

Meeting Call for Regular Meeting of the Santa Cruz Division  
**Wednesday, January 9, 2019 at 2:30 p.m.**  
**College 9/10 Multipurpose Room**  
**ORDER OF BUSINESS**

1. Approval of Draft Minutes
  - a. Draft Minutes of May 16, 2018 (AS/SCM/321)
  
2. Announcements
  - a. Chair Lau
  
3. Report of the Representative to the Assembly (none)
  
4. Special Orders: Annual Reports  
CONSENT CALENDAR:
  - a. Committee on Academic Freedom (AS/SCP/1900) p.1
  - b. Committee on Admissions and Financial Aid (AS/SCP/1901) p.4
  - c. Committee on Affirmative Action and Diversity (AS/SCP/1902) p.15
  - d. Committee on Career Advising (AS/SCP/1903) p.22
  - e. Committee on Courses of Instruction (AS/SCP/1904) p.40
  - f. Committee on Educational Policy (AS/SCP/1905) p.44
  - g. Committee on Emeriti Relations (AS/SCP/1906) p.58
  - h. Committee on Faculty Welfare (AS/SCP/1907) p.60
  - i. Committee on Information Technology (AS/SCP/1908) p.90
  - j. Committee on International Education (AS/SCP/1909) p.96
  - k. Committee on Library and Scholarly Communication (AS/SCP/1910) p.101
  - l. Committee on Planning and Budget (AS/SCP/1911) p.111
  - m. Committee on Preparatory Education (AS/SCP/1912) p.129
  - n. Committee on Privilege and Tenure (AS/SCP/1913) p.134
  - o. Committee on Research (AS/SCP/1914) p.135
  - p. Committee on Rules, Jurisdiction and Elections (AS/SCP/1915) p.141
  - q. Committee on Teaching (AS/SCP/1916) p.144
  - r. Graduate Council (AS/SCP/1917) p.152
  
5. Reports of Special Committees
  - a. Special Committee on Development and Fundraising p.162
    - i. Annual Report, 2017-18 (AS/SCP/1918)
  
6. Reports of Standing Committees
  - a. Committee on Committees p.164
    - i. 2018-19 Committee Updates (AS/SCP/1919)
  - b. Committee on Educational Policy p.165
    - i. Amendment to Regulations for Chapter 6 Student Program of Studies (AS/SCP/1920) p.167
    - ii. Amendment to Regulations for Chapter 10 Senior Residency Requirement (AS/SCP/1922) p.171
    - iii. Amendment to Regulations for Chapter 10 General Education Requirements Fall 2010 or Later (AS/SCP/1923) p.174
    - iv. Amendment to Regulations for Chapter 10 Major Field (AS/SCP/1924) p.178
    - v. Policy Changes for Major Requirements, Prerequisites for Summer Session, Fully Online Courses, and Senior Residency (AS/SCP/1925)
  - c. Committees on Educational Policy and Courses of Instruction p.184
    - i. Amendment to Bylaw 10.1 and 13.16.5 General Authority to Waive Regulations (AS/SCP/1921)
  - d. Committee on Library and Scholarly Communication p.188
    - i. Report on Journal Negotiations, November 2018 (AS/SCP/1926)
  
7. Report of the Student Union Assembly Chair i

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 28, 2018

Academic Senate  
Santa Cruz Division

Dear Colleagues,

I write to invite you to the upcoming Academic Senate meeting on Wednesday, December 5, 2:30pm at the Stevenson Event Center. The agenda is available at: <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2018-2019/2018-december-5-meeting/index.html>

As you are all well aware, this is an important moment for our campus: we are in the process of searching for UCSC's next chancellor; we continue to develop the academic priority areas identified through the strategic academic planning process; and we are renewing our efforts to diversify the faculty and to further internationalize our campus.

I will talk briefly about the chancellor search process at the Senate meeting, but I want to alert you to the fact that the main opportunity for faculty to participate in the process will take place on Monday, December 3, 10:00am, at the Stevenson Event Center. This will be a town hall session with the faculty representatives on the search committee and representatives from the search firm. For those of you who are unable to attend in person, it will be livestreamed; in addition, there will be opportunities to share your perspectives via the [chancellor search website](#). I call your attention to it here because it will occur prior to the Senate meeting.

