisons, in conjunction with the high cost of living in the Santa Cruz area, has intensified the salary disparities between our campus and the rest of the system. Thus the problem of low salaries in the UC system as a whole has particular local intensities.”

CFW decided this year to study the impact of cost of living on salary competitiveness and to carry out a comparative analysis with the 9-campus system. To estimate the potential systematic uncertainty in evaluating cost of living, CFW decided to adopt three different approaches and methods, described in detail in CFW’s full salary report. The overarching finding is clear: adjusting for cost of living, UCSC median salaries lag dramatically behind UC-wide median levels. Specifically, on the REG scale, at the Assistant Professor level while the nominal gap in median salaries is -1.8%, the cost-of-living adjusted gap is estimated to be between -10.6% and -13.5%; similarly, while nominally UCSC’s median salaries at the Assistant Professor level on

the BEE are 0.8% greater than the 9-campus median, the gap is actually between -7.7% and -11.4% factoring in cost of living. Similar conclusions hold for all rank and steps.

Figure 3 shows UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, REG scale. Figure 4 shows UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, BEE scale. From these results, CFW concludes that, since for all practical purposes cost of living is a crucial factor in assessing a job offer or for a retention offer, this variable should be carefully accounted for. For the purpose of faculty welfare, the relevant metric is not absolute dollar amount, but dollar amount compared to cost of living. CFW concludes that UCSC’s salary gap compared to other UC campuses continues to be at dramatically high levels, making our campus inherently less competitive on the job market, and severely impacting the welfare of UCSC faculty compared to peer campuses in the UC system.

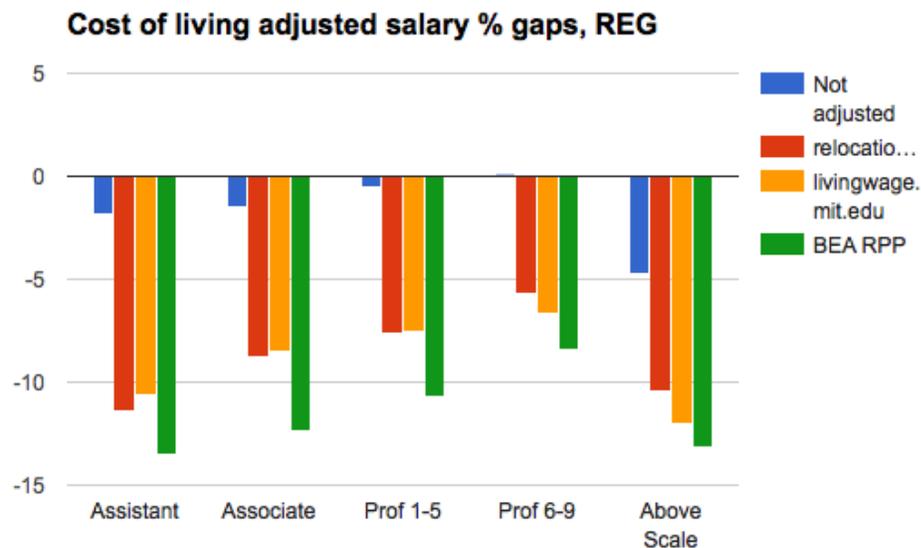


Figure 3: UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, REG scale

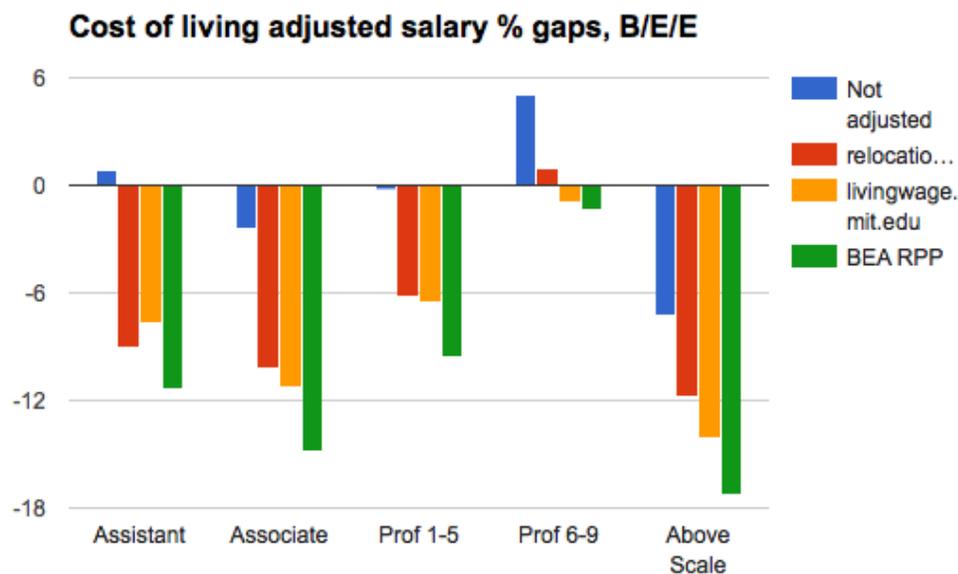


Figure 4: UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, B/E/E/ scale

During spring quarter, CFW analyzed the impact of the proposed SSP. In particular, CFW compared the trend in median salary growth at a given rank/step at UCSC versus the 9-campus system-wide median, and to extrapolate salary growth trends at UCSC before and after the implementation of the SSP. CFW’s study therefore sought to understand whether, as claimed in the CP/EVC proposals, the SSP would need to be “slowed” so that “our increases are comparable with those of our cohort”³ or whether in fact *the SSP is barely keeping UCSC’s salary growth in line with system-wide salary growth*. Our analysis indicates that in fact the latter is correct. More details can be found in CFW’s full report on the proposed SSP.

Child Care

Child care has been a top priority for CFW ever since the campus lost employee child care on campus in 2010. In the beginning of the year, there was no option of building a childcare facility, so we discussed with the administration using allocated campus childcare funding for a voucher system. This option did not appear viable. CFW then pivoted and worked closely with Vice Chancellor of Business and Administrative Services (VCBAS) Latham to utilize the new UC public-private partnership “P3” building model to develop a plan to build a childcare facility on campus. Thankfully, we succeeded in convincing the campus to make child care a priority. On May 31, 2017, the Chancellor announced that UC Santa Cruz is planning to build a new child care center and expand service to employees. A “Child Care Work-group” consisting of Academic Senate, staff, and graduate student representatives will convene in summer 2017 to finalize the program, cost structure, and facility needs in conjunction with a third party service

³ Galloway to Einarsdóttir et al., December 19, 2016.

provider. The committee is expected to submit a draft proposal and accompanying building specifications by September 1, 2017.

CFW has been informed by the administration that the remainder of the reserved central funds (\$730k), that CFW requested be put aside for childcare in 2012,⁴ will likely be used for infrastructure for the building project.

We applaud the administration for combining the faculty, staff, and student children into one comprehensive program and look forward to a productive collaboration.

Housing

CFW worked extensively with Steve Houser, Director of Capital Planning, and the Employee Housing office to improve on the explanations of how the Re-Pricing index is achieved. The 2017-18 UCSC Employee Housing Re-Pricing Program Recommendation reflected this dialogue and should be helpful to future CFW committees to assess future Re-Pricing Program recommendations. It is critical that CFW understands all that the Re-Pricing program does as they approve this index. Future CFW committees will continue to monitor the reserves that the Re-Pricing program has accumulated and consider how it can be used in developing future housing development.

CFW has been in close contact with VCBAS Latham regarding housing development of Ranch View Terrace 2, using the new P3 model. As has been recently announced, CFW will participate with a Housing Advisory Committee to develop a specific housing plan and work with the administration to find an appropriate way forward. CFW is very appreciative of the progress the administration has made and looks forward to a productive collaboration.

Partner Hire Resources

CFW has identified household income as a critical aspect of both the recruitment and retention of faculty. We have therefore focused on making sure the campus continues the salary merit boost program; however, campus needs to do more. One way campus can effectively increase household income is to help partners of faculty members find the best jobs they can. Currently there is no support on campus for this, except the remodeled Academic Personnel Dual Career Resources website.⁵ Therefore, CFW developed a list of partners of faculty who are willing to volunteer to interact with other faculty partners to help them understand the local job market. Currently, the Physical and Biological Sciences and Social Sciences Divisions have participated and over 80 faculty partners are signed up. Members of CFW are in the process of contacting the Baskin School of Engineering, Humanities and Arts Divisions to increase the participation across the entire campus. This will continue into the fall and hopefully achieve a steady state by the end of fall quarter 2017, at which point maintenance will be minimal. It should be noted that this plan was proposed by CFW to former CP/EVC Galloway in February of 2015⁶ and discussed with Interim CP/EVC Lee during a consultation on April 6, 2017. However, CP/EVC Galloway did

⁴ In 2012 CP/EVC Galloway agreed to allocate \$150,000 per year for up to five years, retroactive to 2010-11, to support the development of childcare services for faculty and staff.

⁵ UCSC Academic Personnel Dual Career Resources Website - <https://apo.ucsc.edu/employment/faculty-relocation/dual-career-resources%20.html>

⁶ Zachos to Galloway, 2/02/15, Re: UCSC Faculty Spousal/Partner Hire Resources

not respond to CFW's proposal, and Interim CP/EVC Lee expressed that he felt the plan was not sustainable and therefore not worth investing campus staff resources. An alternative plan was not suggested by the administration, even though Interim CP/EVC Lee acknowledged that partner jobs were the number one issue affecting the retention of faculty. CFW hopes that the resource will prove its importance for the campus, and that the administration will assume its management in the near future.

Retirement

Following the implementation of new tiers and shifts of retirement contribution to 403(b) funds, CFW's activities in the realm of retirement were limited this year. Concerns were raised during CFW discussions regarding possibly insufficient information and proactive education especially of incoming and junior faculty members on the new pension plans (something exists but was deemed insufficient), as especially noted by Committee on Emeriti Relations (CER) Chair Errington.

Transportation and Parking

The Advisory Committee on Campus Transportation and Parking (ACCTP) is comprised of staff representatives, Academic Senate representatives, faculty at large, and student representatives, and reviews transportation and parking policies, plans and services on campus. A representative from CFW serves on the committee each year. In the past academic year, the ACCTP advised on parking management programs for the Coastal Science Campus, changes in space allocation in Core West to improve availability for permit holders, and revised parking permit eligibility rules for undergraduates. The committee has also considered the campus sustainability plan and pedestrian plan, and the funding model and Metro contract provisions for campus transit service.

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 (Employee Housing), the Academic Personnel Office (Salary Data), VCBAS Sarah Latham (CC), and Interim CP/EVC Herbert Lee.

Respectfully submitted;
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August 24, 2017

COMMITTEE ON INFORMATION TECHNOLOGY

Annual Report 2016-17

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. The 2016-2017 academic year was focused on identifying and addressing IT service needs for UCSC faculty and providing guidance to the UCSC community on university- and system-wide IT issues. The CIT reviewed IT security policies and implementation issues, learning management systems, and campus printing challenges, as described in the following report.

Updates on Campus Cyber-Security Monitoring

The University of California has acquired a new cyber-security monitoring system called FireEye in response to the cybersecurity breach at the UCLA Health Center. It is projected that the campus will implement FireEye in the upcoming year. The committee consulted with Vice Chancellor for Information & Technology (VCIT) Mary Doyle, Director of Client Services & Security Janine Roeth, and Director of Information Security Byron Walker to review the possible implications of the mandate for a system-wide monitoring system and to ensure that there will not be any cause for concern for faculty. FireEye has greater intrusive capability but the campus will continue to adhere to the UC Electronics Communication Policy. The committee plans to draft a communication with Director Walker to keep faculty apprised of the implementation of FireEye (slated for fall 2017), and share best practices for information technology security. For more information about FireEye, please see the ITS Systemwide Cybersecurity Initiative Site.¹

Campus Learning Management & Course Evaluation System

The committee consulted and provided suggestions to Faculty Instructional Technology Center Manager Leslie Kern to assist with the campus transition from eCommons to Canvas, the new learning management system. Anecdotally, it seems faculty are satisfied with Canvas and appreciate the straightforward interface, noting the marked improvement over eCommons. For more information about Canvas or the various faculty instruction services provided the Center, please visit the Faculty Instructional Technology Center website.²

The committee received a request from the Vice Provost of Academic Affairs Herbert Lee to provide a recommendation for the campus new online course evaluation system. Due to member turnover and short time frame for response, members were unable to thoroughly review the two systems and deliberate adequately to provide an informed reply. Members were not clear which system would offer the best utility and recommended providing faculty and students the opportunity to test the systems to gauge user experience. Ideally, the chosen system will be flexible enough to respond as course evaluation practices evolve.

¹ <https://its.ucsc.edu/security/systemwide-cybersecurity.html>

² <https://its.ucsc.edu/fitc/index.html>

In a consultation, the Director of Learning Technologies Jim Phillips informed members that the campus has begun to negotiate a contract with *College Net-WhatDoYouThink*, a course evaluation and survey system. Director Phillips reassured members the governance group involved in reviewing the course evaluation system had taken the committee's concern under advisement.

IT Support for Faculty

In the effort to ensure that faculty receive adequate information technology support, the committee consulted with Academic Divisional Computing Director Andrea Hesse. She leads the academic divisional liaison staff who provide information technology support to faculty. The committee would like to see the ITS divisional liaisons work more with faculty, specifically towards receiving uniform and reliable IT service. The committee suggested that divisional ITS staff attend department and divisional chair meetings at least once a year to meet with faculty. Members encouraged Director Hesse to coordinate with central ITS on purchases of software licenses to create efficiency gains. Earlier this year, Director Hesse shared with the committee that she attended the Dean's Advisory Committee meeting to initiate attending faculty department meetings. Next year we would like to consult with Director Hesse to understand how faculty needs are being assessed and learn how to best convey this information for faculty to collaborate with their ITS divisional liaison on projects that would provide high value. For more information about IT support within your division, please visit the Academic Divisional Computing website.³

Printing from Linux System

The committee received a request in summer 2016 to address the UCSC faculty's inability to print from their Linux systems to PHAROS remote printer/copiers. The committee consulted with the Copier Manager Bill Kasper and he was able to work with Computing Director Jim Gustafson and Senior Systems Manager Ramon Burger to resolve this issue at the end of the academic year. Instructions are now available to students and faculty on how to print to the network from Linux. Please contact Copier Program Manager⁴ for instructions.

Data Center & Space

The committee wanted to gain a better understanding of the options available on campus for computationally intensive research and associated data storage. After consulting with VCIT Doyle, the committee confirmed that data storage and research data services are dependent on specific faculty needs and their Division; such services are not provided centrally by ITS. The committee would like to continue to discuss how to provide storage and research data services so they are available to faculty across the entire campus.

Review of Draft Information Technology Policies

Review of Draft UC Learning Data Privacy Principles & Recommended Practices

³ <https://www.adc.ucsc.edu/>

⁴ Copier Program Manager may be contacted at dragon01@ucsc.edu

Director Phillips, who is part of the University of California Education Technology Leadership Group, requested the committee review a draft of the “UC Learning Data Privacy Principles and Recommended Practices”. The committee was supportive of the document’s overarching goal and believe it is timely given how third parties are seeking to monetize data gained through classroom activities. However, the committee was unclear about the expected outcomes and applications of the principles listed in the document. Members were concerned that the “recommended practices” sound vague and, without clarifying whether “recommended practices” are indeed required, it remains uncertain whether third-party service providers will adhere to the listed practices.

Systemwide Senate Review: Draft Electronic Information Security Policy Review

The committee reviewed the Office of the President’s revised electronic information security policy, which will provide the framework to govern the UC system’s electronic information. The committee raised serious reservations about the expansive scope of the policy and requested clarification on the limits of the policy’s applicability. Members also noted that the lack of clarity about roles may result in faculty unknowingly assuming security responsibilities; the revised policy should be specific about what violations might lead to sanctions and what qualifies as non-compliance. The committee recommended producing a plain-language summary of the policy that makes clear the essential requirements for faculty and other employees to be in compliance.

Systemwide Senate Review: Draft Presidential Unmanned Aircraft System Policy

The committee reviewed the Office of the President’s draft unmanned aircraft system (UAS) policy. Members are concerned the proposed registration process may incur a significant administrative burden and hinder faculty’s use of UAS in their research. We suggested maintaining a list of authorized UAS users to mirror the campus’ Institutional Review Board (IRB) process whereby researchers are required to complete an online training prior to conducting research involving human subjects and then submit research project authorizations to the IRB. Similarly, once individuals have received and completed their UAS training they would be eligible to be an authorized UAS user on campus and could apply to the appropriate campus authority for blanket coverage of research programs requiring multiple flights. Overall, the committee is concerned the draft policy on UAS is onerous and possibly difficult to enforce, and we suggest it be revised to improve the ease of use of UAS for research and teaching purposes.

Review Revised UCSC Electrical Safety Policy

The campus electrical policy development committee drafted an electrical safety policy to impose electrical safety measures. While electrical policy does not fall within the committee’s purview, members nonetheless reviewed the policy. Members suggested clarifying the terms used in the policy and to be explicit about faculty’s responsibilities for electrical safety in conducting their research. The committee had additional questions about the various appendices and recommended a careful revision of the electrical policy to ensure employees are able to understand and reference this policy.

Collaborating with the Vice Chancellor for Information Technology

The committee was pleased to work with now retired VCIT Doyle. She kept the committee informed of pertinent ITS issues. After learning about the VCIT’s pending retirement, the

committee became concerned that with a change in leadership there may be proposed changes that could be detrimental to students and faculty. The CIT therefore conferred with VCIT Doyle to become knowledgeable of current ITS vision and initiatives. Members felt it was pertinent to learn about ITS priorities and resources in preparation for the upcoming leadership change. VCIT Doyle was open and receptive to presenting and informing members about each of the ITS units, important projects, and budget details. She communicated that a primary challenge for ITS is the division's lack of resources for continuing costs; for example, funds for classroom and equipment are all acquired via one-time funding. Also, it has been challenging to retain employees (due to retirement, etc.) and hire new, qualified staff. The ITS strategy is to grow internally and find candidates who want to work and stay in Santa Cruz despite the high cost of living.

Director Phillips also presented an overview of Learning Technologies unit. His unit provides faculty services through the Faculty Instructional Technology Center and the Library's Digital Scholarship Commons. Learning Technologies is responsible for supporting eighty-five classrooms, twelve computer labs, Library's computers, and media system. Current important projects include the Math department's online classes, support of the hundred-seat active learning classroom in the Science & Engineering Library, and implementation of Canvas. Their unit has also responded quickly to the committee's inquiry about the slow computers in the Social Sciences 1 and Engineering 109 labs; the computers have been upgraded and the processing speed has increased.

In conclusion, the committee looks forward to working with the interim Vice Chancellor for Information Technology Brad Smith and being a part of the re-opened search for the Vice Chancellor for Information Technology. The expected focus of the CIT for the next academic year is reviewing the UCSC IT infrastructure and services that support faculty research in computationally-demanding science and humanities disciplines.

Respectfully submitted;
COMMITTEE ON INFORMATION TECHNOLOGY
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August 31, 2017

COMMITTEE ON INTERNATIONAL EDUCATION 2016-17 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 as well as collaboration with the administration to develop a faculty led study abroad proposal review process.

Strategic Planning and Campus Structure for Internationalization

The committee strongly supports a campus strategy for global engagement that includes increasing our international enrollments and research collaborations, and has made efforts this year to provide input to the administration on a longer-term vision which can guide building out an appropriate structure and the development of strategic initiatives that will best serve our faculty, students, and the campus.

During the past two years, the committee has been engaging with the administration, following up on the Vice Provost of International Engagement position. (CIE to EVC June 18, 2015 and November 12, 2015), outlining key ideas to shape the job description and laying out the committee's recommendations. The committee continued this work this year. When CIE, during fall 2016, learned that the recently established Global Engagement Division was to be eliminated, CIE formally sent correspondence to the Chancellor (December 13, 2016) on its concerns with what it understood to be occurring, a request for information about the campus administration's vision for campus internationalization, and committee recommendations for developing a long term vision and strategy. This letter was quickly responded to by Associate Chancellor Sahni, who subsequently consulted with the committee on February 14, 2017. Associate Chancellor Sahni informed the committee that he had been tasked with developing a long-term strategy for international issues that were inclusive of committee recommendations. Some of the questions he posed for the committee included issues on which CIE, and the Senate more broadly, had previously taken formal positions on, including the title and reporting structure for the proposed leader for campus globalization (see CIE response to International Recruitment Assessment, October 2013; also the Senate Executive Committee's "Proposal for a Framework for International Engagement" February 2015).

After this consultation, the committee was informed by Senate Leadership of plans to name an interim Vice Provost for Global Engagement (VPGE) position to replace the retired VPGE. On March 17, 2017, the official announcement about this appointment was sent to the campus community. That announcement noted that VPDUE Richard Hughey had been concurrently appointed as interim VPGE, effective January 1, 2017. Since CIE strongly supports that the campus leader of global engagement should be a faculty Vice Provost position, the committee regarded the appointment of the interim VPGE as a positive development.

The committee agrees that a clear statement about campus vision is critically needed at this juncture, and would like to see increased intra-administrative coherence and guidance moving forward. The committee has some suggestions for areas of collaboration, and will be following up on these during the 2017-18 year. In particular, CIE would like to provide input to the administration and be consulted on the job description for the VPGE. Previous CIE correspondence (6/18/15; 11/12/15; 12/13/16) has outlined some broad points for consideration, and the committee looks forward to providing further feedback on the proposed job description. In addition, CIE welcomes the opportunity to provide feedback on other related issues to the search, including scope, timeline, plans for advertising, and the role of faculty in the search process. The committee has requested an outline from the administration about its vision and the planned roll-out for this position, and looks forward to continued work on this in the next year.

In addition, CIE would like to provide input to the administration and be consulted on the development of a strategic plan for global engagement and campus internationalization. The committee understands that there are several campus needs, including: increasing non-resident enrollment and creating opportunities for increasing enrollment of limited status students, and developing a longer term vision which can guide building out an appropriate structure and development of campus strategic initiatives. In the current political climate of the state, which over the recent past has included hotly debated issues such as non-resident enrollment caps, a state audit report (“The UC: It’s Admissions and Financial Decisions Have Disadvantaged California Resident Students” March 2016), and discussions about the “compare favorably” admissions policy, CIE believes that a clear and coherent campus vision and commitment of resources are needed to guide strategic planning, initiatives, and tangible next steps, and looks forward to partnering with the administration on the work ahead.

Review of Faculty Led Study Abroad Proposals

This year, the committee began conversations with then Vice Provost of Global Engagement Ferguson and now Assistant Vice Provost (AVP) of Global Engagement George during fall 2016 about faculty led study abroad experiences for undergraduates. CIE agrees that support for faculty-led study abroad opportunities are an important way to facilitate broader international engagement, increase the visibility of UCSC, and enhance undergraduate education through multicultural interactions. The Division of Global Engagement (GE)/Study Abroad Office noted that plans were in place to provide Study Abroad Office support for launching these types of courses, and CIE expressed an early interest working with AVP George in reviewing the proposals, in conjunction with the Senate Committee on Educational Policy and/or Courses of Instruction (CCI has purview over course approval) as appropriate.

Over the course of the year, the committee worked with AVP George to develop an outline for implementing a two-step campus review process of faculty led summer study abroad proposals. CIE’s review would constitute the first step of a two-step proposal review process. The committee considered academic content/quality (international components), preparedness of the faculty member/course instructor proposed to teach the course (international experience, connections with the host institution, familiarity with the area/language), quality of the partner institution (location and facilities), and proposal discussion of overall safety of the program. CIE is not equipped to evaluate risk and safety of the program; this will be evaluated comprehensively by the Study Abroad Office. Instead, CIE reviewed for evidence that the

faculty is aware of the issue and has a plan to address it. Proposals approved by CIE would then be invited by Global Engagement to submit a full proposal to the Study Abroad Office (actual course approval is under the purview of the Senate Committee on Courses of Instruction). During winter and spring, the committee reviewed administrative proposal forms developed by AVP George and developed its own proposal review forms. During spring quarter, the committee informally reviewed as an informational item (due to administrative time constraints) and without providing recommendations, two proposals forwarded by AVP George for summer 2017 faculty led proposals.

The committee formally reviewed faculty led summer study abroad proposals for summer 2018, with the understanding that this was a new pilot phase review process. As outlined below, proposals should be reviewed by the committee over a year ahead of their planned offering, and the process this year was a pilot phase because of the time constraints, with little time for the call, and limited time for review. In future years, as outlined below, we expect that these deficiencies of the review process will be corrected.

During spring 2017, the committee reviewed thirteen faculty led proposals from faculty in the Arts, Humanities, Social Sciences, and Physical and Biological Sciences Divisions. CIE reviewed the proposal and all supplemental documents submitted by the faculty (typically syllabi, and in one case, a letter of invitation from the institution abroad). Conversations with AVP George indicated that the Study Abroad Office could handle working with ten faculty proposals this year, which provided some context on “capacity” for the committee. The committee also requested notes from Study Abroad staff commenting on three areas: UCEAP overlap, an assessment of potential risk and safety issues, and potential budgetary concerns.

Recommendations for Future Review Cycles

The committee will continue working with Global Engagement during 2017-18 to improve the process for review of faculty led study abroad proposals. The committee also provided iVPGE Hughey with a set of recommendations to improve the review process in the future, including:

- **Timeline for Review:** As this was the pilot year, the committee agreed to work on an expedited timeline to review the proposals, with plans to correct that in future cycles. However, this year, the timeline for faculty to prepare proposals was also extremely short. The call to faculty went out on May 23, with proposals due June 1. Next year, the committee believes faculty would benefit from extending the time between the call and deadline. In addition, the committee has requested additional time to review the proposals and make more extensive recommendations. The committee this year had one meeting to review all thirteen proposals. In future cycles, reviews should take place over at least 3-4 CIE meetings. CIE will work with GE on the details of implementing a revised timeline.
- **GE/Study Abroad Capacity:** CIE recommended that it would be helpful to have a clear indication of how many proposals can be handled by the Study Abroad Office for development early in the process, and to have this information sent out with the call for faculty to be aware of. The committee anticipates that as the timeline for review is increased, there will be more proposals submitted in future cycles.

- **CCI Approval and Proposal Submission:** Many of this year's proposals had not yet submitted the course for CCI approval. While having CCI approval prior to CIE's review would likely result in a more fully developed proposal, this year's call and timeline did not permit this. On the other hand, another argument might be that CIE review of a proposal might be worthwhile before full course development and CCI review. This is a question that needs more discussion, and CIE will be taking up this issue during fall quarter 2017, in tandem with a review of the CIE forms based on what this year's review process.
- **Update on Selected Proposals:** The committee looks forward to an update on which proposals are selected for full development after the second step review by GE/ Study Abroad. The committee recommends that proposals "not recommended" do not move forward. However, the committee is willing to review revised proposals for those that were originally reviewed by CIE in the "possible but insufficient information to assess" category. An initial meeting with iVPGE Hughey and AVP George has indicated a small number of revised proposals will come forward for CIE review and consideration during fall 2017.

International Enrollment and Recruitment

During 2015-16, the committee re-instituted annual consultation with the Associate Vice Chancellor for Enrollment Management (AVCEM) Whittingham on international recruitment, admissions, and enrollment related issues. This year, the committee consulted with AVCEM Whittingham during winter quarter. The consultation focused on orienting the committee and providing data on campus nonresident enrollments for 2016-17, targets for the following year, and overall aspirational targets for the near term. The committee also requested an update on the Admissions International Recruitment plan, in order to better understand goals and vision for international admissions. The committee also requested an update on collaboration and coordination between Admissions and Global Engagement (Admissions focuses on degree seeking international students and Global Engagement is focused on limited status students). CIE appreciated AVCEM Whittingham's willingness to provide this overview, which was very helpful in orienting the committee to the "state of international admissions" on the campus. The consultation also raised areas of concern that the committee will continue to monitor, including—the level/depth of collaboration between Admissions and Global Engagement on recruitment practices and overall international nonresident planning efforts, as well as how admissions practices connect with a broader campus vision for internationalization. These are areas of continued interest for the committee in the next year. The committee will continue to consult with AVCEM Whittingham again during 2017-18.

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:

- Draft Presidential Policy on International Activities (November 2016)
- Revised Proposed Revision to UCIE Bylaw 182 (December 2016)
- Proposed Revisions to Senate Regulation 630.D (March 2017)

Continuing Issues for CIE in 2017-18

- Participate in and monitor campus plans for internationalization, including the administrative search for campus leader for global engagement
- Continue collaboration with administration in review of faculty led summer abroad proposals
- Monitor Global Engagement initiatives for increasing international enrollment, including proposal for study abroad exchange programs

Respectfully submitted;

COMMITTEE ON INTERNATIONAL EDUCATION

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August 31, 2017

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Annual Report 2016-17

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 [and opportunities] facing our libraries.

Science and Engineering Library

In the summer of 2016, approximately 80,000 titles (journal runs and monographs) were removed from the Science and Engineering (S&E) Library. A considerable amount of the committee's time this year was spent responding to this event and discussing ways in which COLASC, the Academic Senate, and individual faculty might have a stronger voice in contributing to a vision for the future of the Science and Engineering Library.

Senate Resolution

During its November 8, 2016 meeting, the Senate passed a resolution responding to the removal of titles from the Science and Engineering Library. Members reviewed and reported¹ to the Academic Senate on May 16, 2017 on the Library's response and the aftermath of the resolution as appropriate to the committee's purview. Please see enclosed COLASC report to the Academic Senate.

Consultations with University Librarian Cowell, Associate University Librarian, Collections & Services Scott, and Interim CP/EVC Lee

In order to better understand the administration's thinking about the Science and Engineering Library, the committee consulted with Associate University Librarian Kerry Scott on November 10, 2016 and with Interim CP/EVC Herbie Lee on April 27, 2017. In the consultation with AUL Scott, the committee discussed the decision-making that led to the removal of titles and the processes that were used to determine which titles to remove. Because a complete list of titles removed was unavailable, the committee advocated that such a list be reconstructed, with as much accuracy as possible. In his consultation, CP/EVC Lee discussed national trends for libraries and how these might be incorporated into a vision for UCSC's S&E library (see also CP/EVC Lee's January 24, 2017 Tuesday Newsday article: *A Reimagined Science and Engineering Library*²). The committee raised questions about the consultative process and expressed strong support for an improved shared governance process going forward.

Review of S&E Library Business Case Analysis

¹ COLASC Report to Academic Senate re Science & Engineering Library Resolution – May 2017

² Article may be viewed at <https://news.ucsc.edu/2017/01/keynote-library.html>

The committee reviewed the Science and Engineering Library Business Case Analysis (BCA) in Executive Session during its meeting on April 27, 2017. This report had previously been reviewed by the Advisory Committee on Campus Planning and Stewardship and approved by Chancellor Blumenthal. In our response³, we discussed the unique nature of the library as compared to other single-use buildings on campus and advocated for a design and visioning process that involves all appropriate committees of the Senate (including, in addition to COLASC: CEP, COT, COR, CPB, CAAD, CER, CFW, CIT, CIE, and CPE) and the campus community more broadly. The BCA made a strong argument concerning the facilities challenges that must be addressed in a Science and Engineering Library renovation. However, the planned renovations go beyond merely providing additional study space and upgrading facilities; the renovations encompass a vision for the function of the library. The floor plans provided in the BCA suggest a vision that differs quite a bit from the current vision, yet the bulk of the BCA focused on different timetables for implementing this vision, rather than an argument for why this is the best vision for the campus at this time. The committee agrees that a new vision may well be warranted given the changing landscape for scholarly information in the 21st century. However, the campus community should be integrally involved in developing this vision. The committee does not have the authority to release the BCA itself but we strongly urge the CP/EVC to do so as soon as possible. We believe it is important to share this document openly in order to contribute to transparency and rebuild trust.

Review of Brightspot Consulting Report

The Library received a donation to commission the services of the higher education consulting firm Brightspot Strategy⁴ to analyze strategies to advance the success of undergraduate students in science, technology, engineering, and mathematics (STEM) fields and suggest how the library and planned renovations might contribute to those efforts. The committee reviewed the Brightspot report and the accompanying interview data to learn more about students' needs for library space, resources, and functions. Student "pain points" identified in the report included: not knowing where to find support, not feeling a part of the community, having no room for error in taking courses to progress in their major, and perceiving a lack of value in their degrees. Unfortunately, the report provided relatively little new information, in part because the number of students interviewed was small and the interviewees were not representative of the broad diversity of STEM majors. However, the report might be useful for communicating with potential donors.

Summary and Future Directions

There was a consensus among members that consultation with COLASC and the faculty more broadly concerning the removal of books from the S&E Library in 2016 was not sufficient, with resultant damage to the principle of shared governance. The committee is deeply concerned that plans for a renovated S&E Library are being developed without adequate input from and decision-making by the campus community. As detailed in our response to the S&E Library BCA, decision-making without adequate involvement of faculty and the Academic Senate creates a risk of further violations of shared governance. The committee recommends that a Task Force concerning the future of the Science and Engineering library be formed, to begin in fall

³ COLASC to Librarian Cowell re Review of Science & Engineering Library Business Case Analysis, 8/31/17

⁴ The Brightspot Strategy website may be viewed at <http://www.brightspotstrategy.com/>

2017. The task force should: (a) consist of faculty, staff, and students (graduate and undergraduate), (b) be highly visible (to include the Senate Chair and CP/EVC), (c) be clearly balanced between the different constituencies, and (d) have a limited purview, focused on the planned changes to infrastructure and services (unlike COLASC which has a broader charge that also includes diverse issues related to scholarly communication). The chair of COLASC, or another member, should be part of the task force. This task force can debate issues and issue a report. It is our belief that such a task force would enable honest, frank, and productive conversations about budget trade-offs and fund-raising imperatives that seem to underlie much of the decision making that has already happened with regard to the S&E library.

COLASC Faculty Survey

In 2014, the library conducted a faculty survey using modules from the company Ithaka S+R⁵. In 2015-16 COLASC reviewed the results of that survey. It provided a wealth of information but was focused mostly on specific issues such as copyright and library management of faculty/researcher data sets. A review of the open-ended portions of the survey raised questions about faculty needs and values and the committee decided to conduct a Senate survey to learn more about faculty priorities. This year, the chair visited several departments (Film and Digital Media; Music; and Molecular, Cell, and Developmental Biology) in order to better understand some of the issues facing faculty in different disciplines. In addition, the committee consulted with Anna Sher (Assistant Director of Institutional Research, Assessment, and Policy Studies) and the Library's Head of Assessment Greg Careaga to design the survey. For the most efficient use of faculty time and to maximize response rates, this survey will be administered in combination with a survey from COT. We encourage all Senate faculty to participate in the survey. COLASC members anticipate collaborating with Librarian Cowell to identify possible changes to better support faculty's research and teaching needs based on the survey results.

Open Access 2020 Initiative (OA2020) and UC Pay It Forward Project

The Open Access 2020 initiative (OA2020.org⁶) is an international initiative that aims to accelerate the transition to an open access publishing system from the current subscription system. This initiative invites universities and other stakeholders to publically make a commitment to principles of open access scholarship and to shifting the publishing model for scholarly journals from one that is subscription-based (libraries or individuals must buy a subscription to the journal or pay for individual articles in order to be able to read them) to a model that allows open access for everyone to all published articles ("Gold" open access). Open access fits well with scholars' desires to share knowledge widely but there are challenges that must be faced in determining the best alternative business model. In Europe, most higher education institutions are public entities; therefore, their governments endorse and subsidize the open access publishing model. The situation is different for universities in the United States because there are unlikely to be any direct government subsidies for an open access publishing model.

⁵ The Ithaka S+R website may be viewed at <http://www.sr.ithaka.org/>

⁶ The Open Access 2020 website may be viewed at <https://oa2020.org/>

The UC “Pay It Forward” project⁷ was a large-scale study to review the institutional costs of moving to a Gold open access system, assuming a business model in which authors pay article processing charges (APCs) to publishers for each accepted manuscript. The Pay It Forward study was conducted in collaboration with Harvard University, the Ohio State University, and the University of British Columbia and received support from the Andrew W. Mellon Foundation. The final report⁸ was released on June 30, 2016. The results of this project suggested a model in which each UC campus library would provide faculty a set amount (e.g., \$1,500) per article to apply toward the APC to publish that article. This amount would ensure that the author would have the funds to pay the APC for at least one journal in their field. If the author wanted to publish in a journal with a more expensive APC, the difference in funds might come from an internal or external research grant, an institutional research fund (one not drawn from the library’s budget), or some other source (e.g., the faculty member’s own start-up, unrestricted research, or personal funds). The assumption is that faculty will be able to influence the price that publishers set for APCs. If taken up by the administration, the model proposed in the Pay It Forward report could have profound impacts on faculty who publish in journals. The committee agreed that many of these impacts lie outside the charge of COLASC and were, therefore, beyond our ability to adequately review. Our recommendation is that the report be reviewed by all relevant Senate committees, perhaps including: CAP, CFW, COR, CPB, GC, CEP, CAF, CAAD, and CER. The committee sent a memo to the Senate Chair requesting that she evaluate the advisability of a broader review of the report.

Scholarly Communication Statement and Access to Government Data

In the wake of U.S. federal government decisions to remove data (e.g., concerning climate change) from government agency websites, members discussed drafting a scholarly communication statement to indicate their support of continued access to these data sets and to the importance of open access to data more generally. A sub-committee researched the issue and after further discussion, the committee decided not to write its own statement, but voted to affirm the statement issued by the University of California, Office of Scholarly Communication and UC Libraries (Statement on Commitment to Free and Open Information, Scholarship, and Knowledge Exchange⁹).

The University of California Curation Center¹⁰ (UC3), has developed a Data Mirror project¹¹ to ensure that Federal research data continue to be available for retrieval and reuse, now and in the future. The Data Mirror website states: “The Data Mirror is a complete, and routinely updated, copy of the main Federal government research data portal.¹² The Data Mirror points back to the ‘datasets of record’ on Federal agency websites for routine access. However, should these access paths become interrupted or inaccessible, Data Mirror also includes pointers to the UC3-managed copies, as well as additional registered replicas hosted by other institutions. Providing

⁷ The Pay It Forward project website may be viewed at http://icis.ucdavis.edu/?page_id=286

⁸ The report may be viewed at http://icis.ucdavis.edu/wp-content/uploads/2016/07/UC-Pay-It-Forward-Final-Report.rev_7.18.16.pdf

⁹ The statement may be viewed at <http://osc.universityofcalifornia.edu/2017/03/statement-on-commitment-to-free-and-open-information/>

¹⁰ The UC Curation Center website may be viewed at <http://uc3.cdlib.org/>

¹¹ The Data Mirror project website may be viewed at <http://uc3.cdlib.org/data-mirror/>

¹² The data portal may be accessed at <http://www.data.gov>

alternative search and retrieval opportunities helps to ensure that these important data will remain available for study and use in perpetuity.”

Letter to Faculty

To facilitate communication about issues related to the library and scholarly communication, the 2015-16 COLASC wrote a letter¹³ summarizing the most relevant resources and issues, especially information that the committee felt might not be well disseminated currently. This letter was sent to Senate faculty on December 2, 2016 and posted on COLASC’s web page.

Consultations

Consultation on Changes to Off Campus Access to Library’s e-Resources

There are two methods for off-campus access of library electronic resources: the campus virtual private network (VPN) and the OCA proxy. In response to an increasing number of security breaches through the off campus access proxy, the Library considered modifications to access via this method. Beginning in fall 2017, users may log in to the off-campus OCA proxy using their gold password. On March 16, 2017, COLASC consulted on this issue and helped identify subsets of users (e.g., visiting scholars) who might need and be entitled to off-campus access but might not currently have a gold password.

Consultation on the Redesign of the Library’s Website

On April 13, 2017, the committee provided feedback on the Library’s planned redesign of its website, including search options and the design and layout of a landing page for faculty. The committee expressed the willingness to provide further feedback on the redesign, as needed.

Consultation on 2017 Graduate Student Survey

The committee consulted with Anna Sher (Assistant Director of Institutional Research, Assessment, and Policy Studies) concerning the 2017 graduate student survey. The committee reviewed the portions of the 2015 survey that were related to the library and suggested additions and changes for the 2017 survey. We look forward to reviewing the results of the 2017 graduate survey and consulting with the University Librarian about any possible changes to services or resources that might be suggested by the survey results.

Review of Policy Changes and Official Correspondence

Review of Draft Revised Presidential Policy on Electronic Information Security

The committee reviewed the draft of the revised Presidential Policy on Electronic Information Security (IS-3) on May 25, 2017. The committee noted the importance of responding aggressively and intelligently to the increasing risk of hacks and security breaches and is grateful for the work that went into developing this policy. However, the scope of the policy was unclear. The committee’s interpretation of the policy is that it is an effort to create infrastructure for electronic information security, without mandating how information will be tiered and categorized within that security infrastructure. The committee noted that if our interpretation is incorrect, there are concerns with the policy. COLASC believes that decisions about the classification of data into security tiers should remain with the Academic Senate and individual researchers, as has historically been the case. Faculty are best positioned to weigh and balance

¹³ COLASC to UCSC Faculty re Library Related Campus Resources Information, 12/2/17

the needs for privacy with those for open access, and professional associations give researchers ethical codes that aid them in making those decisions. Additionally, the committee had questions about whether the policy would necessitate background checks for most or all faculty and graduate student researchers.

Carry-Over for Academic Year 2017-18

Demand-Driven Acquisition Model for Collections

The committee will review a report from Associate University Librarian Kerry Scott about the Library's demand-driven acquisition (DDA) model in early Fall 2017. Of particular interest are: the difference in costs between the new (demand-driven) and old models, whether requested books are purchased, whether purchased books are checked out, how many requested books are used for teaching (i.e., put on reserve for courses), and how many DDA requests are for books that were removed from the Science and Engineering library in 2016.

Library Funds for New Faculty FTEs

Members plan to review the recently implemented (January 2016) library start-up policy that includes a combination of one-time funds and permanent augmentations to the collections budget for each new central faculty FTE allocated to the divisions.

Open Access 2020

The committee will consider reviewing both the Pay it Forward report and the OA2020 statement to decide whether to recommend that UCSC become a signatory to the OA2020 Initiative.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2017

APPENDIX A

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
May 2017 Report

To: Academic Senate, Santa Cruz Division

In the summer of 2016, approximately 80,000 titles (journal runs and monographs) were removed from the Science and Engineering (S&E) Library. The Senate passed a resolution responding to this event on November 8, 2016. In this report, the Committee on the Library and Scholarly Communication (COLASC) provides information about our activities this year that relate to this resolution and to the Science and Engineering Library more broadly.

Follow-up on November 8, 2016 Senate Resolution

The Senate resolution included three calls, two directed to the University Librarian and one to the Chancellor and CP/EVC. We report on what actions have been taken by administrators in response to those calls. In addition, COLASC has taken some actions in keeping with the spirit of the resolution and we report on those as well.

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

During the November 18, 2016 Senate meeting, Librarian Cowell made a statement committing to a more effective consultation process in the future. To our knowledge, she has not made any public statements about avoiding large reductions to the print collections in the future. However, in multiple meetings she has assured COLASC that there are no plans for further large reductions in the print collections at the Science and Engineering Library, nor is there a plan for a large reduction in the print collections at McHenry Library. We believe that the spirit of the Senate resolution was to decry large-scale reductions in the print collections (especially with inadequate consultation), not to request that regular culling processes be suspended. However, in the face of the large reduction in the S&E print collections, it might be sensible to suspend culling those collections for a few years.

COLASC has had discussions with the University Librarian and with both associate university librarians concerning the consultation that occurred in May 2016. In our April 27, 2017 consultation with Interim CP/EVC Herbert Lee we also discussed this topic. All parties agree that consultation could be improved and will strive for that goal in the future. COLASC commits to enforcing the Senate's consultation policy, which closes committee agendas the first week of May. For any matters of substance, COLASC will also request that written supporting documents be distributed as part of the agenda to minimize the risk of miscommunication and to provide committee members time to carefully review the issues.

