

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;

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