As you will see from the agenda, we have a variety of topics slated for discussion. The Committee on Educational Policy (CEP) is proposing several policy changes and amendments to regulations, and CEP and the Committee on Courses of Instruction are jointly proposing a bylaw amendment. The proposed legislation is available on pages 165-187 of the CALL. The Committee on the Library and Scholarly Communication also has included a report on journal subscriptions.

We also look forward to reports from the Student Union Assembly (SUA) and Graduate Student Association (GSA), both of whom have indicated they will be joining us.

Thank you for your time. I hope to see you on December 5.

Kim Lau, Chair



Academic Senate  
Santa Cruz, Division

**SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES**  
**May 16, 2018 Senate Meeting**

The draft minutes from the May 16, 2018 Senate meeting were distributed via email on August 27, 2018 and will be presented for approval at the Senate Meeting on December 5, 2018. 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, Tuesday, December 4, 2018**. They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to [senate@ucsc.edu](mailto:senate@ucsc.edu).

Heather Shearer, Secretary  
Academic Senate  
Santa Cruz Division

August 27, 2018

**Committee on Academic Freedom  
Annual Report, 2017 - 18**

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) met periodically across the academic year as issues arose for discussion and review. This year the committee reviewed policy changes locally and systemwide and consulted with the administration about free speech and the campus climate in the age of social media.

**Committee Issues:**

**Free Assembly/Free Speech Incidents on Campus**

CAF consulted with the Senate Chair and Vice Chair on concerns about how the University handles protests of student-initiated activities on campus, with an aftermath that may not be immediately visible to University administrators. In particular, while the University administration has procedures for disciplining students who engage in “heckler’s veto” activities, it has no position on the use of social media to publicize and criticize protesters. In a recent campus incident, a video of a student protest was posted online, and at least one student, while being subject to disciplinary measures for participation in a protest, also became a target of subsequent online attacks and threats (doxing). While the University cannot be expected to regulate online activity in the way it regulates on-campus actions, particularly if such activity does not make use of campus email and online access, such activity does affect the campus environment and potentially the safety of students and other community members. The Senate Leadership recommended meeting with the Chancellor and the Campus Provost and Executive Vice Chancellor (CP/EVC), which led to a subsequent meeting with the Vice Provost of Student Success (VPSS) Padgett and Assistant Vice Chancellor and Chief of Staff (AVC/CS) Lucy Rojas. CAF members discussed concerns about the student judicial process, parameters for disciplining protestors, and the need for campus policy to take account of new factors in the online and broader national environment. After discussion, VPSS Padgett recommended gathering data requested by CAF and meeting with the committee again in fall quarter. Student Success will work with the Judicial Office staff to conduct a survey on demographics of students who have been subject to the judicial process. They will work with the Chancellor’s Office to create guidelines around free speech events, doxing, and resources available to students when such events do happen on campus.

At the systemwide level, these issues are causing concern as well. On April 3, 2018, the University Committee on Academic Freedom (UCAF) issued a memo for the Academic Council responding to a UC Student Association letter about free speech and hate speech. The UCAF letter read, in part, “UCAF agrees that hateful speech can cause real harm to communities, and to individuals and groups within them, particularly when it is amplified by social media. We also agree that UC campus administrations, in their role as stewards of entire university communities, have an obligation to condemn in explicit terms any hateful speech expressed on campus. Our Principles of Community demand no less.”

“UCAF also reaffirms its support for constitutionally protected freedom of speech and academic freedom. Efforts to ensure that the “Heckler’s Veto” does not hinder the open exchange of ideas on campus are critical to both free speech and academic freedom...

“Those who would exclude or ridicule members of the university community based on race, religion, gender, or any other identity category, and those who stigmatize the scientific methods and the humanistic modes of inquiry on which the educational enterprise depends, are not in sympathy with the purpose of the university. Their views cannot be banned, as hateful speech is generally protected speech under the First Amendment, but neither can they go unchallenged.”<sup>1</sup>

UCAF also investigated whether individual campuses have been affected by recently announced screening policies for discretionary grants instituted by federal funding agencies.

### **SAP: Strategic Academic Plan**

Senate committees were requested to review documentation for the draft Strategic Academic Plan. The process had several steps for Senate review and consideration.