The original Senate consultation regarding the S&E Library collection reduction fell short in several regards. First, the consultation was requested very late in the year and past the Senate's typical cut-off date for consultations. Second, the description of the consultation topic referenced a pilot project related to de-duplication at the regional storage facilities, not de-duplication on the UCSC campus. Finally, no written materials were supplied to COLASC before or during the consultation. COLASC provided multiple suggestions in response to the oral presentation (See [Minutes from May 26, 2016](#)), but given the timing and nature of the presentation, the consultation was impaired. If written supporting documents had been provided prior to our meeting in May 2016, we believe that COLASC would have been better able to ascertain the scope of the project and could have responded appropriately. In addition, we have been reminded that a high-level or abstract proposal that seems eminently reasonable when examined at that level can become decidedly less so after digging into the details. Going forward, COLASC is committed to requesting plans that are detailed enough to allow us to provide a more insightful analysis.

(2) 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

On January 27, 2017, the University Librarian provided the Senate a pdf list of books removed. We recently requested, and received, an excel version of that list, which allows for sorting, enhanced searching, and an accurate count of the number of titles. That list is available on the Senate webpage: [Lists related to recent Science & Engineering Library consolidation project](#)

Some Senators have asked whether some books could be pulled back from the Northern Regional Library Facility (NRLF) or Southern Regional Library Facility (SRLF) storage facilities. Contrary to COLASC's original understanding (as reported in the minutes from the May 26, 2016 meeting), none of the titles removed during the S&E project were sent to the regional storage facilities. Only some of the books removed have a copy in the NRLF or the SRLF; for those that do, the storage copies are owned by another campus. It is COLASC's understanding that it is against system-wide library policy for any books to be removed from the RLFs and sent back to a campus; a campus can't even ask for its own books back from the RLFs. Separately, there is no procedure for transferring books from one library to another. A system-wide policy change would need to happen before such requests could be granted. COLASC is willing to investigate what it would take to effect such a change; however, before doing so it would be helpful to know how much demand there is for such exploration. We suggest that interested faculty work together within your disciplines to examine the lists provided by the University Librarian and identify key texts (with copies currently in the NRLF or SRLF). COLASC can compile those lists, evaluate the scope, and then (if warranted) gather information about what steps could be taken to change policy.

The library is severely under-funded, compared to the other UC campuses and to our comparator universities. There are currently no funds set aside to reacquire the removed books. However, the library now operates under a [demand-driven acquisition model](#). Under this model, there are no longer collections librarians purchasing monographs to build the collections; all purchases are made only in response to requests from users. Therefore, if there are titles that are essential to your current teaching or research that were removed from the collections, we suggest that you request that the library repurchase them. If you make any such requests, it would be helpful to COLASC if you would inform us (email COLASC analyst Le, kle11@ucsc.edu).

(3) 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.

During the November 18, 2016 Senate meeting, Chancellor Blumenthal made a general statement of support concerning the importance of the library to our academic mission (see draft March 8, 2017 minutes). COLASC consulted with Interim CP/EVC Lee during our 4/27/17 meeting and he made a general statement of support for the library. Interim CP/EVC Lee is also planning to discuss the library during his remarks at the Senate meeting on May 19, 2017.

We thank the Chancellor and Interim CP/EVC for these statements but note that an abstract statement of support is less reassuring than a more concrete commitment, one that acknowledges the importance of adequate funding and, ideally, dedicates more money to the library. Other than UC Merced (a campus that is still in its infancy), UCSC is the only eligible¹ UC that is not a member of the Association of Research Libraries (ARL), mostly because the level of resources devoted to our library is not large enough for us to qualify². Past COLASCs have generated plans for moving UCSC toward this goal, through gradually increasing the funding to the library, but none of these plans have been taken up by the administration. We invite the incoming CP/EVC to commit to supporting the library with funding that moves us closer to ARL membership and the associated research resources appropriate for a Research I university.

On-going Committee Business

Analysis of the S&E de-duplication project

Faculty concerns regarding de-duplication have focused both on the metrics used and overall availability of books that were removed. The following is a brief and preliminary analysis of the data shared by the University librarians (nb. the list of removed books is known to have some inaccuracies, so these analyses should be interpreted in that context). A total of 83,579 titles were removed. Of those, 17% are not owned by any UC library, while only 30% and 32% of titles have duplicates in the NRLF and SRLF respectively (by UC policy, there are no duplicates

¹ UCSF is not eligible because its Carnegie classification is "Special Focus Four Year: Medical Schools & Centers"; membership in the ARL is limited to doctoral universities with high or very high research activity.

² ARL membership criteria include (a) similarity of parent institutions (e.g., Carnegie classification), (b) similarity of size (including volumes held, volumes added, current serial titles received, total library expenditures, total library material expenditures, number of professional plus support staff, and total salaries and wages of professional staff), and (c) "significant contributions to the distributed North American collection of research resources"

(http://www.arl.org/storage/documents/publications/ARL_Membership_Procedures_Updated19Oct2016_NewBranding.pdf)

between the NRLF and SRLF). Of copies owned worldwide, 98% of de-duplicated titles have 21 or more copies available. On the one hand, there appears to be a high level of availability within the UC system (approximately 83%). Yet the number of titles that are not held by other UC institutions constitutes nearly 14,000 titles.

This brings up questions such as: If books are not available within the UC system, how does this impact accessibility? Is interlibrary loan (ILL) for those titles not held within the UC system possible? What is the difference in costs for UCSC to access (via ILL) books held worldwide in comparison to those owned by other UC institutions or held in the NRLF/SRLF facilities? How many of the books that are not easily accessible by ILL are available digitally?

We have heard anecdotally from some faculty about specific titles that were removed that are useful for current research and teaching. For example, a wide variety of undergraduate physics textbooks were removed, and the resulting on-site collection offers students a reduced variety in texts that cover topics germane to a number of introductory level physics classes. COLASC is interested in collecting any additional examples that faculty may be aware of (email COLASC analyst Le, kle11@ucsc.edu)

From COLASC's discussions with individual faculty, it appears that the changes that were made to the Science and Engineering Library during the de-duplication process may have affected both the research and instructional capabilities of faculty. A disciplinary analyses of the list of removed books could help COLASC to confirm or dismiss this assertion and we invite interested faculty to pursue such analyses and share them with COLASC.

We note that future plans for the S&E library also have the potential for impacts on the faculty. The need for faculty input at a meaningful level, whereby this input is sought in a broad, collaborative, and timely manner, goes beyond just the immediate needs of individual faculty. The new Science and Engineering Library is envisioned as a place of student education, learning, and interaction and it aims to provide adequate space and digital and core physical resources to facilitate this. Plans that are being drawn up for the new Science & Engineering Library will have major implications for how instruction and student learning is done at UCSC. As such, they may impact educational policy at UCSC for the foreseeable future. Shared governance means that it is essential for faculty to have a voice in shaping this future. This should be the province of not only COLASC, but it equally belongs within the purview of Academic Senate committees such as the Committee on Teaching, Committee on Educational Policy, and Committee on Faculty Welfare, as well as the Senate Faculty as a whole. COLASC urges the Library and the senior University Administration to seek such wide-ranging consultation with the Academic Senate throughout this process. Widespread distribution of any documents related to proposed renovations of the S&E Library would be a fine first start.

Faculty Survey

COLASC is working to design a survey for faculty, with a planned administration in Fall 2017. Our goals are to build on the 2014 survey (see [Minutes from April 28, 2016](#)), in part by asking directly about issues that were frequently mentioned in the open-ended responses to that survey. We want to amplify the voice of the faculty in providing input about services and resources that they are currently utilizing in teaching, research, and service, and services and resources that are not currently available but are desired. We also hope to gain some information about faculty priorities in the face of constrained financial resources. Example questions include the utilization of certain existing services and the potential utilization of services that could be (re)introduced, such as book delivery to faculty campus mailboxes. Potentially, the survey might also gauge faculty attitudes toward moving to "fee for service" models for some services. At the same time, the survey will try to inform faculty of the financial tradeoffs involved in certain decisions, especially when reality is rather counterintuitive, (e.g., in many cases, the cost of two interlibrary loans will roughly cover the cost of purchasing the book). We hope that all faculty will respond to the survey when it is distributed.

Conclusion

The Library deserves praise for providing as many services and resources as possible in the face of extreme underfunding. Our praise extends to librarians and staff in all areas and at all levels, who in our experience are, to a person, working with diligence, patience, and ingenuity to provide the best service possible to all library users. The library as an institution is part of a changing landscape of how students and scholars access information. Libraries across the country are reducing their print volumes in favor of electronic copies and there are concomitant changes in space utilization toward study and collaboration space. We appreciate that our librarians, too, must actively look

toward the future and think creatively about a vision for academic libraries in the 21st century.

At the same time, we believe that faculty, students, and staff must have a strong voice in creating that vision. Therefore, COLASC wishes to stress in the strongest possible terms the importance of broad, meaningful, and timely consultation about library issues: with the Senate, with student government organizations, and with the entire population of faculty, staff, and students. The library is central to our core missions of research and teaching; changes to library services and resources have the potential to critically impact our research and learning capabilities. For that reason, Senate consultation, in particular, must be robust if we are to honor the principle of shared governance. Such consultation fell short in this case, leaving many faculty and students feeling blind-sided by the S&E Library events. We call on senior administration, including the interim and incoming CP/EVCs, to champion transparency and shared governance for all future library decisions (including any plans for a renovated Science & Engineering Library) and to remember that the library is not just another building, it is the life blood of our academic mission.

Respectfully submitted;

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

Dimitris Achlioptas

Chelsea Blackmore

Michael Cowan

Elizabeth Cowell, *ex officio*

Jennifer Horne

Karen Ottemann

Graeme Smith

Eileen Zurbriggen, Chair

May 10, 2017

APPENDIX B

August 31, 2017

UNIVERSITY LIBRARIAN, Elizabeth Cowell
University Library

Re: COLASC Review of the Science & Engineering Library Business Case Analysis

Dear Elizabeth,

The Committee on the Library and Scholarly Communication (COLASC) reviewed the Science & Engineering (S&E) Library Business Case Analysis (BCA) in Executive Session during our meeting on 4/27/17. The renovation of the S&E library represents an exciting opportunity and a major investment by the University. Thus, we appreciated the opportunity to review this document. While it is unclear whether the BCA was intended to address campus stakeholders, our reading of it raised many questions both about the consultative process in which plans for capital projects are developed on our campus and about the specific vision for the S&E library represented in the BCA. The committee believes it is extremely important that the BCA be released to the full campus community, and we urge the CP/EVC to do so as soon as possible. In addition, we strongly recommend that additional details about the administration's vision for the S&E library be provided. These recommendations and further feedback are detailed below.

Proposed Vision and Future of the Library

The BCA makes a strong argument concerning the facilities challenges (e.g., mechanical, electrical, plumbing) that must be addressed in this 25-year-old building. The need for modern technological infrastructure is clear. The increased spatial demands are also clear, in that the number of students at UCSC has nearly doubled since the S&E library was built. However, the planned renovations go beyond merely providing additional study space and upgrading facilities; the renovations encompass a vision for the function of the library. The floor plans suggest a vision that differs quite a bit from the current vision, yet the bulk of the BCA focuses on different timetables for implementing this vision, rather than an argument for why this is the best vision for the campus at this time.

We would like to see such an argument, and we additionally recommend that the description of the vision be more explicit and detailed. For example, the BCA states that there is a “need for flexible, innovative spaces that support project-based, collaborative, and interactive learning” and advocates for “the emerging role of digital scholarship” (p. 4). How much demand is there on campus for this type of teaching or learning and these types of spaces? What does digital scholarship mean in the sciences and in engineering, and what is the demand for resources related to this type of scholarship? To what extent are these ideas driven by external vendor offerings or donor interests?

Some additional questions include the following. We would like to know the definition of terms such as “spatial flexibility” (p. 2) and “richly supported informal learning environments” (p. 4). What are examples of the “innovative information technologies” (p. 9) that an enhanced information commons would provide? What does it mean for processes of teaching and learning to have “high visibility” (p. 9) and why is this necessary or desirable? The BCA describes “an imperative to rebalance the space devoted to collections and the space devoted to users and services” (p. 4). In the wake of the removal of so many volumes from the S&E library in the summer of 2016, we seek clarification of this statement. Has this rebalancing now been accomplished? Or is further conversion of square footage from stacks to user study space planned?

There are several elements of the BCA that lead us to seek this clarification. The schematics show an area devoted to collections that comprises only a very small fraction of the Lower Level, smaller than the current situation. We have been told that this should not be interpreted literally (i.e., one can't determine the number of bookshelves planned by counting the icons on the diagram) but the space devoted to stacks in the schematic is clearly smaller than the current amount of space devoted to stacks on that floor. In addition, a version of the schematic shared with COLASC in Fall 2016 gave seat counts for each floor. The total number of seats was 1836, which aligns closely with the number of

seats envisioned in this BCA (1700, according to the goal on p. 9). Table 3 shows the number of bound volumes and associated square footage increasing over time (from 389,149 volumes and 31,132 sq. ft. on 6/30/13 to 405,418 volumes and 32,434 sq. ft. in 2013/14 to 568,108 volumes and 45,449 sq. ft. in 23/24), but the amount of square footage devoted to users is also shown as increasing. Both cannot happen, of course, which is why the square footage projected for 2023-24 shows a deficit of 40,783 square feet. Has the full deficit been eliminated through the recent removal of volumes? We are unable to assess this question because we do not know how many square feet were freed up through the 2016 action. If the full projected deficit has not been eliminated, how does the administration plan to deal with this problem?

In concurrence with the Senate resolution passed on November 18, 2016, we are currently opposed to any further large-scale reduction of the physical collections in the S&E library. We are worried by the goal to “efficiently manage the physical core collection” (p. 9) because efficiency (while a laudable goal in the abstract) is sometimes used as bureaucratic code for slashing positions or resources. Would it not be more accurate to use phrases like “responsible curation” or “responsible custodianship” (and, ideally, include definitions of these terms)?

One very important request is that more details be provided concerning the proposed funding sources for the BCA plan. The figures in the small boxes on the floor schematics suggest that the plan will cost an estimated \$59 to \$95 million if the final phase is completed by 2024. The plan implies that this funding will need to be raised from non-State sources. If so, we would welcome learning more about the specific fund-raising strategies (and possible target sources) that have a reasonable chance of eventually generating such a large amount.

Consultation Process

Although it might be standard practice for a Senate committee to review the business case analysis for a capital improvement project after it has already been approved by the Chancellor, we believe that such a process is inadequate for projects that involve the libraries. A library is unlike almost any other single-use building on a campus because it is used (potentially) by every member of the university. Moreover, the library (both as a physical space and as a set of operations based on its contents and staff) is vital to the success of our core missions of research and teaching. Therefore, in planning a new vision for the library it is essential that the entire campus community be involved and that this involvement go beyond mere consultation to include an actual role in decision-making.

Because decisions about library functions and physical space have implications for educational policy and research we believe it is a threat to shared governance if the Senate is not a partner in making these decisions. Senate consultation in this case should go beyond COLASC. Especially if the administration envisions the library as a space for diverse teaching and learning activities, both CEP and COT must be involved in the planning. Otherwise, choices about pedagogical practices may be limited and constrained by the physical plant decisions made prior to thorough consultation. Such an approach would threaten shared governance principles in which the Senate has plenary authority over decisions about educational policy and pedagogical practice. Because decisions about collections impact faculty research activities, COR should be involved in this review. Graduate students are key users of library services, so Graduate Council should also be involved. The larger planning and budgetary issues make it essential to include CPB in any consultations. Other committees that might wish to consult include CAAD, CER, CFW, CIT, CIE, and CPE.

In addition to much broader consultation with the Senate, other campus constituencies should be actively involved in decision making about the future of the S&E library. In particular, undergraduate and graduate students are major stakeholders. We therefore recommend wide outreach to students and close consultation with the Student Union Assembly (SUA) and the Graduate Student Association (GSA) to ensure that the physical facility meets the needs of both undergraduate and graduate students.

In order to ensure the Senate’s involvement in the planning process going forward, we request that the administration provide a detailed list of the next steps that will be taken, so that the Senate can best ascertain when and how to contribute to the planning. We are especially interested in knowing how concrete is the administration’s current vision for the S&E library and how committed to that vision they are. Is the floor plan in the BCA merely some rough sketches that were prepared as one possibility among many? Or is it the graphical representation of decisions about the future of the library that the administration has already made? We hope that there is still time for the Senate and other constituencies to make contributions to the vision for the S&E library.

Thank you again for the opportunity to review the BCA. We look forward to continuing to contribute to discussions about plans for the future of the S&E library.

Sincerely,

A handwritten signature in cursive script that reads "Eileen Zurbriggen". The signature is written in black ink on a light-colored background.

Eileen Zurbriggen, Chair
Committee on the Library & Scholarly Communication

cc: Chancellor Blumenthal
CP/EVC Tromp
Divisional Deans
Senate Chair Einarsdóttir
Senate Executive Committee
Director Mednick

APPENDIX C

December 2, 2016

Dear colleagues,

The Committee on the Library and Scholarly Communication (COLASC) writes to share information that might be helpful to you. Please feel free to contact the committee with any comments or suggestions.

Digital Scholarship Commons

The new [Digital Scholarship Commons](#) opened last year on the ground floor of McHenry Library. It has eight new workstations with high end hardware and software that can support mapping, data visualization, and digitization of research materials. As a hub for digital scholarship on campus, the new Commons is also designed to be a first point of contact for creating digital course assignments or imagining a digital research project. Staff is available for consultation and you can reserve the new space for workshops or class sessions that encourage hands on learning for students.

Library Support for Teaching

The Library offers faculty a variety of [teaching support services](#) to help students develop the information literacy and data management skills they need to fulfill research assignments. In 2013, the Library began to support lower-division instruction exclusively with online tools supported by the Undergraduate Experience Team. You can work with your library divisional team to develop customized course guides, database tutorials, and other tools. For upper-division courses, in-person library instruction may be available on a case-by-case basis. Research assignment consultation is also available.

Demand-driven acquisition

The library has implemented a [demand-drive acquisition model](#) for purchasing books and monographs. This contrasts with an earlier model in which library acquisition specialists placed orders for books in various subject areas. The collections will now grow only in response to specific requests by library users (undergraduate and graduate students, faculty, and staff). Accordingly, individual faculty will need to make purchase requests related to the subjects you teach, in order to ensure that books necessary to support your students are on hand. You can do this by triggering purchases in Cruzcat or filling out the [request form for books](#). Please note that decisions about journal subscriptions are made differently and are not following a demand-driven model at this time. Recommendations for new journal purchases can be submitted to the [library divisional teams](#).

Open Access and eScholarship

The UC Academic Senate approved a system-wide open access policy on July 24, 2013. The goal of the policy is to ensure free public access to research articles authored by UC faculty. Faculty are requested to deposit author's copies of their work in UC's open access repository eScholarship, in other open access venues (such as PubMed) or in open access journals. The author's copy is the final, accepted copy (typically in word format), not the page proofs or the final formatted version published by the journal. Last year, the UCSC Open Access Policy Team began sending emails to update faculty on their recent publications identified by the automated harvester to review for inclusion. Faculty can modify harvester settings to improve accuracy. Library staff are available to speak at department meetings to discuss the details of using eScholarship. [[Open Access Information](#)]

Science Library

To support student success in the STEM fields, the Library is raising funds for a large-scale renovation in collaboration with PBSi, Engineering, Student Success and other relevant partners. This past summer, the library removed materials from the Science & Engineering library that had not been checked out or re-shelved in the past five years. The immediate impetus for this project was the need to create additional

study seating for the large incoming class of undergraduate students; however, the project also supported the library's goals of maintaining working, rather than archival, collections of materials on campus and creating collaborative learning space.

The number of books removed was more extensive than COLASC had anticipated. In addition, outreach to science and engineering faculty was not successful in communicating the specifics of the plan for culling the collection. On November 18, 2016, the Academic Senate approved a resolution that condemned the dramatic reduction of the print collection, called for a commitment that such an action would not be repeated, and asked the Chancellor and CP/EVC to reaffirm the role of the University Library as a teaching and research library that is key to supporting faculty research as well as instruction. COLASC is working with the University Librarian to supply the list of items that were removed and to improve the consultation process for the future.

Contact

For questions or requests regarding research or teaching, the first point of contact is the library team for your division:

- Arts and Humanities Team - artshumanities@library.ucsc.edu
- Science & Engineering Team - sciengineering@library.ucsc.edu
- Social Sciences Team - socsci@library.ucsc.edu

Other useful contacts include:

- [Undergraduate Experience Team](#) – Greg Careaga, uet-group@ucsc.edu
- [Digital Scholarship](#) - Rachel Deblinger, rdebling@ucsc.edu
- [Special Collections and SantaCruziana](#) - Elisabeth Remak-Honnef, remak@ucsc.edu

Please feel free to contact the committee with any comments or suggestions.

Sincerely,

/s/

Eileen Zurbriggen, Chair
Committee on Library & Scholarly Communication

COMMITTEE ON PLANNING AND BUDGET

Annual Report, 2016-17

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 capacity planning, the UC Framework for Growth, and the Long Range Development Plan process); (b) divisional faculty FTE requests and participating in shaping the planning process for future cycles; (c) Silicon Valley programs; (d) core and writing proposals; and (e) capital planning. In addition, the committee continued to monitor and proactively engage with several issues, including the Special Salary Practice (merit boost) program and summer session. Extensive routine business for the committee included review of new degree program proposals, participation in external reviews of many departments, and review of off-cycle and Waiver of Open Recruitment FTE requests. A detailed summary of CPB's work in 2016-17, as well as a list of anticipated issues for 2017-18, is provided below.

Strategic Academic Planning

The lack of a Strategic Academic Plan was identified by CPB as the most critical issue facing our campus, and the committee invested substantial effort advocating for the development of such a plan. The minimal academic planning that happens at UCSC is carried out at the divisional level, often with limited direct involvement from rank-and-file faculty and with little coordination across divisions. In fact, the current approach to planning tends to encourage competition across divisions rather than collaboration, leading to duplicated investments in some areas, underinvestment in others, and generally poorer outcomes than could be obtained otherwise. Furthermore, the depth and quality of the divisional plans vary considerably, which puts some divisions at a significant disadvantage when advocating for resources.

Until a Strategic Academic Plan for UCSC and its implementation strategy are developed, CPB will continue to play a very active role in recommending priorities for campus investments through its review of FTE allocation, review of Silicon Valley programs, capacity planning initiatives and the UCOP-led Framework for UC Growth (more details on these topics can be found in the next few sections of the report). During the past year, we also communicated our expectations for the content of a future Strategic Plan to both the Chancellor's and CP/EVC's offices through a series of memos (CPB to Chancellor, 11/10/16; CPB to EVC "Senate Priorities" 4/7/17; CPB to CP/EVC, 6/16/17). In response to our advocacy, CP/EVC Tromp has expressed to CPB that Strategic Planning (of which Strategic Academic Planning is one component) is one of her top priorities. The committee looks forward to working with her and the central administration in this area.

Faculty FTE Review

CPB devoted significant effort this year to faculty FTE and recruitment planning, offering advice to the Campus Provost/Executive Vice Chancellor (CP/EVC) on the Faculty FTE Call letter itself and on the evaluation of the divisional proposals. The Committee is grateful to the CP/EVC and the Office of Planning and Budget for addressing concerns CPB raised early in the process regarding the timeline for the faculty FTE allocation process. In particular, moving the deadline for the decanal responses to mid-January and including a template for relevant data in

the FTE call allowed CPB to devote more attention to comparative (cross-divisional) data analysis and decision-making, which enriched our ability to make “big picture” recommendations while holding divisional priorities in mind.

Our evaluation of faculty FTE requests greatly benefited from in-person consultations with each of the academic deans. In addition, the chairs of the Committee on Educational Policy (CEP) and Graduate Council participated in these consultations and later met with CPB to provide their perspectives. We also met regularly with CP/EVC Alison Galloway, interim CP/EVC Herbie Lee, and Vice Chancellor for Planning and Budget (VCPB) Peggy Delaney to discuss the proposals. We sincerely appreciate the efforts of all those who took the time to consult with us.

FTE planning is an especially important activity right now because the campus is approaching the end of the “rebenching” period that has provided to the campus a stream of new FTEs. With a future that promises significant resource constraints, CPB believes that comprehensive reviews of faculty hiring, such as the one we performed, will become increasingly important because they have the potential to identify areas of research overlap within the campus and facilitate the coordination of FTE hiring across departments and divisions. We believe the recent lack of such strategic hiring is a consequence of UCSC’s having no strategic academic plan and we look forward to working with CP/EVC Marlene Tromp on defining a vision for future growth.

A priority of CPB has been the development of a transparent faculty FTE allocation process whose outcome clearly reflects campus priorities. Over the last two years, CPB has worked in collaboration with VCPB Delaney and the Office of Planning and Budget to develop quantitative and qualitative accountability metrics that can be used to help the campus evaluate progress towards its goals and guide resource allocation. If these metrics are going to be taken seriously by the departments and divisions, it is important that the rationale behind any resource allocation be clearly and explicitly tied to them. Although this year’s faculty FTE allocation letter sporadically mentioned some of the accountability metrics, it often failed to make the link between resources and metrics explicit and systematic. We note that, similarly, most deans did not incorporate a robust discussion of metrics in prioritizing their FTE requests.

In its evaluation of faculty FTE requests, CPB kept in mind the priorities that the CP/EVC laid out in the Faculty Recruitment Call to the Deans: “1. Enhancing the campus’s research profile and significantly growing doctoral enrollments”; and “2. Maintaining or enhancing the educational experience for our growing undergraduate enrollment.” FTE requests that addressed both priorities were a relative minority, but were rated highly by the committee. In the short and medium term, finding mechanisms to encourage divisions to invest more heavily in areas that address both undergraduate and doctoral education goals should be a priority for CPB. Given uncertainties in terms of future budgets and available FTEs, as well as our desire to reserve some FTE for the CP/EVC, CPB opted to recommend for central funding only those positions with the highest possible future impact. Hence, our recommendation was relatively conservative, proposing 12 centrally-funded FTE, as well as two upgrades to FTEs allocated in previous cycles. In contrast, the final allocation by iCP/EVC Lee was more generous, and involved 15 centrally funded FTE as well as the two upgrades. In our view, some of the positions that were finally funded did not fully adhere to the guidelines in the Faculty Recruitment Call.

CPB also spent significant time discussing issues associated with coordination across divisional boundaries. The committee proposed that the VPAA office organize “summits” this fall for the Biological and Mathematical Sciences. These should bring together stakeholders from different departments across divisions to discuss ways to leverage resources to more efficiently manage our undergraduate curriculums. The campus needs to take decisive action to identify the best way of delivering high-quality education to growing numbers of students using all available faculty. It seems likely that the Campus Provost will have to play a stronger role in adjudicating decisions about how to allocate resources to specific departments (rather than merely focusing on high-level decisions at the divisional level), according to priorities and principles articulated through these summits and, in the longer term, the strategic planning process. This will be particularly key in disciplines for which campus expertise is spread over departments located in more than one division.

Another issue that was extensively discussed by CPB was the cost escalation in start-up packages for new recruitments and the difficulties that the divisions are facing in funding these packages. It has become apparent to the committee that the funding model for startup costs is broken; startup cost in some disciplines (mostly located in PBSci and BSOE, but also in some areas of the Social Sciences and Arts) have increased faster than the salary savings that are meant to fund them. A discussion of alternatives should start immediately, and CPB welcomes the opportunity to participate in those discussions.

In our discussions with the deans it also became clear that it would be beneficial for the campus to provide departments and divisions with additional flexibility to make multiple, simultaneous offers to fill a single position. Implementing such an approach is particularly important in disciplines where hiring is extremely competitive, as it would help minimize the number of failed searches. Implementing this recommendation would likely require that we move into a multi-year planning system that more clearly separates recruitment authorizations from approvals of budgetary increments, and a more robust tracking mechanism that enables the campus to adjust future hiring plans when multiple offers are accepted.

In summary, faculty FTE allocation is one of the most important planning exercises of the year and transparency in the decision-making process is extremely important in an institution with shared governance. CPB believes that the process, as implemented over the last two years, has been improving. For example, the clear articulation of campus goals, the pre-allocation of a range of faculty FTEs to divisions, and the establishment of accountability metrics have all been extremely positive steps. Nevertheless, we still have some concerns. To allow ample time for planning and consultation, we would like to see the FTE call letter sent out to divisions before the end of October at the latest. We are also concerned about two hiring strategies that fall outside the normal FTE process: Target of Excellence (TOE) and Presidential Postdoctoral Hiring Incentive (PPHI) requests. In the near future, CPB should monitor these requests closely, look at their history, and take into consideration the recruitment plans laid out by Deans in previous responses to the Faculty Recruitment Call when reviewing these ad-hoc requests. In the medium term, finding a mechanism to integrate these two programs into the wider process of FTE planning is an important issue that the committee should consider.

Silicon Valley

During 2016-2017, CPB provided advice on a request to allocate additional centrally funded faculty FTE to BSOE programs at the Silicon Valley Center (SVC), reviewed proposals to revise the M.S. program in Games and Playable Media (GPM) and to establish a new M.S. program in Serious Games (SG), and offered feedback on a preliminary proposal for a new M.S. program in Human-Computer Interactions (HCI). For each of these three programs from the Computational Media (CM) department, CPB also reviewed their associated budgets and Professional Degree Supplemental Tuition (PDST) proposals.

CPB supports campus initiatives to build programs at the SVC. However, our discussions highlighted two issues of special concern. First, CPB is troubled by the process through which additional faculty FTE were allocated to the SVC programs. Second, while CPB reviewed individual programs for the SVC, there is currently no overall academic plan that articulates the ultimate objectives of SVC investments, particularly in relation to those in the main Campus, or how proposed programs will ultimately help support a sustainable academic enterprise at the SVC. As the process to develop a Strategic Plan for the campus gets underway, CPB should ensure that the role of SVC and its relationship to the main campus are addressed.

CPB's review of proposals from the Computational Media (CM) department for Games and Playable Media (GPM) and Serious Games (SG) M.S. programs suggested the pre-proposals CPB reviewed during 2015-2016 had underestimated the required faculty resources and overestimated demand at the original levels of the PDST. Consequently, the Baskin School of Engineering (BSOE) requested additional faculty FTE be allocated to CM for its Silicon Valley programs. In reviewing this request, CPB recommended a range of options to the Interim CP/EVC that would address the need to make GPM more affordable by reducing its PDST while adding instructional resources to GPM and SG. The committee's preferred option was to not allocate additional FTE but instead to have the programs use PDST funds to hire lecturers while also involving existing Arts faculty in the program. Instead, interim CP/EVC Lee allocated an additional 3 FTE to CM, with one going to each of the three proposed M.S. programs (conditional on campus approval of the revised GPM proposal and the new SG and HCI proposals).

The allocation of additional FTE to CM raises questions about the process for selecting programs for the SVC. As noted in last year's report, CPB ranked the pre-proposal from Computational Media as having the highest potential among those proposed for the SVC. CM argued that three M.S. programs could be mounted successfully with the addition of just 3 new faculty FTE. The low cost in terms of faculty FTE was a strong factor in CPB's subsequent decision to rank the CM pre-proposal above other pre-proposals. It is not clear that this ranking would have been the same if CM had requested 6 FTE. CPB is concerned about the incentives this process has created for departments to obtain pre-approval based on unrealistically low estimates of resource requirements and then to come back with a higher request. In assessing any proposal, whether for the SVC or the Santa Cruz campus, CPB understands that plans often need to be revised as uncertainties are resolved or unforeseen developments occur. However, it is vital for the success of the planning and approval process that proposals be based on realistic business plans that do not systematically underestimate needed resources. Another area of concern is the level of investment required to sustain these programs: in the best-case scenario, GPM and SG will

together bring in 100 MS FTE, but will require the investment of four faculty FTE who will be teaching exclusively in this program. Although these faculty members will also be expected to supervise PhD students, the return on investment appears quite low.

Another area of concern is integration of Silicon Valley faculty into the larger UCSC community. As the campus hires faculty who will be involved with programs centered at the SVC, departments will face challenges in ensuring these faculty are able to fulfill the expectations and obligations common to all UCSC faculty. It will be important that SVC faculty engage fully in teaching across the curriculum, thereby contributing to the undergraduate mission of UCSC, as well as participate in departmental and university service.

More generally, CPB is concerned about the absence of a clearly articulated academic plan for SVC. Under our current approach, SVC is being populated with extremely costly and quite small programs. We question whether this strategy will yield sufficient student numbers to allow SVC to become an intellectually vibrant and financially sustainable academic endeavor that has a net positive impact on UCSC, rather than be a drain on campus resources. In fact, Silicon Valley appears to have become an end to itself, rather than the means by which UCSC's broader goals can be achieved.

Capacity Planning

UCSC continued to face significant enrollment pressures in 2016-17. In fall 2016, VPAA Lee convened the Major Impaction Policy Working Group, which drafted guidelines and a proposed approval process for improving curricular capacity and capping program enrollment. During the winter quarter, CPB reviewed a first draft of the policy and guidelines, and in spring quarter, CPB reviewed a second iteration that incorporated the first round of Senate feedback.

Along the process, CPB has strongly argued that any process for capacity management should be situated within the framework of the campus commitment to provide a UC-quality education. During the initial review, the committee was particularly concerned about adding to the workload of departmental staff by requiring them to analyze and evaluate data needed to support curricular capacity proposals, and felt that the advising community should be consulted as it might contribute valuable expertise to the drafting of guidelines. CPB expressed further concern that the proposed cap on summer salaries (see “Summer Salary and Summer Session Operations” Section below) might render summer courses non-viable as solutions to capacity issues.

CPB's review of the revised draft submitted by acting VPAA Berger recognized its many improvements. However, the committee suggested that, as we move forward with the process of strategic planning, “the process of impaction management must consciously evolve into a process of campuswide curricular and capacity management (CPB 4/27/17).” Curricular management (practiced on all UC campuses except Merced) should a) guide our admissions for impacted and near-impacted programs, b) be a concern of the center in consultation with individual departments, and c) be a proactive rather than an ex post facto process. While CPB also felt that departments proposing Major Impaction Declarations needed to supply detailed discussion and assessment of their current capacity, the committee remained concerned that the information-gathering requirement could be burdensome for departments and felt it should perhaps be collected and processed on an institutional basis. The committee was also concerned

about the responsibility for additional resources needed and the timeline for reviewing impaction status. Finally, CPB reiterated its central role in advising the CP/EVC and the central administration on issues relating directly to capacity planning and management, which are inherently resource-related questions.

During the spring quarter, CPB also reviewed a proposal for impaction status submitted by the Computer Science (CS) department in accordance with the VPAA guidelines. The proposal made two requests: (1) to include language in the campus admission policy that alerted students to the fact that intended major could be a criteria used for admission decisions, and (2) to declare Computer Science impacted. While CPB supported the first of the two requests, it deemed the information provided by the department to support the second insufficient. To clarify, while it is clear to CPB that the CS department is impacted, the proposal did not make a good case for the number of students that it can manage with current and expected resources and using other strategic approaches. Furthermore, the proposal also lacked a clear explanation of how the filtering process would work and what the expected admission levels would be. CPB expects to see a revised impaction proposal from the Computer Science department early in the coming academic year.

The capacity management question remains a significant issue for CPB, especially as it concerns departments in which enrollments and faculty size are out of proportion with each other. Another issue that needs further discussion with the Administration revolves around clarifying authority for the impaction designation. The committee plans to continue its review of this and other conditions that might potentially degrade the undergraduate experience.

Framework for UC Growth

The Framework for UC Growth is an ongoing initiative by the UC Office of the President to plan for substantially increasing the number of students in the UC system by 2040, as well as the resources that would be required to achieve such growth. The Framework is an attempt to move the UC system from a reactive to a proactive agenda for system-wide growth, and involves each campus creating one or more scenarios that match their own aspirations and constraints. It has been repeatedly emphasized to CPB that campus-specific scenarios will not be shared outside the UC system by UCOP, and that only system-wide aggregates will be reported.

The timeline for the development of the Framework was extremely tight, which made Senate consultation very difficult. Nonetheless, CPB was able to participate in a number of activities related to the Framework, and we want to thank Chancellor Blumenthal, iCP/EVC Lee and VCPB Delaney for including us in the discussions. First, the committee consulted with VCPB Delaney and iCP/EVC Lee about the goals of the Framework, the process for Senate involvement, and the basic assumptions underlying scenario development (2/2/17; 2/9/17; 2/16/17). Second, Chair Rodriguez along with *ex-officio* members Einarsdóttir and Lau participated (along with other members of the Senate Executive Committee, SEC) in two joint SEC/Chancellor's cabinet meetings in which preliminary scenarios for UCSC were discussed and narrowed down. Finally, Chair Rodriguez participated in a system-wide meeting held at UC Irvine at which the scenarios for all campuses were shared and discussed.

The Framework process is still ongoing at the time this report is being written. Nonetheless,

CPB will closely monitor its outcomes, which should be available early in the 2017-2018 academic year. Furthermore, although the Framework was not designed to be part of a Strategic Planning or Long Range Development Planning process, it is apparent that the scenarios being developed in the Framework and the assumptions that support them should inform both processes.

Core and Writing Proposals

During the year, CPB invested a substantial amount of time reviewing proposals from the Council of Provosts (CoP) to revise the content and structure of the Core course, and from the Writing Program (WP) to revise the lower division required writing curriculum. For many years, the Core course has served multiple purposes. On one hand, it has aimed to enhance the student college experience and sense of belonging, and on the other, it has, together with the writing curriculum, served to fulfill writing instruction for both ELWR-satisfied and ELWR unsatisfied students. However, changing student demographics at UCSC have led us to consider modifying the current structure of the Core course and the Writing curriculum. Hence in 2015, CEP concluded that ELWR satisfaction should be a prerequisite for enrolling in a composition course (C1), as required at every other UC campus. The proposed modification to SCR 10.5.2 was approved by the Senate in May of 2016. In response to this change and the pedagogical and curricular concerns, the Senate asked the Council of Provosts (CoP) and the Writing Program (WP) to submit proposals to modify the Core course and the WP curriculum, respectively.

The main challenge CPB faced in reviewing the budgetary aspects of the proposals was reconciling the changes recommended by the separate CoP and WP documents with the budget envelope provided by the iCP/EVC. This challenge was compounded by the lack of specific numbers associated with the envelope (which was equivocally defined as the current budget plus up to \$300,000 of additional funding), despite explicit requests to the responsible administrators for this information. Regardless, CPB was enthusiastic about the CoP's proposed changes to standardize the Core experience, thereby avoiding the complex range of current Core options, and about the slightly larger one-quarter Core class sizes (30 students), which brought it closer to financial viability. CPB also strongly supported many of the changes proposed by the WP to streamline its curriculum, including replacing the portfolio review with grades for determining ELWR satisfaction, reducing the length of the ELWR sequence, introducing differentiated 3- and 5-credit versions of the course, and reducing the length of the multilingual curriculum (MLC) curriculum to two courses. CPB believes that these changes are necessary to make the curriculum financially viable while preserving the quality of instruction.

Despite the cost-cutting changes proposed by the CoP and the WP, CPB concluded that the expenses for the combined curriculum significantly exceeded the estimated budget envelope, in part because of the proliferation of courses for the significant number of ELWR-unsatisfied students who currently satisfy both the ELWR and C1 requirements through a single course. In order to address this issue, CPB recommended that perhaps some sections of ELWR-unsatisfied C1 courses could be maintained, thus allowing students to satisfy both requirements simultaneously. For example, students might be able to completely satisfy the ELWR requirement with a grade of C- or higher, but would need a grade of C+ or higher to satisfy C1; this type of arrangement would meet at least the spirit of SCR 10.5.2. Other cost-cutting measures suggested by CPB included reducing the number of credits for the Core course from

five to three or four credits and reducing the combined number of credits for C1 and 2 from 10 to 8 (either by making both courses four credits each, or by reducing the number of credits in C1 to 3). These measures would significantly lower the budget and would bring it closer to the allocated resource envelope. CPB also discussed the possible impact of separating Core and writing on divisional enrollment patterns and the resource implications of that change. Regardless of the decisions made with respect to these two proposals, CPB strongly urges the administration not to reduce the overall level of over-enrollment funding for the Academic Divisions below current levels.

In summary, CPB concluded that the proposals for the Core and Writing Program curricula--the newly consistent structure and increased class size proposed for Core, and the newly streamlined curriculum proposed for the WP curriculum--would meet budgetary constraints only if the total number of units expected by these required classes were to decrease. Thus CPB recommended reducing the number of credits for the Core course from 5 to 3, the total number of credits for C1 and C2 writing courses from 10 to 8, and the number of credits for ELWR classes from 5 to 3, in order for both programs to fit within the budgetary envelope provided by the iCP/EVC. CPB looks forward to monitoring the implementation of the changes in the Core and Writing curricula.

Budget Review Process

Because of the transition in campus leadership, UCSC did not engage in a campus-wide budget review process during 2016-2017. The committee anticipates a major budget adjustment during the upcoming 2017-2018 academic year, and we expect to be fully involved in that process.

During the year CPB identified University Relations (UR) and the Office of Research (OR) as two units whose budgets should be closely reviewed in the near future. However, the committee was unable to engage in this exercise during 2016-2017, and instead focused on the review of the summer session office (see below). Nonetheless, the committee expects to proceed with a detailed review of UR and OR budgets during the upcoming academic year.

Summer Session Operations and Salary for Summer Instruction

In late spring, a joint working group of CPB and CEP members developed a set of foundational principles to prioritize Summer Session's competing aims and guide planning for Summer Session. The chairs of CPB and CEP have invited Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey to develop a proposal for fall 2017 addressing pedagogical and financial aims for Summer Session, a strategic plan for success in meeting these aims, and a plan to review the results in the wake of a one- or two-year trial of the changes (CPB and CEP Chairs to VPDUE Hughey 6/28/17). The chairs recommended that the proposal should take into account the working group's prioritization of aims, and should also involve consultation with Graduate Division Dean Tyrus Miller and Graduate Council. CPB expects that this proactive approach will facilitate the ongoing growth of Summer Session while ensuring that Summer Session effectively supports the aims of the campus as a whole, enabling students' progress while enhancing campus revenues.

CPB was prompted to review Summer Session in the wake of two events: an internal audit narrowly focusing on its profitability and concluding that Summer Session was running a deficit

in relation to its assigned budget (\$60 per credit per student, drawn against student fees of \$257 per credit); and the VPDUE's announcement that Summer Session salaries would be capped as a response to the auditor's conclusion about a deficit. (Salary capping was not implemented.) CPB's own analysis of Summer Session's finances concluded that Summer Session was in fact running a profit, and that evidently straightforward solutions to resolve the apparent deficit and increase revenues, such as capping salaries or reducing the number of small courses, would yield limited returns. CPB concluded that a more nuanced approach would be required to increase revenues, and concurred with the VPDUE that revenue enhancement was only one among a group of sometimes competing desiderata.

Capital Planning

During 2016-2017, the major focus of CPB's discussions related to capital planning issues revolved around establishing priorities for the use of the \$50 million in GFF (general funds financed) project funds available to the campus over the next three years. These funds can be used for campus capital projects that address seismic-life safety and/or enrollment growth issues.

The campus faces many demands for what is an extremely limited budget for capital projects. Among these demands is the need for additional research, lab (wet, dry, and studio), and office space, both on the main campus and at the Delaware facility, the need to expand classroom capacity through the creation of larger classrooms, and the pressing need to renovate and expand the capacity of Kresge College. During the fall, four options for the GFF funds were on the table: (1) invest GFF funds entirely in research space at 2300 Delaware; (2) fund a mixture of new research space at 2300 Delaware and some academic space in Kresge College; (3) fund research space at 2300 Delaware and instructional space at the Classroom Unit site; (4) use all of the GFF funds to expand academic and instructional space at Kresge College.

CPB, through its representatives on the Classroom Subcommittee (a subcommittee of the Advisory Committee on Campus Planning and Stewardship) and the Kresge College Project Committee, argued that the construction of a large lecture theater constituted the highest priority use for the GFF funds. This prioritization was motivated by the fact that the past several years have seen a surge in classroom utilization rates for rooms with capacity of 200 students or more. Furthermore, because of the complexity of building on the Kresge site while not reducing its housing capacity during construction, the committee felt that the non-housing and housing parts of a Kresge College project needed to move forward simultaneously. Hence, CPB argued that option (4), a project that combined the renovation of Kresge College with the construction of a large lecture classroom, should be the top priority for the GFF funds. The Advisory Committee on Campus Planning and Stewardship (CPS) concurred with CPB's recommendation.