The first Senate response was to consider “new ways to generate resources” as part of the strategic academic planning process. The Committee on Academic Freedom appreciated the acknowledgement that “not all units are equally well placed to generate new resources. The study of resource generation is expressly not designed to separate out or privilege those units that have a greater likelihood of generating resources.” CAF commented on December 13, 2017, “We want to reaffirm the importance of this statement as vital to the protection and promotion of academic freedom. Further, even within units that have ‘a greater likelihood of generating resources,’ there is reason to be concerned about the extent to which the pursuit of funding drives our research and teaching agendas, a question that already has been raised several times this year both on our campus committee and at UCAF. The question of resource generation is certainly an important one for the University, but CAF encourages all participants in the strategic planning process to be attentive to the potential academic freedom implications of both the question itself and the various possible responses to this question.”

CAF also responded to requests for feedback about the “SAP Landscape Analysis,” expressing reservations about the timing of the campus survey on which it was based and the substance and form of the resulting analysis. Subsequently, CAF participated in the review of *Themed Academic Working Groups (TAWG)* proposals submitted by faculty, again expressing concerns about timing, the difficulties of ranking a wide variety of incommensurable proposals, and the need for the campus to invest in broad thematic areas rather than specific project. On May 21, 2018, CAF wrote:

“We hope that one outcome of the SAP process will be the creation of a more robust and well-attuned development operation that can actively connect projects and potential sources of funding. In the absence of that kind of support, collecting votes and deciding priorities in this manner may give the superficial appearance of democratic and wide-ranging consultation by “stakeholders,” but it is unlikely to fully build on the areas of strength that have surfaced in the TAWG process.

“Finally, we offer an observation about how this process relates to the question of academic freedom. Most of our attention to academic freedom falls into the category of ‘freedom from’—

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<sup>1</sup> [https://senate.universityofcalifornia.edu/\\_files/reports/SNW-UCSA-UCAF-Freedom-of-Speech-and-Hate-Speech.pdf](https://senate.universityofcalifornia.edu/_files/reports/SNW-UCSA-UCAF-Freedom-of-Speech-and-Hate-Speech.pdf)

interference, suppression, threats, distortions in the national funding apparatus because of a priori political exclusions, and so forth. We spend very little time on ‘freedom to’—the creation of a supportive environment for the conceptualizing and growth of the widest possible range of significant research and inquiry. We need to remember that proposed changes in the funding structure of our campus will also affect students’ freedom to learn, leaving behind students invested in learning about and contributing to fields that are not prioritized. At a moment when the effects of long-term decline in public university funding are evident, it is more important than ever that we continue to ask, ‘What kind of university do we want?’ and to do everything we can to bring that university into being.”

### **Other Issues**

CAF, along with other Senate committees, was also asked to respond to a number of other issues campuswide, including the Taskforce Report on the Negotiated Salary Trial Program (NSTP) extension, the Second Systemwide Review of Proposed Revised Academic Personnel Manual (APM) - 285, 210-3, 133, and 740 (policy revision for the current LSOE faculty title series clarifying their roles for teaching, scholarly activity and service), and the proposed amendment to Senate Bylaw 128, which has a new section governing conflicts of interest. Details of the committee’s discussions are in the meeting notes, which may be made available upon request. In CAF’s review of the Proposed Presidential Policy on Open Access for Theses and Dissertations, members raised concerns about the proposed policy taking insufficient account of academic practice in the non-STEM disciplines. CAF recommended that the policy be adjusted with respect to the length of time that an author can easily embargo a work, specifically to make requesting a five-year embargo an easy default option.

Finally, at the request of Committee on Educational Policy (CEP) and Committee on Courses of Instruction (CCI), CAF reviewed a policy responding to changes in a course structure that barred the student from the class after one assignment. It is CAF’s understanding that CEP subsequently decided to form a sub-committee to review grading procedures and will invite CAF to review the final outcome.

### **Website Link and Article Updating**

Members reviewed and updated the information and resources on the CAF website<sup>2</sup> and plan to continue with this work next year. CAF will send out an announcement in fall quarter on resources developed for the website during this year.

Respectfully submitted;  
COMMITTEE ON ACADEMIC FREEDOM  
Gabriel Elkaim  
Tanya Merchant  
Jessica Taft  
Jonathan Zehr  
Gail Hershatter, Chair

Robin King, NSTF  
Veronika Zablotsky, Graduate Representative

August 22, 2018

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<sup>2</sup> <https://senate.ucsc.edu/committees/caf-committee-on-academic-freedom/index.resources.html>

## **Committee on Admissions and Financial Aid 2017-18 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 (2017) admissions cycle and adapting its consistent priorities to changing circumstances in shaping the class entering in fall 2018. 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 2017-18**

#### **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'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 underrepresented groups that have a strong representation in our state but tend to not reach a "critical mass" that we would like to see on our campus. During 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), and first generation college student status, among others. After deliberating over the scenarios and their hypothetical outcomes for the incoming cohort, 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.

##### ***2. Transfer students and "2:1"***

Last year a requirement was established by the Governor and University of California Office of the President (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 withheld from the University of California system

until recommendations from a 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.

In response to 2:1, CAFA, in conjunction with the division of Undergraduate Education (UE) and the Committee for Educational Policy (CEP), worked to create admissions requirements to ensure that the entering transfer students understood the requirements necessary for transfer and that they were adequately prepared for the rigors of study at UCSC. In Section III the data relating to transfer admissions is detailed and UCSC did take a substantial step in achieving the goal of 2:1.

CAFA and CEP co-drafted correspondence to Professor Henry Sanchez, Chair, Board of Admissions and Relations with Schools (BOARS) regarding a proposed policy brought to BOARS by UCOP that would require every UC undergraduate major program to provide a minimum of two years advance notice before implementing any change to major prerequisite course requirements for junior transfer admission. The joint letter addressed concerns of the two committees in pertinent part, "we believe that it would be best for BOARS to state the principle that community college students should have adequate time to enroll in their required classes which, depending on the prerequisite change, may mean a two-year advance notice, and leave it to local committees on each campus to determine when such a longer advance notice period would be appropriate." While CAFA and CEP were concerned over the possibility of this becoming a mandated policy, BOARS later provided clarification that it was only a suggested practice.

### ***3. Nonresident Admissions***

In May of 2017, 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 — were 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. UCSC recognizes that nonresident students enhance the intellectual and cultural experiences for the entire campus. In 2017-2018 CAFA, CEP, and the Committee for International Education (CIE) worked closely to strengthen and expand our global profile through the International Visitors and UCSC Exchange Programs, a project that was spearheaded by UE. As a result of our collaborative efforts, the International Visitors and UCSC Exchange will allow strong students, as indicated by their TOEFL, GPA, and positive applicant reviews, from approved institutes, to enroll at UCSC. This program will allow students to enroll for up to a full year. The program is capped at 30 students. Members of CAFA feel that this program will help enhance the student experience on campus and allow the reputation of UCSC to grow globally.

### *a. Compare Favorably*

Adopted in 2011, BOARS' Compare Favorably policy requires nonresident domestic and international students admitted to a UC campus to be at least as qualified, on average, as California residents admitted to the same campus. The policy was designed to align with the UC Board of Regents' changes to its undergraduate student eligibility and admissions policy in 2009 and to ensure that each campus adhered to the Compare Favorably policy.<sup>1</sup>

In October 2017, the Governor signed Assembly Bill 1674<sup>2</sup> which requires UC to ensure "the academic qualifications of resident undergraduate students admitted at each campus." AB 1674 bears directly on the issue of Compare Favorably which has been the subject of increased scrutiny on the part of the Governor and Legislature in recent years. As part of its annual calendar, CAFA provides a report on the status of Compare Favorably at UCSC.

CAFA continued in its use of a local policy referred to as "common floor" implemented in the last cycle. Under this policy, no out-of-state student is admitted who could not have been admitted as a California resident -- there is a common floor on the Student Success Indicator (which, like UC Academic Index, is a combination of SAT/ACT test scores and GPA) for students in all residency categories. For purposes of making sure that all admitted students are prepared for success, UCSC puts more weight on the common floor as it minimizes the variance in student preparedness than simply comparing the averages.

### *4. Early Consideration*

In May of 2017, CAFA approved an early notification policy for the campus that went into effect fall of 2017. Under the policy, early notification is reserved for specific individuals targeted for recruitment by specific parties such as head coaches for each athletic team, department chairs, directors of musical groups, within the selection criteria parameters established by the committee. Recruiters submit a list of student names, their reason for recruitment, and any correspondence with the prospective student to UE. For the fall of 2018, a total of 88 students were nominated. Of the 88, 77 students were admitted under the policy with HR scores 1-4.