The CP/EVC has recently established a Kresge Programming and Building Committee on which a member of CPB serves. Current plans, while still preliminary, call for a 600-seat classroom to be located at the Kresge College site. The project would also lead to the renovation of existing academic and instructional space at Kresge, while the housing component would expand capacity by 100 to 250 beds. The project would also improve the physical connectivity of Kresge College with the rest of campus and improve its general accessibility. Given the budget envelope available for the project, it is possible that the renovation of academic space may not provide sufficient expansion to allow an academic department office to be located at Kresge College,

although an expansion of academic office space might be possible if alternative fund sources can be identified.

In late August 2017, CPB received the final version of the Campus Financial Plan (CFP) with a ten-day deadline for review. Because of this timeline the committee did not perform a full review of the plan. Instead, Chair Rodriguez and CPS representative Larrabee provided CPS with limited feedback. The timeline for review of the CFP is an ongoing issue that will require attention in the coming year. One difficulty is that the timeline, process and requirements for campus submission to UCOP change every year. However, this challenge can be addressed if CPB is willing to be flexible with the timeline of the review (which might extend into the first few weeks of the summer) and if the administration is more responsive in communicating preliminary drafts to the committee. For example, this year CPB did not receive a copy of the first draft of the CFP that was generated by CPS at its June 20, 2017 meeting. Such a draft could have served as the basis for committee review, as most of the changes that were introduced later were of a very technical nature. CPB will need to advocate for more timely and consistent information in the coming year.

Special Salary Practice

CPB provided recommendations about the proposed modification of the special salary practice (merit boost) program on two occasions. The initial CPB recommendation (Feb. 3, 2017 letter) was to maintain the current special salary practice without any changes. The two main reasons were cost of living in the Santa Cruz area, particularly housing, and "preventive retention" (which was one of the initial goals of the program).

The final CPB recommendation (April 12, 2017 letter) was revised based on feedback from the EVC office, which made a case for modestly pairing the cost of the salary boost program given competing needs for available resources, and which pointed out that cost-of-living issues should not and do not factor into salary recommendations. CPB acknowledged the competing needs for the available resources, but disagreed with respect to the cost-of-living issue (more on this below). Consequently, CPB revised its recommendation and supported an enhanced version of the Option 2 proposed by the EVC office. The proposed Option 2+ has a Normal Action (one step advancement) and four greater-than-normal actions:

G1 = one step plus an off-scale that is equal to one third of the following step

G2 = one step plus an off-scale that is equal to two thirds of the following step

AC = two steps (acceleration rather than simply three thirds off-scale)

AC1 = two steps (acceleration) plus an off-scale that is equal to one third of the following step

These five levels (normal action + 4 greater-than-normal actions) are linearly spaced, which makes them more easily distinguishable when evaluating merit cases, a virtue that Option 2 has relative to Option 1 (original or amended) and the current SSP. A second virtue of Option 2+ is that it maintains a G1 tier, thereby minimizing the risk that median salaries could fall behind again as we move forward. Eliminating G1, as proposed by the Deans, could lead to the number of faculty who benefit from the program to drop under 50%.

In addition to these recommendations, CPB made three additional observations in its two letters.

First, the special salary practice should be made available to (P)LSOEs: (P)LSOEs are Senate faculty and the campus is planning to increase their number in order to meet impaction needs as well as to free ladder faculty for greater graduate capacity; as such, (P)LSOEs support campus goals in significant and important ways that should not be overlooked in the special salary practice program.

Second, unlike the regular salary scale, the B/E/E scale does not imply a constant proportional increase in salary for every year between normal reviews. Instead, the salaries in this scale grow very slowly at the senior associate professor/junior full professor level, a time period in which faculty are typically at their most productive and, therefore, more likely to be the target of external offers. This issue would be best addressed system-wide by a change in the scale, but until that happens, a local remedy should be explored.

Third, the Senate has consistently argued that cost-of-living issues should be part of salary discussions on our campus. The guiding principle contained in the SEC Recommendation on Faculty Salaries dated May 5, 2009 (p. 2) states the following: “Our long-standing position at the bottom end of the salary comparisons, in conjunction with the high cost of living in the Santa Cruz area, has intensified the salary disparities between our campus and the rest of the system. Thus the problem of low salaries in the UC system as a whole has particular local intensities.” CPB looks forward to a continuing discussion of cost of living adjustments.

Bay Tree Bookstore

The Bay Tree Bookstore has been operating at a loss for some time and has accumulated a sizable deficit. In response to this unsustainable situation and to structural changes in the book retailing sector, Business and Administrative Services commissioned an external review report from Campus Bookstore Consulting (CBC) on the bookstore, upon which CPB reviewed and commented in 2015-16. During the 2016-17 academic year, Associate Vice Chancellor of Housing and Educational Services (AVCHES) Sue Matthews and her staff constituted a Bookstore Review Committee (BRC) to develop a viable path forward; two CPB members sat on this committee. AVCHES Matthews also consulted with CPB on February 16, 2017 and reviewed measures BAS had taken to reduce the operating deficit. The BRC met regularly during the school year and is continuing to meet during the summer, with the objective of reporting to the CP/EVC in the fall. Wide-ranging discussions have included consideration of new operating options and partnerships and expansion into new business areas.

While recognizing the quantitative considerations that prevail, CPB felt strongly that the importance of the bookstore must also be measured in qualitative terms, and that the destiny of the Bay Tree Bookstore is above all a student-centered issue. Hence, CPB advocated for representatives from such organizations as the College Senates, SUA, GSA, Graduate and Family Housing being included in the discussion, and the recommendation was adopted when the BRC was structured.

Shared Governance and Consultation Process

During the year, CPB consulted regularly with the CP/EVC, as well as with VCPB Delaney. It also consulted on an ad-hoc basis with a number of principal officers, including the Academic Deans, and most of the Vice-Provosts. CPB greatly appreciates the CP/EVC Office’s

commitment to shared governance and weekly consultation, particularly given the transitions in leadership that transpired during the 2016-2017 academic year. The Committee benefited tremendously from the ongoing dialogue and specific discussions we were able to have because of our regular meetings with CP/EVC Galloway and iCP/EVC Lee. We were also excited by our initial consultation with CP/EVC Tromp, and we value her clear investment in shared governance generally and in continuing the practice of weekly consultation with CPB in particular. We very much look forward to our continued conversations with her, especially around the campus strategic planning process.

One issue that remains unresolved is how to deal with business forwarded to the Academic Senate during the summer, winter and spring breaks. Senate committees do not meet during these periods. Nonetheless, it is in the best interest of the Senate and the campus as a whole to identify a mechanism that allows the Senate to provide feedback on issues in a timely manner. Hence, it is important that the Senate in general, and CPB in particular, agree with the CP/EVC on an appropriate process for “break” reviews. This process might involve a clear understanding of what cases would be considered urgent, with a clear delegation to the Chair to evaluate specific items. In particular, the Chair might be delegated to identify “straightforward” issues that could be resolved without full committee consultation; other more complex issues could be reviewed during the break period using online tools. If the Chair considers the topic to be controversial, the discussion would be delayed until the committee can reconvene in person, either over the break (with appropriate compensation) or during the regular term. One important caveat is that any consideration of such business should be restricted to really urgent matters. The option of summer review should not become an excuse to dispense with proper Senate consultation or for principal officers to skirt deadlines. In particular, while a procedure like the one outlined above might be used with some regularity during summer breaks, we would expect that it be used very rarely in spring and winter. Another caveat refers to compensation for summer committee work: any substantial effort that requires an in-person meeting of any Senate committee during the summer break should involve compensation for the faculty members involved, following the same model currently used for the Committee on Academic Personnel.

Regular Committee Business

New Program Proposals

CPB reviewed proposals for establishment of a B.S. in Science Education, Coastal Science & Policy M.S. with PDST (professional degree with supplemental tuition), Serious Games M.S. (PDST), Human Computer Interaction M.S. (PDST), Statistical Sciences M.S. and Ph.D., and Environmental Art and Social Practice M.F.A. CPB also reviewed a proposal to change an existing degree in Games and Playable Media M.S. (PDST).

External Reviews

CPB supplemented the universal charge with specific questions for the departments of Applied Mathematics & Statistics, Earth and Planetary Sciences, Education, History, and Music. Committee responses to the external review reports for discussion during closure meetings were prepared for the departments of Feminist Studies, Film and Digital Media, DANM, Sociology, Biomolecular Engineering, Ocean Sciences, Politics, and Education (Education completed both stages of its external review this year). CPB also reviewed mid-cycle reports and made recommendations on length of review cycle for History of Consciousness, Latin American and

Latino Studies, Literature, Physics, Technology Management, Theater Arts, the Writing Program, and Computational Media (deferral request).

In addition, CPB reviewed and commented on the review report for discussion during the closure meeting for the five-year review of the Institute for Marine Sciences (IMS), an Organized Research Unit (ORU).

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests

CPB reviewed and made recommendations on two additional or second-hire requests, four Presidential Postdoctoral Scholar hire requests, six Target of Excellence Waiver of Open Recruitment proposals, and five Spousal/Partner Waiver of Open Recruitment proposals. In addition, CPB reviewed an off-cycle request for an authorization to use a divisionally held FTE for an open recruitment at the senior level. The committee is somewhat concerned about the increasing use of waivers of open recruitment: if all hires proposed under these mechanisms are successful, they will represent between 25% and 30% of all hires during this academic year.

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:

- Systemwide Review of Proposed Revised APM Section 190, Appendix G (October 2016)
- Faculty FTE Transfer Requests (October 2016, February 2017, March 2017)
- Presidential Policy on International Activities (October 2016)
- Long Range Development Plan (LRDP) Process and Timeline (November 2016)
- Revised PDST Policy (December 2016)
- Multilingual Curriculum for International Students Preliminary Assessment Report (December 2016)
- Centers of Excellence Proposal (January 2016)
- Academic Analytics (January 2017)
- Art Design: Games and Playable Media B.A. Updated Charter and Bylaws (March 2017)
- Computer Game Design B.S. Revised Charter and Bylaws (March 2017)
- Proposal to Discontinue the Physics Education B.S. Program (April 2017)
- Proposal to Discontinue the Bio-Education Concentration in the Biology B.A. Program (April 2017)
- VPAA Proposal: Curricular Capacity and Capping Program Enrollment Process and Guidelines (April 2017)
- Computer Science: Petition for Impacted Status (April 2017)
- Campus Pedestrian Plan Draft (June 2017)
- Systemwide Review of Academic Personnel Manual (APM) 285; 210-3; 133; 740 [Teaching Professors/LSOE Title] (June 2017)
- Granary/Stone House Planning (June 2017)
- Social Documentation M.A. Discontinuance (June 2017)
- iCP/EVC Proposal on TA Allocations for Graduate Enrollment (January 2017, reviewed but no official comment pending additional information from the CP/EVC)

Continuing Issues for CPB 2017-18

- First year curriculum—Monitor implementation of changes to the Core and Writing Program curricula.
- Summer session—Review proposal to be generated by VPDUE Hughey.
- Strategic Academic Planning—Participate both in the definition of the process and in the discussions that will ensue.
- Faculty recruitment requests—continue to monitor and participate in implementation of changes to the FTE planning process.
- Long Range Development Plan—review documents arising from the planning process, including preliminary and final LRDP documents.
- Capacity planning—Review departmental proposals according to the VPAA guidelines reviewed last year.
- Silicon Valley—Monitor progress of programs being developed.

Respectfully submitted;

COMMITTEE ON PLANNING AND BUDGET

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August 31, 2017

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, 2016-17

To: Academic Senate, Santa Cruz Division

The proposed changes in the Writing Program and Entry Level Writing Requirement (ELWR) satisfaction mechanisms were CPE's central concern during 2016-17, followed by oversight of Math Placement.

1. Proposed changes to the “first year” writing instruction and Entry Level Writing Requirement satisfaction

Introduction of the College 1 courses and elimination of stratification by writing skills in the core courses is an important step towards achieving the sense of community and belonging that the College/Core courses are intended to develop. CPE exhorts all participants in the design and implementation of the restructuring of the Writing Program offerings to ensure that gains made in the College 1 courses aren't undermined by losses in ELWR courses.

CPE reviewed the Writing Program provisional proposal and agreed that the planning process should move forward, but withheld endorsement of the proposed changes to the means by which students may satisfy ELWR pending additional information

1.1. ELWR satisfaction

Most incoming UCSC frosh satisfy the UC Entry Level Writing Requirement by earning a score of 8 or higher on the Analytical Writing Placement Exam (AWPE), which is administered statewide in May, and on each campus at the beginning of the academic year.

UCOP specifies that “Students who have not satisfied the Entry Level Writing Requirement at the time they enroll in their classes must take a writing course designated by their campus.”

At present, there are several course options available to ELWR-required students:

- Writing 20, possibly followed by Writing 21 and Writing 23,
- the Multi-Lingual Curriculum (MLC) pathway available to F-1 visa holders: Writing 27, Writing 26 and 27, or Writing 25, 26, and 27, depending on the student's AWPE score,
- ELWR-designated Core courses.

To avoid excessive repetition, we will use the term “ELWR courses” to designate the Writing Program courses serving ELWR-required students, e.g. Writing 20.

1.2. Current assessment of ELWR satisfaction for students in ELWR courses

At present, students in the Multi-Lingual Curriculum (MLC) pathway satisfy ELWR by passing Writing 26, but non-MLC students (i.e. students taking Writing 20, and possibly Writing 21 and Writing 23) satisfy ELWR by means of a portfolio review.

Development and maintenance of consistent preparation and assessment criteria for ELWR satisfaction for ELWR-unsatisfied students is a tremendous challenge. The assessment criteria should align with those used in scoring the AWPE, but the AWPE is a problematic assessment:

no UC campus besides UCSC uses AWPE scores for placement into different levels of ELWR courses; the AWPE is considered appropriate only for a binary ELWR satisfied/unsatisfied determination. (See the Appendix for additional information about the AWPE.) It is also problematic that the nature of assessment for student outcomes is also very different between the MLC and non-MLC students. All students take the AWPE for placement, but ELWR satisfaction is judged based on revised writing. While domestic students submit an essay for review, ELWR status for MLC students is reflected in the course grade. Relative to an essay produced during a two-hour exam, calibration assessment of a portfolio of work – which usually is prepared over an extended period of time with substantial revisions – requires experience and a deep understanding of the relationships between the errors and weakness of the work over the preparation process. The fundamental differences in determination of ELWR satisfaction for students taking the AWPE, MLC students, and non-MLC students are also problematic. The AWPE is a two-hour exam consisting of a single prompt and essay, MLC students satisfy ELWR by earning a passing grade in Writing 27, and non-MLC students satisfy ELWR by submitting a satisfactory portfolio that is evaluated outside the context of their writing courses.

The exceptionally large number of offerings of the ELWR courses (e.g. Writing 20) poses another formidable assessment challenge. Consistent assessment of a set of specific skills-across a large number of offerings of multiple courses, possibly with different learning outcomes, poses a far greater challenge; support of several pathways to ELWR satisfaction enables instructors to tailor courses to student needs, but requires ongoing cooperation and communication between instructors.

The efforts made through the Writing Program in order to establish and maintain consistent assessment across portfolio review and course satisfaction (with multi-instructor review) are to be highly regarded. The Writing Program should be supported by all stakeholders in the development of the tools and protocols required to adapt the current ELWR satisfaction assessment process to the new course structure(s).

1.3. Proposed ELWR satisfaction via passing grade

CPE proposes that if the current portfolio review process is replaced by ELWR satisfaction upon earning a passing grade in Writing 20 or 27 (for students taking the Multilingual Curriculum courses), the Writing Program will need to coordinate, calibrate, and monitor assessment practices and outcomes. Inconsistencies from one instructor to another could complicate enrollment patterns and place success in subsequent coursework at risk. Overall drift in instructor expectations could result in unnecessarily high rates of repeat enrollment in Writing 20 if instructors ask more of their students than is required for satisfaction of ELWR by means of the AWPE. On the other hand, lower expectations could lead to increased difficulties in future coursework, particularly Disciplinary Communication (DC) courses.

If a 3-unit version of Writing 20 were to be introduced alongside the existing 5-unit version, an accurate, equitable placement process would be essential. The AWPE is not intended to serve as a placement tool; not only is UCSC the only campus to use the AWPE in this capacity, but the members of University Committee on Preparatory Education (UCOPE) expressed strong disapproval of this practice. ELWR-satisfaction via a passing grade in Writing 20 would be

particularly problematic if both 3 and 5 unit versions co-existed, but elimination of the current 5-unit version seems unrealistic, given the needs of many of our students.

1.4. Retaking ELWR courses

While CPE shares the widespread optimism regarding the likely benefits of the analytical reading skills gained in the College 1 courses, we anticipate that many ELWR-required students will, unfortunately, continue to require more than one quarter of writing instruction before satisfying ELWR. It is essential that these students not be demoralized, alienated, or administratively penalized.

If the current assessment process and course structure for non-MLC students are replaced by ELWR satisfaction by successful completion of a repeatable Writing 20, as proposed by CEP, UCSC must ensure that repeating an ELWR course will not affect a student's academic standing or financial aid eligibility adversely. Insufficient institutional adaption to the ELWR course restructuring could tempt instructors to pass underprepared students to avoid immediate academic difficulties, leaving the door open for future setbacks in writing intensive coursework.

Advising and early communication with students regarding ELWR satisfaction should convince students that UCSC recognizes and values progress, reflecting the reality that pre-admission opportunities for the development of strong English-language writing skills vary enormously for UC students. We believe that a relatively small investment in advisor training and website revision could have a significant influence on student success in ELWR courses. Communication regarding ELWR should avoid, to the extent possible, a success/failure dichotomy. Sidebars or brief videos about ELWR-required students who've been highly successful at UCSC could provide an inspiring counterbalance to the necessary rules and regulations.

The fourth quarter to satisfy ELWR should be retained until an MLC pathway is available for all students who would benefit from specialized instruction for multilingual students *and* the success of the new ELWR satisfaction process for all ELWR-required students has been demonstrated. If the boost in analytical writing skills provided by the new College 1 courses improves student performance to the anticipated extent, retaining the additional quarter to satisfy ELWR, at least for a few transitional years, should cost very little, because very few students will need that fourth quarter. On the other hand, if there are initially a few bugs in the system, interim retention of the fourth quarter allowance will protect students during the transition period. Establishing clear benchmarks for sufficient success of the new process today would minimize the risk of future disputes regarding the transition to a three quarter time limit.

1.5. Multi-Lingual Curriculum (MLC)

Two years ago, CEP approved a proposal from the Writing Program to offer a Multilingual Curriculum (MLC) to help international students (F1 visa holders only) satisfy the Entry Level Writing Requirement (ELWR) and lower-division writing requirements. Each eligible student's starting point in the sequence (i.e., Writing 25, 26, and 27) is determined by their AWPE score. (A fourth course, Writing 24, was offered only in 2015-16.)

CPE reviewed the report and addendum on MLC outcomes to date that CEP had asked the Writing Program to prepare. VPDUE Hughey provided CPE with additional data on enrollments and outcomes in the MLC courses. Given the short time the MLC program has been in existence, there is relatively little data available at this time about ELWR-satisfaction outcomes for students in the program, and no data about participant success in their upper division coursework (particularly in DC courses) or time to graduation. While CPE found that this program appears to be working, we recommend ongoing monitoring of outcomes, initiating in-depth analyses when sufficient data to support such analyses becomes available.

Some of CPE's concerns include:

- How many quarters does it take for students in the MLC pathway to enroll in Composition 2, Rhetoric and Inquiry (C2), and what is their success rate in C2?
- How many quarters and/or course repeats do MLC students typically need to satisfy C2? Does progress to C2 satisfaction depend significantly on the initial course taken in the MLC sequence (WRIT 25, 26, or 27) or repetition of WRIT 27?
- Is sufficient emphasis given to writing in WRIT 25 and 26 to prepare students for success in WRIT 27?
- Does successful progress through the MLC sequence guarantee sufficient writing proficiency for success in subsequent coursework? How do outcomes in C2 and DC courses for MLC students compare to those for non-MLC students (i.e., students satisfying ELWR via WRIT 20 and possibly 21)?

The potential partnership with the Languages and Applied Linguistics Department for Advanced Academic English (ACEN) instruction for students in the MLC pathway is promising. CPE hopes that it is possible to develop and coordinate this focused language instruction in time for an initial fall 2018 offering.

1.6. ELWR Data Review and Criteria

CPE began developing guidelines to improve assessment of Writing courses. The challenges of evaluating the Writing Program's proposals with extremely limited data, and varying amounts of key background information, prompted CPE to discuss establishing a common report with standardized guidelines.

Development of a standardized request for information about course design, learning outcomes, implementation, and student success (both in individual courses and downstream) would streamline the review process, avoiding the need for initial reviews followed by requests for additional information. Standardization would clearly communicate CPE interests and expectations in advance and would allay concerns that certain requests might be intended to target possible weaknesses of a particular program.

Completion of the guidelines was sidelined by the developments with the ELWR courses, but we intend to share a draft template with other committees (e.g., CEP, CCI, and CBP) and finalize the guidelines during 2017-18.

1.7. Communication and coordination with CEP

CPE works in cooperation with many Senate committees, but there is a particularly strong intertwining of responsibilities with CEP. CPE’s charge (13.25.2) states that:

“In consultation with the Writing Program, it [CPE] proposes the means by which students may satisfy the University Entry Level Writing Requirement and it oversees Entry Level Writing Requirement instruction.”

However, the ELWR courses, being courses, are under the purview of CEP. While much has been accomplished in the past few years, there have been ongoing tensions regarding the interpretation of CPE’s charge.

Much of CEP’s ELWR-related activity has been clearly course-related. The CEP-sponsored Amendment to Regulation 10.5.2, *Revisions to ELWR Satisfaction Requirement* (AS/SCP/1831), introduced the following changes (gray: struck out, boldface: added):

The Committee on Educational Policy is proposing changes to Regulation 10.5.2, which describes the mechanisms by which students satisfy the Entry-Level Writing Requirement (ELWR).

Entering students who have not satisfied the requirement in one of the above ways must enroll in an Entry-Level Writing *section* **course** of *Composition 1* in their first term of residence

Satisfaction of the Entry-Level Writing Requirement is a prerequisite for *receiving credit in enrolling in a* **Composition 1 course**

Determining prerequisites for course enrollment and approving courses is, of course, within CEP’s purview. Thus, CPE has no objection to the following statements in CEP’s *Update on the Lower-Division Writing and College Core Course Requirements* (agenda item, March 8 Senate meeting):

“In 2015, CEP concluded that the satisfaction of ELWR should be a prerequisite for enrolling in a composition (C1) course, as is required at every other UC campus.”

“Under this model, no student would be required to take a C1 course before satisfying ELWR.”

“In the spring of 2015, CEP approved a sequence of writing courses (Writ 24-27) designed for students with F1 visas who have not satisfied ELWR.”

However, a comparison of the following sentence from that *Update on the Lower-Division Writing and College Core Course Requirements*:

“A chart showing the revised structure of *the pathways by which students will satisfy ELWR*, the college core requirement, and the C1 and C2 requirements after this year is shown at the end of this report.”

to one from CPE’s charge (13.25.2):

“In consultation with the Writing Program, it [CPE] proposes *the means by which students may satisfy the University Entry Level Writing Requirement* and it oversees Entry Level Writing Requirement instruction.”

(boldface added) suggests that CEP may have ventured further into CPE’s purview than was necessary or appropriate.

Chair Lewis consulted with CEP on May 3. This was a valuable opportunity for CPE to learn about some important administrative considerations underlying CEP’s plans. We hope that it was equally informative for the members of CEP. CPE was not able to give its unconditional approval to the proposed restructuring of the ELWR courses at that time. While CPE understands that “CEP is extremely concerned by the continuing delays” and its members “are therefore eager to implement our recommendations as soon as possible.”, CEP’s reticence prior to the March 8 Senate meeting made a rapid resolution essentially impossible. The information CPE needed to make a responsible decision simply could not be provided on such short notice for review and evaluation by CPE during the spring quarter, particularly given that the Writing Program had to rapidly develop a proposal that aligned with the revised pathways presented by CEP on March 8.

2. Math Placement

In 2015-16, CPE requested that more robust procedures for processing placement scores be implemented and ambiguities regarding oversight of placement be resolved. Two significant steps were taken late this year:

- The Division of Student Success funded development of a math placement website, the UCSC Math Coach, to replace the current placement pages on the Math Department site and Physical and Biological Sciences Advising site; the site structure and content was guided by student survey responses and student queries regarding placement. Incoming students intending to take a math course at UCSC were directed to the Math Coach shortly after they submitted their Statement of Intent to Register in May.
- In June, the Physical and Biological Sciences Dean’s Office implemented a substantial improvement in the processing of math placement scores. Scores are now extracted from ALEKS and placed in an InfoView folder shared with the relevant staff of the Office of the Registrar; the file includes the student ID (ALEKS uses CruzIDs as identifiers) and the placement tier associated with the ALEKS score. The information in the shared folder is then loaded into AIS, where it is available for enrollment purposes. The approach eliminates some inefficient and insecure steps in the previous process, improving data security.

This spring, the Division of Student Success initiated discussions about a possible MOU that would delineate the assumptions for and agreements between the Mathematics Department, the Applied Mathematics and Statistics Department, the Division of Physical and Biological Sciences, the Baskin School of Engineering, and the Division of Student Success regarding the preparatory courses *College Algebra for Calculus* (Math 2), *Precalculus* (Math 3) and *Precalculus for the Social Sciences* (AMS 3). Chair Lewis represented CPE in these discussions. Agreement among key stakeholders on issues including course capacities, levels of instructor and TA support, and communication regarding placement would simplify planning and resource allocation. No agreement was finalized this year, but discussions will hopefully continue in 2017-18.

Chair Lewis updated CPE on recent analyses of placement activity and course outcomes, including the UCSC and UCOP reports on the Budget Framework Implementation Adaptive Learning Technology Pilot. UCSC, along with UC Davis and UCSB, piloted use of ALEKS for remediation and assessment during summer and fall 2016; the outcomes of these adaptive learning projects were reported to UCOP and subsequently shared with the Legislature.

Student surveys conducted in December 2016 and June 2017 suggest that a majority of the students in the UCSC "first year" math courses (up through calculus) may have already taken a version of that course in high school; many respondents had taken at least one high school course beyond the level of their first UCSC math course. This suggests that there are opportunities for improvement of the placement and preparation processes.

Math placement determines the most advanced math course an incoming student may take, but students are allowed to enroll in less advanced courses than they place into. Roughly half of the students taking *Precalculus* (Math 3) are calculus-eligible when they enroll in *Precalculus*; while some of these students need Math 19A for their major and are only eligible to enroll in Math 11A (in the 300 placement tier), the 300 placement tier corresponds to a 5 point range (70-75) in ALEKS, and almost all students who initially place into that tier improve their placement by at least one tier, becoming eligible to enroll in Math 19A, if they reassess. Common reasons given for enrolling in *Precalculus* despite being calculus-eligible and having completed a precalculus course in high school include the desire to have an easy course the first quarter and concerns because it had been a long time since they had taken precalculus (many respondents had more recently taken calculus or statistics).

Most of the students who take *College Algebra* (Math 2) are in the lowest placement tier, and thus ineligible for enrollment in a more advanced math course. However, many survey respondents had taken more advanced math courses in high school, and would probably have improved their placement had they reassessed. Efforts to increase the rates of reassessment have been supported by the Division of Student Success and the Office of the Dean of the Division of Physical and Biological Sciences, but have met with some resistance within the Mathematics Department.

Differences in prior preparation create different challenges in the introductory calculus courses. UCSC offers four different "introductory" calculus sequences: *Calculus for Economics* (AMS 11AB), *Calculus with Applications* (Math 11AB), *Calculus for Physics, Mathematics, and*

Engineering (Math 19AB), and *Honors Calculus* (Math 20AB). Math placement assesses knowledge of standard mathematics topics up through those covered in a typical precalculus course, but does not assess knowledge of calculus itself. Different placement score cut-offs are used for the different sequences, but enrollment recommendations or requirements are primarily based on (prospective) major, not prior math experience.

Students who took calculus in high school, but did not take Advanced Placement or International Baccalaureate exams or earn sufficiently high scores on those exams, must take calculus again at UCSC if they need it for their major. The December survey suggests that a strong majority of the students taking Math 11A or Math 19A in fall 2016 had already taken a calculus course in high school.

Comparisons of grades of survey respondents who took calculus in fall 2016 showed that the average grades for respondents whose last high school math class was precalculus were below passing level for most groups determined by ethnicity and EOP status. It is not surprising that prior experience with calculus would provide an advantage, but if a strong majority of the students in the courses share that advantage, the danger arises that instructor expectations will be determined by that cohort of students and newcomers to the subject will be perceived as weak students even if they are well-prepared for calculus.

Respectfully submitted;

COMMITTEE ON PREPARATORY EDUCATION

Bryan Donaldson

Dongwook Lee

Debra Lewis, Chair

Sarah Hope Parmeter, ELWR Coordinator

Sarah Michals, NSTF

Appendix: The Analytical Writing Placement Exam (AWPE)

Most incoming UCSC frosh satisfy the UC Entry Level Writing Requirement by earning a sufficiently high score on one of several admissible exams before beginning coursework at UCSC. UC administers the Analytical Writing Placement Exam (AWPE) statewide in May and on each campus at the beginning of the academic year.

The AWPE exam and scoring processes have serious limitations that are particularly problematic for multicultural and multilingual students. Students have two hours to read the given passage and write their essay; such tightly timed assessments have clear logistical advantages for UC, but can trigger stereotype threat. Some students are taught essay exam prep strategies, analogous to the well-known strategies for taking tightly-timed multiple choice exams; this can give an advantage in the exam setting that doesn't correspond to superior writing ability in more realistic contexts.

Some AWPE passages are arguably culturally insensitive. For example, the May 2014 topic was “what roles do talent and practice play in enabling people to reach outstanding achievements in any field?”; students may not feel comfortable responding “not as big a role as race, gender, or wealth” in this high stakes context, even if they're thinking it and their performance is affected by those thoughts. Some portions of that passage, e.g. “either high levels of musical achievement are based on innate brain structures (what people refer to as talent) or they are simply the result of training and practice” could have been taken from a stereotype threat experiment. The May 2017 passage on “negative thinking” was also problematic; aside from the striking Euro-centrism of the passage itself, the “it's all in how you look at it” topic seemed biased in favor of fortunate students: in the calibrating essays, students who wrote about coming to terms with their anxieties about the prom or their unsuccessful tryout for a prestigious wind ensemble scored higher than those who wrote about overcoming more substantial setbacks.

AWPE Scoring Guide

IN HOLISTIC READING, raters assign each essay to a scoring category according to its dominant characteristics. The categories below describe the characteristics typical of papers at six different levels of competence. All the descriptions take into account that the papers they categorize represent two hours of reading and writing, not a more extended period of drafting and revision.

A 6 paper commands attention because of its insightful development and mature style. It presents a cogent response to the text, elaborating that response with well-chosen examples and persuasive reasoning. The 6 paper shows that its writer can usually choose words aptly, use sophisticated sentences effectively, and observe the conventions of written English.

A 5 paper is clearly competent. It presents a thoughtful response to the text, elaborating that response with appropriate examples and sensible reasoning. A 5 paper typically has a less fluent and complex style than a 6, but does show that its writer can usually choose words accurately, vary sentences effectively, and observe the conventions of written English.

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A 4 paper is satisfactory, sometimes marginally so. It presents an adequate response to the text, elaborating that response with sufficient examples and acceptable reasoning. Just as these examples and this reasoning will ordinarily be less developed than those in 5 papers, so will the 4 paper's style be less effective. Nevertheless, a 4 paper shows that its writer can usually choose words of sufficient precision, control sentences of reasonable variety, and observe the conventions of written English.

A 3 paper is unsatisfactory in one or more of the following ways. It may respond to the text illogically; it may lack coherent structure or elaboration with examples; it may reflect an incomplete understanding of the text or the topic. Its prose is usually characterized by at least one of the following: frequently imprecise word choice; little sentence variety; occasional major errors in grammar and usage, or frequent minor errors.

A 2 paper shows serious weaknesses, ordinarily of several kinds. It frequently presents a simplistic, inappropriate, or incoherent response to the text, one that may suggest some significant misunderstanding of the text or the topic. Its prose is usually characterized by at least one of the following: simplistic or inaccurate word choice; monotonous or fragmented sentence structure; many repeated errors in grammar and usage.

A 1 paper suggests severe difficulties in reading and writing conventional English. It may disregard the topic's demands, or it may lack any appropriate pattern of structure or development. It may be inappropriately brief. It often has a pervasive pattern of errors in word choice, sentence structure, grammar, and usage.

COMMITTEE ON PRIVILEGE AND TENURE
Annual Report 2016-17

To: Academic Senate, Santa Cruz Division

Grievances

Three grievances were filed with the committee during the 2016-17 academic year. Of these, two have been resolved and the third will carry forward into the 2017-18 year.

Charges

Charges were presented by the administration against one member of the faculty this year. A hearing was conducted during the spring quarter on the matter. The hearing committee is awaiting closing briefs from the parties.

Proposed Revisions to Academic Personnel Manual Sections 15 and 16 and to Senate Bylaw 336

The Committee on Privilege and Tenure (P&T) reviewed the proposed revisions to Academic Personnel Manual sections 015 and 016 and Senate Bylaw 336 during the 2016-17 academic year. In general P&T thought that there remained unnecessary vagueness in the text of the proposed revisions and suggested substitute language where possible, particularly in Academic Personnel Manual sections 015 and 016. Comments were more substantive related to Systemwide bylaw 336. Here the committee felt strongly that the systemwide bylaw should be brought into line with UCSC practice with regard to how charges are served upon the faculty member (respondent) or the UCSC practice brought in line with the method described under SB 336.B.1. The committee also recommended that the terms "respondent" and "Divisional Privilege and Tenure Committee" be used consistently throughout the document to avoid confusion.

The more specific comments related to SB 336.C and its interrelated subsections. First, the original language in SB 336.C said "The Committee may refer the case to mediation (SBL 336.C) or appoint a hearing committee (SBL 336.D)." The proposed amendment deletes "refer the case to mediation (SBL 336.C) or", leaving "The Committee may appoint a hearing committee (SBL 336.D)." The resulting language is inconsistent with APM 015.III.A.4, which says that "In cases where the Chancellor wants a disciplinary action to proceed, the Divisional hearing committee must hold a hearing ...". SB 336.B.3 should say "The divisional P&T committee must appoint ...".

In that same section 336.C.1.c reads: "If a negotiated resolution is reached after charges are filed, the Chancellor ... should inform the Privilege and Tenure Committee if the matter is resolved." We have two issues with this language. First, we think it should be that the Chancellor *must* inform the P&T committee, since in that situation P&T will be in the process of making arrangements for a hearing, and really *must* be informed if a negotiated resolution has been reached. The second issue is that under the circumstances described, the P&T committee should not be notified *if* the matter has been resolved (since it has), but *that* the matter has been resolved.

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

Josh Deutsch

UNIVERSITY OF CALIFORNIA, SANTA CRUZ
Committee on Privilege and Tenure – Annual Report 2016-17
Julie Guthman
Sharon Kinoshita (*W&S*)
Shigeko Okamoto
Larry Polansky (*W&S*)
Bruce Schumm
Jorge Hankamer, Chair

AS/SCP/1882-2

August 31, 2017

COMMITTEE ON RESEARCH Annual Report 2016-17

To: Academic Senate, Santa Cruz Division:

The Committee on Research (COR) is charged with reviewing the campus and systemwide policies and issues related to UCSC's research mission. The committee also advises and collaborates with the Office of Research to promote faculty research. COR directly supports campus research by awarding faculty research grants, special research grants, and travel grants, and works to develop policy and strategy that assist UCSC's research goals.

In 2016-17, the Committee on Research addressed a broad range of campus research policy and infrastructure issues. We have continued to develop new models for COR seed funding. This year we implemented a new approach to COR seed funding to support research collaborations for Special Research Grants; provided feedback to the Vice Chancellor for Research (VCR) Scott Brandt on a proposal for Collaborative Centers; worked with the Office of Research on new research development strategies; participated in the ongoing review of the Institute for Marine Sciences; and completed our survey of shared research resources, distributing the results to faculty. We have also continued to explore UCSC's funding model for research, opposing budget cuts by documenting the effects of COR seed funding on research overheads and research culture. The committee also developed a survey to explore faculty views on research support and culture which will be deployed in fall 2017. Much of the Committee's time, particularly during winter 2017, was spent evaluating proposals and making awards through our various faculty research grants programs (Faculty Research Grant (FRG), Special Research Grant (SRG), New Faculty Research Grant (NFRG)), and we have introduced a modified collaborative funding model to tap into UCSC's research strengths.

An overview of the committee's work in 2016-17 follows:

Research Related Activities

Response to Budget Cuts to COR Research Grants

One of COR's main responsibilities is to solicit and review research proposals to support faculty-led research activities. However, the committee's ability to support faculty research was severely compromised by the reduction we received to our budget. This was cut by \$40,704, a 15.8% decrease compared with 2015-16. The reduced funding made our grant awards process more difficult and we received many messages from individual faculty and Department Chairs expressing their concerns about proposals we were unable to fund.

COR worked with the Graduate Council to communicate to CP/EVC Tromp that this funding cut is shortsighted. COR tracks the impact of prior funding on faculty grant submissions, allowing us to document the direct impact of COR funding in bringing research overheads into campus. Specifically, one single seed funded COR proposal led to an NIH grant that brought in overheads that were three times our overall annual budget. There are other similar examples of COR funds promoting grants and subsequent overheads, which suggests that COR grants, are critical for catalyzing research, and represent an excellent return on investment, making the cuts seem highly counterproductive. Similar serious impacts also resulted in the Arts and Humanities,

where the effects of reduced seed funding have very direct consequences; there are fewer mechanisms for providing extramural funding for highly significant book and creative projects that bring considerable research prestige to the campus. The absence of seed funding here means that many promising research projects may never be initiated.

Overall, COR seed funding provides an important mechanism that allows established faculty to explore high risk projects where it may be difficult to obtain federal funding. COR grants are critical for new faculty in initiating their research programs and to support shifts in research profile in later careers. The overall strategic importance of these grants for the campus is further shown by the number of applications we receive. This year alone we reviewed over 150 grants, which represents a quite significant proportion of Santa Cruz faculty, especially considering that some of these applications represent multi-faculty collaborations.

Perhaps most critically, such cuts sends out the wrong message in the context of stated campus goals to grow our graduate programs. COR seed funds often support graduate students with GSRs, since it is often the graduate students who generate the preliminary data that is used to seek larger extramural funding. Expanding our research enterprise by providing seed funding is absolutely essential for UCSC to enhance its research profile and increase the extramural funding that is foundational to growing graduate enrollments and further strengthening the research mission of our campus.

Given the dramatic investments in the Office of Research and University Relations in recent years, COR is concerned that the grant funds it distributes after rigorous peer review are being reduced according to formulaic cost-cutting calculations. Such an approach fails to acknowledge the strategic value of COR grants in supporting research across the campus, as well as growing the indirects pool for everyone.

We remain very concerned about direct campus support for research. In our 2015 analysis, COR found that just 1.8% of total research indirects were allocated to the committee. This return to faculty research seems unconscionably low given the role of COR grants in serving as a pipeline for supporting high risk research that often leads to successful grants. Furthermore it seems to fly in the face of the stated campus priorities for research and graduate growth. We look forward to receiving the CP/EVC's response to our request for reinstated funding (June 13, 2017).

Strategic Consultations with the Office of Research

The committee continued to extend a standing invitation to Vice Chancellor for Research Scott Brandt to attend relevant COR meetings to consult on issues of mutual concern regarding research policy and climate on campus.

The Office of Research is growing and the committee was able to consult with Research Development Director Audrey Levine and Assistant Vice Chancellor for Research, Industry Alliances & Technology Commercialization Mohamed Abousalem. They both presented on their new roles, responsibilities, and plans for research on campus. The committee looks forward to continuing to work and collaborate with them in the future.

Director Audrey Levine is responsible for creating initiatives and mechanisms to strengthen the campus research portfolio. She has broad expertise in industry, academia, and the federal government, including the National Science Foundation and Environmental Protection Agency. Her office plans to support researchers by aligning research interests and capabilities with funding opportunities, facilitating early career proposal and strengthening development of large-scale initiatives. Based on her NSF experience, Director Levine provided invaluable feedback to COR when we were developing guidelines for our new collaborative research initiative. We have found our consultations with her extremely useful for developing and formulating other research initiatives.

Assistant Vice Chancellor for Research, Industry Alliances & Technology Commercialization Mohamed Abousalem manages the campus portfolio and licensing activities with the development of industry alliances and technology transfer and commercialization program. His office has submitted a letter of intent to submit a \$2.2 million proposal to the Office of the President for an initiative called SPLICE- Support Program for Long-term Innovation, Commercialization & Entrepreneurship. COR met with AVCR Abousalem, providing him with feedback about proposals to develop alliances and commercialize research intellectual property.

Office of Research & Division of Graduate Studies' Center of Excellence Proposal

The Office of Research and Division of Graduate Studies verbally briefed the committee on the initial Centers of Excellence proposal in November 2016. The main goal of the proposal was to secure large agency grants where UCSC has lower success rates than comparable institutions and where such grants engage large numbers of graduate students. The aim was to secure these large grants through collaborative centers in relevant targeted areas, with centers ultimately becoming self-supporting. The proposal aimed to have the Office of Research, Graduate Division and CP/EVC provide funding for both small grants for planning centers and larger grants for mature self-sustaining centers.

The committee had a robust discussion with VCR Scott Brandt and AVCR Tedd Siegel, who consulted with the committee on the revised proposal in April. Overall, the committee was positive about the proposal, however with reservations. We believe it's imperative that the campus follow an active research growth strategy to reduce the risk of losing rebenching funds and to supplement existing strategies from Graduate Studies to increase graduate numbers.

We believe the initiative sends out a clear message to our campus both that large scale collaborative research is supported and that the campus is seeking large scale grants. We approve the proposal's aims to directly support graduate funding and support graduate student researchers, as opposed to more indirect strategies, for example, commissioning external consultants or acquiring software (e.g. Academic Analytics). COR members also strongly endorsed the proposal's 'bottom-up' strategy which allows faculty to opportunistically form collaborations to identify promising sources of funding, rather than top down recommendations in key areas identified by the Office of Research or Graduate Division. And with the Office of Research also providing direct faculty support for research discovery, this should also increase the chances of funding success. However the committee felt we needed to better understand the Office of Research Development's role in working with centers to develop opportunities, as this is a key potential benefit, and so more details would be useful. Likewise, we wanted to know

whether the Office of Research had concrete ideas about strategic areas where centers were likely to be successful.

Furthermore, the proposal seems mainly focused on STEM, being relatively silent about Arts and Humanities, as well as the role of Foundations in supporting research. Members believe there are opportunities and would like the proposal to expand upon this aspect. In terms of organization, we anticipate that administration of a cross divisional Center will be a considerable amount of work. The proposal indicates there will be course relief or summer salary ‘by exception’, leading to questions about workload and incentives for participating faculty. There are also issues about Center faculty and their participation in regular department activities. More information about faculty support and incentives to participate in the centers would have been helpful. In terms of implementation and shared governance, we felt that much more could have been said about the involvement of Senate Committees (i.e. Graduate Council and COR) in the Center approvals and steady state administration

The committee reviewed a revised version of the proposal (April 10, 2017) and consulted with Assistant Vice Chancellor Siegel on April 25, 2017. The revision incorporated several of our recommendations; it was scaled back to focus on smaller scale grants which we believe is a significant improvement. However the revision remained unclear about timescales as well as logistics. We look forward to further developments of this much needed initiative.

Modifications to the Faculty Research Grants Process to Target Collaborative Research

Despite our budget cuts, COR continued to work on developing new research initiatives for seed funding to promote research. Continuing activities begun in 2016-17, COR reviewed and extended the faculty grants process in consultation with VCR Brandt. Following analysis, we identified a priority of supporting larger collaborative activities. As a result, our COR grant call explored ways to identify, reward and showcase grants that promoted new collaborative research activities. Collaborative research was defined as projects, activities, or scholarly works where two or more investigators work together towards a unified, focused, and well-integrated outcome that could not be accomplished by working individually. It was our expectation that successful collaborations would build complementary, synergistic, and catalytic skills and expertise. We worked with the Office of Research’s Development Director Audrey Levine to develop a new call for collaborative proposals, which was successful in eliciting fourteen SRG proposals from faculty who were proposing new research collaborations.

Six of these collaborative proposals received additional seed funding from the Office of Research, doubling the awards for these applications, and more details are given below about these successful proposals. COR greatly appreciates and acknowledges the Office of Research generous support to enhance collaborative research on campus. Next year, COR will request a short report from awarded proposals to understand how we can further enhance collaborative efforts on campus and will explore modifications of this process, possibly involving a series of themed workshops.