During the 2017 cycle, the process yielded valuable information regarding recruiters' understanding of the early notification policy. It has become clear to CAFA that the nomenclature of the policy may be misleading to our recruiters. Specifically, CAFA decided that "Early Consideration" is more in line with the goals of the program and is preferable as "consideration" removes any suggestion that spots were being "reserved" for specific students or that admission to the university was guaranteed. This was never the intent as the policy was established to allow nominating units to put forth names of students they had identified as exceptional through direct recruitment or other means. These students are subject to the same review process as all other students, the main difference being their applications are reviewed earlier for consideration for admission under the criteria established by CAFA. Early consideration provides talented students who are sometimes being recruited by multiple

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<sup>1</sup> [https://senate.universityofcalifornia.edu/\\_files/committees/boars/Compare-Favorably-Report-to-President-July-2017.pdf](https://senate.universityofcalifornia.edu/_files/committees/boars/Compare-Favorably-Report-to-President-July-2017.pdf)

<sup>2</sup> [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201720180AB1674](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1674)

universities with the information they need to make their college decisions early-on and allows UCSC to show their committed interest in these prospective students. CAFA also established that, at least for the first few years of implementation, reminders will be sent to each Division to reiterate the fact that Early Consideration is equally available across all University disciplines. Members of CAFA emphasize that Early Consideration is a campus wide policy.

### ***5. Computer Science Department Designation as Impacted Major***

Late in the 2016-17 academic year, Computer Science (CS) submitted a request that they be designated as an impacted major pursuant to the newly implemented process submitted for Senate review earlier in that same year. The admissions data in this report revealed a startling rate of growth in the Computer Science program at UCSC, especially compared to large and small CS programs across the nation. While the interest in CS is positive, the main concern is compromising the quality of education for our incoming and current students due to lack of resources, larger class sizes, and increase in course demands which cannot be met. During the fall quarter CAFA, CEP and UE met to discuss what could be done to alleviate the stress being placed on CS due to over enrollment in the major. The short timeframe put constraints on the level of detail that could be used to control admission and ultimately enrollment into the CS major. It was decided that preliminary tools could be utilized at the outset that could evolve into permanent processes. CAFA, CEP, and UE agreed to use the Computer Science Index (CSI) which was a combination of high school GPA and Math SAT score as a first pass at limiting the number of qualified applicants who were interested in pursuing a CS major. Overall, the incoming fall 2018 cohort is academically very strong. CS should have students that can meet the rigors of the CS requirements, especially since all potential CS students were also evaluated based on the CS metric as outlined above.

According to our data for the proposed SIRs and accounting for transfer students enrolling in CS, and preventing lateral entry into the major, CS should have below 600 students which is the carrying capacity noted in the impaction request.

## **B. Subcommittee Efforts**

### ***1. Appeals Subcommittee***

The appeals subcommittee worked closely with UE, Enrollment Management, and Admissions to streamline the appeals requirements for students who were denied admission to UCSC or whose admissions were cancelled due to a variety of circumstances such as poor grades during their senior year that did not reflect their previous performance as evaluated on their college applications; not corresponding with admissions about a change in their reported coursework; not providing the necessary documentation for completing coursework at different institutes; among the many other reasons for cancellation. This year, all appeals were submitted online and clear guidelines for the appeal were provided on the admissions website. Students were asked to explain the reason for their appeal in 500 words and supporting documentation was welcome. The members of CAFA's Appeals Subcommittee also served on the Cancellation Appeals Review Committee (CARC) along with the Interim Director of Admissions and the Associate Vice Chancellor of Enrollment Management. CARC began reviewing appeals in June and will

likely continue into September. As decisions are made, notifications to students are made by MyUCSC portal and by email.

## ***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. The Data Subcommittee which was comprised of two CAFA members, met with the VPDUE, Interim Director of Admissions, and AVCEM throughout the academic year. Many issues related at these meetings were brought up with all CAFA members at the following CAFA meeting.

## ***3. College Scholars Subcommittee***

The College Scholars Subcommittee worked with the parallel subcommittee of CEP to draft a report that summarizes the history and scope of the successful College Scholars Program (CSP) as well as provide recommendations focused on its longer term future (included below).

- Solicit information about student experience: Work with Institutional Research, Assessment, and Policy Studies (IRAPS) to design a survey for students who participated in CSP 2016-17 and 2017-18 in order to understand the ways in which the program enriches the academic experience for participating students and to solicit thoughts on what improvements could be made.
- Expand fall-start CSP to all colleges: While all ten colleges participate in spring-start CSP, only four colleges participate in fall-start CSP. We recommend that students at all colleges be given access to both fall- and spring-start CSP and that the campus commit the resources needed to do so. This alleviates the conflict created for students who wish to be in CSP but also have a strong affinity for one of the colleges that does not participate in fall-start. Expanding CSP in this way requires a commitment from the campus to admit about 200 to 300 students into CSP each year, which ensures a critical mass in each college.
- Encourage and stabilize faculty participation in CSP: In order to succeed in the long term, CSP must become a campus priority. Optimally, divisional deans and/or the EVC would provide funding for a small number of faculty to teach courses in the CSP curriculum. The program has never been hard-funded, and has mostly relied on the goodwill of faculty who believe in the program and the availability of soft-funding in UE and the participating colleges.
- Dedicate space to CSP: We recommend that CSP be allocated space in the renovated Science and Engineering Library (approximately 500 sq. ft.), for use as a central place to study, congregate, socialize and participate in CSP activities during certain hours of the week. A dedicated space would make it possible for CSP students across different years to interact with each other, broadening and diversifying the community; provide peer mentoring; and organize events (such as lectures and symposia). A dedicated space

would also expand the reach of CSP beyond the fourth quarter of the program (when official CSP activities terminate) and have an impact on each participant's development through graduation. With a central location in the S&E Library, many senior CSP participants would be well-positioned and well-suited to participate in any tutoring (e.g. MSI) and peer mentoring activities that take place in the new library space.

## **II. ISSUES FOR THE NEAR FUTURE**

### **A. Transfer and 2:1**

In 2017-18, the President of the University of California, Janet Napolitano, convened a Transfer Pathway Task force which drafted a two proposals: 1) a proposal for a guaranteed admission pilot via Associate Degrees for Transfer in chemistry and physics, and 2) a proposal for a systemwide transfer admission guarantee. On April 6, 2018, the Board on Admissions and Relations with Schools (BOARS) and began to address the recommendations of the Transfer Taskforce and a memorandum of understanding between California Community Colleges and the University of California in regards to UC Systemwide Transfer Guarantee, writing, "BOARS will develop revised policy to Academic Senate Regulations Part II Admissions Title I Academic Colleges Article 1 General Provisions 476 (SR 476) to start the implementation in the fall 2019 of entering California Community College students." This was relayed to the Academic Council in correspondence dated April 23, 2018. The Academic Council reviewed the proposals on April 25, 2018 and drafted a memorandum to President Napolitano indicating the Academic Senate's expectation that policy would "be implemented to guide the fall 2019 entering California Community College students." It is CAFA's expectation that Academic Council (advised by BOARS) and subsequently the admissions committees of the 10 campuses will have the final say on what is ultimately implemented as admissions policy, consistent with Standing Order of the Regents (SOR) 105.2 that provides, "The Academic Senate, subject to the approval of the Board, shall determine the conditions for admission."

### **B. Major Impaction**

CAFA will need to work with BSOE, Admissions, and the Computer Science Department (CS) to create processes and procedures that will allow CS and the campus to regulate the number of students that enroll into the program.

### **C. Compare Favorably**

CAFA will continue to ensure that admission of nonresident students is consistent with the overall admission goals of our campus, comprehensive review admissions policy, and the holistic review process in place at UCSC.

#### **D. International Visitor and Exchange Students**

CAFA is looking forward to assessing the International Visitor and Exchange Students program and providing an analysis of the outcomes of the exchange over the next two years.

#### **E. Early Consideration**

Our hope is that we will have smooth recruitment in this next admission cycle with Early Consideration and that the campus-wide policy may be reflected in our student diversity.

#### **F. Subcommittee Efforts**

CAFA will follow up on the subcommittee efforts such as assessment of the College Scholars program.

### **III. ADMISSIONS AND FINANCIAL AID FOR FALL 2017**

#### **A. Admissions**

A brief summary of UC Santa Cruz admissions preliminary outcome data provided by the Division of Undergraduate Education's Office of Enrollment Management is outlined below. Admissions is dynamic, and not all data, such as residency or enrollment estimates, are final.