Research Grants

Our main activity during the winter quarter involved grant reviewing. In 2016-17, the committee had two funding sources: the University Opportunity Fund and Education Fund.

Budget Source	Amount
Opportunity Fund – Indirect Cost Receipt from federally funded grants	\$337,466
Education Fund – Indirect Cost Receipt from privately funded grants	\$44,987
Total	\$382,453

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 151 proposals, of which 66 (44%) were funded. Our approach followed prior COR policy in funding the majority of FRGs which tend to be for smaller amounts. Furthermore, as noted above, this year the Office of Research provided additional seed funding for SRGs. We were also attentive to supporting non-tenured and junior faculty.

New Faculty Research Grants (NFRGs)

The NFRG program provides new faculty with access to funding in the current fiscal year. It has proved helpful to new faculty as they establish their research careers. Of the 15 NFRG requests, 11 were funded, the award amount decreased from last year’s \$27,218 to \$19,000.

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

As noted earlier, we modified the Special Research Grant submission and evaluation process to solicit proposals that support collaboration, in particular, proposals that involved cross divisional collaborations. The committee received and reviewed fourteen collaborative research proposal and awarded additional seed funding to the following proposals:

- Angela Brooks, Biomolecular Engineering with Susan Carpenter, Molecular Cell & Developmental Biology: *Using high-throughput approaches to understand how inflammation affects protein expression.*
- Miriam Greenberg, Sociology with Christopher Wilmers, Environmental Studies: *New Frontiers for Sustainability: Exploring Links between the Affordable Housing Crisis and Puma Habitat Fragmentation in Santa Cruz and the Bay Area.*
- Scott Oliver, Chemistry & Biochemistry with Shaowei Chen, Chemistry: *Heteroatom-doped porous carbon derived from metal-organic frameworks for electroreduction of oxygen.*
- Karen Ottemann, Microbiology with Melissa Miller, California Fish & Game Manager: *Characterization of the antibiotic sensitivity profile of a newly isolated pathogen of sea otters, Helicobacter enhydrae.*
- Chad Saltikov, Microbiology & Environmental Toxicology with Rocco Mancinelli, NASA AMES Research Scientist & Research Associate of the Microbiology and Environmental Toxicology: *Microbial Community Structure as an Indicator of Environmental Health Associated with Desalination Plant Brine Waste*

- Matthew Wagers, Linguistics with Maziar Toosarvandani, Linguistics: *Universal language processing principles in Santiago Laxopa Zapotec*

The Office of Research is interested in promoting research in new areas and creating opportunities in interdisciplinary domains where systematic collaboration is needed to obtain funding. COR will continue to consult with the VCR in support of these goals. The committee will also continue to explore opportunities to support collaborative research.

While it is hard to draw concrete conclusions about the success of our collaborative initiative on the basis of a single year, we were disappointed to see a decrease in the overall number of grant applications which were down from 177 in 2015-16, although our overall submission levels are close to historic averages. However, our significant budget cuts meant we were able to support many fewer grants than in previous years, which as we noted above, generated significant, legitimate negative responses from faculty including from two department chairs in the Art Division.

Travel Grants

The committee supports faculty travel to scholarly meetings and intercampus travel to research facilities, field stations, and sister UC campuses. Senate faculty may apply for a \$700 or \$250 travel grant respectively.

Our overall spending for all grants is below. Budget cuts meant we were compelled to turn down many deserving grant applications, a situation that will be exacerbated in subsequent years if funding levels are not reinstated.

Research Grant Program	Funded	Amount
New Faculty Research Grants (NFRG)	11	\$19,000
Faculty Research Grants (FRG)	32	\$48,702
Special Research Grants (SRG)	23	\$166,729
Travel Grants	183	\$125,841
Total	249	\$360,272

Change to COR's Charge

The committee spent some time discussing its role and campus responsibilities. Following that discussion, we concluded that COR should be more directly involved in proactively developing research strategy and policies. We therefore proposed changes to COR's campus charge to reflect these changed priorities. These changes are bolded below. The committee's revised Bylaw 13.27.2 was presented to and approved by the Academic Senate on November 18, 2016.

Bylaw 13.27.2 (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.

Survey of UCSC Campus Research

COR spent multiple meetings preparing a survey to poll faculty concerning campus support for research. The survey had four main goals: (a) to obtain faculty feedback about the current COR grants process, including how COR grants are announced and reviewed, (b) to solicit reactions to our new initiatives, including support for campus themes (2015-16) and collaboration (2016-17), and (c) to explore faculty evaluations of the administrative support provided by the Office for Sponsored Projects and Office of Research, including ways that these organizations support faculty in submitting and administering grants. Lastly, we will provide faculty with opportunities to comment on the campus' research culture. We worked with the Institutional Research Assessment & Policy Studies, Assistant Director for Assessment Anna Sher to develop a survey which will be deployed in fall 2017.

Shared Research Facilities and Equipment

We completed a campus-wide survey and evaluation of shared research equipment and facilities. The survey documented shared research infrastructure and equipment across the campus as part of COR's larger agenda to examine the current state and future possibilities for research on campus. Successive years of cuts have led to reductions in support for faculty research via direct COR funding. In addition there have 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 hoped 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 share 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. We continue to 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 used. Next year's COR committee will follow up to ensure that these resources are publicized on the Office of Research website.

Institute for Marine Sciences - Organized Research Unit Review

Another significant COR activity is to review campus Organized Research Units (ORUs). ORUs have not been adhering to the Regent's policy of regular five year reviews. The Office of Research initiated an ORU review with a self-study for the Institute of Marine Sciences (IMS). Committee members assisted the Office of Research by participating in the review process and provide the following recommendations for the future of IMS:

- Create a shared research vision
- Leverage planning support from the Division and Office of Research
- Develop a clearer funding model

- Recruit a new Director
- Recruit an effective advisory committee

As part of that review, we communicated to the Office of Research the need for obtaining more direct Senate committee feedback to improve the ORU review process. According to University of California's Compendium: Universitywide Review Processes for Academic Programs, Academic Units, & Research Units, the Senate should be involved more heavily, especially the Committee on Planning & Budget and Graduate Council, given the somewhat unusual role of funding and research support in the current IMS structure.

Other Committee Business

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

- Baskin School of Engineering: Center for Research on Cyber-Physical Systems Proposal, 2/12/17
- Environmental Health & Safety: Draft Field Research Safety Plan & Policy, 1/24/17
- Systemwide Review: Draft Presidential Unmanned Aircraft System Policy, 4/7/17
- Systemwide Review: Proposed Revisions to the Lecturer Security of Employment Series: APM 285, 210-3, 133, 740, 6/13/17

Upcoming Agenda for 2017-18

The committee will further explore the following topics in 2017-18:

- Follow up on the significant budget cuts suffered by COR this academic year
- Follow up on campus funding for research, specifically the continued low rate of return of campus overheads to COR grants program
- Distribute and follow up on faculty survey of grants process, research culture and research support
- Collaborate with the Office of Research on efforts to enhance research culture on campus, to include developing collaborative research support
- Discuss greater support for graduate students
- Work with OR to propose new five-year review process for other organized research units on campus

Building a Collaborative Research Community on Campus

In addition to supporting collaborative proposals through the COR grants call, the committee discussed different approaches for faculty collaboration such workshops involving "one minute" research presentations, along with grant writing workshops to encourage collaborative research. Next year, 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 Office of Research seed funds. 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 teaching load. Furthermore, there are even differences within divisions.

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

Respectfully Submitted;
COMMITTEE ON RESEARCH

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Grace Peña Delgado (*W, S*)

Dejan Milutinović (*S*)

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Steve Whittaker, Chair

Daniel Oliver, Graduate Representative

August 31, 2017

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

2016-17 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (RJ&E) met two times during each quarter in 2016-17. This report summarizes the Committee's work during the year.

I. Advice and Interpretation of Legislation

Committee on Educational Policy – Request for Interpretation of Senate Regulation 10.4.7

RJ&E responded to a request from CEP to interpret Senate Regulation 10.4.7, which defines minimum credit requirements for students pursuing more than one major: "Courses used to satisfy the requirements for each major must include a minimum of 40 upper-division credits not used to satisfy the minimum credits of any other major or minor." The question was whether the phrase "the minimum credits of any other major" refers to 1) the campus minimum of 40 upper-division credits for a major, or 2) the minimum requirements of a specific major. The committee read closely the language of Regulation 10.4.7 and concluded that the most common interpretation is that "the minimum credits of any other major" refers to the specific program requirements of a given major, not the campus upper-division credit requirement.

Committee on Educational Policy – Proposed Amendment to Senate Bylaw 13.17.9

RJ&E reviewed proposed amendments to Senate Bylaw 13.17.9. The intent of the amendments was to enumerate specific delegations of authority to administrative units, especially those in the Division of Undergraduate Education. The committee did not find any issues of conformance or compliance with existing policy. RJ&E noted that the enumeration was very specific, and any changes to or renaming of the administrative units in the future will require further amendments to the bylaw.

Committee on Courses of Instruction - Proposed Revisions to Divisional Senate Bylaws 13.16.2 & 13.16.6

RJ&E reviewed proposed revisions to divisional Senate Bylaws 13.16.2 and 13.16.6. The amendments clarify that CCI may delegate authority to the University Registrar and College Provosts for matters that involve a "routine administrative decision." RJ&E found no issues of compliance or conformance with existing policy.

Committee on Courses of Instruction - Proposed Revisions to Appendix C

RJ&E reviewed proposed revisions to Appendix C, which codifies the undergraduate grade grievance procedure. The intent of the proposed revisions is to avoid any expectation of a hearing to present evidence, clarifying instead that CCI may conduct its own informational investigation. RJ&E had already raised concerns in February 2016 about apparent issues with procedural due process, since the revisions remove the hearing clause and place the submission of evidence at the discretion of the committee.

After a thorough review of the redlined version of Appendix C, the committee was left with

essentially the same concerns, namely that the revisions alter the nature of the inquiry and the presentation of evidence. In the original language it is up to the student to present evidence. The new language places the impetus for the presentation of evidence in the hands of the committee, shifting the dynamic between the committee and the grievant. RJ&E was also concerned with proposed changes removing an instructor's right of complaint if they think their "record has been impugned by false or unfounded charges," while retaining the analogous language regarding student action. RJ&E emphasized that both student and instructor should retain the same right to file formal complaints with the appropriate offices.

Committee on Emeriti Relations - Proposed Revisions to Divisional Senate Bylaw 13.8.1

The committee reviewed CER's proposed revisions to divisional Senate Bylaw 13.8.1. The intent of the revisions was to expand the committee's membership to include "at least two and no more than five" emeriti members. RJ&E carefully considered the committee's rationale for the change and the language of the amendments, and the committee found no issue of compliance or conformance with existing policy.

II. Rulings and Advice on Senate Policy and Process

Ruling on Complaint Regarding Systemwide Senate Bylaw 55

RJ&E reviewed a complaint regarding Senate Bylaw 55 voting rights on personnel matters and the importance of sufficient notice to faculty. Part of sufficient notice includes a timely posting of the meeting agenda so that faculty are aware of an impending Bylaw 55 vote and are prepared to exercise the right to make their opinions known. Votes on appointment of Senate members are named specifically in the SB 55 voting rights.

In the same review, the committee noted that issues of quorum in department meetings cannot abridge or otherwise affect SB 55 voting rights. By the committee's reading, the right of Senate members to vote on an appointment is absolute.

The committee also urged departments to submit their alternate voting methods to the Committee on Academic Personnel (CAP) for approval, as provided in SB 55.B.7, and file the approved methods with the Academic Personnel Office (APO) pursuant to CAPM 404.220.4.e.

Guide for Managing Curricular Capacity and Program Enrollment

The committee reviewed the revised guidelines for managing curricular capacity and program enrollment submitted to the Academic Senate for review. After a careful review of the document and associated enclosures, the committee did not find any major issues of conformance with existing Senate bylaws or regulations on the face of the proposed guidelines.

In its written advice, RJ&E emphasized that actions to "Set Admissions Cap" and to "Set Qualification Cap" fall under the purview of the Committee on Admissions and Financial Aid (CAFA), which should be consulted in regard to establishing any admissions cap, as well as the Committee on Educational Policy (CEP), which should be consulted in regard to setting any qualification caps. Not consulting them on these matters would appear to fall without the long-established practice of consultation between the administration and the Senate.

RJ&E also affirmed that Regents' Standing Order 105.2(a) gives the Senate authority to determine the conditions for admission and to control courses and curricula. This implies that the two actions to "Set Qualification Criteria" and "Set an Admissions Threshold" are the privilege of the Senate, regardless of the intent surrounding those conditions.

III. Updates of the Santa Cruz Division Manual

Committee on Educational Policy – Senate Regulation 10.5.2

The committee reviewed a request from CEP to change the implementation date for SR 10.5.2 currently printed in the manual, from fall of 2017 to fall 2018. The committee determined that a simple parenthetical notation could be placed next to the subsection heading indicating that implementation would occur by fall 2018. This approach was adopted by the Division.

IV. Certification of Elections

Committee on Committees Elections

RJ&E reviewed COC nomination petitions which were submitted by the February 6 deadline, and six candidates were certified. An election for four COC members was conducted from February 17 through March 6, and the election results were certified on March 13.

Respectfully submitted;
COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Margarita Azmitia
Dave Belanger
Chris Connery (W, S)
Audun Dahl
Jason Nielsen, *Chair*

August 31, 2017

COMMITTEE ON TEACHING

Annual Report 2016-17

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, and to oversee instructional support services on campus. It was a highly productive year for the committee. Two major themes occupied the committee throughout the year: 1) engaging with the startup of the new Center for Innovations in Teaching and Learning, and 2) working on the student evaluations of teaching (SET) policy. The committee began to explore potential changes in the context of the COT's new purview over SETs granted in the previous academic year. Members discussed possible changes in UCSC SETs in conjunction with replacement of the campus online evaluation system. During the year COT focused on assessing the current state of SETs, and then created a framework for possible change. To this end, the committee gathered input from stakeholders, including conducting a survey of department chairs and provosts, and hosted a town hall event to elicit feedback on a path forward. Finally, we also adjudicated the selection for the annual Excellence in Teaching Awards, and worked on a number of other ad-hoc issues brought before the committee. A brief overview of the committee's notable work in 2016-17 is provided below.

Center for Innovations in Teaching & Learning

From 2014 through 2016, COT dedicated their attention to designing and promoting a proposal for the establishment of a new teaching center at UCSC. In spring of 2016, with strong support of the Academic Senate and VPAA Lee, the previous CP/EVC Galloway agreed to fund COT's proposal to establish the new *Center for Innovation in Teaching and Learning* (CITL), beginning in the 2016-2017 academic year. In July 2016 the new center was officially launched, with Professor Jody Greene as its founding director, to revitalize the university's historical commitment to excellence in teaching.

The CITL aims to support all who teach at UCSC—including graduate students, non-senate faculty, and senate faculty—with resources, professional development opportunities, and advocacy for effectively teaching our students with renew focus, which includes a primary commitment to equity and accessibility for all students attending UCSC; a vast body of the latest research on effective teaching and learning at the post-secondary level; and a wide range of educational technologies that can enhance student learning both in the classroom and beyond.

In its first year, CITL consulted widely with multiple constituencies on campus to assess the full range of professional development needs on campus, working especially closely with the Division of Student Success, the Graduate Division, and the Hispanic Serving Institute working group. CITL staff have designed a range of programs that will roll out in 2017-18, including Certificates for graduate students in culturally responsive teaching, teaching with technology and Universal Design; a Faculty Fellows program that, with significant financial

support from units all over campus, will host twenty-two fellows in the inaugural cohort; a Graduate Pedagogy Fellows Program to train TA trainers within two years for each of the forty graduate programs on campus.

Director Green was a sits-with member of the committee and the committee was able to regularly discuss priorities and goals. In addition, an important ongoing goal for COT was to assist in finding ways to help assure that the center will have permanent support after the initial three-year funded period. The committee continues to work toward establishing a structure for collaboration and divided responsibilities between COT and the new CITL, since several of CITL's new functions overlap with COT's current charge. A distinction between leading on policy (COT), and a focus on research and implementation on specific issues (CITL), evolved over the year, facilitated by regular consultation with Director Green, as well as Senate leadership.

Course Evaluation Policy: A Proposed Shift in Goals and Framework

In response to a request by the VPAA, the committee, in conjunction with the Academic Senate, has accepted a new policy role for course evaluation that mirrors the role the Committee on Admissions & Financial Aid 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.

Together with the pending adoption of a new online course evaluation system, in 2016-17 this new purview presented the committee an opportunity to reassess how teaching is evaluated at UCSC. We were motivated significantly by research-based concerns that current course evaluations may be significantly impacted by gender and other forms of bias. The committee, therefore, agreed to take on holistic evaluation of the use of SET, and work toward a proposal for a shift toward using SETs mainly as tools for improving teaching and learning, as opposed to the primary tools for personnel actions. A shift of this kind, however, raises many specific questions: SETs are a key part of all promotion and personnel actions, and any change from using the course evaluations would require new measures to be used.

In 2016-17, the committee created a framework and draft menu of possible changes, even as the complexity and multi-faceted nature of the undertaking became ever more apparent. COT worked to defining the range of issues and stakeholders, and then to outline options in three key areas discussed below. The committee spent significant time collecting information about different types of course evaluations that are used at other universities to go beyond student evaluations of instruction, assisted by a GSR Mecaila Smith, while CAAD and CITL assisted in sharing research on bias issues. We consulted with the Chair of CAP and CAAD, as well as VPAA and the divisional Deans. In addition, to gather specific feedback on how course evaluations are now used across campus, COT created, distributed, and analyzed a survey of for department chairs and provosts, for which analysis and synthesis activities have continued over the summer.

The committee will spend 2017-18 on developing a concrete set of proposals and meanwhile,

the committee has also been involved with the process for the campus to move to a new online course evaluation system. The new system should be flexible enough to enable the campus to mold it as we move forward with the changes to the student course evaluation.

Specific Discussion Areas Regarding Course Evaluations

The current literature on student evaluations of teaching, compiled by CITL GSR Mecaila Smith, strongly supports considering proposed SET changes. Recent studies have indicated that course ratings and student learning are largely unrelated. A second area of concern related to SETs is bias: students' evaluations of teacher effectiveness are likely influenced by gender, race/ethnicity, age, etc., as well as by characteristics related to the course (e.g. course difficulty and expected grade), as opposed to mainly characteristics related to teaching or learning. Significant research has found that bias against women faculty is particularly significant. These findings call into question student ratings as a measure of teaching effectiveness for faculty personnel actions, especially where student ratings are the primary measure used.

Evaluation Return Rates

One of the main issues that emerged after the campus move from paper to online evaluations was a dramatic drop in evaluation return rate. Research shows that this change is a common issue at other campuses. The committee discussed at length if response rates are pertinent to course evaluations, if response rates are lower, is the outcome of evaluation likely to differ? If response rates are low, there is research to suggest that differing ways of collecting responses can alter results, based on motivation and engagement of students who do respond. At the same time, other research has suggested general statistical guidelines for minimum response thresholds, based on course size. Based on this research, even fairly low response rates may not be problematic in large classes, however low response rates would render evaluations from small classes meaningless.

The committee concluded that while impact of low response rate may be debatable, the best way to increase confidence in SETs is to bolster student response rates, so that faculty can have access to a plurality of voices and perspectives. The campus currently does not have an official practice regarding response rates, which makes it difficult to compare instruction across faculty members.

Members discussed a number of strategies, along with respective pros and cons, to increase response rates including: 1) instructor introductions and contextualization of evaluations, 2) reminder emails to non-respondent students and to instructors, 3) various forms of incentives, ranging from course-specific (e.g., extra credit or participation credit) to prizes or forms of lottery 5) early or delayed grade viewing, and 6) returning to in-class evaluations, via student's devices or computer labs. These discussions made clear there are multiple points of view on many of these possibilities, and many also have technology implications (i.e., dependent on the capabilities of the online course evaluation system, or campus wireless and device access). The committee will be soliciting broad faculty input in its upcoming 2017-2018 survey, and consider these responses before formulating a proposal.

Time-frames for Course Evaluation deployment

The committee also worked on the issue of time frame for the completion of course

evaluations. Some of the issues with the current system include the potential for students who have dropped a course to, nevertheless, fill out an evaluation, and that the traditional ninth-week time frame is typically a time of maximum stress and overwhelming uncertainty for many students, and may not be an ideal time for students to thoughtfully reflect on their courses. Finally, a larger policy question relates to the purview over evaluation time frames: should departments or individual faculty or instructors have control over evaluation time frames, or should they be standardized? It is anticipated that any adjustment to evaluation time frame may also affect return rates.

Response from the faculty at our town hall event was mixed on this subject. Breakout workshops elicited some ambivalence about the current ninth week paradigm. A number of respondents believed that it matters little when the evaluations are given. However, overall there was a sense that the integrity of a course evaluation which considers courses in their completed state was in evidence. The committee will pose specific questions on these specific issues in the second survey which will be circulated to all faculty and instructors this fall.

Other Measures for the Evaluation of Teaching

If the overall proposal to change the main role of SETs on campus were adopted, such that course evaluations primarily will be constructed to assist instructors in improving their own teaching and student learning, this would then require other ways of evaluating teaching for personnel actions. While what exact measures are ultimately used is not within the purview of COT, the committee sought to gather feedback on this issue, since it bears directly on possible changes to current SETs. We assessed other measures currently most commonly in use, as well as faculty opinions on this broader issue, in our town hall, in COT's department survey, and in our upcoming survey to all faculty.

The current UC Academic Personnel Manual¹ (pg 4-5) specifies that each personnel file must include more than one kind of evidence of teaching effectiveness, and lists a wide range of possible forms of evidence. A recent white paper issued by the CITL and available on the CAP website² discusses five non-SET forms of evidence for teaching excellence most commonly used now on campus (personal teaching statements, contributions to graduate education, peer observations, syllabi, and statements on diversity).

The results of our town hall event and completed department survey indicated that beyond course evaluations the most widely used "other" measure are personal statements, followed by course syllabi, teaching materials, and some form of teaching observation. However, the use and prioritization of all these varied widely. In our town hall, faculty expressed significant interest in increasing emphasis on some form of peer evaluation, be it direct observation or peer evaluation of submitted course materials. At the same time, there were also reservations about workload and fairness issues with peer evaluations, suggesting that campus-wide guidance in using such measures would be required if they were to be adopted more widely.

¹ The UC Academic Personnel Manual may be viewed at http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf

² The CAP website may be viewed at <https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/evaluation-of-teaching----citr.pdf>

Online Course Evaluation Town hall

On April 19, 2017, the committee hosted a town hall event to discuss the potential changes to SETs. The goal of the event was to inform and solicit feedback from faculty, instructors, and graduate students about the potential changes to course evaluations, which will have widespread impact on all faculty, as well as students, potentially shifting how teaching is assessed on our campus. The town hall brought faculty together to discuss and solicit comments and feedback on the upcoming changes to the course evaluations discussed above.

COT Chair, Matthew McCarthy, delivered a brief introduction outlining the committee's research and consultations to date, and the nature of the various changes under consideration. COT members introduced areas of concern that could be addressed in proposed policy changes and presented on the initial findings from the COT's department survey. CAAD Chair, Miriam Greenberg, discussed CAAD's recent efforts to combat implicit bias in student evaluations of teaching, and shared an overview of recent research on the problem and possible ways to lessen the impact of bias on SETs and, by extension, personnel actions. Jody Greene, Director of the Center for Innovation in Teaching and Learning, shared some of her own research as the first director of the new center, and introduced a number of resources available to instructors offering guidance course development and revision as well as the current and upcoming initiatives of the new CITL to expand these. She underscored the need for investment in professional development to continue the tradition of excellence in teaching at UCSC and to facilitate the incorporation of innovative pedagogical approaches among faculty broadly.

A breakout session following these presentations specific faculty input in four areas: 1) possible Shift in SET function, 2) increasing return rates, 3) evaluation timing, and 4) other measures of evaluation. Input from each of these breakout discussions was synthesized for use in constructing COT's planned 2017-18 faculty survey.

Online Course Evaluation System Replacement

The current online course evaluation (OCE) tool used by UCSC is part of Sakai (a.k.a., eCommons). The campus has embarked on an effort to select a new OCE tool because Sakai will be deprecated in June 2018. Unfortunately, our new Learning Management System, Canvas, does not provide an OCE functionality.

Great effort went into defining campus needs for a new OCE system, and through consultation with faculty, academic leadership and faculty governance, including the COT, the options were narrowed to four finalists. Subsequent to product demos and with input from faculty, the final decision on which product to choose was made by the Acting Vice Provost for Academic Affairs, Martin Berger, in early 2017. *What Do You Think* by CollegeNet emerged as the preferred choice. In 2016-17 COT then remained engaged with the Learning Technologies unit in the planning for the initial configuration of this system for its planned rollout. Throughout the summer of 2017, the campus Procurement Department has been engaged in protracted negotiations with CollegeNet who elected to substantially revise the campus's standard terms of the agreement.

Canvas - Learning Management System Updates

In the summer of 2016, the campus moved the management of our Sakai Learning

Management System (LMS) to a stable provider, Longsight. This was followed by a rollout of our new LMS, Canvas, to run concurrently with the Sakai system so that faculty have ample time to migrate their content from the old system to the new. To date, adoption of Canvas has been strong, and the coming academic year will be dedicated to helping faculty migrate their courses into Canvas. COT will play an integral role in getting the word out to faculty on the need to move off of Sakai / eCommons and the strategic importance of using Canvas in the future.

Excellence in Teaching Awards

COT is charged with the 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. Over five hundred students nominated one hundred different instructors. 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 weighed in on the selection of the candidates. After much deliberation, the Committee selected seven 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. Chancellor Blumenthal presented the awards to the ETA recipients at a luncheon hosted by the Chancellor's Office at the Arboretum. For more information about each recipient, please see the University News & Events about the ETA.³

2016-17 Excellence in Teaching Award Recipients

- Subhas Desa
- Andrew Fisher
- Bruno Marinovic
- Leta Miller
- Ruth Murray-Clay - Ron Ruby Teaching Award in Physical & Biological Sciences Division
- Kiva Silver
- John Tamkun

Honorable Mention

- Giulia Centineo
- Kent Eaton
- Sean Keilen
- Wendy Martyna

In addition, provided comments and feedback on various issues to the Academic Senate and other groups on campus, including:

- Classroom Committee

³ The University News & Events website may be viewed at <https://news.ucsc.edu/2017/06/teaching-awards.html>

- Systemwide Review of Proposed Revision to Lecturer with Security of Employment
- Managing Curricular Capacity
- UC Learning Data Privacy Principles & Recommended Practices

Upcoming Agenda for 2017-18

At the end of year, main items discussed by members for the COTs 2017-18 proactive agenda included:

1) Developing a campus course evaluation policy proposal

The committee will begin this process with the deployment of the faculty survey early in fall 2017, which a subcommittee developed and finalized during the summer. We anticipate continued involvement of the VPAA, CITL, CAAD, and CAP. Based on our work this year, in 2017-18 the committee will formulate concrete proposals on both content and mechanics for the revised SETs.

2) Continue Collaborating with Center for Innovations in Teaching and Learning

The committee is eager to continue to collaborate with the CITL in facilitating the teaching agenda on campus, and a goal will be development of a productive working structure for the relationship between COT and CITL. One high priority is working with CITL on “best practices” documents for use of SETs, including both how to treat quantitative SET questions, as well as possibly more specific information on alternate methods of evaluation. The committee hopes to identify early in the year several specific areas for COT/ CITL collaboration, for example working with CITL on a best practices document noted above for departments to use in evaluating SETs.

3) Implementation of the new online course evaluation system

The committee will work with the Faculty Instructional Technology Center on the implementation of the new OCE system, which we anticipate will be initially deployed using existing SETs, and the move to revised SETs after the system is up and running.

Additional topics discussed included updating COTs charge, working with the University Librarian to establish a role for COT in providing a direct faculty voice in how evolution of libraries may affect teaching, and a possible research paper related to the extensive surveys COT has undertaken.

Finally, one area of ongoing concern that we were not able to address this year involves the way in which decisions are made on campus that impact pedagogy without sufficient consideration for the impact on instruction. Examples include the configuration of large lecture halls, movement in some departments to online delivery of courses that degrade the interpersonal teacher/student relationship, and increases in class size due to budget constraints. In particular given the expected deployment of new policy regarding declaring “impacted” status in some departments, COT is concerned that decisions are being made based on student overcrowding and a lack of resources, but do not adequately consider 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.

Respectfully Submitted;
COMMITTEE ON TEACHING

Phillip Hammack

Kimberly Helmer

Marc Matera

Danny Scheie

Matthew McCarthy, Chair

Jody Greene, Faculty Director of CITL

Jim Phillips, Director of Learning Technologies

Angela Nguyen, Graduate Representative

Carina Zhur, Undergraduate Representative

August 31, 2017

GRADUATE COUNCIL 2016-17 Annual Report

To: Academic Senate, Santa Cruz Division

Graduate Council (GC) focused this year on regular workload issues and a number of important pro-active issues of broad importance to the campus. The *regular* workload issues included a) monitoring, updating, and/or reviewing delegation and academic integrity policy documents, b) participating in external reviews for several departments, c) review of proposals for new graduate programs and the addition of pathways to existing graduate degrees, d) monitoring of graduate programs under GC review, e) reviewing proposed graduate program statement changes and course reviews, f) participating in the review of applications for the Cota-Robles Fellowships, and g) reviewing divisional faculty recruitment requests. GC also focused on several *pro-active* topics of broad importance to the campus, including graduate growth and graduate student professional development. GC also participated in the Curriculum Management Project relevant to GC purview. The Council formally consulted with the Vice Provost and Dean of Graduate Studies (VPDGS) on several issues, including an orientation into the “state of graduate education” for members at the start of the year, Dissertation Year and Cota-Robles Fellowships, review of the block allocation formula, and graduate admissions applications and outcomes. Finally, a detailed summary of the Council’s work in 2016-17, starting with the pro-active items, is provided below.

Graduate Growth

Graduate Council established a subcommittee on graduate growth during 2015-16. This work continued in 2016-17 with the goals of 1) making recommendations to catalyze much-needed campus strategic planning and action for growing and strengthening graduate programs, and 2) making more widely visible the progress the campus has made towards graduate growth. The subcommittee met over the course of fall and winter quarters and began with the draft graduate growth report completed by the Council during 2015-16. The work of the subcommittee builds on collaborative work by the Senate and Administration related to graduate growth (Joint Senate/Administrative Task Force on Academic Structures and Academic Planning (TFASAP): Report and Recommendations, May 2013; Joint Senate/Administrative Task Force on Graduate Growth (TFGG): Report and Recommendations, June 2015).

The subcommittee sought input from the full Council, and further received feedback from the Senate Executive Committee (SEC) and the Committee on Planning and Budget (CPB) during spring quarter. The work of the subcommittee resulted in two deliverables, a statement on graduate growth and a revised report,¹ the main points of which were presented at the May 19, 2017 Senate meeting by Chair Smith and later formally provided to interim CP/EVC Lee (May 24, 2017) and CP/EVC Tromp (August 11, 2017).

The Council’s “Statement on Strengthening and Growing Graduate Programs at UCSC” outlined its strong support for strengthening and growing graduate programs on the UCSC

¹ The statement and report may be viewed at https://senate.ucsc.edu/archives/Current%20Issues/Task%20Force%20on%20Graduate%20Growth/gc_re_statement_gradgrowth_may2017_bundled.pdf

campus to achieve a proportion of graduate enrollments commensurate with an aspiring AAU research university and comparative campuses in the UC system. Drawing on the “Graduate Council Subcommittee on Graduate Growth Report” (May 2017) analysis of enrollment data for UCSC and other UC campuses and the recommendations therein, the statement emphasizes the need for a comprehensive strategic plan led by the central administration to guide graduate growth and effectively leverage the ‘rebenching’ funding the campus has received to support graduate (primarily doctoral) growth. The Council articulated a set of recommendations, noting that in addition to the recent commendable campus efforts and initiatives, a clear articulation of graduate growth as a central campus priority is needed along with development of a campus strategic plan. This plan should include: establishment of achievable proportional and absolute growth targets for doctoral and master’s enrollments with mechanisms and timelines for achievement that are agreed upon by the administration and Senate; articulation of goals, incentives, and timelines to achieve an appropriate balance between doctoral and master’s enrollments, which may differ by discipline; articulation of a transparent process with appropriate accountability measures, for prioritizing allocation of campus resources and trade-offs for supporting one campus goal over another; proposed measures to grow/enhance UCSC’s research enterprise to increase extramural resources that can be used to support graduate growth; accountability metrics to track progress toward graduate growth goals; measures to enhance graduate student welfare and success; measures to develop/expand professional development training for graduate students beyond academia.

Graduate Council has requested a response from the CP/EVC on its statement and report on graduate growth, and looks forward to continued conversations, through formal consultation during the next academic year, about how the Council can participate and support the campus in further growing and strengthening graduate programs and graduate education.

Graduate Professional Development

A subcommittee of Graduate Council members worked on issues of graduate professional development. The committee met as a group to discuss goals and objectives, and held an initial meeting with the Graduate Division Associate Dean to gauge interest in potential ongoing collaborations and identify potential resources for campus graduate student professional development efforts. The work of the subcommittee will set the groundwork for continuing work in 2017-18.

Delegation Policy

The Council’s “Delegations of Authority” document 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 other administrative officers. The document also states, as established in GC bylaws, 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.

During fall 2016, the Council reviewed its delegation document. The document was updated to include Council’s delegation of the Dissertation Year Fellowship selection process to the VPDGS and its re-delegation (review and selection) to the divisional level (delegation noted in

GC correspondence to VPDGS dated 1/29/16). The re-delegated process will be monitored annually by GC for efficiency and effectiveness.

Academic Integrity Policy and Process

During winter 2016, the Council Chair received notice about an academic integrity case. The case was ultimately resolved without the need for a Graduate Academic Tribunal, however, it became clear that the policy itself should be revised to more clearly articulate the review and routing process for academic integrity cases, and to clarify that the academic integrity process is managed administratively through the Graduate Division. The Council reviewed the policy, and at the same time, received a request from the Vice Provost and Dean of Graduate Studies to revise the policy. Requested changes included 1) a proposed delegation of responsibility from Graduate Council to the VPDGS in non-egregious cases where the student does not admit guilt (with VPDGS making a determination of degree of gravity of the case and decision to forward for GC consideration or by the VPDGS), 2) slight change in timeline for scheduling an academic integrity case, and 3) change from current policy requiring annual reporting of academic integrity cases to Graduate Council (with copies to Chancellor, CP/EVC, Judicial Affairs Director, and Academic Deans) to proposed reporting upon request of the Council, and 4) removal of sunset provision that was included in the original document, outlining procedures for assessment and modification of the original policy.

The Council raised concerns with the delegation request, and has asked for more clarity around the specific criteria which the VPDGS position would use to make determinations on the “gravity of cases”, and consequently, which of the cases when a student does not admit guilt are then forwarded for GC chair consideration, or resolved entirely within the Graduate Division. Further, Council may want to consider further if cases of “no clear decision” at the VPDGS level might be candidates to forward to the Council chair for the next level of consideration. The Council also noted that since the VPDGS is a procedural advisor to the student, as currently outlined in the process, that this might conflict in appearance and/or in practice with the VPDGS as ultimate decider of the case. The VPDGS has noted that the position of Associate Dean may be charged with some of the academic integrity duties currently charged to the VPDGS, so as to provide increased separation between the potential conflicts of the VPDGS serving as both procedural advisor and ultimate decider of a case. The language in the policy may also be strengthened to clarify which cases come up to the level of GC review. The Council suggests that one approach could be to have a joint VPDGS/GC Chair review of cases where the student, after meeting with the VPDGS, maintains absence of guilt for determination of which cases are forwarded to the next (GC) level of review – this might further help protect from the appearance of a conflict of interest at the VPDGS level.

On the issue of annual reporting, the Council agreed that annual reporting should remain part of the policy, particularly given that graduate academic integrity cases seem to be increasing and may be expected to further increase with growth in master’s programs. Reporting will be integrated into the annual consultation schedule. Finally, the Council agreed that the policy should more clearly state the graduate academic integrity process is managed administratively through the Graduate Division, and suggested incorporation of this language in the Principles section of the policy.

The GC chair has agreed to work with the Graduate Division on language revisions if needed, and expects to see a new proposal that incorporates GC suggestions made during this year's review for incorporation into the revised policy in early 2017-18.

VPDGS Consultations

Given the number of issues on which the Graduate Council and Graduate Division formally communicate/collaborate throughout the year, the Council this year established a formal consultation calendar in collaboration with the VPDGS, intended to facilitate communication and review of key issues. The calendar is produced during the summer, and outlines formal consultation dates/topics for the upcoming academic year. Consultation topics, anticipated to occur annually, focused on the following:

“State of Graduate Education Overview”

Included as part of orientation for members, the Council requested a report on graduate enrollment growth trends as conveyed by absolute numbers and relative (percentages) over the previous five years, both campus aggregate and by division; an orientation into funding trends over the previous five years; and an orientation based on the data assessing the impact of the master's incentive funding model on masters and Ph.D. funding growth.

Dissertation Year Fellowship, Cota-Robles Fellowship Report

The Council consulted with VPDGS Miller on process and outcomes from the 2015 DYF and Cota-Robles selection. This consultation was the first to occur since a change in the review process for the DYF (GC to VPDGS 1/29/16) when GC delegated review of DYF's to the VPDGS to re-delegate the review and selection process at the divisional level. The Cota-Robles continues to be annually reviewed by a subcommittee of Graduate Council during winter quarter. During the consultation, concerns were raised about the consistency of the evaluation and selection process across divisions, and Graduate Council requested changes to be implemented for the review and selection process for both the DYF and the Cota-Robles beginning with the 2016-17 review cycle (GC to VPDGS 11/21/16).

Review of Block Allocation Formula

VPDGS Miller provided an overview of the block allocation formula, an allotment of funding distributed by the Graduate Division to support new and continuing students in graduate programs across campus. Along with an overview on the block allocation, VPDGS Miller provided data on projected enrollments and a list of actual block allocations. The consultation also included discussion of overall planning and recent initiatives from the Graduate Division intended to mitigate risk for departments and programs in planning funding for their entering cohorts.

Graduate Admissions Report

VPDGS Miller presented a graduate admissions report, including applications, admissions, and acceptances for the coming year. He presented this data in context of three year trends in graduate applications (2015-16 through 2017-18 admit years).

Review of 2017-18 Divisional Faculty Recruitment Requests

Graduate Council has participated in the review of divisional faculty recruitment requests since 2012-13, in context of campus planning and implementation of graduate growth. Over the last five years, the Council has significantly increased its engagement with this issue, and has devoted significant committee time to reviewing and commenting on the divisional faculty requests. Even so, the Council's twice-monthly meeting schedule combined with the allotted review timeline does not provide as much opportunity as is ideal for review. 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 CPB pre-consultation memos and decanal responses from each division to inform its review.

Principles Guiding Review of FTE Requests

Council believes that strengthening and growing graduate programs should be a high priority for the campus, since strong graduate programs increase research excellence and reputation, enhance the undergraduate educational mission, and increase the campus graduate education profile. Given this, Council reviewed the divisional requests with a guiding principle that the proposed hires directly (or indirectly) contribute to strengthening and growing doctoral and MFA programs on campus. In particular, Council's recommendations are based on judgement of the broader impact the requested FTE might have on strengthening and growing existing doctoral and MFA programs, or contributing to the establishment of new doctoral and MFA programs in areas of need or campus strengths. Council believes 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 and MFA students in numbers appropriate for their discipline. This principle is entirely consistent with the CP/EVC's first of two primary drivers for evaluating this year's faculty recruitment requests (i.e., *enhancing the research profile of the campus by supporting significant doctoral (or MFA, as appropriate) growth in existing programs or supporting 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, again consistent with complementary evaluation criteria.

Reflections on Process

The overall cost – benefit of the FTE request review process, in terms of Council's effort, is difficult to determine. On one side, Council recognizes the important role it should play in this process given that one of the primary drivers for FTE allocation is the requested FTE's contribution towards strengthening/growing doctoral/MFA programs. The 2016-17 FTE request process was more data-driven and standardized across academic divisions by clearer guidelines than in recent prior years, making assessment of the extent the requested FTE would contribute to graduate programs somewhat more apparent. On the other hand, Council's recommendations are made through the lens of graduate education, which is only one of several criteria for assessment of requested FTE. In the end, it is not clear to what extent, if any, Council's recommendations influenced the actual FTE allocations. Since GC's workload is already very high, it will be up to the future Council to assess the cost-benefit of participating in the FTE allocation process, which may include recognition of the opportunities and work that Council would need to forego in order to continue participating in the FTE allocation process.

Curriculum Management Project Consultation

The Curriculum Management Project (CMP) is a multi-year project under the auspices of the Office of the Registrar and Division of Undergraduate Education, designed to increase the usability and integration of systems related to curriculum management. The Council consulted with the project manager Don Moonshine and other project staff to provide a general overview of the Curriculum Management Project, how faculty are consulted throughout the project, and how the project will seek input from GC in areas of purview (i.e. program statement standardization, course approval form design, other areas).

Project Manager Moonshine also requested input from the Council on program statement format. The Council provided feedback, broadly focused on providing direction and structure for content. The Council appreciated Project Manager Moonshine's work in reaching out and working both with Senate staff and the Council, and expects to continue to provide input as the project moves forward.

Program Monitoring

Technology and Information Management (TIM) Graduate Programs

During 2014-15, after lengthy deliberation and assessment of the 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.

This academic year, the Council reviewed TIM reports at several meetings throughout the year. During fall quarter, the Council also consulted with BSOE Dean Wolf regarding his view of the status and future of the TIM graduate programs. Over the course of the year, the Council reviewed three reports from TIM (submitted September 2016, February 2017, and June 2017). Over the course of review of these reports, the Council has sought concrete evidence demonstrating that the department is able to sustainably mount UC quality M.S. and Ph.D. programs with the available personnel resources. To this end, specific questions/requests from the Council have been targeted to address that goal, specifically including: curriculum planning, chair succession planning, and decanal resource commitments. The second TIM report (February 2017) provided additional information and requested reinstatement of M.S. admissions without professional degree with supplemental tuition (PDST). After lengthy deliberation and weighing of additional information provided by both the department and BSOE Dean, the Council decided it could not ultimately deny the request to reinstate admission to the M.S. program (without PDST), *pending resolution by the department of its capacity and commitment to sustainably meet the graduate curriculum*. Council has requested that the Technology Management Department (TM) provide a written response addressing faculty commitment to meeting the TIM curriculum to sustainably mount the M.S. and Ph.D. degrees, and expects to review this information during fall 2017. The Council will continue to monitor the TIM graduate programs, and has requested continued reports for the following three years (May 2018 through May 2020) that address a) three-year curriculum planning b) reporting on M.S. and Ph.D. program applications and enrollments, and c) progress on the BSOE reshaping process and its impact on TM graduate programs.

Education Ph.D. Program

The Education Department, on Council's request, submitted the third (of four) annual reports that apprise the Council of the status of the Ph.D. program (September 2016). The Council commended the department for its thorough and responsive report. The Council raised issues that the department should address in its 2017 report, including ongoing assessment of actions intended to address student progress to degree, as well as any impact the restructuring of the MA/C program may have on the Ph.D. program. The Education department also underwent an external review this past academic year. The Council participated in that review and raised additional questions in response to the External Review Committee (ERC) report, all of which took place after review of the report. The Council praises the efforts of the department in addressing GC's concerns to date, and will continue to monitor the department's progress, particularly in context of the issues raised by the external review. The Council looks forward to reviewing the progress of the department during its review of the fall 2017 report.

Feminist Studies Graduate Program

Through the external review of the Feminist Studies department, the Council became aware of significant concerns voiced by the External Review Committee (ERC) that have serious implications for the success and sustainability of the graduate program, most notably department climate and its impact on graduate students and the graduate program overall. As a result, Graduate Council began closely monitoring the department, and in communication with the department Chair and Humanities Dean (1/27/17; 4/21/17; 7/18/17) asked the department to provide updates on concrete measures the department plans/is taking to address and resolve the issues raised in the external review. Council has been impressed with the level of commitment expressed by the department and its efforts in addressing GC's concerns. The department has made progress in addressing some of the issues (i.e. updating its Graduate Student Handbook, progress in identifying a graduate director, planning improvements in graduate student advising and communication). While acknowledging this progress, the Council agrees that a number of core issues are not yet sufficiently resolved, and will continue to monitor the department in the coming 2017-18 academic year. Specifically, GC is asking the department to provide a written update in fall 2017 updating progress to date on Graduate Council concerns (department climate, graduate handbook, staffing). The Council has also requested that the department seek frank feedback from graduate students via anonymous survey or other means in the next year in order to gauge the impact of the department's recent actions to address student concerns, and requests findings from these efforts be provided to the Council during spring 2018.

Regular Committee Business

New Degree Program Proposals

GC reviewed and approved two proposals for new graduate programs: a revised Coastal Science & Policy M.S. (PDST) (March 2017), and a Statistical Science M.S. and Ph.D. (June 2017).

Graduate Council also reviewed additional M.S. program proposals, a proposal to change an existing degree in Games and Playable Media (M.S. with PDST) from four quarters to five quarters, a proposal for an M.S. in Serious Games (PDST) and a proposal for an M.S. in Human-Computer Interaction (PDST). All three proposals are for Silicon Valley programs. Council convened a special meeting in late August to review and approve revised proposals for the

Games and Playable Media program, and for the new Serious Games MS program. Graduate Council expects to review a revised proposal for Human-Computer Interaction in 2017-18. In addition, the Council also reviewed a revised M.F.A. proposal in Environmental Art and Social Practice. Graduate Council requested minor revisions and expects to review a revised proposal in 2017-18.

Discontinuances

GC reviewed and approved the proposal to discontinue the Social Documentation M.A., a proposal set in motion by the program faculty who have recently had their Social Documentation M.F.A. (intended to replace the M.A.) approved.

External Reviews

The Council submitted universal charge questions for upcoming external reviews in Applied Mathematics & Statistics, Earth and Planetary Sciences, Education, History, and Music. In addition, the Council prepared external review report responses for closure meeting discussion for Feminist Studies, Film and Digital Media, Digital Arts and New Media (DANM), Sociology, Biomolecular Engineering, Ocean Sciences, Politics, and Education (Education completed both stages of its external review this year). The Council also reviewed mid-cycle reports and made recommendations on length of review cycle for History of Consciousness, Latin American and Latino Studies, Literature, Physics, Technology Management, Theater Arts, and Computational Media (deferral request).

Program Statement Changes

GC reviewed 27 proposed graduate program statement changes for the 2017-18 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 five GSI requests from the Education, Computer Science, 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.

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:

- Faculty FTE Transfer Requests (October 2016, February 2017, March 2017)
- Presidential Policy on International Activities (November 2016)
- Revised PDST Policy (December 2016)
- VPAA Proposal: Curricular Capacity and Capping Program Enrollment Process and Guidelines (April 2017)
- Computer Science: Petition for Impacted Status (April 2017)
- Bio-Education Concentration in the Biology B.A. program discontinuance (April 2017)
- Physics Education B.S. discontinuance (April 2017)
- iCP/EVC Proposal on TA Allocations for Graduate Enrollment (February 2017, reviewed but no official comment pending additional information from the CP/EVC)

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 2016-17. The Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2017-18:

- Graduate Growth—the Council will continue to advocate, participate in, and monitor campus planning for graduate growth
- Graduate program monitoring—Technology and Information (TIM) graduate programs, Education Ph.D. program, Feminist Studies Ph.D. program
- Graduate student mentoring best practices and professional development
- Collaborate with VPDGS on revision of academic integrity guidelines and policy
- Graduate dual degree process
- Review of revised new program degree proposal first reviewed in 2016-17: Human Computer Interaction M.S. (PDST)

Respectfully submitted;

GRADUATE COUNCIL

Lissa Caldwell

Gerald Casel (*S*)

Ben Crow

Michael Dine

Judith Habicht-Mauche

Kimberly Jannarone (*F, W*)

Athanasios Kottas

Roberto Manduchi

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Fitnat Yildiz

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Christy Caldwell, LAUC Representative (*F, W*)

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Melanie Dickinson, Graduate Student Rep

Yulia Gilichinskaya, Graduate Student Rep (*F, W*)

Gordon Keller, Graduate Student Rep (*S*)

Alexandra Merritt, Graduate Student Rep (*F*)

August 31, 2017

SPECIAL COMMITTEE ON ATHLETICS
2016-17 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 final report was completed and submitted to the Academic Senate and a supporting oral report given at the March 8, 2017 Academic Senate meeting. Both versions of the report are attached hereto as an appendix.

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

August 31, 2017

SPECIAL COMMITTEE ON ATHLETICS
Final Report to Academic Senate

EXECUTIVE SUMMARY

To: Academic Senate, Santa Cruz Division

Since 1981, UC Santa Cruz has participated in intercollegiate athletics as a member of the National Collegiate Athletics Association (NCAA), Division-III (D-III). The current program consists of 15 women's and men's teams, with approximately 300 student athletes. In FY 2016, expenditures for coaches and administrative salary, travel, NCAA fees, equipment and uniforms, and other operating expenses totaled approximately \$1.9M. The budget has risen significantly above previous levels due to the University's agreement to increase the salaries for coaches, consistent with a living-wage scale. In 2016, the program was funded by revenue from student fees, philanthropy, and a \$1M Chancellor supplemental fund. The University announced previously, and maintains, that the Chancellor supplemental fund will not continue past 2017. They have directed OPERS to introduce a referendum for student fees to support intercollegiate athletics, which is the common practice at other UC and CSU campuses.

Recognizing that the faculty and other key stakeholders had not yet been engaged in the process, at its winter 2016 meeting the Academic Senate approved the creation of a Special Committee on Athletics (SCA) to examine the value and costs of NCAA athletics at UCSC. In lieu of a referendum, in spring 2016, the administration conducted an "opinion poll" as part of the student elections process. The question posed was: "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?" While the students were voting, the SCA issued an interim report at the spring Academic Senate meeting. This report cited a wide range of co-benefits for maintaining a NCAA program and recommended that additional research on the issue be performed prior to any ultimate decisions. At that same meeting, the Chancellor announced his intent to await further input, which, in addition to the SCA continuing its work, included a University Foundation/Alumni Council ad hoc committee, which would focus on the program's business model. The results of the opinion poll were released shortly thereafter. In a student election with a strong turnout of 43.79%, 63.53% of students voted, yes, that they would support a significant fee increase to support competitive athletics.

Both the SCA and Foundation/Alumni ad hoc committees worked over the summer and in the fall of 2016 to aid the administration in finding a sustainable model for funding competitive athletics. The SCA, as charged, has examined the co-benefits of an athletics program as regards all major stakeholders: students, faculty, alumni, and community. We have also examined carefully the program's budget, both expenditures and revenue. This report presents our primary findings and issues a series of recommendations.

Findings

- For over 35 years, UCSC has maintained a modest and successful athletics program within D-III of the NCAA.

- The student athletes are a diverse population of the student body who, by any metric, have distinguished themselves academically and in athletics.
- There are substantial benefits to having an intercollegiate athletics program at UCSC.
- These benefits extend beyond the support of current student-athletes and impact many aspects of the wider campus community. We also recognize that there is significant potential for additional positive impacts.
- The student athletes and coaches are engaged with the Santa Cruz community and are exemplary representatives of UCSC.
- The UCSC athletics program receives national attention and positively promotes the University's image.
- There is the potential, capacity and willingness from parents, alumni and University Relations to expand philanthropy related to athletics, but these will require institutional support and guidance to be successful.
- The budget for the UCSC athletics program is comparable to the median budget of NCAA D-III institutions without football.
- Current student fees directly supporting intercollegiate athletics are significantly lower at UCSC than other UC and CSU schools participating in NCAA.
- Other UC and CSU schools participating in NCAA use institutional funding to support the program.
- A minimal NCAA D-III program supporting several hundred students at UCSC will require an operating budget of approximately \$2.2M per year (FY16 dollars).
- The combined revenue from alumni donations, gate fees, licensing, etc. is unlikely to exceed \$400k per year in the next 5 years with current practices.
- The athletics coaches have shown an interest and willingness to teach PE and run/participate in summer camps for additional revenue.
- Given an estimated budget of \$2.2M and likely maximum revenue of less than \$1M from the permanent athletics budget, central funds, and external sources of revenue, we find that the program will require revenue from an additional student fee.

Recommendations

- Given the strong and diverse positive effects of the UCSC athletics program, we recommend the University continue to support the activity. However, the funding model of UCSC athletics should not negatively impact our academic programs nor current activities or programs within student services.

- We recommend that the athletics program review its staffing model as regards assistant coaches.
- We recommend that the University continue to contract the head coaches with compensation consistent with a living wage. This should be accomplished through a combination of salary, stipend for instruction in PE classes, and income generated by running summer sports camps.
- We recommend that the athletics program, with additional support from the administration and University Relations, set an annual target of \$500k from the revenue streams of philanthropy, licensing, summer camps, and PE instruction.
- We recommend the central campus provide approximately \$500k annually to support the athletics program.
- We recommend that the University make every reasonable effort to maintain a NCAA athletics program at UCSC. We recognize that funding support will be predominantly through student fees, but the University should actively promote other funding streams (e.g. alumni donations, licensing, summer camps) and central funds.

Additional Recommendations

Prior to OPERS' submission of a referendum packet, our committee derived the following recommendations which were communicated to the referendum's authors:

- We believe that NCAA athletics at UCSC provides significant benefits to a wide range of student, campus, alumni, and off-campus communities.
- We recommend that the referendum modify the existing intercollegiate athletics fee to be approximately \$35 per quarter.
- In accordance with SFAC's recommendation, the referendum should include a sunset provision of approximately 20 years.

We have reviewed the final referendum and are pleased that OPERS has addressed many of our recommendations. Lastly, we offer a few additional summary recommendations:

- We recommend that the University make a concerted effort to pass the referendum. This should include additional Town Hall events (co-sponsored by SFAC and SUA) to explain the finances and co-benefits and to seek endorsement of the referendum.
- We recommend that the University openly express its support for an athletics program at UCSC and highlight its benefits for campus-life, alumni relations, and community engagement.

SPECIAL COMMITTEE ON ATHLETICS Final Report to Academic Senate

Introduction

Since 1981, UC Santa Cruz has participated in intercollegiate athletics as a member of the National Collegiate Athletics Association (NCAA), Division-III. The current program consists of 15 women and men's teams of approximately 300 student athletes. In 2016¹, expenditures for coaches and administrative salary, travel, NCAA fees, equipment and uniforms, and other operating expenses totaled approximately \$1.9M. The budget has risen significantly above previous levels due to the University's agreement to pay coaches a full-time (9 month) living-wage salary. In 2016, the program was funded by revenue from student fees, philanthropy, and a \$1M Chancellor supplemental fund. The University announced previously, and maintains, that the Chancellor supplemental fund will not continue past 2017. They have directed OPERS to introduce a referendum for student fees to support intercollegiate athletics, which is the common practice at other UC and CSU campuses.

At its winter 2016 meeting, the Academic Senate approved the creation of a Special Committee on Athletics (SCA) to examine the value and costs of NCAA athletics at UCSC. In spring 2016, the administration conducted an "opinion poll" as part of the student elections process. The question posed was:

"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."

While the students were voting, the SCA issued an interim report at the spring meeting. This report cited a wide range of potential co-benefits for maintaining a NCAA program and recommended that additional research on the issue be performed prior to any ultimate decisions. At that same meeting, the Chancellor announced his intent to wait for such additional input. This will include input from a University Foundation/Alumni Council ad hoc committee that focused on the program's business model. The results of the opinion poll were released shortly thereafter. In a student election with a strong turnout of 43.79%, 63.53% of students voted, yes, that they would support a significant fee increase to support competitive athletics.

Both the SCA and Foundation/Alumni ad hoc committees worked over the summer and in the fall of 2016 to aid the administration in finding a sustainable model for funding competitive athletics. The SCA, as charged, has examined the co-benefits of an athletics program as regards all major stakeholders: students, faculty, alumni, and community. We have also examined

¹ Office of Physical Education, Recreation & Sports (OPERS) Financial Review (2016)

carefully the program's budget, both expenditures and revenue. This report presents our primary findings and issues a series of recommendations.

1. NCAA ATHLETICS

The National Collegiate Athletics Association (NCAA) is a non-profit organization that promotes, organizes, and regulates intercollegiate athletics within the United States and Canada. It originated in 1910 primarily as a governing body to establish rules and eligibility for college competition and before long (1921) began arranging national championship tournaments and competitions. The NCAA helps students perform athletics at a high level of competition while pursuing a full academic degree. Over the past 100 years, the NCAA has also grown into an approximately \$1 billion revenue association, and the influences of business and profit are at the fore in many of its higher-profile activities.

Members of the NCAA are almost exclusively four-year colleges and universities, with membership granted through a multi-year application process. Currently, there are 1,121 universities and colleges within the NCAA. We believe this includes every university with a student body comparable to UCSC. Members must pay an annual fee to the NCAA to participate. Schools may generate revenue through participation in the NCAA through television contracts, conference revenue, licensing, advertising, etc. However, few programs generate a net income.

There are three divisions within the NCAA which separate roughly by level of athletic competition. UCSC competes in Division III. The following text (abridged) is found in the NCAA's description² of the three divisions:

Division I (D-I): Among the three NCAA divisions, D-I schools generally have the biggest student bodies, manage the largest athletics budgets and offer the most generous number of scholarships. Schools who are members of D-I commit to maintaining a high academic standard for student-athletes in addition to a wide range of opportunities for athletics participation. With nearly 350 colleges and universities in its membership, Division I schools field more than 6,000 athletic teams, providing opportunities for more than 170,000 student-athletes to compete in NCAA sports each year.

Division II (D-II): D-II is a collection of almost 300 colleges and universities that provide thousands of student-athletes the opportunity to compete at a high level of scholarship athletics while excelling in the classroom and fully engaging in the broader campus experience. This balance, in which student-athletes are recognized for their academic success, athletics contributions, and campus and community involvement, is at the heart of the D-II philosophy.

The D-II approach provides growth opportunities through academic achievement, learning in high-level athletics competition and a focus on service to the

² <http://www.ncaa.org/about>

community. The balance and integration of these different areas of learning provide D-II student-athletes with a path to graduation while cultivating a variety of skills and knowledge for life after college.

Division III (D-III): More than 170,000 student-athletes at 444 institutions make up D-III, the largest NCAA division both in number of participants and number of schools. The D-III experience offers participation in a competitive athletic environment that pushes student-athletes to excel on the field and build upon their potential by tackling new challenges across campus. It is the responsibility of each member institution to establish and maintain an environment that values cultural diversity and gender equity among its student-athletes and intercollegiate athletics department staff.

Academics are the primary focus for D-III student-athletes. The division minimizes the conflicts between athletics and academics and helps student-athletes progress toward graduation through shorter practice and playing seasons and regional competition that reduces time away from academic studies. Participants are integrated on campus and treated like all other members of the student body, keeping them focused on being a student first. (Emphasis added)

To be eligible for end-of-the-year, national championship tournaments, teams must compete in a minimum number of events within their Division during the season. Within each Division, most sports are sub-divided into conferences to promote regional competition. Teams within a conference may generate and share revenue as a single entity.

Lastly, there is a separate athletics organization -- the National Association of Intercollegiate Athletics (NAIA) -- which is comprised primarily of smaller colleges and universities. This includes UC Merced and the CSU Maritime Academy, although Merced plans to move to NCAA athletics as it grows.

2. ATHLETICS AT UC SANTA CRUZ

2.1 Overview

Similar to most other 4-year universities, there are three levels of athletic competition at UCSC: intramurals, club sports, and NCAA athletics.

Intramural sports enable any active students, faculty, and staff members to compete on campus in an athletic activity (not strictly traditional sports, e.g. inner-tube water polo). Emphasis is on participation, not competition. There are 24 competitive club sports teams³ at UCSC comprised of undergraduate and graduate students, participating primarily in traditional sports (e.g. soccer, rugby). Participation is restricted by academic standing and some teams hold tryouts to restrict the team size. The UCSC club teams fund themselves and compete with other club teams at nearby colleges and universities. In the 2016-17 academic year, there are 15 NCAA athletic

³ There are an additional approximately 25 non-competitive club sports teams.

teams at UCSC. Most teams hold tryouts to restrict the size according to several considerations (number of athletes that can compete at a competition, NCAA regulations, travel budget). Each has a coaching staff funded by the athletics program.

Each of these programs are run by staff at OPERS and each has a unique funding model. A summary is given in the following Table.

Activity	Eligibility	Funding Model	Participation in 2015-6
Intramurals	Students, staff, faculty who pay the \$25 participation fee.	Participant support supplemented by OPERS staff.	Over 20 activities with nearly 2,000 participants.
Club sports	Students in good academic standing.	Primarily funded by participants' dues.	24 competitive teams with approximately 1,000 athletes.
NCAA	Students who satisfy the NCAA rules, including academic standing.	Funded through student fees and other, smaller sources of revenue.	15 teams competing within the NCAA; approximately 300 student athletes.

3. NCAA AT UCSC

3.1 Overview

The NCAA program at UCSC began in 1981 under Chancellor Sinsheimer in Division III (D-III), when the undergraduate population numbered 6,200 students. The program has maintained D-III status while steadily increasing the number of sports teams to 15. These are: (Men's) basketball, cross-country, soccer, swimming & diving, tennis, track & field, volleyball; (Women's) basketball, cross-country, golf, soccer, swimming & diving, tennis, track & field, volleyball. The current participation is approximately 300 student athletes.

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 D-III athletic programs -- an academically selective and rigorous cohort. All other UC campuses (save UC Merced) are members of the NCAA at D-I or II. Their athletics budgets and programs dwarf those of UCSC. All other CSU campuses (save the Maritime Academy and Channel Islands) are members of the NCAA at D-I or II and also have much larger athletic budgets than UCSC.

As a member of D-III, UCSC does not offer athletic scholarships to student athletes. Furthermore, applicants are not given special preference for admissions on the basis of athletic ability. The requirements to maintain D-III status for institutions with more than 1,000 students are: (1) pay an annual fee and costs for game expenses (\$67k in FY16); (2) maintain 12 participating teams in NCAA competition; (3) submission of a series of annual reports on

finances, graduation rates, compliance, self-assessment, etc.⁴

Over the past 20 years, the number of schools in Northern California participating in NCAA D-III has dwindled as most have transitioned to D-II. None of the existing D-III programs within California have a student body population comparable to UCSC. These changes have had several impacts on UCSC's program. First, most UCSC teams are not in a conference, but are 'independents' without a base level of scheduled events. To achieve eligibility for end-of-season tournament play, UCSC teams must schedule competition with other willing D-III members. Frequently, this involves out-of-state travel. Also, for reasons discussed below, fewer schools are willing to come to UCSC for competition. As an example, the UCSC men's soccer team hosted only 5 home games in 2016 and travelled to Oregon, Texas, and southern California during its season. In the Appendix, we briefly discuss possible benefits of transitioning to a D-II program. The focus of this report, however, is on the cost-benefits of the existing D-III program.

In 2016, the program had 11 full-time head coaches with 12-month salaries supported by 10 assistant coaches paid full-time for 9 months. The program is typically administered by an Athletics Director, although OPERS laid off the position in Fall 2016 citing a lack of funds. Additional staff supporting NCAA athletics included 4 athletic trainers (3 positions are currently filled), one Graduate assistant trainer, and two associate athletic directors. Section 6 discusses the budget profile of this staffing level. Additional staff at OPERS, administrative and financial, spend part of their time supporting the athletics program.

3.2 Athletics Program Highlights and Achievements

UCSC teams have consistently combined high academic achievement with athletic success. We will cite overall statistics for GPA and graduation rate to show that our NCAA athletes perform comfortably above campus averages. Their academic achievements have been recognized nationally as well. For example, in 2016 the women's basketball team was ranked fourth overall nationally with a team GPA of 3.605, "making the Banana Slugs ... the only D-III program in the country to finish in the top 10 academically and make the NCAA Tournament this past season" (www.goslugs.com). The women's and men's track teams, with team GPAs of 3.3 and 3.5 respectively, earned All-Academic honors for the 2015-2016 season from the U.S. Track & Field and Cross Country Coaches Association. Overall, UCSC Athletics had 185 participants honored as scholar-athletes during the 2015-16 academic year.

These same teams and athletes have also achieved notable success in competition. In 2015-16 the teams made 6 appearances at NCAA championships and 4 Golden State Athletic Conference Championships. There were 3 All-Americans, 2 Conference MVPs, and 2 Conference Coaches of the Year, along with 80 All-Conference Athletes. Fall 2016 achievements included 2 cross-country runners who qualified for and participated in the D-III national championship. Emily Scheese was coach of the year for D-III independents in women's soccer, as was Jamey Harris for cross country. Among other achievements from recent years, in 2015 the men's volleyball team was ranked in the top ten nationally for D-III and made it to the quarterfinals of the national championship, producing 3 All-Americans and top honors for their coach Todd Hollenbeck.

⁴ http://www.ncaa.org/sites/default/files/d3_membership_requirements_20151120.pdf

3.3 Facilities

Athletics facilities at UCSC are built and maintained by OPERS. The facilities currently include two gymnasias (for basketball and volleyball), two sets of tennis courts, two main athletic fields, and one swimming pool. All of these meet the rules and regulations of the NCAA for the existing sports teams. The track and field team competes at only away meets, while the golf team practices at Pasatiempo and hosts a tournament at Pacific Grove golf links. Currently, none of the NCAA athletics budget is directed to facilities.

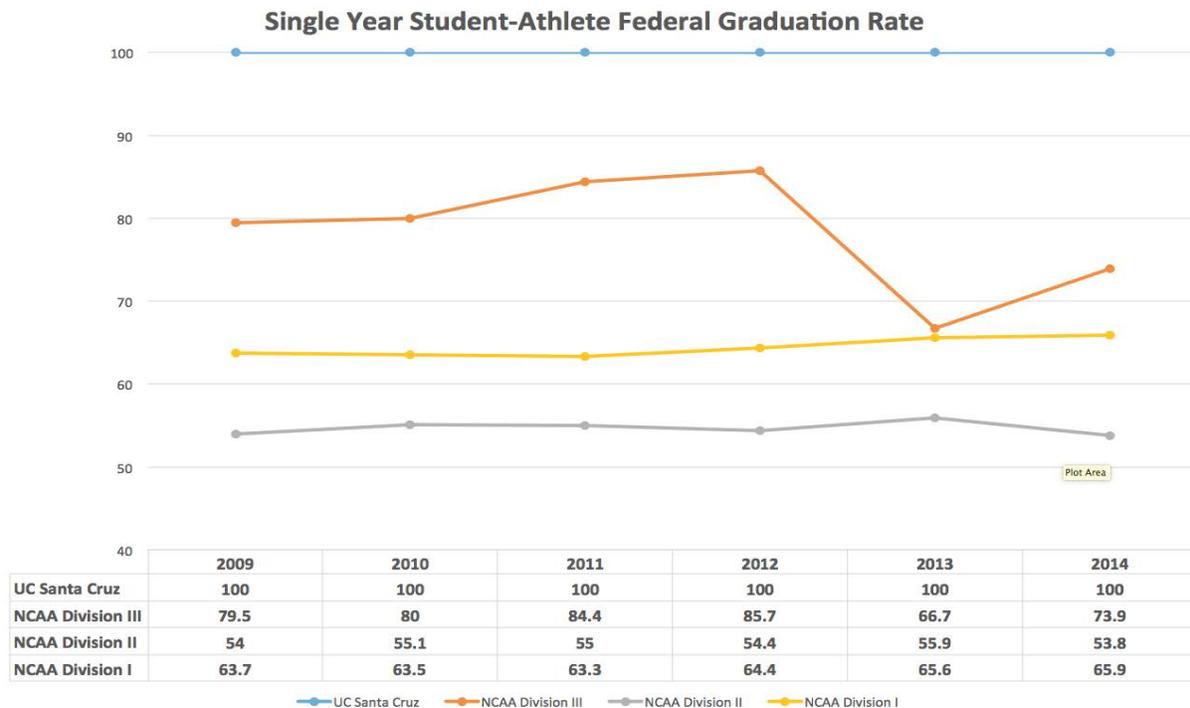
FINDING: For over 35 years, UCSC has maintained a modest but successful athletics program within Division-III of the NCAA.

4. STUDENT ATHLETES AT UCSC

4.1 Overview of Student Athletes

Approximately 300 undergraduates will participate this year 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 further increase participation.

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 (see Figure below). This greatly exceeds the campus average of 58%.



In the annual reports to the NCAA on UCSC student athletes, the data on ethnicity show that the

participants are as diverse as the overall student body.

4.2 Engagement with Campus Student Organizations

In Fall 2016, the Student Fee Advisory Committee (SFAC) sponsored a Town Hall event for the student body to discuss the future of UCSC athletics. The meeting was well attended by student athletes (who passionately expressed the value of the program to their student life), members of Student Union Assembly (SUA) leadership, members of SFAC, and a small sample of the general student body. The discussion focused on the values of athletics to campus life and the University and how to enhance the impact on the overall student body. Our committee recognized the value of student-athletes engaging with student governance, and we recommend that they maintain this dialog within their colleges and at regular SUA meetings. This can further integrate the program within other student activities and campus life, and may promote student participation at athletic events.

FINDING: The student athletes are a diverse population of the student body which, by any metric, have been a very successful cohort academically and have distinguished themselves in competition.

5. THE UNIVERSITY-WIDE BENEFITS OF ATHLETICS

5.1 Admissions and Retention

An important aspect of the UCSC Athletics Program is its contribution to student recruitment and retention. 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. Many of the current student athletes have expressed their intent to transfer from UCSC if the program is terminated. In addition, diversity in many different forms -- demographic, regional, and ideological -- and the ability for students to learn to work as a team with others from very different backgrounds in pursuit of a shared goal was explicitly referenced by former student athletes and parents of current athletes as a key benefit of the UCSC athletics program. Several individuals specifically noted that the ability to work together was a critical skill for future employment success.

The absence of athletics at UCSC could well have a broader and ongoing effect on admissions and retention. It is not simply the scholar-athletes who will enroll elsewhere. We must consider the potential impact on 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. In fact, alumni and parents of current students who were interviewed brought up this point specifically and commented that they knew prospective students and parents of prospective students whose very positive opinions of UCSC were decreasing because of the rumored threat of the closure of athletics.⁵ In addition, athletics is

⁵ No college or university of UCSC's size is without an athletics program.

often linked to student experience, specifically by providing opportunities for students to understand their campus and fellow students and experience a shared identity. Participating in athletics, either as athletes or as spectators, enables a feeling of belonging and sense of pride. University Relations staff have identified this sense of student experience and shared identity and pride as a major motivator for facilitating a stronger campus community, both in the present and in their future as alumni and potential donors.

In a different way, athletics is one of the few opportunities that allow students to engage with their peers from other institutions. Students have expressed their desire to attend athletics events in order to see friends who attend other schools.

As noted above, the retention rate for student athletes at UCSC has been 100% for five years running. Meanwhile, improving student retention is a major priority at UCSC. Over the past several years, the administration has developed several recruitment and retention programs at substantial administrative cost. For example, the Retention Services budget at UCSC for 2015-2016 was \$4.1 million.⁶ The UC Office of the President has made an additional investment to improve retention and graduation rates at UCSC, to the tune of \$1.6 million annually (for four years, starting 2014-2015).⁷ A Student Success Steering Committee, charged with investigating and addressing retention and time-to-degree challenges at UCSC comprises a whopping 27 faculty and staff members, at a less tangible (but no less real) cost in time and energy.⁸ In the context of such investments in improving retention and graduation rates, the track record of NCAA athletics at UCSC for attracting and retaining students who achieve in the classroom and graduate on time should be understood as at least partially offsetting the costs of operating the Athletics program.

5.2 Student Success

Athletics, like other performance-based extracurricular activities (e.g., theater, musical ensembles, student government, etc.) requires students to develop skills such as discipline, self-motivation, accountability, teamwork, competition, ability to contribute to something greater than oneself, and leadership. These are skills that complement the more individual-oriented academic skills learned in the classroom. Former student athletes and parents who were interviewed observed that participation in athletics while carrying a full academic load taught critical life skills for time management, balancing competing priorities, commitment to a community and community interests, and negotiating personal interests against team needs. Athletics fosters a more holistic, well-rounded person who is more successful not just in academics but in their future careers. Individuals who were interviewed observed that participation in athletics and other performance-based extracurricular activities greatly increased the desirability of job candidates and made them more successful in their post-graduate careers and as local and global citizens.

5.3 Alumni

At most universities, student athletics offers a sustained connection between the university and its alumni. This holds true even for smaller, D-III programs (e.g., Amherst, Pomona). Overall,

⁶ UCSC Office of Planning & Budget, “The UC Santa Cruz Budget – A Bird’s Eye View: 2015-16 Edition,” p. 115.

⁷ CPB Annual Report, 2014-2015 (AS/SCP/1807-4), p. 4.

⁸ UCSC Student Success website, <https://studentsuccess.ucsc.edu/sssc>, accessed 11/30/2016.

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 highly respected 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.

5.4 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. Yet parents have expressed serious concerns about being asked to pay for basic items (uniforms, equipment) that they believe should already be provided by the University, and parents have conveyed strong dissatisfaction in repeatedly being asked to provide ever larger donations on top of the high tuition and fees that they are already paying. In addition, these parental donations represent a very unstable source of revenue, as parents are not inclined to continue supporting athletics after their children graduate. Moreover, expecting parents to pay for their children's participation in athletics discriminates against students whose parents are unable to provide financial support, thus limiting diversity. Significantly, 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 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.

Beyond fundraising in terms of soliciting donations, athletics has the potential to generate other significant forms of revenue in the form of licensing, partnerships, and sponsorships. To date, university licensing efforts have been limited thereby missing out on potential revenue streams. A committee is currently exploring possibilities for licensing a campus slug mascot and thereby capturing those lost revenues. With an athletics program, the University's slug mascot will have greater visibility and potential for reaching a larger audience. More importantly, when universities increase their profile in their local communities, they benefit from partnerships with other institutions, including nonprofit and corporate entities. Currently, UCSC does not pursue opportunities to form partnerships with other entities. Cross-marketing with shared events and shared appearances would bring greater visibility to UCSC, both in the local communities and beyond. The potential benefits include positive effects on reaching a wider pool of prospective

applicants as well as potential resources in the form of revenue. This would seem to be particularly significant given the administration's stated goals of creating more and stronger connections with Silicon Valley. Additionally, with greater visibility of the campus and its unique strengths would come opportunities for sponsorships. While an obvious immediate benefit would be sponsorships that support athletics and student-athletes, these opportunities have the potential to benefit other programs on campus.

5.5 Community

UCSC's athletics program is deeply invested in the larger community beyond campus. The majority of the 300 student athletes at UCSC engage in a range of outreach activities within Santa Cruz County. These include youth clinics, summer camps, volunteer coaching in youth programs, and coaching and mentoring in school K-12 programs. Athletics is one of the few UCSC programs that consistently engages our university with the surrounding community, not simply by presenting positive images of UCSC to the local community, but also by sending some of our highest achieving students to work directly in the community and provide immediate material benefits to the local population. Thus, student-athletes provide tremendous public service, especially to Santa Cruz county schools. Additionally, the program provides the community one of the few opportunities to attend high-level sporting events in the county and feel connected to UCSC.

Several teams and coaches organize or contribute to clinics or other events that take them into the surrounding community or that bring the community to campus. The women's and men's basketball teams have run or helped with free clinics for local youth, both on campus or at venues such as the Boys and Girls Club downtown. Women's basketball has supported a local girl's basketball league (G-Ball) by volunteering for evaluations and at games, worked for Toys for Tots, and helped UCSC Veterans (tickets to a game and a campus barbecue). At least three teams, including women's and men's swimming (the largest teams), volunteer at large local athletic competitions, including the Santa Cruz Triathlon, which is also a fundraiser for local athletics programs. Women's golf volunteers at golf tournaments and is partnering with a charitable golf organization, First Tee of Monterey County, to bring a group of its participants (youth who are mostly from under-represented families) for a campus tour. At least two teams participated in beach or campus cleanup days. Moreover, the use by the women's and men's basketball teams of the Kaiser Permanente Arena in downtown Santa Cruz for their home games is another positive extension of UCSC into the community.

5.6 Summary of Findings

From the previous sub-sections, we derive the following findings:

FINDING: There are substantial benefits to having an intercollegiate athletics program at UCSC. These extend beyond the support of current student-athletes and impact many aspects of the campus community as a whole. We also recognize that there is significant potential for greater impact (see Appendix).

FINDING: The student athletes and coaches are engaged with the Santa Cruz community and are exemplary representatives of UCSC.

FINDING: The UCSC athletics program receives national attention and

positively promotes the University's image.

FINDING: There is the potential, capacity and willingness from parents, alumni and University Relations to expand philanthropy related to athletics, but these will require institutional support and guidance to be successful.

Over the past year, we have engaged students, fellow faculty, the administration, alumni, and the local community on the topic of UCSC athletics. Their impressions and responses have ranged from general ambivalence (e.g. no previous knowledge on the topic) to overwhelming support. The primary criticisms have been indirect, e.g. UCSC has great needs to sustain academic excellence and bolster student services in a difficult financial climate. These are important concerns that apply to any program on campus. Therefore, we recommend:

RECOMMENDATION: Given the strong and diverse positive effects of the UCSC athletics program, we recommend the University continue to support the activity. However, the funding model of UCSC athletics should not negatively impact our academic programs nor current activities or programs within student services.

6. UCSC ATHLETICS BUDGET

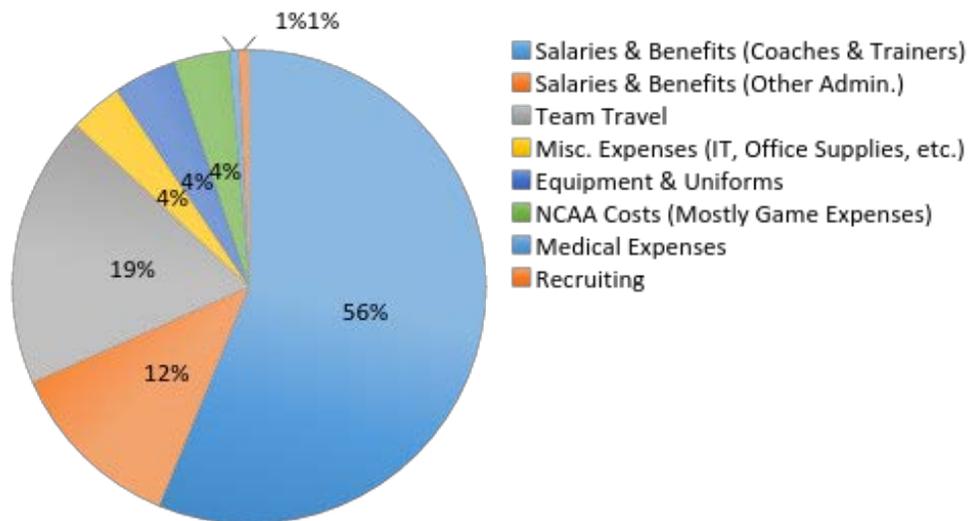
6.1 Overview

UCSC is noteworthy for its lean athletics budget. Total expenses for FY16 were \$1,968,399, which is at least 10 times less than most other UCs. Since UCSC is essentially prohibited from using state funds to pay for Athletics (or other non-academic activities), the costs of Athletics are almost entirely met by a combination of student fees and philanthropy.

6.2 Expenditures

Similar to most university departments and organizations, salaries and benefits for staff account for the vast majority of Athletics expenditures. In FY16, personnel expenditures for coaches, trainers, and administrative staff amounted to \$1,347,654, or nearly 70% of all outlays. The staff were 11 full-time head coaches supported by 10 assistant coaches, an athletics director with two associates, and 4 athletic trainers with one graduate assistant trainer. (It should also be noted that the Athletics program was not fully staffed in FY16, so full staffing would lead to increased expenditures in future years. Current projections for FY17 put salary and benefit expenditures at \$1.6 million.) After coaching, the next largest expenditure was for team travel for competition. UCSC Athletics spent \$361,399 on team travel in FY16 (accounting for about 18% of outlays). Travel costs are inflated at UCSC relative to other D-III schools, due to a lack of local competition. After personnel expenses and travel, the remaining 14% of expenditures in FY16 went mostly toward miscellaneous operating expenses (such as IT), uniforms and equipment, and NCAA membership (including game expenses, such as referees). Figure 2 offers a summary of expenditures at UCSC for FY16.

Athletics Expenditures, FY16



In 2014, the University agreed to new contracts with the coaches that paid them a living wage and also increased administrative support (e.g. addition of an athletic trainer). The average coaches' salary and benefits per team in 2016 is approximately \$68,000. This includes assistants, who are paid full-time for 9 months at UC minimum wage. These changes in staff salary have considerably raised the total expenditures for UCSC athletics, although the amount is near the median of other D-III programs (see below).

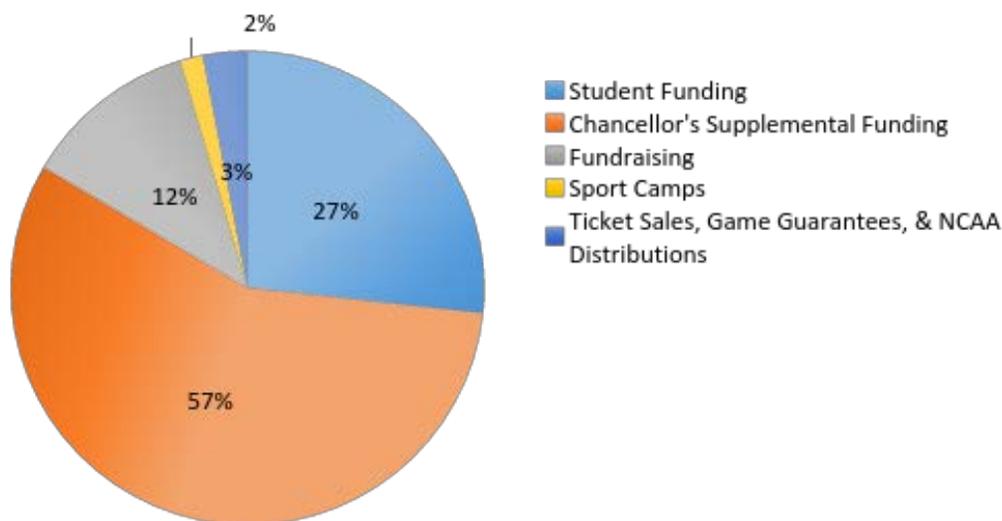
In 2016, the University commissioned a 'forensic' audit of OPERS with additional emphasis on the athletics program. Their estimate for the budget of a fully-staffed athletics program for FY17 is approximately \$2.2M.

6.3 Revenue

As a student activity, the permanent budget for UCSC intercollegiate athletics has been drawn from the Student Services Fee (#20000; \$258k in FY16), a \$5 per quarter student fee (#20370; \$176k), and a fraction of the Student Programs Fee M7 (#20360; \$34k). The program is also supported by philanthropy (\$209k in FY16), and modest income from ticket sales, game guarantees, NCAA conference distributions, and sports camps (~\$80k in FY16).

Prior to 2014, this revenue (with modest support from central funds) was approximately sufficient to sustain the program. With the increase in coaches' salaries and administrative support, the expenditures now greatly exceed this revenue. Therefore, the University agreed to temporarily supplement the budget with Chancellor's funding totaling \$1M in each of FY15 and FY16. The University further directed OPERS to identify and develop new revenues which led to a referendum for student fees that could sustain the program going forward. A ballot measure failed in 2015, and a new referendum will be part of the 2017 student elections. Fundraising has also declined in the last year, at least partly due to the uncertain future of athletics at UCSC. Several coaches at UCSC reported to the committee that alumni and parents of student athletes have voiced reluctance to donate to a program that is under consideration for termination.

Athletics Revenue, FY16



A breakdown of the revenue and expenditures for UCSC athletics from FY14-FY16 is given in the Appendix (Table 9.1.1).

6.4 Comparative Analysis

6.4.1 Expenditures: Every NCAA member institution must submit an annual financial report detailing all expenditures related to its athletics program.⁹ In FY14, the median athletics budget for a D-III NCAA program without football was \$1.7M. The expenditures for UCSC in FY15 were \$1.7M. Even with its increase to \$1.9M in 2016, the UCSC program may be considered typical of other D-III institutions. We note, however, that the rate of increase over these years is considerably higher at UCSC than the median D-III institution. Unfortunately, there is no public D-III school in California to use as a cost comparison.

FINDING: The budget for the UCSC athletics program is comparable to the median budget of NCAA D-III institutions without football.

6.4.2 Revenue: Other UC and Cal State campuses, most of which are either D-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 student fees.

⁹ <http://www.ncaa.org/sites/default/files/2015%20Division%20III%20RE%20report.pdf>

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” of \$9.5 million while student fees provide \$3.8 million. Riverside provides about \$8 million in direct institutional support and \$2 million in student fees.

D-II CSU campuses also have higher dedicated fees and varying levels of direct institutional support. Chico’s annual NCAA athletics fee is \$190, which provides about 80% of the total budget. Monterey Bay has a \$60 annual fee, but other university funding covers about 75% of the NCAA sports budget.

In sum, other California state university campuses use a range of funding models, but all combine significant central funding and student fees.

FINDING: Current student fees directly supporting intercollegiate athletics are significantly lower at UCSC than other UC and CSU schools participating in NCAA.

FINDING: Other UC and CSU schools participating in NCAA use institutional funding to support the program.

6.5 Discussion

Because any future, additional student fee for intercollegiate athletics at UCSC follows from the program’s increased expenditures relative to increases in other revenue sources, our committee has considered each of these carefully.¹⁰

Regarding expenditures, we have identified no aspect of the program that could be considered lavish, or even bloated. Indeed, the UCSC student athletes regularly pay for their own equipment and travel for athletic events. The teams greatly benefit from and even rely on philanthropy to meet standard needs. The facilities for competition are sufficient, yet spartan. There are no athletic scholarships. The program’s budget is consistent with the median D-III NCAA member.

One aspect of the current program that we believe needs additional study is whether to continue to support assistant coaches at full-time for 9 months. This is not standard practice at D-III (nor even many NCAA D-II programs), and we recommend that the program carefully examine the cost-benefits of this staffing model. Even with a reduction in assistant coach salaries (or benefits), we conclude that intercollegiate athletics at UCSC will require approximately \$2.2M (FY16 dollars) to sustain a viable program. This estimate is consistent with and has been informed by the recent audit of OPERS.

FINDING: A minimal NCAA D-III program supporting several hundred students at UCSC will require an operating budget of approximately \$2.2M per year (FY16 dollars).

RECOMMENDATION: We recommend that the athletics program review its

¹⁰ We note there that the Foundation/Alumni ad hoc committee has been instrumental in this process.

staffing model as regards assistant coaches.

6.5.1 Alternative Revenue Sources

We now discuss revenue sources for athletics other than student fees, and highlight the most promising areas that were identified by our committee and the Foundation/Alumni ad hoc committee.

6.5.2 Licensing

The University is currently revising its policies for licensing/branding UCSC and how to optimally implement its policies for revenue generation. The administration should consider the benefits of allowing athletics to establish and market its own brand or to share in campus-wide licensing revenue. This is common practice at other universities, but is not currently within the UCSC model.

6.5.3 Philanthropy

Private donations to the athletics program have been relatively modest and declining (ranging from approximately \$230,000 in 2012 to \$150,000 for January-November 2016). Donations have ranged from relatively small financial gifts (\$500-10,000), typically designated to individual athletics programs, to parental support in the form of buying uniforms, equipment, and meals for athletes while they are traveling for games. In our conversations with University Relations and donors it is clear that there is potential for formal fundraising for both specific programs and the athletics program more generally. For instance, one parent who spearheaded a challenge gift to benefit the athletics program for her own alma mater offered to work with fellow parents of current student athletes to design a similar program. Another parent noted that she and other parents regularly subsidized teams. University Relations staff report that they also have the capacity to develop potential philanthropic gifts from private individuals.

However, to date, the university administration has elected not to assign fundraising for athletics and other non-academic purposes to current or future development staff, thereby effectively preventing them from pursuing support for any programs outside college academic programs. It is very unusual for university development programs not to have staff who support athletics or other non-academic programs. The administration should consider the potential benefits of enabling University Relations to develop philanthropic opportunities in these areas, with focus both on generating sustained giving from donors and on building an endowment to support the athletics program into the future.

6.5.4 PE Instruction

In our conversations with the UCSC coaches, they expressed a willingness and interest to serve as instructors for Physical Education classes. This could offset salary during the off-season (especially for assistants), and further integrate the program within campus life.

6.5.5 Summer sports camps

Each year, the campus hosts a wide range of sports camps during the summer. These are primarily administered by Conference Services, through agreements with organizations like USA Camps. A subset of the coaches participate, and the athletics program has

received modest compensation (\$26k in FY16). The coaches have expressed a strong interest in increasing their involvement, which could include running the camps themselves. Such arrangements are common at other universities which increase the coaches' exposure and the program's recognition in addition to increased revenue for the program and a supplement to coaches' salaries.

The total revenue from summer sports camps at UCSC has been modest (approximately \$250k in FY16) with only approximately 10% directed towards athletics.

FINDING: The combined revenue from alumni donations, gate fees, licensing, etc. is unlikely to exceed \$400k per year in the next 5 years with current practices.

FINDING: The athletics coaches have shown an interest and willingness to teach PE and run/participate in summer camps for additional revenue.

RECOMMENDATION: We recommend that the University continue to contract the head coaches with a living wage. This should be accomplished through a combination of salary, stipend for instruction in PE classes, income generated by running summer sports camps, and other sources.

RECOMMENDATION: We recommend that the athletics program, with additional support from the administration and University Relations, set an annual target of \$500k from the revenue streams of philanthropy, licensing, summer camps, and PE instruction.

6.6 Institutional Support for Athletics Program

Given the wide ranging benefits of NCAA athletics to the University (Section 5) and the standard practice at other UC and CSU schools to provide institutional support, we believe that UCSC should also provide central funds to this program.

RECOMMENDATION: We recommend the campus provide approximately \$500k annually to support the athletics program.

This institutional funding could be reduced as revenue from the other sources listed above increase. Indeed, the University is incentivized to maximize those opportunities.

FINDING: Given an estimated budget of \$2.2M and likely maximum revenue of less than \$1M from the permanent athletics budget, central funds, and external sources of revenue, we find that the program will require revenue from an additional student fee.

The above findings and recommendations set boundary conditions on any business model that would maintain an NCAA athletics program at UCSC. Drawing upon a draft of this report and input from the Foundation/Alumni ad hoc committee, OPERS has developed a new business model and submitted a referendum to increase the intercollegiate athletics student fee (see

Section 10).

Weighing the costs and benefits of the UCSC athletics program to the entire university community -- student athletes, the student body, our alumni, our neighboring community -- our committee concludes that the University should make every reasonable effort to continue this program.

RECOMMENDATION: We recommend that the University make every reasonable effort to maintain a NCAA athletics program at UCSC. We recognize that funding support will be predominantly through student fees, but the University should actively promote other funding streams (e.g. alumni donations, licensing, summer camps).

7. A STUDENT REFERENDUM

In this section, we describe our committee's research and recommendations on the construction of a student fee referendum to support intercollegiate athletics. These were derived prior to OPERS submission of a draft referendum in December 2016. The following section comments on the final referendum for the May 2017 student elections.

7.1 2017 Athletics Referendum Background

Although the 2016 Opinion Poll showed strong student backing for the UCSC athletics program, previous student fee referenda have not produced sufficient support to enact new assessments. We believe that the careful analysis of the budget, cited in this report, allows for a much more modest request for student funding, one that will allow sustainability of the athletics program while recognizing other demands on student and campus resources.

December 16, 2016, was the deadline for submission of 2017 Student Fee Referenda to the Dean of students. Although drafting of the referendum for an increased NCAA athletics fee is the province of the OPERS director, the Special Committee on Athletics communicated to Director Willer, through a draft of this report, relevant considerations from our discussions and consultations. This section captures the discussion and recommendations presented by our committee to OPERS.

7.2 SCA Recommendations to OPERS

SCA discussions (as elaborated in this report) that are relevant to issues that must be included in the referendum text¹¹:

- Cost (SCA evaluation of audit and ad hoc committee budget analyses)
- How students were consulted (SUA representative member of SCA, SCA meets with SUA representatives, SCA presents at SFAC Town Hall)
- When the fee will be assessed (SCA discussion of possible recommendation for 'escalator' fee assessment)
- Ballot statement which includes: why the fee is needed, how it will be used and how

¹¹ <http://deanofstudents.ucsc.edu/elections/pdf/2016/campus-elections-orientation-presentation.pdf>

students will benefit (extended SCA discussions, see body of this report)

- Per Chancellor's prerogative, the 2017 athletics referendum will not require petitions or other additional endorsements to be placed on the Student Fees Referendum.

Although our report speaks to the value of NCAA athletics to the students and to the campus community as a whole, the committee members recognize the burden to students of the current high costs of university education. Our report does not presume to diminish the competing needs for scarce resources. With these considerations in mind, we offer the following estimates as regards the referendum.

We believe it reasonable to recommend that the students pass a referendum to maintain NCAA athletics by supplementing it with a stable, modestly sized budget. While we have identified a few ways the program may reduce current expenditures, in our analysis the program requires a sustained budget of approximately \$2.2M per year (FY16 dollars). The revenue from existing student services and M7 fees provides approximately \$300k. We recommend the business model assume \$700k per year from a combination of licensing, philanthropy, summer camps backed by central funding. One therefore requires approximately \$1.2M of additional revenue. This implies an intercollegiate athletics fee of approximately \$35 per quarter, assuming 17,000 students and the standard 33% return to financial aid. The administration should also consider staggering the fee, i.e. stage the increase from the current \$5 per quarter to the new total over two or three years.

RECOMMENDATION: We recommend that the referendum modify the existing intercollegiate athletics fee to be approximately \$35 per quarter.

We recognize that cost-of-living increases and inflation will increase the athletics budget over time. Therefore, we encourage the referendum authors to consider a modest inflator in the student fee. Otherwise, expenditures may need to be held in check by reductions in staff salaries and benefits.

In our discussions with the Student Fee Advisory Committee (SFAC), that body has emphasized a strong desire that every student fee include a sunset provision. While this practice may be more relevant to fixed-term expenditures (e.g. to pay off a loan) than a long-term program like athletics, we consider this to be an acceptable practice. Indeed, it is difficult to predict how intercollegiate athletics will evolve in the coming decades.

RECOMMENDATION: In accordance with SFAC's recommendation, the referendum should include a sunset provision of approximately 20 years. We believe, together with the Foundation/Alumni ad hoc committee, that there is a business model that can maintain a successful athletics program at UCSC for the foreseeable future. We further believe that the impacts of this program can be significantly enhanced without additional costs to fully leverage the investment of student fees, and have identified several areas where the students, faculty, alumni, and administration can further leverage the program to enhance student life, build on-campus community, improve alumni relations, and engage with the broader community. The resultant program would greatly benefit the campus both internally and externally.

8. THE 2017 REFERENDUM

On December 15, 2016, OPERS submitted a packet of files to the Dean of Students which initiated the referendum process for a student fee to support intercollegiate athletics. OPERS developed their submission with input from a draft of this report, and our committee had the opportunity to review and comment on the packet prior to its submission. In January 2017, the draft referendum was revised by OPERS after consultation with the UCSC administration, the SFAC, the SUA, and our committee. The key components of the final referendum are:

- The student fee for intercollegiate athletics would increase by \$40 per quarter (from \$5 to \$45).
- The packet includes a forecast of expenditures for athletics of approximately \$2.2M, \$2.3M, and \$2.4M in FY18, FY19 and FY20 respectively.
- 33% of the student fee assessment is designated by the campus for ‘return-to-aid’ funding and is not directly applicable to the athletics budget
- The funding model assumes \$500k of institutional funding per year indefinitely, and also contributions from licensing, philanthropy and summer camps.
- A portion of the fee (\$5 per quarter less the 33% return-to-aid) creates a fund functioning as an endowment (FFE) that will provide financial assistance to students in need for activities related to wellness and fitness.
- The fee is subject to a review for sunset in 25 years.

One of the above items, the revenue for the FFE for financial assistance, requires further explanation. The concept is to generate a permanent source of financial assistance for students that are eligible for the Educational Opportunity Program (EOP¹²) for activities related to wellness and fitness. This may include PE classes and dues for Club teams, but will not serve to provide assistance for intercollegiate athletics. Even if the student fee is sunset in 25 years, the FFE will continue to provide financial support for students in need. The FFE mirrors a similar FFE for intercollegiate athletics that will be created by the referendum.

FINDING: Overall, the referendum developed by OPERS is consistent with the main findings and recommendations of this report. It would provide a long-term funding model to maintain an intercollegiate athletics program at UCSC.

Given that this may be considered the last chance to keep a UCSC athletics program, the University should give the process its full support. This should include co-hosting (with student leadership) one or more Town Hall assemblies with students in Spring 2017.

RECOMMENDATION: We recommend that the University make a concerted effort to pass the referendum. This should include additional Town Hall events (co-sponsored SFAC and SUA) to explain the finances and co-benefits and seek endorsement of the referendum.

RECOMMENDATION: We recommend that the University openly express its support for an athletics program at UCSC and highlight its benefits for campus-life, alumni relations, and community engagement.

¹² <http://eop.ucsc.edu/about/about-eop-Criteria.html>

Respectfully Submitted;
SPECIAL COMMITTEE ON ATHLETICS

Lissa Caldwell

Greg O'Malley

Gene Switkes

Dan Wirls

Mary Knudtson, *Ex Officio*

J. Xavier Prochaska, Chair

Hector Navarro, *Student Representative*

February 27, 2017

9. APPENDIX

9.1 Supplementary materials

The following Table details expenditures and revenue for UCSC athletics in fiscal years 2014-2016, inclusive. Each of these years has been audited.

UCSC Athletics Revenue & Expenses			
	FY 2014	FY 2015	FY 2016
Revenue			
Institutional Funding	\$ 760,716.76	\$ 1,497,220.34	\$ 1,470,011.61
<i>Student Funding</i>	\$ 425,716.76	\$ 497,220.34	\$ 470,011.61
13676 MEN'S TENNIS PROG ENDW FUND AT UCSC	\$ 943.14	\$ 991.96	\$ 1,020.55
20000 University Student Services Fee	\$ 215,259.86	\$ 277,653.83	\$ 258,350.71
20360 Student Programs Fee M7	\$ 45,103.57	\$ 45,449.98	\$ 34,217.32
20370 Intercoll Athletics Sports Team Fee	\$ 164,410.19	\$ 173,124.57	\$ 176,423.03
Chancellor's Supplemental Funding	\$ 335,000.00	\$ 1,000,000.00	\$ 1,000,000.00
Fundraising	\$ 276,088.39	\$ 267,820.54	\$ 209,395.68
Ticket Sales	\$ 7,265.90	\$ 7,128.87	\$ 7,761.57
NCAA/Conference Distributions (include. All Tourn. Rev.)	\$ 22,461.84	\$ 7,825.84	\$ 33,288.48
Game Guarantees	\$ 24,585.00	\$ 10,600.00	\$ 12,250.00
Royalties, Licensing, Advertisements and Sponsorships	\$ -	\$ -	\$ -
Sports Camps	\$ -	\$ 19,197.75	\$ 27,572.95
Misc. Expense Error	\$ -	\$ (2,899.45)	\$ (972.76)
Total Revenue	\$ 1,091,117.89	\$ 1,806,893.89	\$ 1,759,307.53
Expenses			
Earnings & Wages (W2 & 1099)	\$ 429,647.94	\$ 731,845.49	\$ 887,404.18
Benefits (Paid by the University & Related Entities)	\$ 134,775.03	\$ 396,491.00	\$ 460,249.79
Subtotal Earnings, Wages and Benefits	\$ 564,422.97	\$ 1,128,336.49	\$ 1,347,653.97
NCAA Assoc. Costs	\$ 80,709.45	\$ 69,331.02	\$ 73,836.16
Membership & Dues	\$ 11,538.50	\$ 11,310.00	\$ 12,991.15
Game Expenses	\$ 69,170.95	\$ 58,021.02	\$ 60,845.01
Equipment, Uniforms and Supplies	\$ 71,468.11	\$ 107,186.65	\$ 84,015.33
Team Travel	\$ 386,304.42	\$ 311,306.47	\$ 361,398.89
Recruiting	\$ 3,112.07	\$ 9,983.47	\$ 13,930.07
Medical Expenses/Medical Insurance	\$ 13,558.40	\$ 16,097.00	\$ 12,234.21
Misc. Operating Expenses	\$ 19,677.90	\$ 84,736.70	\$ 70,224.12
Office Supplies(Printer, paper, pens, etc.)	\$ 4,904.16	\$ 6,775.94	\$ 7,540.26
IT (InfoUser, Computers, Phones, Software)	\$ 8,491.27	\$ 7,102.14	\$ 31,418.91
Internal Mtgs & Events and non-game travel (awards banquet, campus meetings)	\$ 2,690.78	\$ 22,518.22	\$ 4,982.20
External Mtgs & Events (NCAA mtgs, CE, Prof Dev.)	\$ 324.75	\$ 26,895.35	\$ 3,540.74
Other (anything else that doesn't fit in the other cat's)	\$ 3,266.94	\$ 21,445.05	\$ 22,742.01
Royalties, Licensing, Advertisements and Sponsorships	\$ -	\$ -	\$ -
Sports Camps	\$ -	\$ 8,206.00	\$ 5,106.30
Total Expenses	\$ 1,139,253.32	\$ 1,735,183.80	\$ 1,968,399.05
Athletics Annual NET (+ gain/-loss)	\$ (48,135.43)	\$ 71,710.09	\$ (209,091.52)
Prior FY Ending Balance	\$ 82,614.17	\$ 34,478.74	\$ 106,188.83
Total Athletic Dept. Year End Balance	\$ 34,478.74	\$ 106,188.83	\$ (102,902.69)

Table 9.1.1

9.2 Potential Participation in Division II (D-II)

Although not a direct part of the committee's charge, the question of whether UC Santa Cruz athletics was participating in the most suitable, practical, and advantageous division of the NCAA was raised by athletes, coaches, administrators and other stakeholders during our deliberations. Moreover, during the 2014 search for a new Director of Athletics this was one of the main issues discussed by the search committee with all the candidates, many of whom believed it was an important consideration for the future of the program. While the committee makes no recommendation, we investigated and discussed the advantages and disadvantages of D-III compared to D-II.

UCSC is significantly larger than most D-III institutions and most D-III institutions are private rather than public. But that issue of "fit" is secondary to the practical concerns that motivate this question: UCSC is not located near other D-III institutions. This complicates several aspects of the program, including travel safety and expenses, participation in athletic conferences, ability to participate in championships, and ability to have home games with peer institutions.

Aside from UCSC, Mills College (private, 821 female undergraduates) is the only D-III school in northern California. Nine private D-III institutions are in southern California, including Cal Tech, Pomona-Pitzer, Occidental, Redlands, and Whittier. By contrast, 12 D-II institutions are in northern California, including seven CSU campuses, all of which are participants in the CCAA conference; several more public CCAA members are in southern California, including UC San Diego and other CSUs.

Participation in D-II could produce significant reductions in the travel budget while increasing the safety of the student-athletes (many trips to southern California are taken in vans driven by coaches or even athletes, for example, and it would allow for more home games in many sports). But this and other advantages (including increased opportunities for revenue) would have to be weighed against other considerations, including the potential shift in ethos. D-III, as noted in our report, is focused on athletes as scholars, first and foremost. That UCSC maintains its D-III status might be viewed as a statement of principle regarding the relevant place of athletics in academia and, as such, may be an attractive feature to potential students and their parents. There are, for example, no athletic scholarships allowed. D-II also emphasizes student scholarship and success, but does allow athletic scholarships. Without careful planning and institutional commitments, a move to D-II might degrade the remarkable academic standard set by current UCSC student-athletes.

While the immediate and primary goal is to see whether competitive athletics can be put on a sustainable path, the committee recommends, if and when the program is on a solid financial footing, that UCSC consider moving to D-II.

9.3 Timeline of SCA Activities

- February 2016 -- Academic Senate approves the formation of an ad hoc Special Committee on Athletics.
- April 2016 -- The SCA is constituted by the Committee on Committees. The SCA meets

several times in Spring quarter.

- May 2016 -- The SCA prepares an Interim Report and presents at the May meeting of the Academic Senate. The AS resolves that the SCA will extend its service through the 2016-2017 academic year.
- Fall 2016 -- The SCA engages with key stakeholders of the NCAA athletics program -- students, SUA, alumni, coaches, upper administration, OPERS administration and SFAC.
- October 19, 2016 -- The SCA attends a student Town Hall hosted by the SFAC to discuss Athletics and solicit student input.
- December 2016 -- The SCA completes, and distributes to key stakeholders for input, a draft of its full report.
- December 2016 -- The SCA provides direct input into the drafting of a new referendum for student fee support of NCAA athletics.
- February 2017 -- Completion of this report.

9.4 Opportunities to further engage athletics in the University and increase its co-benefits

Section 5 highlighted areas where the current athletics program provides significant co-benefits to the University. Currently, the University has done little to publicize or take advantage of the opportunities brought by athletics. For instance, student athlete activities and successes on and off the field could easily be included in university media venues such as Tuesday Newsday and in alumni publications. Existing athletics media (www.goslugs.com) should be integrated within the campus-wide social media. Student athletes could increase the visibility and impact of their service activities within the UCSC and local communities by sponsoring annual, campus-wide activities that bring in more student, faculty, and staff engagement. Lastly, University Relations could develop and implement a formal fundraising program around athletics.

Report from the Special Committee on Athletics (v1.1)



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 - “...The committee will provide the Academic Senate with a report on the values and impacts of continuing or not continuing the NCAA athletic program at UCSC, as regards faculty, students, and the overall university. It may provide the Academic Senate with recommendations on the future of the athletic program.”

Athletics @ UCSC



UCSC Athletic Activities

- **Intramurals**
 - All UCSC members (staff, faculty, students) may participate (\$20 fee)
 - Competition restricted to campus facilities and on-campus teams
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 - All UCSC students qualify by ability and academic performance
 - Student-led, student-managed and largely student-funded
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- **Athletics -- NCAA Division III without Football**
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 - Teams of experienced athletes compete against teams at other Division III schools

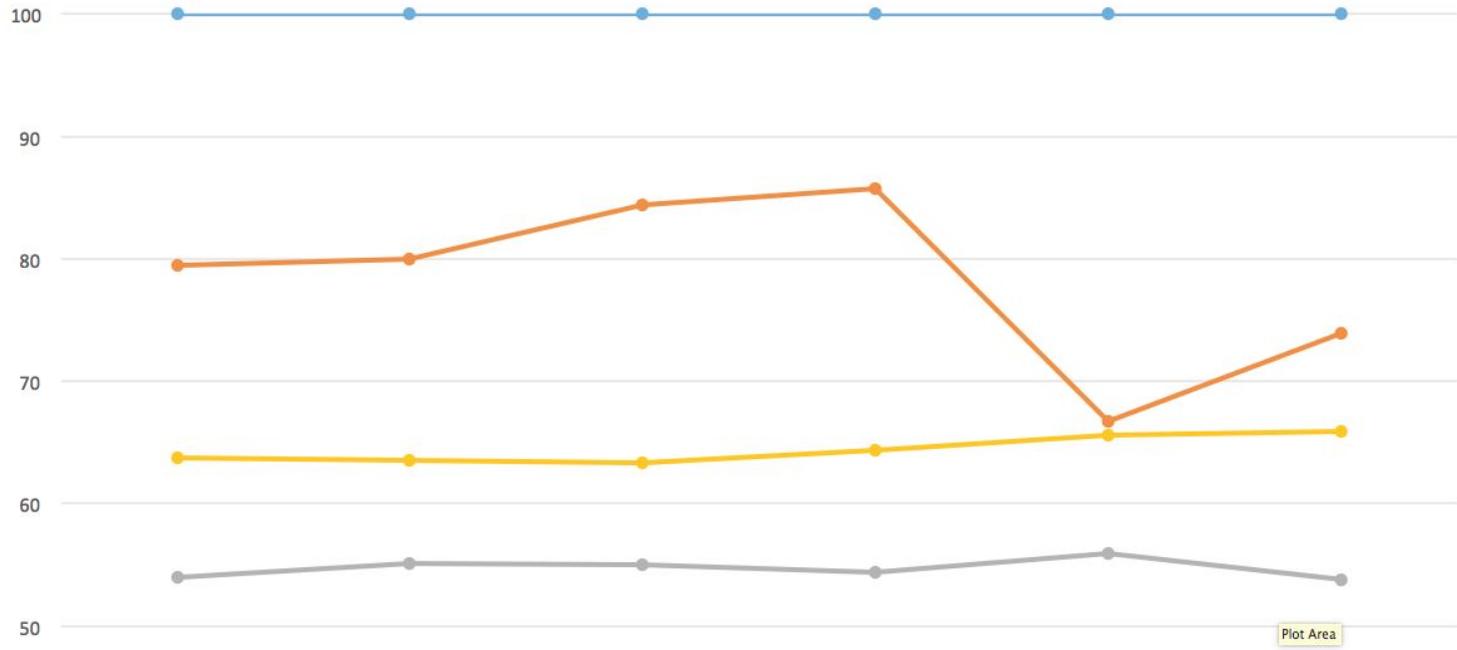
NCAA in California

- All UC schools are DI except:
 - UC San Diego, which just voted to move from DII to DI
 - UC San Francisco, which does not have an athletics program
 - UC Merced, which is an NAIA school but intends to move to DII
- Of the 23 California State Universities
 - 9 are Division I (including, for example, San Jose State University)
 - 12 are Division II (including, for example, CSU Monterey Bay)
 - CSU Maritime Academy is an NAIA school
 - CSU Channel Islands does not yet have an athletics program, but is exploring Division II membership

UCSC Athletics Program

- By nearly all accounts, a successful program
 - 7 National championships; 226 All-Americans
- Student athletes
 - ~300 undergraduates on 15 men's and women's teams
 - Diverse body with over 50% women and 69% students of color
- Successful cohort in classroom
 - GPA of 3.3+ (vs. 3.08 campus average)
 - 100% graduation rate for 5 years and running
- Well over 50% volunteer in the community
 - Youth clinics; in-class K-12 programs; coaches of youth teams and local school teams

Single Year Student-Athlete Federal Graduation Rate



Plot Area

	2009	2010	2011	2012	2013	2014
UC Santa Cruz	100	100	100	100	100	100
NCAA Division III	79.5	80	84.4	85.7	66.7	73.9
NCAA Division II	54	55.1	55	54.4	55.9	53.8
NCAA Division I	63.7	63.5	63.3	64.4	65.6	65.9

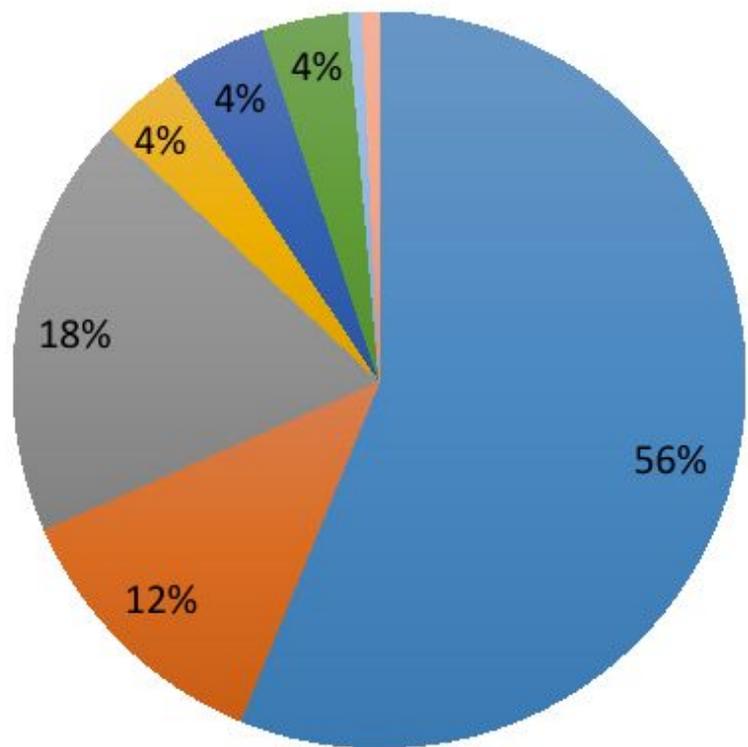
UC Santa Cruz NCAA Division III NCAA Division II NCAA Division I

UCSC Athletics Expenses FY2014-15*

- Salaries and benefits (63.2%)
 - Coaches: \$639,553 (~\$50k per team, head+assistants)
 - Admin (inc admin staff and trainers): \$455,325
- Travel: \$311,307 (17.95%)
- Equipment: \$107,186 (6.2%)
- Other: ~\$189,000 (10.8%)
 - (i.e., medical expenses, office expenses, IT support, admin related travel)
- Total: \$1,735,184

* Forensic audit conducted by UCOP auditor over summer concluded OPERS Administration is using appropriate accounting practices and accurately reporting financial information.

Athletics Expenditures, FY16



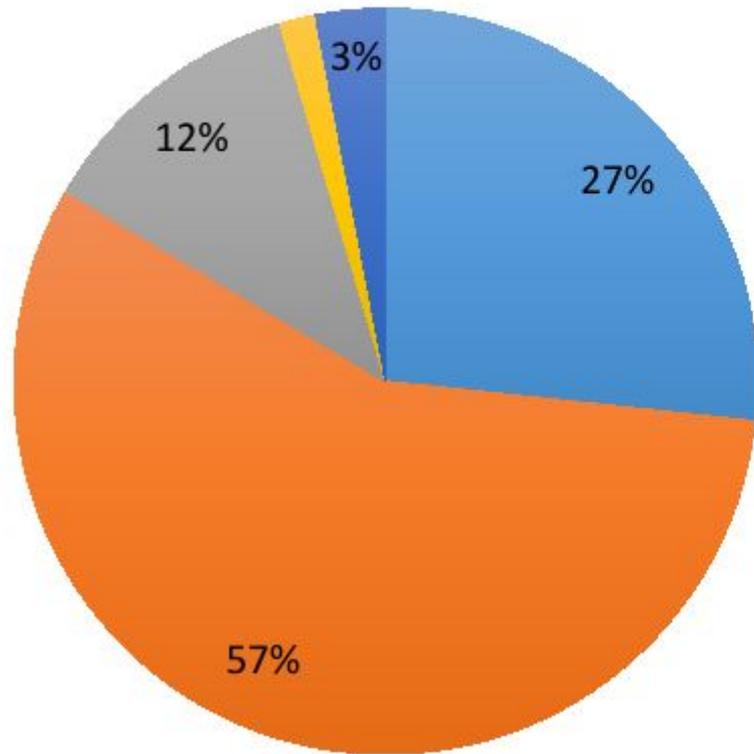
- Salaries & Benefits (Coaches & Trainers)
- Salaries & Benefits (Other Admin.)
- Team Travel
- Misc. Expenses (IT, Office Supplies, etc.)
- Equipment & Uniforms
- NCAA Costs (Mostly Game Expenses)
- Medical Expenses
- Recruiting

UCSC Athletics Revenues FY2014-15

(last year audited)

- Permanent Budget : \$497,221
 - Derived from student fees
- Chancellor's Supplemental Funding: \$1,000,000
 - Increased from \$335,000 in FY2015 to cover budget shortfalls
- Philanthropy: \$267,820
 - Nearly every other Division III school w/out football raised less than \$10,000
- Ticket Sales, Game Guarantees: \$44,751

Athletics Revenue, FY16



■ Student Funding

■ Chancellor's Supplemental Funding

■ Fundraising

■ Sport Camps

■ Ticket Sales, Game Guarantees, & NCAA Distributions

UCSC Athletics and the Community

- Links the campus to the town and Bay Area
- Student athletes
 - Highly engaged in volunteer work in the community
- Coaches
 - Clinics and camps for local youth (e.g. basketball), promote exercise and the value of teamwork in the youth community.
 - Volunteering at local races; trail maintenance; beach cleanup
- Athletic program
 - Potential to bring community to the campus
 - Current participation is low for several factors (# home games, Div III)

UCSC Athletics and the Campus

- Student Athletes diversify the student body
- Students can enjoy sports games on weekends or during the week as study breaks
- Sports create a sense of pride for students, especially when our teams do well, enhancing the campus energy, fun, pride, and community
- Athletes from various backgrounds can bond over a common sport and form friendships, further uniting the student body and enhancing diversity

UCSC Athletics and the Campus

- Admissions and student retention
- Alumni support and engagement
 - Strong vocal support that could/should transition to financial support
- External perception
 - One of the few non-academic activities that can generate consistent news coverage
 - Recently, significant negative coverage on potential termination of Athletics
 - Elimination may signal that UCSC cannot maintain a first-class university

2017 Student Referendum

- \$35/quarter increase on existing intercollegiate fee
- Financial assistance?

Next Steps

- OPERS is seeking student endorsements
 - SFAC has abstained
- We encourage the campus to actively promote the referendum

Findings

- For over 35 years, UCSC has maintained a modest and successful athletics program within D-III of the NCAA.
- The student athletes are a diverse population of the student body who, by any metric, have distinguished themselves academically and in athletics.
- There are substantial benefits to having an intercollegiate athletics program at UCSC.
- These benefits extend beyond the support of current student-athletes and impact many aspects of the wider campus community. We also recognize that there is significant potential for additional positive impacts.
- The student athletes and coaches are engaged with the Santa Cruz community and are exemplary representatives of UCSC.
- The UCSC athletics program receives national attention and positively promotes the University's image.
- There is the potential, capacity and willingness from parents, alumni and University Relations to expand philanthropy related to athletics, but these will require institutional support and guidance to be successful.

Findings, ctd.

- The budget for the UCSC athletics program is comparable to the median budget of NCAA D-III institutions without football.
- Current student fees directly supporting intercollegiate athletics are significantly lower at UCSC than other UC and CSU schools participating in NCAA.
- Other UC and CSU schools participating in NCAA use institutional funding to support the program.
- A minimal NCAA D-III program supporting several hundred students at UCSC will require an operating budget of approximately \$2.2M per year (FY16 dollars).
- The combined revenue from alumni donations, gate fees, licensing, etc. is unlikely to exceed \$400k per year in the next 5 years with current practices.
- The athletics coaches have shown an interest and willingness to teach PE and run/participate in summer camps for additional revenue.
- Given an estimated budget of \$2.2M and likely maximum revenue of less than \$1M from the permanent athletics budget, central funds, and external sources of revenue, we find that the program will require revenue from an additional student fee.

Recommendations

- Given the strong and diverse positive effects of the UCSC athletics program, we recommend the University continue to support the activity. However, the funding model of UCSC athletics should not negatively impact our academic programs nor current activities or programs within student services.
- We recommend that the athletics program review its staffing model as regards assistant coaches.
- We recommend that the University continue to contract the head coaches with compensation consistent with a living wage. This should be accomplished through a combination of salary, stipend for instruction in PE classes, and income generated by running summer sports camps.
- We recommend that the athletics program, with additional support from the administration and University Relations, set an annual target of \$500k from the revenue streams of philanthropy, licensing, summer camps, and PE instruction.
- We recommend the central campus provide approximately \$500k annually to support the athletics program.
- We recommend that the University make every reasonable effort to maintain a NCAA athletics program at UCSC. We recognize that funding support will be predominantly through student fees, but the University should actively promote other funding streams (e.g. alumni donations, licensing, summer camps) and central funds.

Additional Recommendations

- We believe that NCAA athletics at UCSC provides significant benefits to a wide range of student, campus, alumni, and off-campus communities.
- We recommend that the referendum modify the existing intercollegiate athletics fee to be approximately \$35 per quarter.
- In accordance with SFAC's recommendation, the referendum should include a sunset provision of approximately 20 years.
- We recommend that the University make a concerted effort to pass the referendum. This should include additional Town Hall events (co-sponsored by SFAC and SUA) to explain the finances and co-benefits and to seek endorsement of the referendum.
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Report from the Special Committee on Athletics (v1.1)



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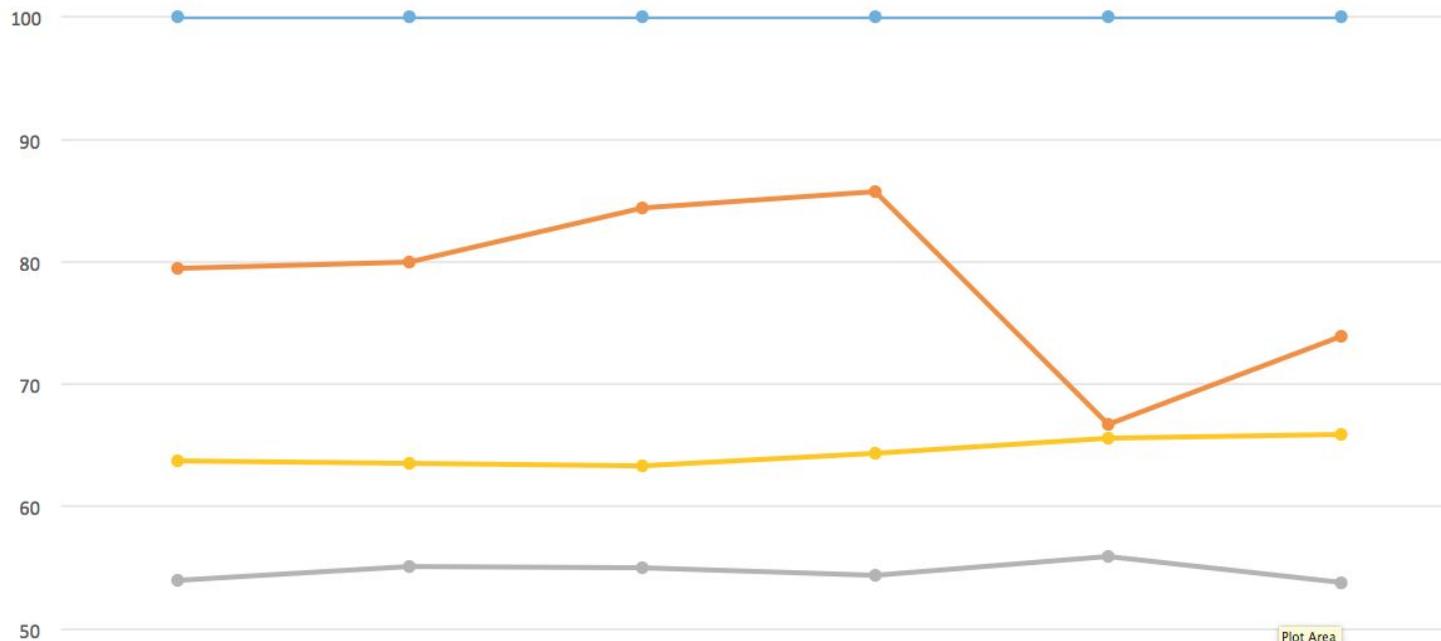
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 - 12 are Division II (including, for example, CSU Monterey Bay)
 - CSU Maritime Academy is an NAIA school
 - CSU Channel Islands does not yet have an athletics program, but is exploring Division II membership

UCSC Athletics Program

- By nearly all accounts, a successful program
 - 7 National championships; 226 All-Americans
- Student athletes
 - ~300 undergraduates on 15 men's and women's teams
 - Diverse body with over 50% women and 69% students of color
- Successful cohort in classroom
 - GPA of 3.3+ (vs. 3.08 campus average)
 - 100% graduation rate for 5 years and running
- Well over 50% volunteer in the community
 - Youth clinics; in-class K-12 programs; coaches of youth teams and local school teams

Single Year Student-Athlete Federal Graduation Rate



	2009	2010	2011	2012	2013	2014
UC Santa Cruz	100	100	100	100	100	100
NCAA Division III	79.5	80	84.4	85.7	66.7	73.9
NCAA Division II	54	55.1	55	54.4	55.9	53.8
NCAA Division I	63.7	63.5	63.3	64.4	65.6	65.9

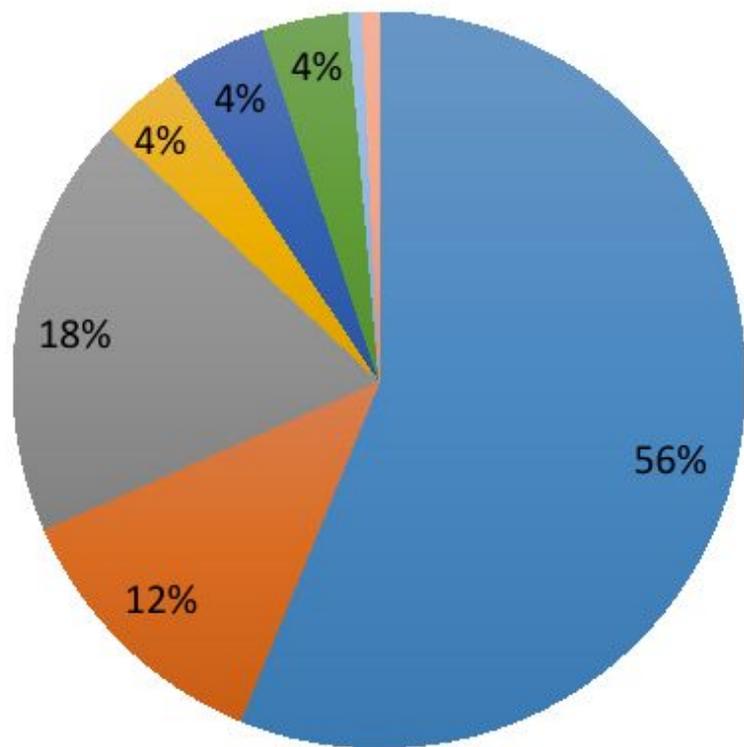
● UC Santa Cruz
 ● NCAA Division III
 ● NCAA Division II
 ● NCAA Division I

UCSC Athletics Expenses FY2014-15*

- Salaries and benefits (63.2%)
 - Coaches: \$639,553 (~\$50k per team, head+assistants)
 - Admin (inc admin staff and trainers): \$455,325
- Travel: \$311,307 (17.95%)
- Equipment: \$107,186 (6.2%)
- Other: ~\$189,000 (10.8%)
 - (i.e., medical expenses, office expenses, IT support, admin related travel)
- Total: \$1,735,184

* Forensic audit conducted by UCOP auditor over summer concluded OPERS Administration is using appropriate accounting practices and accurately reporting financial information.

Athletics Expenditures, FY16



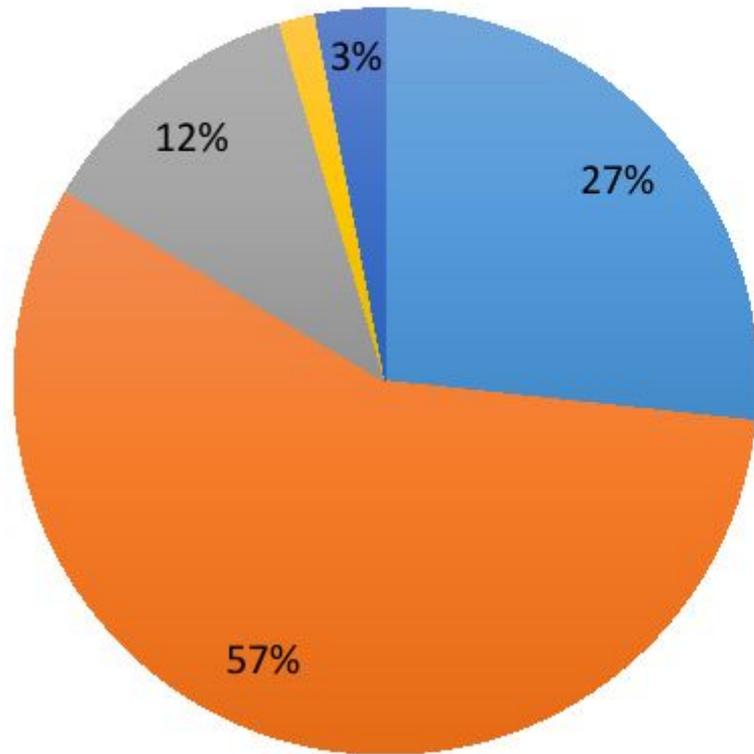
- Salaries & Benefits (Coaches & Trainers)
- Salaries & Benefits (Other Admin.)
- Team Travel
- Misc. Expenses (IT, Office Supplies, etc.)
- Equipment & Uniforms
- NCAA Costs (Mostly Game Expenses)
- Medical Expenses
- Recruiting

UCSC Athletics Revenues FY2014-15

(last year audited)

- Permanent Budget : \$497,221
 - Derived from student fees
- Chancellor's Supplemental Funding: \$1,000,000
 - Increased from \$335,000 in FY2015 to cover budget shortfalls
- Philanthropy: \$267,820
 - Nearly every other Division III school w/out football raised less than \$10,000
- Ticket Sales, Game Guarantees: \$44,751

Athletics Revenue, FY16



■ Student Funding

■ Chancellor's Supplemental Funding

■ Fundraising

■ Sport Camps

■ Ticket Sales, Game Guarantees, & NCAA Distributions

UCSC Athletics and the Community

- Links the campus to the town and Bay Area
- Student athletes
 - Highly engaged in volunteer work in the community
- Coaches
 - Clinics and camps for local youth (e.g. basketball), promote exercise and the value of teamwork in the youth community.
 - Volunteering at local races; trail maintenance; beach cleanup
- Athletic program
 - Potential to bring community to the campus
 - Current participation is low for several factors (# home games, Div III)

UCSC Athletics and the Campus

- Student Athletes diversify the student body
- Students can enjoy sports games on weekends or during the week as study breaks
- Sports create a sense of pride for students, especially when our teams do well, enhancing the campus energy, fun, pride, and community
- Athletes from various backgrounds can bond over a common sport and form friendships, further uniting the student body and enhancing diversity

UCSC Athletics and the Campus

- Admissions and student retention
- Alumni support and engagement
 - Strong vocal support that could/should transition to financial support
- External perception
 - One of the few non-academic activities that can generate consistent news coverage
 - Recently, significant negative coverage on potential termination of Athletics
 - Elimination may signal that UCSC cannot maintain a first-class university

2017 Student Referendum

- \$35/quarter increase on existing intercollegiate fee
- Financial assistance?

Next Steps

- OPERS is seeking student endorsements
 - SFAC has abstained
- We encourage the campus to actively promote the referendum

Findings

- For over 35 years, UCSC has maintained a modest and successful athletics program within D-III of the NCAA.
- The student athletes are a diverse population of the student body who, by any metric, have distinguished themselves academically and in athletics.
- There are substantial benefits to having an intercollegiate athletics program at UCSC.
- These benefits extend beyond the support of current student-athletes and impact many aspects of the wider campus community. We also recognize that there is significant potential for additional positive impacts.
- The student athletes and coaches are engaged with the Santa Cruz community and are exemplary representatives of UCSC.
- The UCSC athletics program receives national attention and positively promotes the University's image.
- There is the potential, capacity and willingness from parents, alumni and University Relations to expand philanthropy related to athletics, but these will require institutional support and guidance to be successful.

Findings, ctd.

- The budget for the UCSC athletics program is comparable to the median budget of NCAA D-III institutions without football.
- Current student fees directly supporting intercollegiate athletics are significantly lower at UCSC than other UC and CSU schools participating in NCAA.
- Other UC and CSU schools participating in NCAA use institutional funding to support the program.
- A minimal NCAA D-III program supporting several hundred students at UCSC will require an operating budget of approximately \$2.2M per year (FY16 dollars).
- The combined revenue from alumni donations, gate fees, licensing, etc. is unlikely to exceed \$400k per year in the next 5 years with current practices.
- The athletics coaches have shown an interest and willingness to teach PE and run/participate in summer camps for additional revenue.
- Given an estimated budget of \$2.2M and likely maximum revenue of less than \$1M from the permanent athletics budget, central funds, and external sources of revenue, we find that the program will require revenue from an additional student fee.

Recommendations

- Given the strong and diverse positive effects of the UCSC athletics program, we recommend the University continue to support the activity. However, the funding model of UCSC athletics should not negatively impact our academic programs nor current activities or programs within student services.
- We recommend that the athletics program review its staffing model as regards assistant coaches.
- We recommend that the University continue to contract the head coaches with compensation consistent with a living wage. This should be accomplished through a combination of salary, stipend for instruction in PE classes, and income generated by running summer sports camps.
- We recommend that the athletics program, with additional support from the administration and University Relations, set an annual target of \$500k from the revenue streams of philanthropy, licensing, summer camps, and PE instruction.
- We recommend the central campus provide approximately \$500k annually to support the athletics program.
- We recommend that the University make every reasonable effort to maintain a NCAA athletics program at UCSC. We recognize that funding support will be predominantly through student fees, but the University should actively promote other funding streams (e.g. alumni donations, licensing, summer camps) and central funds.

Additional Recommendations

- We believe that NCAA athletics at UCSC provides significant benefits to a wide range of student, campus, alumni, and off-campus communities.
- We recommend that the referendum modify the existing intercollegiate athletics fee to be approximately \$35 per quarter.
- In accordance with SFAC's recommendation, the referendum should include a sunset provision of approximately 20 years.
- We recommend that the University make a concerted effort to pass the referendum. This should include additional Town Hall events (co-sponsored by SFAC and SUA) to explain the finances and co-benefits and to seek endorsement of the referendum.
- We recommend that the University openly express its support for an athletics program at UCSC and highlight its benefits for campus-life, alumni relations, and community engagement.

SPECIAL COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Annual Report, 2016-17

To: Academic Senate, Santa Cruz Division

Constituted in fall 2014, the Special Committee on Development and Fundraising (SCDF) mission recognizes the need for more diverse and active faculty voices in fundraising for the campus. We began with four interlocking aims: to bring a broader range of faculty into direct contact with University Relations (UR) and the fund-raising process; to find innovative ways to support graduate education as well as to enhance graduate student-alumni engagement; to renew the colleges as a campus fund-raising priority, the UCSC college system rather than ten individual units; and to make the UC Santa Cruz culture of philanthropy reflect a coordinated faculty-UR collaboration, better suited to our intellectual interdisciplinarity, less fragmented by departmental and divisional territoriality, and overall more responsive to campus needs and goals.

To these ends, the SCDF developed several projects, in varying stages of completion:

1. Identify faculty-graduate student clusters that represent the current strengths of UC Santa Cruz collaborative research to work with SCDF and UR on creating and presenting a presentation to potential community and industry partners. Our initial pilot project was a collaboration in 2016-17 with a Humanities/Engineering group in Natural Language Processing as well as exploratory work in fall quarter 2016 with a cluster in Atlantic Slavery. Both of these clusters originated in the under-utilized 2012-13 Faculty Initiated Group Hires (FIGH) that had never issued in any campus hiring. To expand our reach, SCDF issued a general CALL in January 2017 from which we chose two groups with which to work, one in Human-Computer Interaction (HCI) and Wellbeing, the other in Science and Justice. Having met and mapped out timetables with these two faculty clusters, we will continue the collaborations during the 2017-18 academic year. We also plan to issue a new CALL in early fall 2017, aiming for a better response rate than our first CALL produced.
2. Partner with the Graduate Council and Graduate Division on a funding proposal for central planning, coordinating and codifying of professional development programs across campus. There is a growing recognition across campus among faculty, administrators, and students that the current focus on training doctoral students primarily for academic careers is not sufficient to prepare students for postgraduate careers, given the lack of traditional academic jobs in relation to the production of PhDs, and that larger proportions of students prefer careers outside of academic research.
3. Develop a “Distinguished Visiting Professionals” program to bring in leading practitioners to campus, enhancing both graduate education and placement. SCDF is working with the Office of Research to make the UCSC campus culture more open to non-academic professionals from industry, non-profits, and arts organizations. The specific goal is to streamline and coordinate current procedures for hosting Visiting Research Associates/Fellows on campus (to teach selected Master’s classes, be involved

in departments/programs, provide networks for the graduate students, and work with researchers). The larger aim is to enhance graduate career-development by more systematically involving alumni and Silicon Valley companies in graduate programs, disciplinary and interdisciplinary, at UCSC.

4. Partner with the Council of Provosts (CoP) on a project to integrate the colleges with graduate education through the coordinated hiring/support of GSIs and recent PhDs for both core and experimental teaching programs. There are a few local models (Provost David Evan Jones's program for HAVC graduate students, a Science-in-Residence program for STEM students) but we, SCDF led by CoP, have a more comprehensive vision: a graduate student in residence in each college, for example, could bring in support from Colleges, Housing and Educational Services (CHES), an administrative unit not usually directly involved in the academic mission, and most important, would strengthen the vision of shared academic-student life that defines the college system.
5. Partner with IT on the UCSC Experts' List:¹ we continue to add new faculty entries to this list, enabling the media, campus administrators, campus visitors, and others to contact faculty with appropriate areas of expertise for interviews, information, etc. A standard resource in most large universities, our list went online in December 2015 and is now in its second phase.

As a Senate committee with a campus-wide purview, the SCDF has a mandate that we will continue to use to help coordinate these different disciplinary and administrative efforts. Our committee aims specifically to incorporate graduate education and faculty research into campus development and fundraising.

Respectfully submitted;

SPECIAL COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Ben Carson

Enrico Ramirez-Ruiz

Susan Strome

Noah Wardrip-Fruin

Erika Zavaleta

Ólóf Einarsson, *ex officio*

Susan Gillman, Chair

Keith Brant, sits with

¹ The list may be viewed at <http://campusdirectory.ucsc.edu/expertise>

COMMITTEE ON FACULTY WELFARE
Faculty Salary Analysis, May 2017

To: Academic Senate, Santa Cruz Division

The Committee on Faculty Welfare (CFW) annually reviews faculty salary comparative data and recently finalized its analysis of faculty salaries on the most recent data available, comparing UCSC with the other UC Campuses. The committee's latest analysis was completed in spring 2017. The data used in the analysis corresponds to the October 2015 payroll extract in the UC Office of the President Corporate Data Warehouse. This dataset does not reflect all 2015-16 personnel actions, nor the July 1, 2016 academic salary plan. The data contained salary information on 7,309 faculty members from all campuses except UC San Francisco, a primarily medical campus. Of these faculty, 1,532 were on the Business, Economics and Engineering (BEE) scale, and 5,777 were on the regular (REG) scale. In this analysis CFW also used archival data from previous years, namely from 2005 to 2015 for UCSC and for 2011 to 2015 for the other UC Campuses.

The 2016-17 CFW salary analysis focused on three aspects:

1. A comparison of median UCSC salaries at the Assistant Professor, Associate Professor, and Full Professor steps 1-5, steps 6-9 and Above Scale ranks with the 9 UC campus medians, including an analysis of the 75th and 90th percentile (corresponding, respectively, to the top 25% and 10% salaries at each rank/step);
2. A systematic study of the effect of the cost of living in comparing UCSC salaries with those UC-systemwide;
3. A study on the effects and trends of UCSC's "Special Salary Practice", also known as "Merit Boost Plan" in comparison with salary growth trends in the UC-system.

EXECUTIVE SUMMARY

Finding 1: UCSC's salaries on the REG scale continue to lag the system-wide median by up to 5%; the salary gap is much more significant at the 75th percentile (typically around 5% at *all ranks*) and at the 90th percentile (typically around 10% at *all ranks*); the salary gap at the 90th percentile is also very significant for the BEE scale.

Finding 2: Factoring in cost of living, UCSC's median salaries lag between 5% and 10% the system-wide medians consistently through all ranks on the REG scale; This finding is largely independent of the methodology and sources employed to assess cost of living, and of comparing UCSC's salaries to the 7- or 9-campus medians.¹

Finding 3: UCSC's "Special Salary Practice" (SSP) has *barely allowed UCSC's median salary growth to be on par with system-wide salary growth*, at all ranks. UCSC median salary growth

¹ The "7-campus" set excludes UCSF, UCB and UCLA; the "9-campus" set excludes UCSF.

with the SSP was nonetheless *slower than system-wide growth at all ranks/steps*: continuing with the current SSP would not even close current UCSC’s salary gaps. Our analysis indicates that eliminating the *current* SSP would widen UCSC’s median salary gaps at all ranks anywhere between 7% and 11% over the next 5 years and between 10% and 20% over the next 10 years.

1. COMPARISON OF UCSC MEDIAN SALARIES TO SYSTEM-WIDE SALARIES

The November 2016 Annual Report of Faculty Salary Competitiveness prepared by the UCSC Academic Personnel Office² utilized a 7-campus median metric (excluding UC Berkeley (UCB) and UC Los Angeles (UCLA)) to comparatively evaluate the competitiveness of UCSC faculty salaries. CFW strongly disagrees with this choice. First, it is important to note (as also noted in CFW’s Faculty Salary Analysis of January 2016³) that both UCLA and UCB are coastal/city campuses, with cost of living similar to Santa Cruz (see also the following Section 2). Second, our campus systematically uses cross-campus equity (including UCB and UCLA) as an important metric for the UC-wide system to aspire to (e.g., non-resident student enrollments, re-benching, student aid, admissions standards, etc.). Third, Senate (Senate Executive Committee and CFW) reports commenting on and assessing the Special Salary Practice/Merit Boost Plan have since inception (Senate-Administration Task Force on Faculty Salaries Report, September 10, 2008) insisted on the need to pursue the 9-campus median as a necessary goal of the program. As a result, CFW’s 2017 Faculty Salary Analysis will exclusively focus on comparing UCSC median salaries with the 9-campus median salaries.

Our analysis also focuses on the 75th and 90th percentile (i.e. the subset of 25% and 10% highest salaries at a given rank/step) salary comparison. It is the Committee’s opinion that competitive salaries for high-performing faculty are highly strategic, for reasons that include (i) preventing departures of faculty (“preventive retention”) and (ii) enhancing the quality of the campus’ research and reputation.

Figure 1 shows, for the REG salary scale, the percent difference between UCSC’s median salaries at the 5 rank/steps of (1) Assistant Professor (all steps), (2) Associate Professor (all steps), (3) Professor, steps 1-5, (4) Professor, steps 6-9 and (5) Professor, Above Scale, and the 9-campus median salaries at the same 5 ranks/steps. The blue columns indicate the median of all salaries at the given rank/step, while the red columns the 75th percentile (top 25% salaries at that rank/step) and the orange columns the 90th percentile (top 10%).

² UCSC Academic Personnel Office Annual Report of Faculty Salary Competitiveness, November 2016

³ Committee on Faculty Welfare Faculty Salary Analysis Academic Senate Report, January 2016

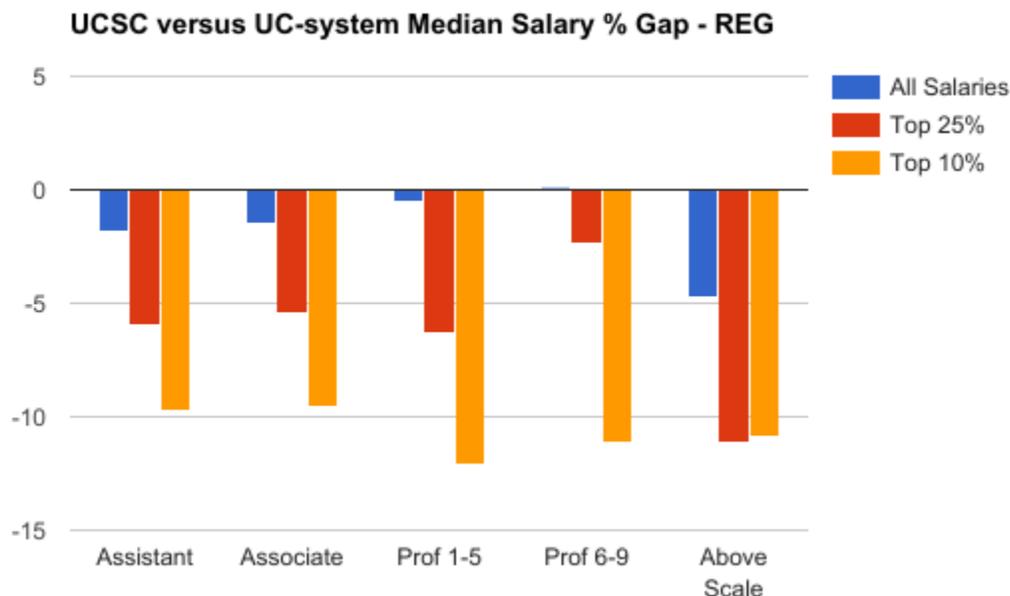


Figure 1: Salary gap between UCSC median salaries at a given rank/step and the University of California 9-campus median salaries, on the REG scale

Including all faculty at a given rank/step, *UCSC median salaries continue to lag behind the 9-campus median* with the one exception of Professor 6-9 (+0.1%). The largest gap is at the Professor Above Scale rank (-4.7%), followed by the Assistant Professor rank (-1.8%). UCSC salaries fare much worse in the top 25%, with gaps ranging from -2.4% at the Professor 6-9 rank to -11.1% at the Professor Above Scale rank, and typical gaps around 5%. The trend is increasingly worse for the top 10% earners, with typical gaps around 10%, with the largest gaps at the Professor 1-5 rank (-12.1%) and the smallest gap at the Associate Professor rank (-9.6%).

Figure 2 shows the same analysis for the BEE scale, where, however, the significance of our results is somewhat impacted by the much smaller statistics. The key trend of UCSC’s median salaries very significantly lagging behind 9-campus levels for the top earners (90th percentile) is confirmed, with typical gaps between 10% and 20% across all ranks and steps for the BEE scale.

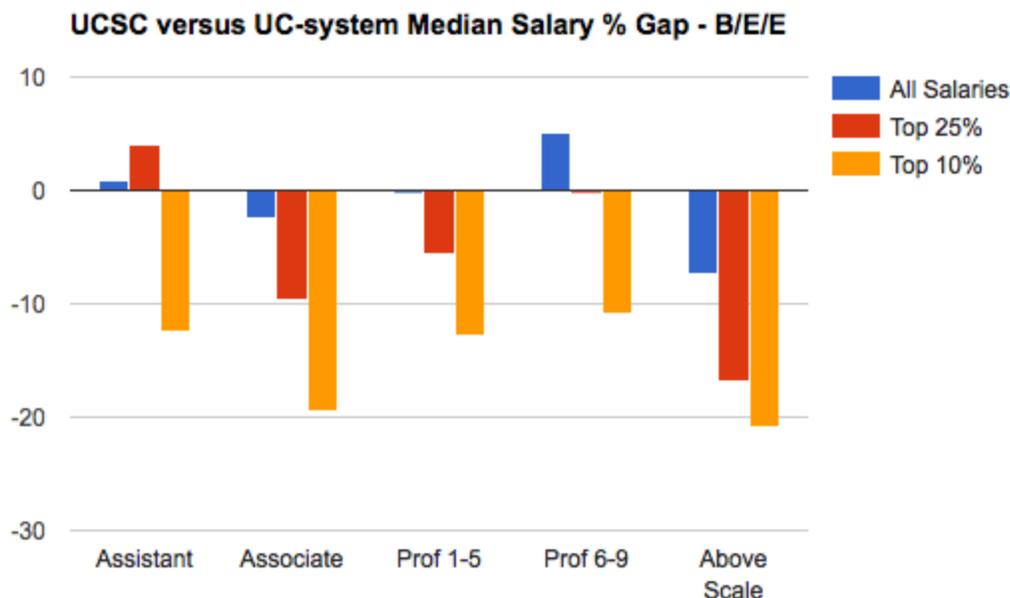


Figure 2: Salary gap between UCSC median salaries at a given rank/step and the University of California 9-campus median salaries, on the BEE scale

In conclusion, CFW’s analysis shows that:

1. UCSC’s median salaries, even without considering the significant impact of different cost of living across the nine campuses, *have not closed the gap to system-wide levels*;
2. The largest differences emerge among the top earners/highest performers at all ranks and steps, indicating that *high-performing faculty at UCSC tend to have much less competitive salaries than at other UC campuses*. This fact has important implications for retentions and for the campus reputation and image.

2. COST OF LIVING ANALYSIS

Factoring the cost of living is a key element in gauging the competitiveness of salaries. As indicated in the Senate Executive Committee (SEC) Recommendation on Faculty Salaries dated May 5, 2009 (p. 2): “Our longstanding position at the bottom end of the salary comparisons, in conjunction with the high cost of living in the Santa Cruz area, has intensified the salary disparities between our campus and the rest of the system. Thus the problem of low salaries in the UC system as a whole has particular local intensities.”

Last year, CFW decided to study the impact of cost of living on salary competitiveness and to carry out a comparative analysis with the 9-campus system. To estimate the potential systematic uncertainty in evaluating cost of living, CFW decided to adopt three different approaches and methods, described in detail below:

1. <http://www.relocationessentials.com/aff/www/tools/salary/col.aspx>

The website www.relocationessentials.com provides users with the ability to compare salaries between different US counties. The cost of living includes a variety of factors, from food and groceries to housing to utilities. We include in the figures below a snapshot of the indexes and monthly expenses used by the website for the comparison between UCSC's county (Santa Cruz) and UC Berkeley's county (Alameda).

CFW assumed for the analysis a starting salary of \$100,000 in Santa Cruz, and estimated the cost of living with the output "Adjusted for cost of living" (in the example, \$99,401). We then took the corresponding faculty salaries (in the example UC Berkeley) and adjusted them by the factor $(\$100,000)/(\$99,401)$.

2. <http://livingwage.mit.edu>

The second tool we employed to estimate cost of living was the Living Wage Calculator, developed in the Department of Urban Studies and Planning at the Massachusetts Institute of Technology. The rationale behind Living Wage, and what makes it relevant for this analysis, is the notion that "Recently, in a number of high-cost communities, community organizers and citizens have successfully argued that the prevailing wage offered by the public sector and key businesses should reflect a wage rate required to meet minimum standard of living. Therefore we have developed a living wage calculator to estimate the cost of living in your community or region. The calculator lists typical expenses, the living wage and typical wages for the selected location."⁴ The living wage model is "a market-based approach that draws upon geographically specific expenditure data related to a family's likely minimum food, childcare, health insurance, housing, transportation, and other basic necessities (e.g. clothing, personal care items, etc.) costs. The living wage draws on these cost elements and the rough effects of income and payroll taxes to determine the minimum employment earnings necessary to meet a family's basic needs while also maintaining self-sufficiency."

For our benchmark cost of living assessment, we adopted estimates based on the Metropolitan Statistical Areas where UC campuses are located, and on costs for a typical family with two adults and two children. The Living Wage Calculator then estimates the cost of living by the following basic formula:⁵

Basic needs budget = Food cost + childcare cost + (insurance premiums + health care costs) + housing cost + transportation cost + other necessities cost

Living wage = Basic needs budget + (basic needs budget*tax rate)

The comparison across different campuses was then done by normalizing salaries in a given

⁴ livingwage.mit.edu

⁵ Details of the cost estimates for each individual component are given at <http://livingwage.mit.edu/resources/Living-Wage-User-Guide-and-Technical-Notes-2016.pdf>.

campus to the cost of living in the associated Metropolitan Statistical Area. Figure 3 below illustrates a typical breakdown of cost of living estimate from livingwage.mit.edu.

Typical Expenses

These figures show the individual expenses that went into the living wage estimate. Their values vary by family size, composition, and the current location.

Annual Expenses	1 Adult	1 Adult 1 Child	1 Adult 2 Children	1 Adult 3 Children	2 Adults (1 Working)	2 Adults (1 Working) 1 Child	2 Adults (1 Working) 2 Children	2 Adults (1 Working) 3 Children	2 Adults (1 Working Part Time) 1 Child*	2 Adults	2 Adults 1 Child	2 Adults 2 Children	2 Adults 3 Children
Food	\$3,560	\$5,390	\$8,023	\$10,601	\$6,527	\$8,260	\$10,608	\$12,889		\$6,527	\$8,260	\$10,608	\$12,889
Child Care	\$0	\$7,411	\$10,111	\$12,812	\$0	\$0	\$0	\$0		\$0	\$7,411	\$10,111	\$12,812
Medical	\$1,998	\$6,439	\$6,152	\$6,313	\$5,066	\$6,152	\$6,313	\$6,170		\$5,066	\$6,152	\$6,313	\$6,170
Housing	\$11,868	\$19,248	\$19,248	\$25,488	\$14,376	\$19,248	\$19,248	\$25,488		\$11,868	\$19,248	\$19,248	\$25,488
Transportation	\$3,768	\$7,155	\$9,346	\$10,196	\$7,155	\$9,346	\$10,196	\$10,231		\$7,155	\$9,346	\$10,196	\$10,231
Other	\$2,799	\$4,565	\$5,497	\$6,845	\$4,565	\$5,497	\$6,845	\$6,235		\$4,565	\$5,497	\$6,845	\$6,235
Required annual income after taxes	\$23,993	\$50,207	\$58,377	\$72,254	\$37,689	\$48,503	\$53,210	\$61,013		\$35,181	\$55,914	\$63,321	\$73,825
Annual taxes	\$3,786	\$8,883	\$10,711	\$13,962	\$6,339	\$8,513	\$9,536	\$11,372		\$5,995	\$10,144	\$11,851	\$14,324
Required annual income before taxes	\$27,779	\$59,090	\$69,088	\$86,217	\$44,028	\$57,016	\$62,745	\$72,385	\$66,058	\$41,176	\$66,058	\$75,171	\$88,149

Figure 3: Typical expenses for the Santa Cruz-Watsonville Metropolitan Statistical Area. The figure used in CFW's analysis in this case is \$75,171.

3. Bureau of Economic Analysis (BEA)⁶

Our third and last estimate of comparative cost of living across the nine UC campuses is based on Regional Price Parities (RPP) based on the “All items” index for the 9 metropolitan statistical areas corresponding to the locations of the nine UC campuses as developed by the Bureau of Economic Analysis.

As the BEA explains,⁷ “Regional price parities (RPPs) are regional price levels expressed as a percentage of the overall national price level for a given year. The price levels are determined by the average prices paid by consumers for the mix of goods and services consumed in each region. Taking the ratio of RPPs shows the difference in price levels across regions.” This is exactly the procedure we employ here: normalizing each one of the UC campus salary levels to the RPP “All items” index corresponding to the Metropolitan Statistical Area where the given campus resides.

We list below the most recent available RPP (2014), as well as the corresponding value for the United States as a whole.

⁶ CFW would like to thank Professor Kenneth Kletzer for suggesting the use of BEA for this analysis

⁷ <https://www.bea.gov/regional/definitions/>

RPP1 Regional Price Parities

RPPs: All items (index)
 Bureau of Economic Analysis
 Metropolitan Statistical Area

GeoFips	GeoName	2014
00999	United States (Nonmetropolitan Portion)	87.8
31080	Los Angeles-Long Beach-Anaheim, CA (Metropolitan Statistical Area)	117
32900	Merced, CA (Metropolitan Statistical Area)	95.5
40140	Riverside-San Bernardino-Ontario, CA (Metropolitan Statistical Area)	105.9
40900	Sacramento--Roseville--Arden-Arcade, CA (Metropolitan Statistical Area)	102.5
41740	San Diego-Carlsbad, CA (Metropolitan Statistical Area)	115.9
41860	San Francisco-Oakland-Hayward, CA (Metropolitan Statistical Area)	121.3
42100	Santa Cruz-Watsonville, CA (Metropolitan Statistical Area)	121.8
42200	Santa Maria-Santa Barbara, CA (Metropolitan Statistical Area)	108.8

Legend / Footnotes:

The 2008-14 Regional Price Parities were estimated using statistical area delineations published by the Office of Management and Budget in February 2013.

Last updated: July 7, 2016-- new estimates for 2014; revised estimates for 2012-2013.

Figures 6 and 7 illustrate UCSC’s median salary gap for selected ranks and steps, for the REG (fig.5) and BEE (fig.6) salary scales, to the 9-campus median salaries *with* and *without* (blue columns) adjusting for cost living. The red columns correspond to metric 1. (relocationessentials) the yellow columns to metric 2. (livingwage.mit.edu), and the green columns to metric 3. (BEA), with the procedures described above.

The first rather striking aspect of figures 5 and 6 is the relative consensus across the three metrics employed to assess the effect of cost of living: the three different methods yield results that agree typically to within 2% or so (especially where large enough statistics is available). We find that relocationessentials.com tends to produce the smallest effect in the amplification of UCSC’s median salary gaps and BEA the largest.

The overarching finding is clear: adjusting for cost of living, UCSC median salaries lag dramatically behind UC-wide median levels. Specifically, on the REG scale, at the Assistant Professor level while the nominal gap in median salaries is -1.8%, the cost-of-living adjusted gap is estimated to be between -10.6% (livingwage.mit.ed) and -13.5% (BEA); similarly, while nominally UCSC’s median salaries at the Assistant Professor level on the BEE are 0.8% greater than the 9-campus median, the gap is actually between -7.7% and -11.4% factoring in cost of living.

Similar conclusions hold for all rank and steps. On the REG scale the gaps in median salaries range between -8.4% and -13.5% according to the BEA comparison, and between -5.7% and -11.4% according to relocationessentials.com, depending on rank and step.

We conclude that since for all practical purposes cost of living is a crucial factor in assessing a job offer or for a retention offer, this variable should be carefully accounted for. For the purpose

of faculty welfare, the relevant metric is not absolute dollar amount, but dollar amount compared to cost of living. We conclude that *UCSC's salary gap compared to other UC campuses continues to be at dramatically high levels, making our campus inherently less competitive on the job market, and severely impacting the welfare of UCSC faculty compared to peer campuses in the UC system.*

Finally, although not relevant for our conclusions, our analysis finds that including cost of living makes it essentially irrelevant to use a 7- or 9-campus comparison, indicating that UCB and UCLA salaries are *de facto* adjusted for the relatively higher cost of living, and therefore their inclusion does not change the cost-of-living-adjusted figures.

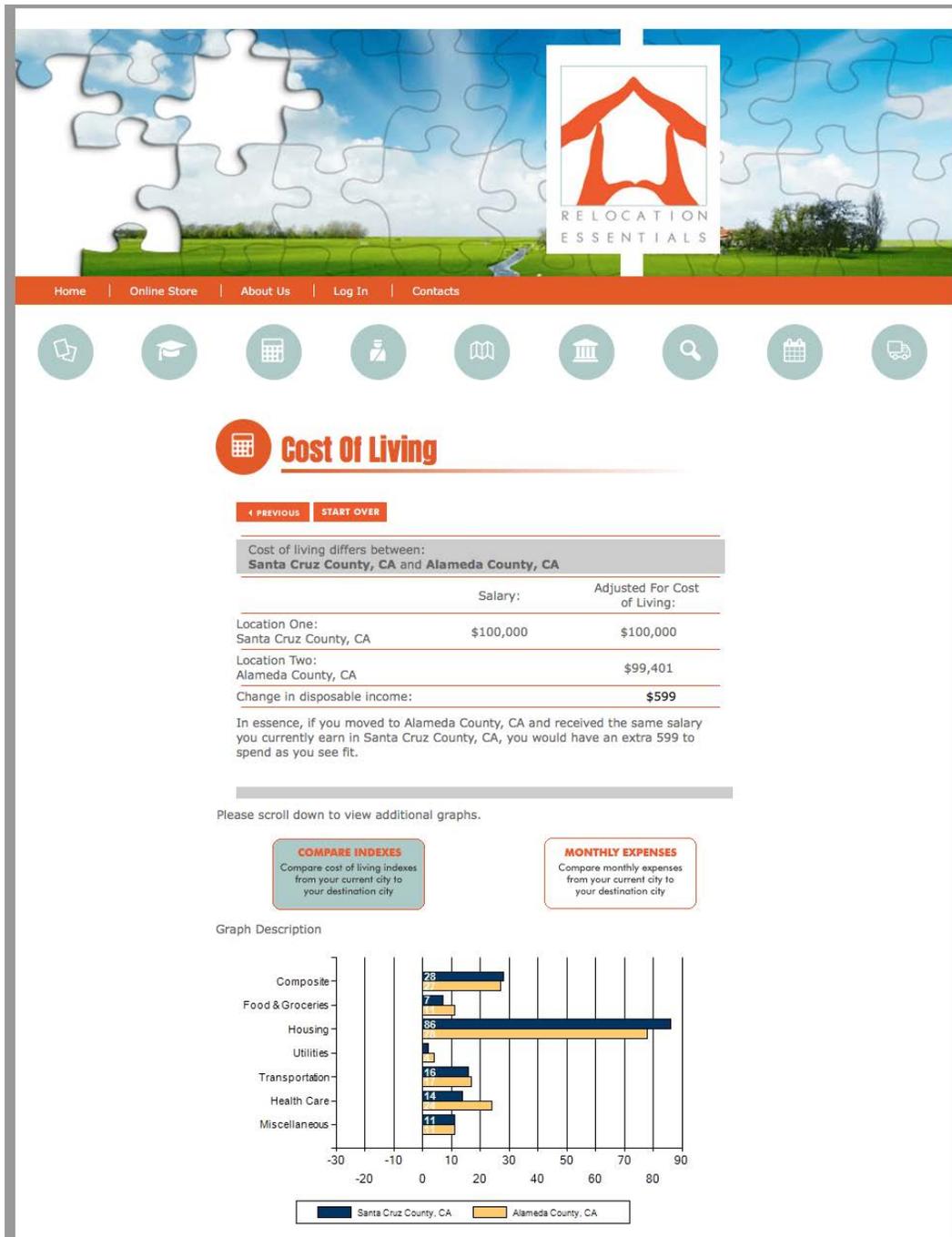


Figure 4 A snapshot of the cost of living calculation from the relocationessentials website

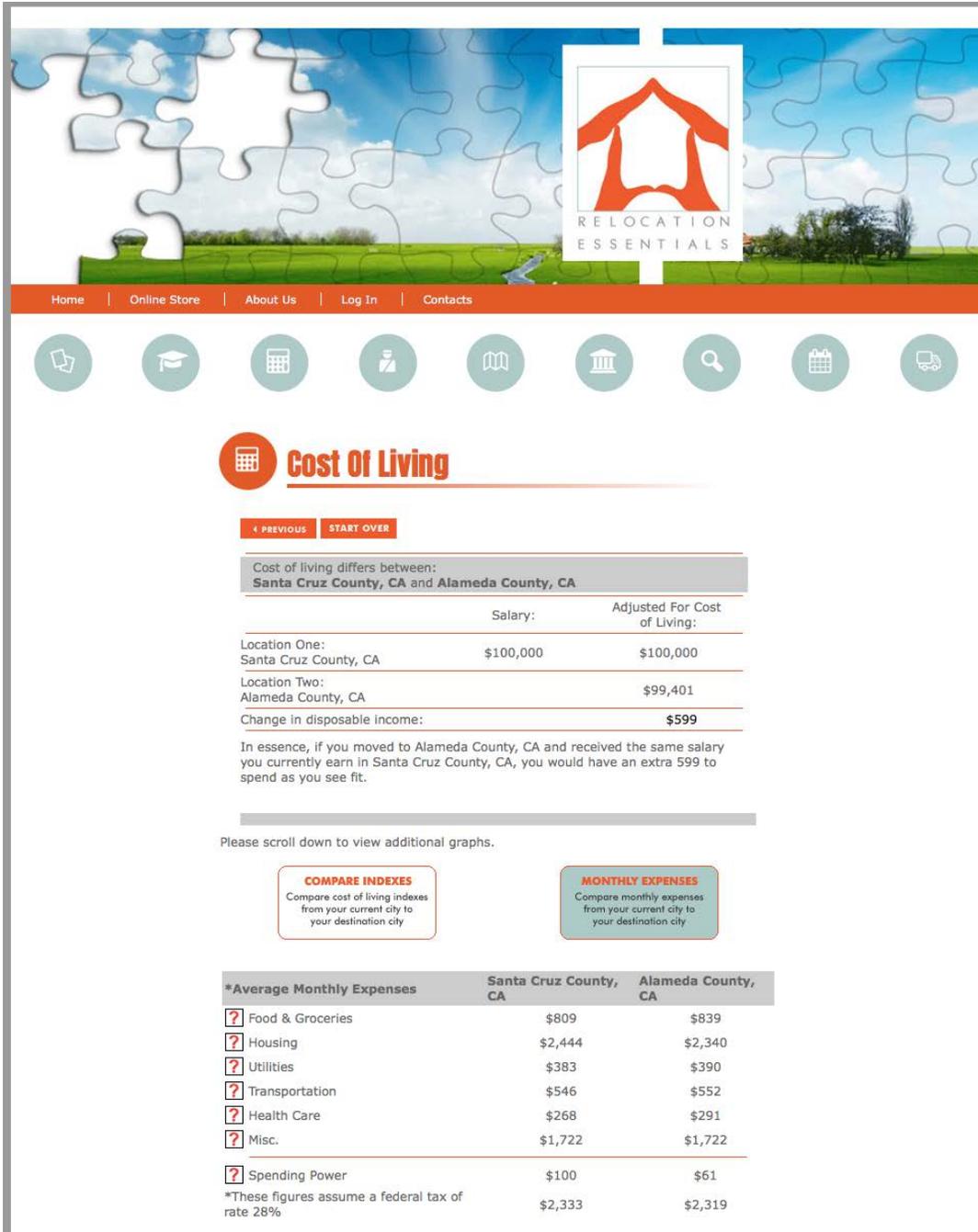


Figure 5: Snapshot from relocationessential on the basket of costs included in the evaluation of cost of living

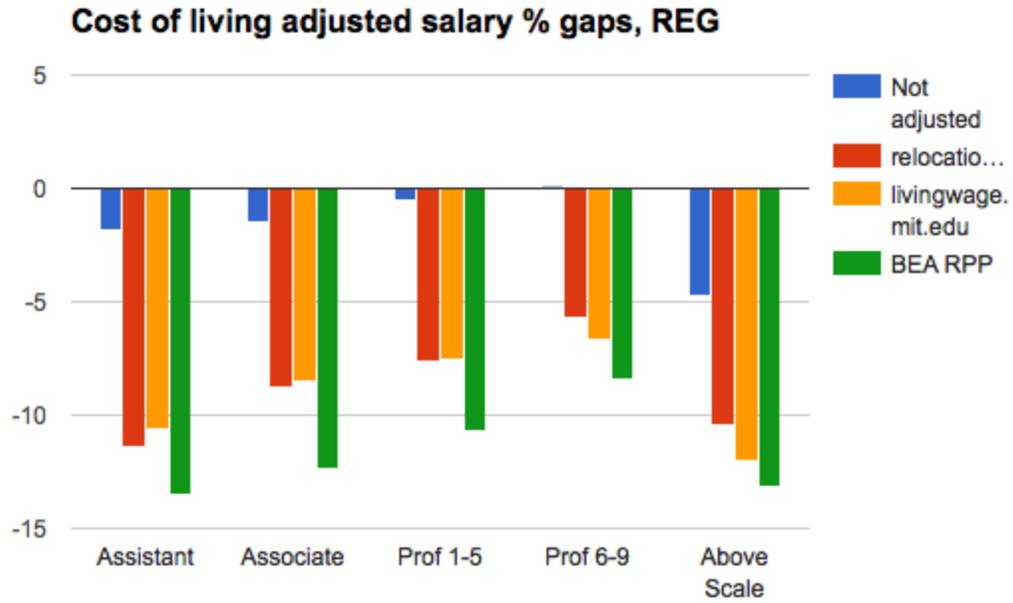


Figure 6: UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, REG scale

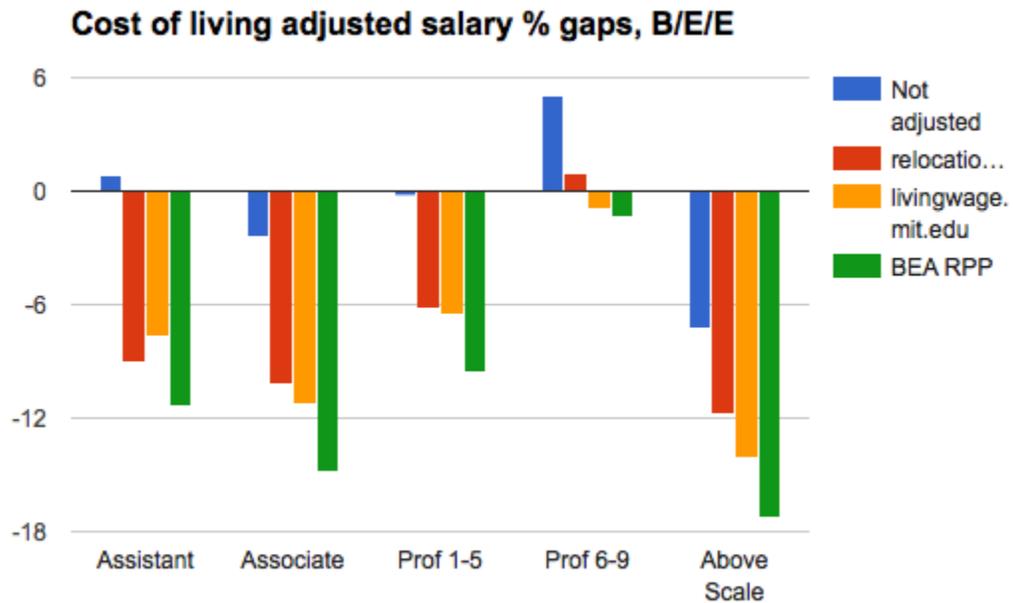


Figure 7: UCSC median salary gap without (blue) and with (other columns) cost of living adjustment compared to the 9-campus median, BEE scale

4. SPECIAL SALARY PRACTICE ANALYSIS

UCSC’s Special Salary Practice (SSP), also known as “Merit Boost Plan,” initiated in 2008-09 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 CFW analyses, especially the most recent 2015 and 2016 salary analyses, demonstrated a stall in salary growth relative to the other campuses.

Prompted by CP/EVC Allison Galloway’s suggestion to modify the Special Salary Practice (SSP),⁸ followed by a similar proposal by Interim CP/EVC Herbert Lee,⁹ CFW decided to analyze the impact of the SSP. In particular, CFW decided to compare the trend in median salary growth at a given rank/step at UCSC versus the 9-campus system-wide median, and to extrapolate salary growth trends at UCSC before and after the implementation of the SSP.

As is well known, most UC campuses implement their own version of salary growth practice, to offset the fact that the UC salary scales are obsolete compared to the open market. CFW’s study therefore seeks to understand whether, as claimed in the CP/EVC proposals, the SSP would need to be “slowed” so that “our increases are comparable with those of our cohort”⁷, or whether in fact *the SSP is barely keeping UCSC’s salary growth in line with system-wide salary growth*. Our analysis indicates that in fact the latter is correct.

Figure 8 and the four following figures illustrate this point quite clearly: the plots show with stars UCSC’s median salaries between 2005 and 2015,¹⁰ and with open circles the median salaries for the 9 UC campuses for the latest (2015) and oldest (2011) years available. We show three lines, one for the 9-campus trend, one for a linear fit to the pre-SSP years (2005-08) and one for a linear fit to the post-SSP years (2008-15). The figures illustrate that *the SSP barely kept UCSC Assistant Professor median salaries on par with UC-wide salary growth*; without the SSP, UCSC’s salaries would have lagged behind by now by large amounts. The SSP, therefore “worked,” but only to keep UCSC salaries on par with the growth system-wide.

It is worth noting, however, how *in all cases* (i.e. for all 5 ranks and steps under consideration), even with the SSP, UCSC’s median salaries grew *slower* than UC-wide salaries, an effect which is especially dramatic for example at the Associate Professor and at the Professor Rank, indicating that other *UC campuses have on average salary growth policies more effective than the SSP*. Also in all cases the median salary growth was slower without the SSP than with the SSP.

In our final figures 13 and 14 we study how median salary gaps between UCSC and the 9-campus figure would change over 5 and 10 years *with* and *without* the SSP, for the usual

⁸ Galloway to Einarisdóttir et al., 12/19/16, Re UCSC Special Salary Practice

⁹ Lee to Einarisdóttir, 3/17/17, Re: UCSC Special Salary Practice

¹⁰ Note that all plots in this section use all salaries at a given rank/step, thus aggregating REG and BEE salary scales.

breakdown of ranks and steps. To obtain the projected gaps we utilized the current gap at 2015 and the slope of UC-wide and UCSC's pre- and post-SSP salary growth. The figures paint a dramatic picture: first, *even simply continuing with the current SSP would keep increasing the current salary gaps*, with a projected growth of the gaps between 0.1% and 2.1% over the next 5 years and between 0.6% and 4.4% over 10 years. In addition, should UCSC salaries grow at the rates they did *before* the SSP (a proxy for what would happen should SSP be terminated), then the gaps would grow to between 7% and 11% in 5 years and between 11% and 19% in 10 years. A reduction in the scope of the SSP would likely produce gaps within the ranges quoted here in the hypotheses of no SSP or of continuing, unmodified SSP.

To conclude, our data analysis show that:

1. The SSP has been effective at limiting the growth of UCSC median salaries compared to the growth of salaries system-wide.
2. Even with the SSP in place, UCSC median salaries grew slower than system-wide salaries.
3. Extrapolating out to 5- and 10-years, and assuming the median salary growth UCSC had with the SSP, the existing salary gaps would not dramatically increase (but would also not decrease).
4. Extrapolating out to 5- and 10-years assuming the elimination of the SSP, UCSC median salaries would fall between 10% and 20% below system-wide figures.

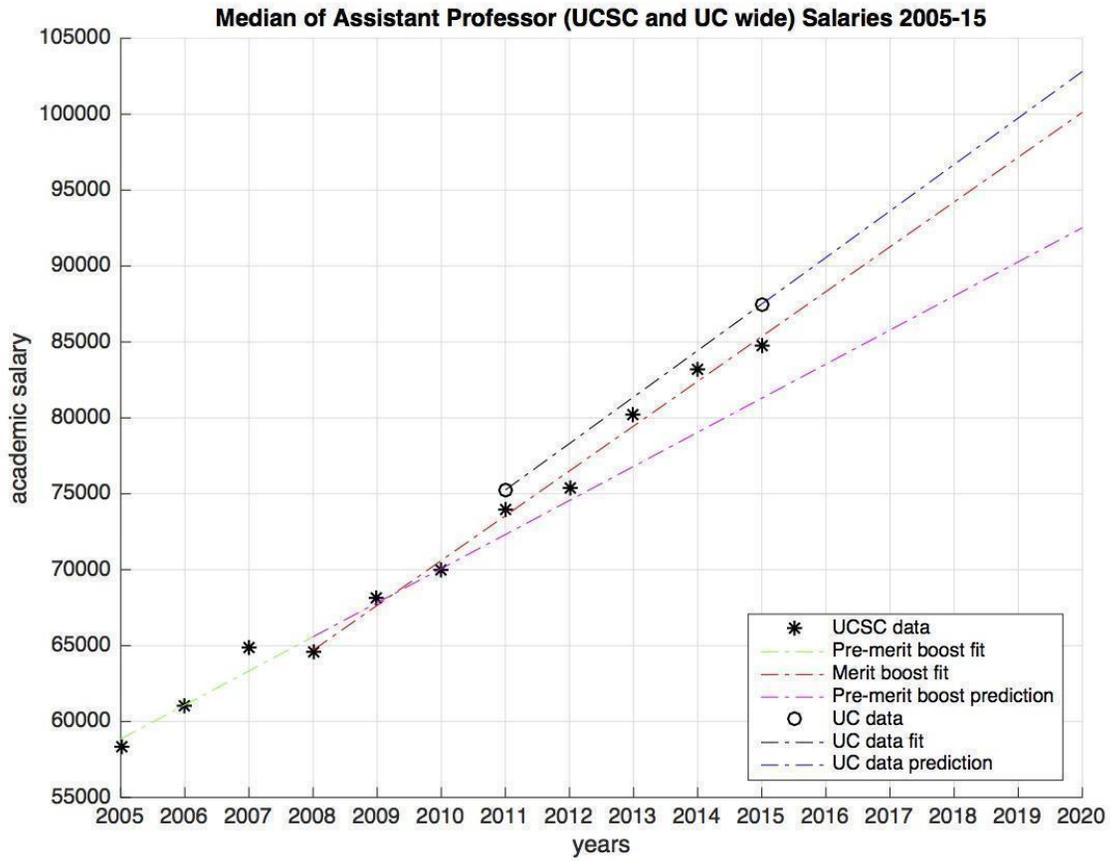


Figure 8: UCSC (stars) and UC-wide (9-campus) median salaries at the Assistant Professor level, with fits showing the extrapolated trends system-wide, and for UCSC before and after the introduction of the Special Salary Practice (2008)

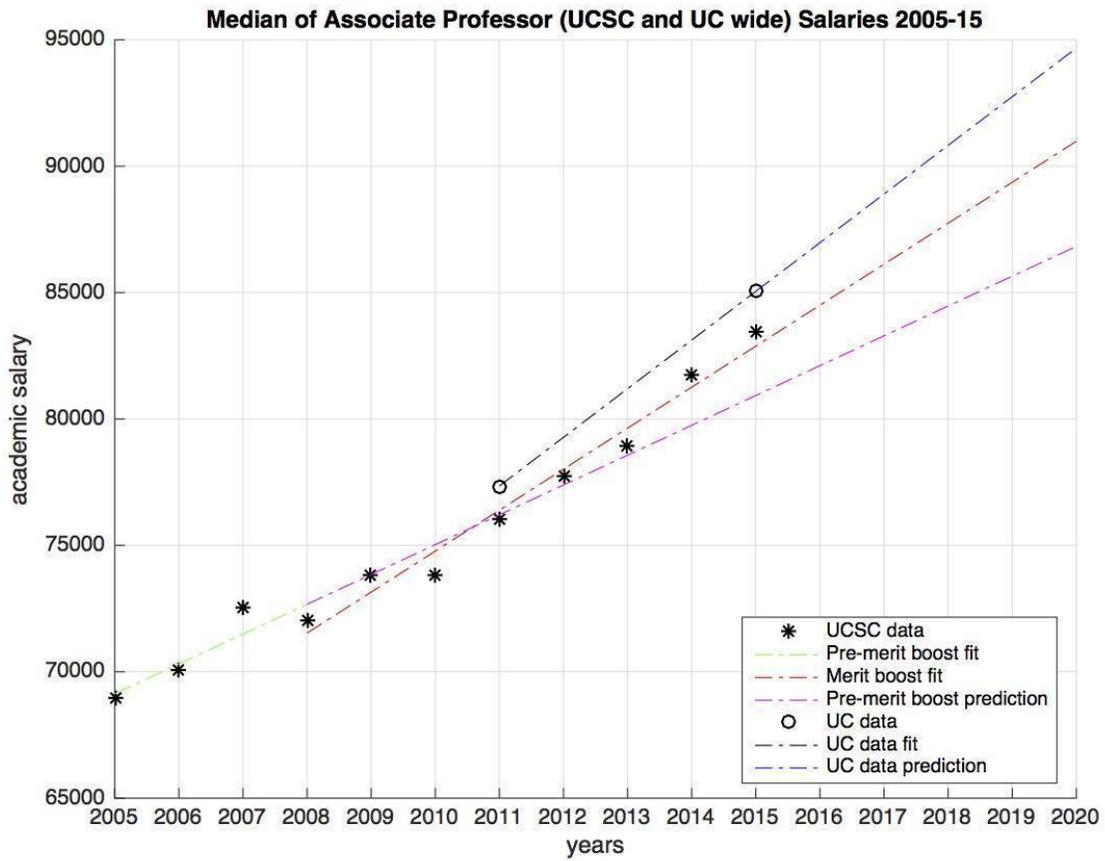


Figure 9: As in Figure 7, for the Associate Professor Rank

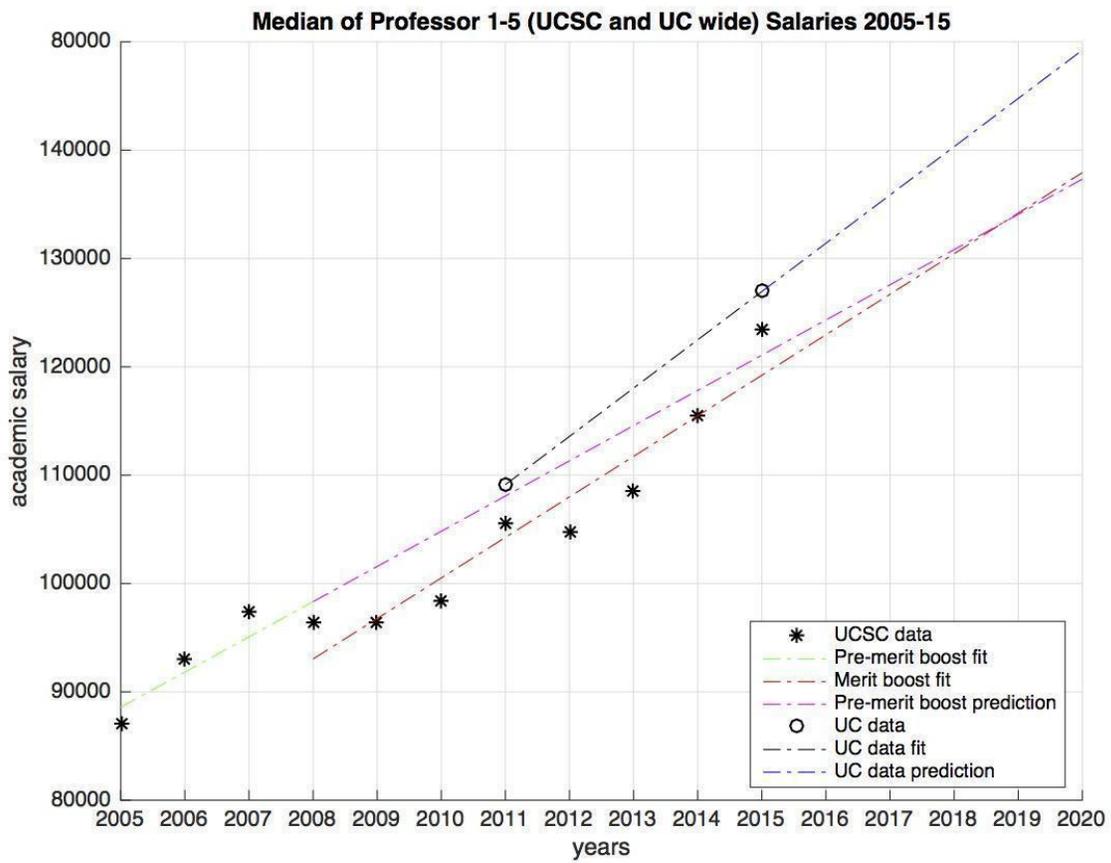


Figure 10: As in Figure 7, for the Professor Rank, steps 1-5

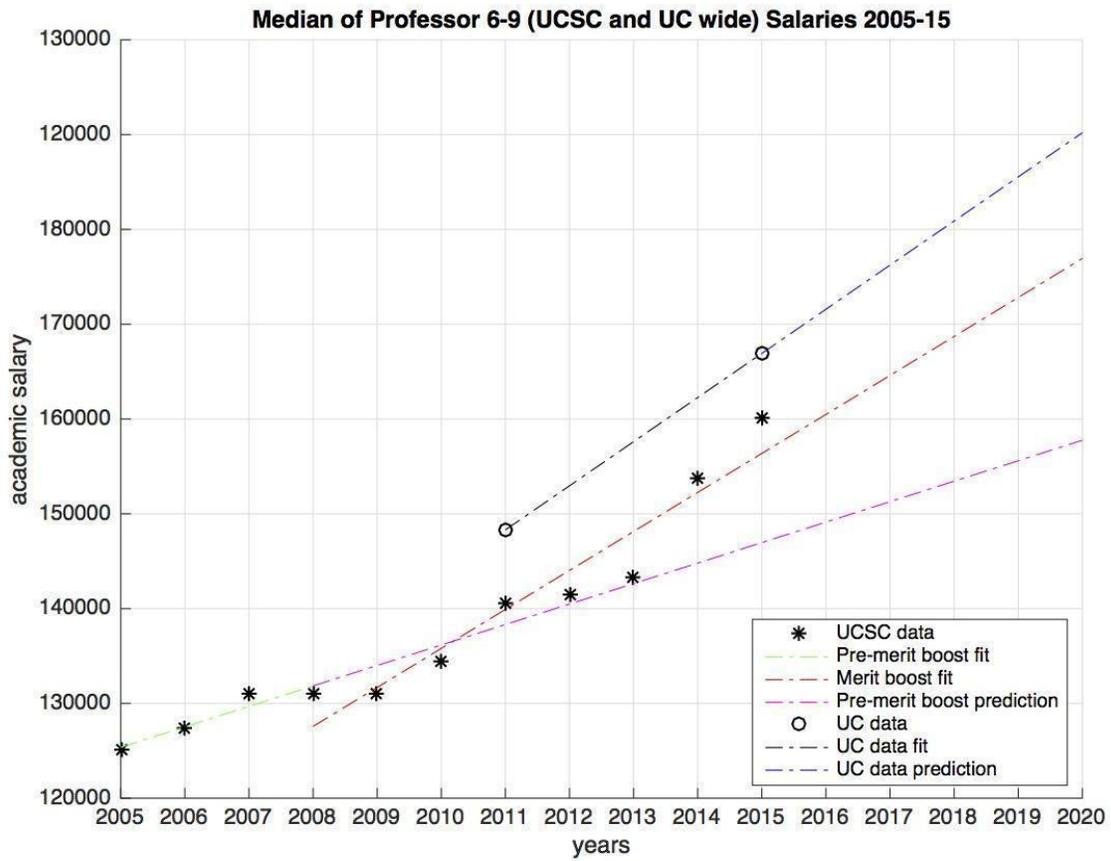


Figure 11: As in Figure 7, for the Professor Rank, steps 6-9

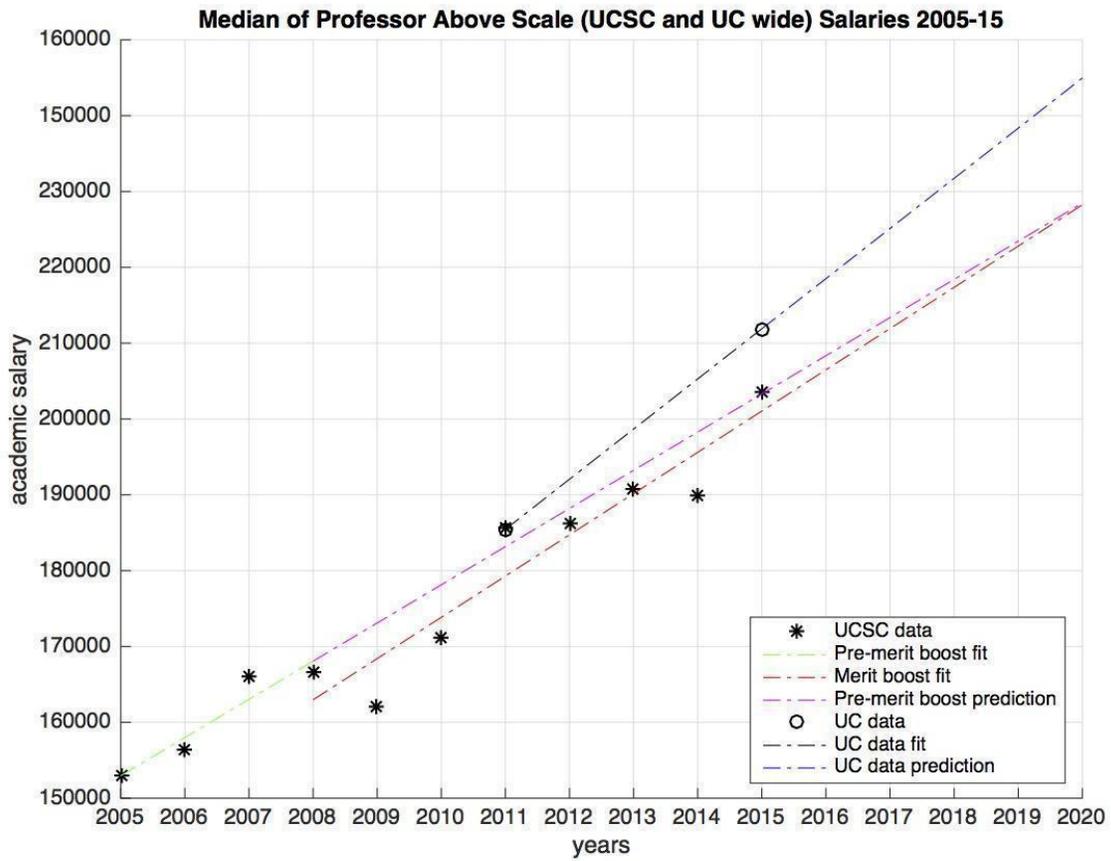


Figure 12: As in Figure 7, for the Professor Rank, Above Scale

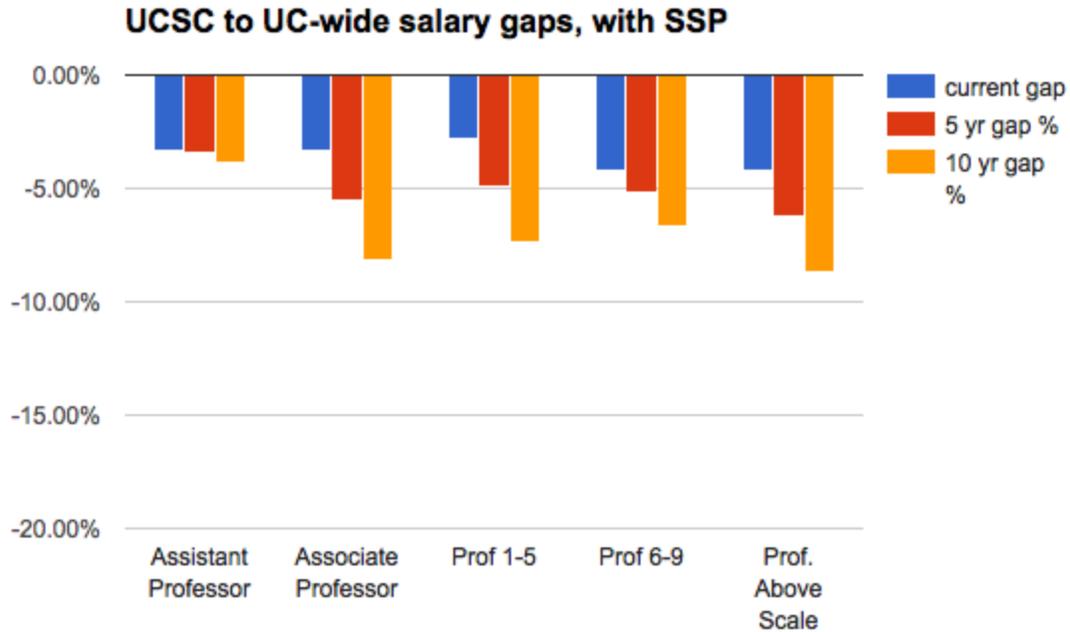


Figure 13: The gap between UCSC and UC-wide median salaries at given ranks/steps now (blue columns), and extrapolated 5 (red columns) and 10 (yellow columns) years out, assuming the median salary growth with SSP

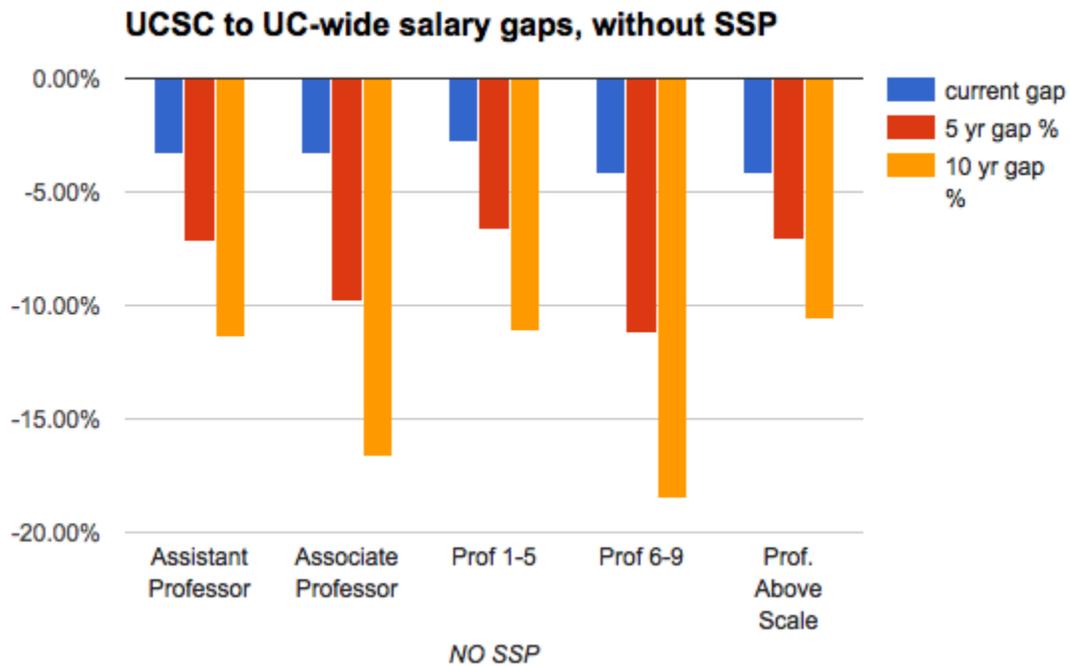


Figure 14: The gap between UCSC and UC-wide median salaries at given ranks/steps now (blue columns), and extrapolated 5 (red columns) and 10 (yellow columns) years out, assuming the median salary growth without SSP

Respectfully submitted;
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Stefano Profumo, *Chair*

November 20, 2017

COMMITTEE ON EDUCATIONAL POLICY
Amendment to Regulations 10.2.3.1.a and 10.5.2
Revision to General Education (Composition Course) Requirement

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy (CEP) proposes an amendment to Regulation 10.2.3.1 that will change the general education requirement of two composition courses for students who have satisfied the University of California's English Language Writing Requirement (ELWR) to one composition course. This is in conjunction with a restructuring of the College Core and Writing Program courses that is described in detail in the Academic Literacy Curriculum proposal submitted by the Writing Program and the Council of Provosts, available at the CEP website. In brief, the restructuring will result in the following changes:

1. Writing outcomes will no longer be administered in the College Core course. At present, the College Core course for ELWR-satisfied students is either a C1 composition course (College 80A) or a C2 composition course (College 80B). The students who take College 80A then go on to take a C2 composition course, Writing 2, in the Writing Program. In the proposed model, all ELWR-satisfied students will take a College Core course (denoted as College 1) followed by *one* composition course, Writing 2 (or an honors version thereof, Writing 2H). By proper coordination with the new College 1 course, after successful completion of Writing 2, students will fulfill the C2 outcomes that have been approved by CEP.
2. ELWR-required students in all colleges will be required to take an additional composition course, Writing 1, between College 1 and Writing 2. Successful completion of Writing 1 will result in satisfying ELWR. This fulfills the objective of the amendment to Regulation 10.5.2 that was approved by the Academic Senate in 2016, that ELWR-required students should satisfy ELWR before taking a course that satisfies any composition requirement for ELWR-satisfied students. At present, ELWR-required students in four colleges take special sections of College 80A that satisfy the C1 requirement and also try to bring them to an ELWR-satisfied level (achieved through a portfolio review). Five colleges have the same system, but require students with low scores in the ELWR-placement examinations to take *two* five-credit courses, College 80C and 80D instead of College 80A. One college has ELWR-required students take a course with the Writing Program, Writing 20, instead of College 80A. The proposed model will result in a uniform system for all colleges.
3. The proposed model will also have a uniform system for the College Core course. All students will take one five-credit course, College 1, which will teach them critical reading and critical thinking. This will be a prerequisite for Writing 1 and Writing 2.
4. The Multilingual Curriculum (MLC), which is currently available to ELWR-required F-1 visa holders, will be opened to ELWR-required domestic students who are English language learners before enrolling in Writing 1 (or Writing 1E). This is consistent with the practice at other UC campuses. The Writing Program will also offer a course,

Writing 1E, for those students in this category who feel that they need assistance with English language learning but do not need the two-course MLC sequence.

The amendment to Regulation 10.2.3.1 will require an amendment to Regulation 10.5.2 for consistency, which is also proposed here. For the purpose of Regulation 10.5.2.d, “an Entry-Level Writing course” should be understood to include College 1, which will be a prerequisite to Writing 1 and will therefore enable a student to make progress towards ELWR satisfaction.

Existing Regulation

Proposed Regulation

<p>10.2.3.1 Students who enter the University of California, Santa Cruz, in fall quarter 2010 or later, as candidates for a Bachelor’s degree, are required to fulfill the campus general education requirements given below. Courses used to satisfy these requirements are subject to the following restrictions: i) they must be chosen from the lists of approved courses (SCR 10.2.3.4); ii) each course may apply toward only one of the requirements, unless a specific exception is granted by the Committee on Educational Policy; iii) only course work awarded the grade of P, C (2.0) or better may be used to satisfy these requirements.</p>	<p>10.2.3.1 No change</p>
<p>10.2.3.1 a. Composition courses. Students are required, in addition to satisfying the ELWR requirement, to complete a sequence of two five-credit hour courses or the equivalent in composition and rhetoric. These courses shall usually be taken in the student’s first year and must be completed before the student enrolls in the 7th quarter.</p>	<p>10.2.3.1 a. Composition courses. Students are required, in addition to satisfying the ELWR requirement, to complete a sequence of two one five-credit hour courses or the equivalent in composition and rhetoric. These This courses shall usually be taken in the student’s first year and must be completed before the student enrolls in the 7th quarter.</p>

Existing Regulation	Proposed Regulation
<p>10.5.2 Entry Level Writing: English Composition. Every student must demonstrate an acceptable level of competence in writing. This may be done in one of the following ways:</p>	<p>10.5.2 No change.</p>
<p>10.5.2 a. By achieving a score of 30 or better on ACT Combined English/Writing test; or 680 or better on the College Board SAT-II Writing Test; or 680 or better on the College Board SAT Reasoning Test, Writing section; or 3, 4, or 5 on either Advanced Placement (AP) Examination in English; or 5 or above on the International Baccalaureate High Level English A exam; or 6 or above on an International Baccalaureate Standard Level English A exam. (See SR 636.B.2.) (EC 31 Aug 09)</p>	<p>10.5.2 a. No change.</p>
<p>10.5.2 b. (Pertaining particularly to transfer students) By completing an acceptable college-level course of at least four quarter credits, or the equivalent, in English composition with a grade of C or better; or</p>	<p>10.5.2 b. No change.</p>

<p>10.5.2 c. (Pertaining to students who do not satisfy the requirement as described above) By achieving a satisfactory score on the Analytical Writing Placement Examination administered by the University of California prior to the start of instruction in the student's first term.</p>	<p>10.5.2 c. No change.</p>
<p>10.5.2 d. Entering students who have not satisfied the requirement in one of the above ways must enroll in an Entry-Level Writing course in their first term of residence; pending satisfactory passage of the requirement, continued enrollment in an Entry-Level Writing course is mandatory. Satisfaction of the Entry-Level Writing Requirement is a prerequisite for enrolling in a Composition 1 course, enrollment in every other university-level undergraduate course in English composition and for the Bachelor's degree.</p>	<p>10.5.2 d. Entering students who have not satisfied the requirement in one of the above ways must enroll in an Entry-Level Writing course in their first term of residence; pending satisfactory passage of the requirement, continued enrollment in an Entry-Level Writing course is mandatory. Satisfaction of the Entry-Level Writing Requirement is a prerequisite for enrolling in a Composition—1—course the composition course required under SCR 10.2.3.1a, enrollment in every other university-level undergraduate course in English composition and for the Bachelor's degree.</p>

Respectfully submitted;
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Megan Thomas
Tchad Sanger, *ex-officio*
Onuttom Narayan, Chair

November 13, 2017

COMMITTEE ON TEACHING
2016-17 Survey of Department Chairs, Managers, and Provosts on the Use of Student Evaluations of Teaching

To: Academic Senate, Santa Cruz Division

Introduction

In spring 2017, the Committee on Teaching (COT) conducted a survey of department chairs, managers, and College Provosts regarding their use of, and practices surrounding, student evaluations of teaching (SETs). This survey¹ was a crucial first step in the committee's efforts to revise SETs and how they are used on campus. The main goal was to understand how departments and colleges now are using course evaluations, and use this information to inform the committee's goal of shifting how teaching is evaluated at UCSC.

The survey collected information about current practices of SETs use by departments, programs, and colleges, and information about what other sources of data are now being used to evaluate instructor teaching effectiveness. Additionally, the survey sought to collect detailed feedback on advantages and limitations of the current course evaluations, as well as concerns and suggestions for improvement. The committee also sought the perspective of chairs and college provosts on the proposed change to the course evaluation framework, shifting the focus away from using course evaluations as the de-facto (and often the only) method for teaching evaluations, to be more instructor-driven, with the main purpose of assisting instructors to improve their own teaching.

All responses were confidential and reported at the aggregated campus level for departments. The Executive Summary below encapsulates some main themes from the survey results, and implications relating to course evaluation practice. A full summary report is forthcoming and will provide more detail on the specific responses from each section of the survey.

Executive Summary

The response rate was excellent (76%). Overall, 29 out of 37 departments and 6 out of 9 college provosts completed the survey, with comments emphasizing that the large majority of these campus leaders believe that revising SETs and how they are currently used is a very important topic. Below are the main themes that emerged from the department survey.

1. Campus standardized course evaluations are the main instrument used to rate instructors

A majority of departments, programs, or colleges (72%) use only the standard SETs with no additional questions, as the main tool to evaluate instructors. The remaining approximately twenty percent used a variety of customized questions whereby deployment varied considerably: some use them for all courses, some for only selected courses. In contrast, the colleges routinely used customized questions, placing a substantial importance on qualitative comments.

Overall, given the low usage of customized questions by most departments, the survey showed that faculty are mainly evaluated (and so there is an opportunity for feedback to improve

¹COT Survey on Departmental Use of Online Course Evaluations Winter 2017

teaching) based on the standardized questions. Conversely, the high use of customized questions in the colleges indicates that the evaluation of lecturers (who commonly teach college core courses) is often qualitatively different.

2. Analysis and interpretation of SET data is uneven

Comments from individual departments, however, indicated substantial variation in how standard SETs are applied. For example, some respondents suggested they have a formal rubric evaluation on only a subset of standard SET questions, others suggested department-generated questions are both essential and most valuable, while others indicated they focus mainly on whatever is perceived as CAP's main priorities (e.g., a focus on the one or two required questions).

In addition, there is wide variation in how departments treat quantitative data. Most departments do not aggregate quantitative data. However, the approximately one third of departments who reported that they do aggregate the quantitative data also reported using divergent approaches. Wide variation in aggregation of reported data is potentially problematic, as it is prone to error based on differing statistical approaches. Bias may also creep into the interpretations of aggregated data, which may vary over time driven by shifting approaches used to analyze and present data. Only a small number of departments used graphical methods, despite the fact that respondents think they are useful; departments noted they are typically very time consuming.

Overall, this suggests that providing departments with specific guidance, such as a best practices document, to analyze quantitative course evaluation data would be extremely useful. It may be helpful to departments if the new campus online course evaluation system is capable of producing more unified aggregation, and in particular graphical data presentations.

3. Perception of bias in course evaluations is widespread

A majority of respondents were concerned about negative bias in SETs for some groups; about half reported that they had directly observed it, and 40% reported that they suspected bias in evaluations they had reviewed in a leadership capacity. The most common bias mentioned was based on gender, and there were recurring comments about perceived positive bias based on instructors' charisma and ability to entertain the students, as distinct from teaching or learning.

Overall, this widespread perception among respondents that arguably the major instrument used to evaluate teaching for personnel actions is affected by bias raises questions regarding the inherent fairness of SETs. This strongly suggests a major challenge for continuing use of SETs will be shifting content and setting guidelines for interpretation and use with the goal of reducing the effects of bias.

4. Using class time or wireless access could dramatically improve response rates

Declining SET response rates accompanying the shift to online evaluations has been a persistent concern. Departments reported a variety of approaches to increase student response rate, however the most common method cited was to reserve time in the classroom for students to complete the course evaluations, as opposed to giving incentives, more automated reminders, etc.

Unfortunately, wireless access is now limited in the classrooms, and access to electronic devices can also be an issue. The survey results suggest that if these issues were addressed, then campus SET response rates could return to the level of former paper evaluations. This suggests that excellent mobile device functionality for the new online course evaluation system, as well as a focus on procedures that ensure the maximum number of students have access to needed interface, are particularly important.

5. Peer evaluations: guidelines and clearer framework are needed

Among “other measures” for evaluation of teaching, peer evaluations in some form were among the most commonly cited as being used, and were also the most common suggestion in terms of evaluation approaches which might be used more extensively in personnel reviews while also improving teaching. Approximately 50% of departments reported they are already conducting some form of peer-evaluation, typically teaching observations. However, practices reported varied widely, and comments suggested that clearer systems and/or guidance on best practices for direct observations or other peer review could greatly improve peer evaluations.

6. Departments were supportive of shifting the basic framework of UCSC course evaluation

Overall, responses indicated that while chairs and college provosts feel that the current SETs do have value, there is widespread interest in improving and de-emphasizing SETs as a main tool for teaching evaluation. Most were supportive of the proposed shift in questions, culture and practice toward using SETs primarily as instructor-driven instruments to improve teaching and learning (“formative” shift). At the same time, most felt that more detailed information or a proposal about such a shift would be required. The variation in responses among chairs/ provosts on this point is consistent with the wide variety of ways that current SETs are now being used between departments and divisions.

Respectfully submitted;

COMMITTEE ON TEACHING

Phil Hammack (W, S)

Kimberly Helmer

Marc Matera

Danny Scheie

Judith Scott (F)

Matthew McCarthy, Chair

Jim Phillips, sits with

Angela Nguyen, Graduate Representative

November 20, 2017

APPENDIX

COT SURVEY ON DEPARTMENTAL USE OF ONLINE COURSE EVALUATIONS
WINTER 2017

This survey is being conducted by UCSC's Institutional Research, Assessment, and Policy Studies (IRAPS) in coordination with the Committee on Teaching.

Please click **next** below to start the survey.

(End of Page 1)

Introduction

As outlined in the communication you received on March 13, 2017, this survey encompasses current departmental use and practices around student evaluations of teaching (SETs). The survey is targeted for Department/Program Chairs and Managers, and represents a critical first piece in COT's efforts to gather information to assist us with the proposed major shift in teaching evaluations at UCSC.

The survey goals are two-fold:

- (1) to collect comprehensive information about the current use of the SETs, and other sources of data currently being used to evaluate instructor teaching effectiveness, and
- (2) to collect detailed feedback on advantages and limitations of the current forms and practices, as well as concerns about and suggestions for improvement.

Finally, we are also asking that you give us your overall feedback from a chair's perspective about the proposed shift in framework, away from using SETs as the de-facto main method of teaching evaluation.

For the UC criteria for Appointment, Promotion, and Appraisal, please see pp. 4-5 in the [UC Academic Personnel Manual \(APM 210\)](#). (A new window will open.)

Timeline

The survey will be open for three weeks from March 16th to April 5th.

Confidentiality

An UCSC Institutional Research, Assessment, and Policy Studies (IRAPS) analyst will distribute survey links to department chairs/managers and will monitor responses to ensure the highest possible response rate while maintaining confidentiality of respondents.

To protect confidentiality, responses (including written comments) will be aggregated by division only for analysis and reporting. In other words, results will not be associated with specific departments, but *will be analyzed and reported only at the divisional level*.

Logistics

IRAPS administers this survey through their secure survey system. Every Department/Program Chair and Manager has received an email invitation with a survey link designated for their department/program survey responses. The chair and manager can access their department/program responses as many times as they need to add/revise their responses until the **survey closes on April 5th**.

If you have any questions regarding the survey logistics or confidentiality of data analysis and reporting, please contact IRAPS at surveys@ucsc.edu.

Finally, note that the survey questions focus on evaluations of teaching effectiveness of Senate faculty and continuing lecturers for personnel actions. At the end of the survey you will have an opportunity to comment on any distinctions your department makes between these service categories.

Thank you for your time and attention in providing responses. We realize the survey may at first appear extensive, but your feedback is critical. We need a comprehensive vision of what departments/programs think and are doing now to move forward with this ambitious project. Click NEXT to start the survey.

(End of Page 2)

NOTE: Both a Department/Program Chair and Department Managers have access to this survey and can enter answers for their Department/Program. Responses on each page can be saved (click "Save" at the bottom of the page) and can be edited at any point.

Please use the "Back" and "Next" buttons at the bottom of the page to view and edit any of the previously saved responses.

Departmental use of SET data for personnel reviews

1. How frequently does your department or program review SET data to evaluate teaching effectiveness of individual faculty? (Check all that apply)

- for personnel reviews
- yearly
- quarterly
- other, please explain: _____

2. Include any additional comments on the frequency of reviewing SET results in the text box below:

(End of Page 3)

3. To what extent does your department or program find useful each of the following sources of data or evidence for evaluation of teaching effectiveness of individual faculty for personnel actions?

	Do not use	Minimally useful	Occasionally useful	Useful in most cases	Essential
SET quantitative data	<input type="radio"/>				
SET qualitative responses (i.e., written comments)	<input type="radio"/>				
Course syllabi	<input type="radio"/>				
Other course materials (e.g., assignment sheets, quizzes, lecture slides)	<input type="radio"/>				
Personal Statement	<input type="radio"/>				
Additional self assessments (e.g., teaching philosophy, teaching portfolio, assessments of student learning)	<input type="radio"/>				
Sources of data specific to graduate students (e.g., mentorship)	<input type="radio"/>				
Teaching observations conducted by personnel committee members	<input type="radio"/>				
Teaching observations conducted by peers	<input type="radio"/>				

3a. If your department uses **other sources of evidence** in addition to listed in the previous question, please specify what evidence and how useful it is for personnel actions:

3b. Include below **any comments on the sources of data** used by your department to assess teaching effectiveness for personnel actions (e.g., advantages/limitations, concerns, suggestions for improvement):

(End of Page 4)

4. To what extent does your department or program find useful the following two questions, which are required on the existing UCSC SET, for the evaluation of teaching effectiveness of individual faculty for personnel actions?

	Not at all useful	Somewhat useful	Useful	Essential
"Instructor's overall effectiveness as a teacher"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
"The course overall as a learning experience"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4a. Please provide any comments regarding these two questions.

Currently the standard SET has 25 questions with the option of adding questions.

5. Does your department or program currently use the standard SET instrument “as is” or with additional questions?

- The standard 25 questions for all courses.
- The standard 25 questions plus additional questions for all courses.
- The standard 25 questions plus additional questions depending on course.

(End of Page 5)



To review the standard SET questions [click here](#). (A new window will open.)

6. Indicate the level of priority given to each of the following **sections** of the SET form for assessing teaching effectiveness of individual faculty for personnel actions?

	Not a priority	Low Priority	Medium Priority	High Priority
Instructor appraisal	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Course appraisal	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Student Profile (i.e., student self assessment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Comments (questions 22-25 on the standard form)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Department/Program generated questions*	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*this option is shown only if Q5 = “The standard 25 questions plus additional questions for all courses” or “The standard 25 questions plus additional questions depending on course.”

6a. Include below your comments on prioritizing **specific sections of SET** to assess teaching effectiveness for personnel actions (e.g, advantages/limitations, concerns). If relevant, please comment on the value of adding department- or program-specific questions to SET.

7. Are there one or two questions in the standard SET questions that carry more weight in personnel reviews in your department or program?

- Yes
- No, all questions carry more or less the same weight

Q7a and Q7b are shown only if Q7=“Yes”

7a. Please specify the question(s) below:

7b. Please explain why your department or program finds those particular questions useful:

(End of Page 6)

Q8-8c are shown only if Q5 = “The standard 25 questions plus additional questions for all courses” or “The standard 25 questions plus additional questions depending on course.”

Department/program generated questions on SET

You've indicated earlier in the survey (question 5) that in your department/program the SET currently includes “[insert answer from Q5]”.

8. **How many** additional questions does your department or program add?

- 1-2
- 3-5
- 6 or more

8a. **What topics** does your department or program ask about in the additional questions? Select all that apply.

- Questions regarding student learning
- Questions regarding course content
- Questions regarding course learning outcomes
- Questions regarding the learning climate
- Other, please specify: _____

8b. **What kind of questions** are these additional questions?

- Quantitative questions (scales)
- Qualitative (written responses)
- Both quantitative questions **and** qualitative (written) responses

8c. To what extent do you **prioritize additional questions** in relation to the standard 25 SET questions for personnel reviews?

- More important than the standard 25
- Equally important
- Less important than the standard 25

(End of Page 7)

Use of Quantitative SET Results

9. How does your department or program treat quantitative SET data from multiple courses for personnel reviews? (note: "compile" means performing calculations to summarize results across multiple courses)

- Does not compile quantitative SET data; each course evaluation is reviewed on its own.
- Compile for the entire review period by combining all courses taught.
- Compile for the entire review period by combining only the same courses taught.
- Other, please specify: _____

10. Please indicate how your department or program aggregates results from separate courses for a specific item (e.g., "Instructor fairness in evaluating students"):

- Calculate an overall percentage for a specific item (e.g., % of "excellent") across courses in the review period/year;
- Calculate an overall percentage for 2-3 responses for a specific item (e.g., % of "very good" and "excellent") across courses in the review period/year
- Calculate an average (mean) for a specific item across courses in the review period/year;
- Report a range from the lowest to the highest "percentage" or "an average score" for a specific item across courses in the review period/year;
- Other, please explain: _____

11. Please include any additional comments on **aggregating SET data** in the text box below (e.g., advantages/limitations, concerns, or suggestions):

(End of Page 8)

12. In evaluating the individual faculty's SET quantitative results, does your department or program have a target threshold (percentage, mean score, etc.), either formally or informally, that instructors are generally expected to meet?

- Yes. Please specify these target thresholds: _____
 No

13. Please select the different ways your department or program presents or prepares the quantitative SET results beyond the "Teaching table" required by CAP.

- Charts/graphs
 Tables
 Narrative summary of key findings
 Other, please specify: _____
 None of the above; only the Teaching table

14. Please include any additional comments on how your department or program uses the quantitative SET data in the text box below (e.g., advantages/limitations, concerns, and your suggestions for improvement):

(End of Page 9)

Use of Qualitative SET findings

15. How does your department or program analyze qualitative SET data (i.e., student written responses)?

- Read all responses without formal analysis
- Read to find specific key content identified by the department as of particular interest (e.g., students mention writing concepts in a writing class, students mention discriminatory practices, students complain or praise a specific textbook, etc.)
- Code responses to find overarching themes (based on frequency of responses)
- Count responses and create a percentage for a single course
- Other, please explain: _____

16. Do you include the qualitative SET findings in any of the following formats? (check all that apply):

- Narrative summary of the key findings in department letter
- Quote or paraphrase student responses in department letter
- Charts, graphs, tables
- Other, please specify: _____

17. Please include any comments on using the qualitative SET data (written responses) (e.g., how your department or program uses written comments, advantages/limitations, concerns, and your suggestions for improvement):

(End of Page 10)

Contextualizing SET Results and Findings

18. In personnel file letters, do you usually provide contextualizing information to accompany SET results and findings? (Check all that apply)

- Do not provide course specific context
- First time teaching course
- Number of times teaching the course
- Number of students in the course
- Number of non-majors in the course
- Number of majors in the course
- Developmental or gate keeping courses (e.g., ELWR-required writing courses, remedial math)
- Major course
- Non-major course
- General education course
- Innovation in pedagogical practices or format
- New course offering
- Other, please explain: _____

19. Please include any additional comments on contextualizing SET results and findings in the text box below (e.g., advantages/limitations, concerns):

(End of Page 11)

20. Has your department or program encountered bias in students' responses in SET?

- Yes
- No
- Not sure

Q21 and Q22 are shown if Q20= “Yes” or “Not sure.”

21. In the space below, please describe the nature of bias.

22. Have you found that particular types of SET questions tend to elicit more bias than others?

- Yes
- No

Q23 is shown if Q22= “Yes.”

23. Please indicate which SET questions tend to elicit more bias.

(End of Page 12)

Progress: Changes in Faculty's Teaching over Time

24. During a personnel review, does your department or program consider changes (e.g., improvement) in faculty's teaching over time?

- No
- Yes, for all faculty
- Yes, for new faculty
- Yes, in some cases
- Other, please specify _____

25. To what extent does your department prioritize evidence of changes in faculty's teaching in personnel reviews?

- Not a priority
- Low priority
- Medium priority
- High priority

Q26 is shown if Q24= "Yes, for all faculty" or "Yes, for new faculty" or "Yes, in some cases" or "Other."

26. How does your department measure changes in faculty's teaching between two points in time? Select all that apply.

- Compare quantitative SET data
- Compare qualitative (written) responses in SET
- Compare teaching materials (e.g., assignments, quizzes, etc.)
- Use faculty self assessments (e.g., formative data discussed in file, Personal Statement or teaching philosophy)
- Compare teaching observations by other faculty members
- Use other sources, please specify. _____

27. Please include any additional comments on evaluating **changes** in faculty's teaching in the text box below (e.g., advantages/limitations, concerns):

(End of Page 13)

Student Response Rates

28. Is there a specific response rate threshold for the SET that your department considers necessary for adequate evaluation of faculty's teaching?

- No, we don't have a specific threshold response rate
- Yes, if it is below a certain percentage, we consider the course evaluation to be less meaningful

Q28a is shown if Q28="Yes, if it is below a certain percentage, we consider the course evaluation to be less meaningful"

28a. What "target" response rate does your department use for adequate evaluation in a given course?

- 75% or higher
- 66% or higher
- 50% or higher
- 33% or higher
- 25% or higher
- Other, please specify: _____

29. Does your department consider the response rate for the SET as another indicator of faculty's teaching effectiveness or overall course effectiveness?

- Yes, to a large extent (regardless of class size)
- Yes, to some extent (e.g. depends on the class size, overall ratings of the instructor)
- No, it is not an indicator

30. Please include any additional comments on using SET response rates as an indicator of teaching effectiveness in the text box below:

(End of Page 14)

Logistics of SET Administration

32. Currently, the SET is open for students to fill out from week 9 until the 1st day of finals week. Thinking about the time frame for students to complete the SET, from your perspective as Chair of your department, do have an opinion on which option below would be most effective in increasing both rates of return and quality of evaluations?

- Keep the time frame as it is
- Open in week 9 and close at the end of the finals week
- Exact open dates could be determined by individual department or faculty, but the window is fixed
- Other options, please specify: _____

33. Does your department recommend that faculty do any of the following practices to increase SET response rate? Select all that apply.

- Ask students to use electronic devices in class to fill out SET
- Ask students to meet in a computer lab for students to access and fill out SET during class hours
- Give extra credit
- Give other suggestions, please specify: _____
- No, we don't recommend any specific ways to increase response rates

(End of Page 15)

Proposed Shift in SET Framework

Currently the SET results and findings are primarily used summatively (i.e., to evaluate instructors).

34. As Chair, do you think that the **current SET** results provide useful information that individual faculty could use to improve their teaching?

- Yes, it provides specific enough information that may indicate areas needing improvement
- Yes, but only in a general sense (e.g., information is too general or ambiguous to indicate specific actions or areas needing improvement)
- No, it does not provide much useful information that can be used to improve one's teaching

35. As Chair, would you support a proposed **shift to a formative framework** (i.e., using online Student Evaluation of Teaching primarily to provide faculty with information they can use to improve their teaching and assess achievement of learning in their courses, as opposed to using it as the main evaluation tool for personnel actions)?

- No, I would not support
- Maybe I would support
- Yes, I would support

36. If the campus were to shift to a formative framework, as Chair, **what other measures of teaching effectiveness, within the context of APM guidelines***, do you think would be most effective **for personnel actions**? Please provide your thoughts and examples below.

*For the UC criteria for Appointment, Promotion, and Appraisal, please see pp. 4-5 in the [UC Academic Personnel Manual](#) (a new window will open).

37. Please share below any other information or thoughts related to SET and other ways to evaluate faculty for personnel actions and/or about the proposed shift to a formative framework.

(End of Page 16)

Evaluating Non-Senate Faculty

38. Does your department or program make any distinctions in evaluating teaching effectiveness of Senate faculty, continuing lecturers, and/or pre-6 lecturers for personnel actions?

- Yes
- No

38a. Please comment on any distinctions your department or program does and/or does not make between these service categories.

39. Please indicate what proportion of your department/program undergraduate courses are taught by Unit 18 lecturers?

- None
- Less than a quarter
- Quarter to a half
- More than half

(End of Page 17)

Thank you for completing this survey.

You will be able to access your survey to review and revise your responses even after clicking 'Submit ' below. To access the survey again, you will need to use the survey link provided in your email.

If you have questions regarding the survey administration (e.g., how to access your survey), confidentiality of your responses, data analysis and reporting, please contact IRAPS analyst at surveys@ucsc.edu.

Questions regarding the subject matter of the survey, data analysis and reporting may be directed to Matt McCarthy (mdmccar@ucsc.edu), Chair of COT.

(End of Page 18)