UC Santa Cruz received 68,447 applications. Frosh applications totaled 56,634 (CA = 45,886, out of state = 3,778, and international = 6,970) and transfer applications totaled 11,813 (CA = 10,317, out of state = 214, and international = 1,282). As with last year, the campus was open for winter transfer applications in selected majors. As of the writing of this report, we have received 393 applications for winter 2019 transfer admission; with a large fall 2018 transfer class, admission for winter will be highly constrained.

UC Santa Cruz admitted 27,014 frosh for fall 2018, including 18,748 California, 3,003 out of state and 5,263 international. The frosh admission rate was 47.7%. The average high school GPA of admitted frosh was 3.93 (on a 4.4 weighted scale), a 1% increase from fall 2017. The average SAT score taken under the new test system is 1322, a 3.6% increase. To manage the newly-established Computer Science capacity constraint, we administered a separate selection process for students interested in Computer Science. We used waitlist and referral pool strategies to manage enrollment outcomes within an ever-changing environment.

UC Santa Cruz admitted 7,987 sophomore and junior transfer students, including 7,072 California, 65 out of state and 850 international. The admission rate for all transfers was 67.6%. The total number of admits increased by 32.8% from last year, while the California admits increased by 50.2%. Admitted sophomore transfer applicants met the same course requirements and (where applicable) major preparation requirements as junior transfer students, but had fewer than 90 units for transfer.

Frosh Statements of Intent to Register (SIRs) total 4,238, including 3,364 California, 252 out of state and 622 international students. California SIRs from students identifying as African American reached 5.4%, increasing from 5.0% in fall 2017 and 4.1% in fall 2016; Hispanic/Latino reached 26.5%, slightly decreasing from 29.0% in fall 2017 and 26.7% in fall 2016. There were 458 students from high-need Local Control Funding Formula Augmented (LCFF+) schools who accepted our offer of admission, representing 13.6% of the California SIRs, compared to 11.8% last year.

Transfer SIRs total 2,410, including 2,224 California, 24 out of state and 162 international students. California SIRs from students identifying as African American reached 5.5%, slightly decreasing from 5.9% in fall 2017 and 5.0% in fall 2016; Hispanic/Latino reached 33.2%, increasing from 31.4% in fall 2017 and 31.0% in fall 2016. To make progress on the state mandate to enroll one new California transfer student for every two new California frosh, commonly referred to as 2:1, close collaboration among Admissions, EM, UE, CAFA, CEP, programs, disciplinary divisions, and Planning and Budget helped to maximize transfer admission offers to qualified transfer applicants. We expect to achieve 1.8:1 this year as a result of this comprehensive collaboration.

UC Office of the President is adjusting enrollment allocations in favor of campuses (such as Santa Cruz) that exceeded their transfer enrollment minima.

## **B. Financial Aid and Scholarships**

In 2017-18, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 13,117 undergraduate students (75% of undergraduate population) and 1,688 graduate students (90% of graduate population). The types of aid provided included grants, scholarships, fellowships, loans and/or work-study assistance.

### ***1. Award Program Updates***

2017-18 is the first year for the Year-Round-Pell, a revision of a short-lived 2009-2011 program. While the Year-Round-Pell program does not increase lifetime eligibility for the Pell award (18-quarters), it does allow students to use 4 quarters of Pell aid per year rather than the previous limit of 3 quarters per year. As a result of this program, 1,224 Pell students enrolled in the 2018 summer term received an average of \$1,394 each, with a maximum award amount of \$1,973, totaling \$1.7M.

2017-18 is the first year of a two-year program, the Transfer Transition Scholarship. With \$1.25M funding from a one-time UCOP Housing initiative, entering transfer students were eligible to apply for \$1,200 in scholarship aid, all disbursed in the fall term, supporting the start-up housing costs associated with the transition to UC Santa Cruz. There were 879 students who completed the application for the scholarship, with 422 of those students now having SIR'd for fall 2018.

2017-18 was the first year for the re-established University Loan Program, which had been dormant since 1999. This program is intended to provide partial replacement of the Federal Perkins Loan program, which was discontinued in June 2018. In fall 2017, eligible entering Frosh were offered \$1,200 each to cover the gap created by the absence of Perkins. There were 810 students who accepted University Loans during the 2017-18 year, with \$952,553 loans disbursed.

2017-18 was the third year of awards for the state Middle Class Scholarship program, and the first year in which the program was fully funded. This program is similar to the UC Blue & Gold Opportunity plan, providing up to 40% of tuition and fees for families with earnings under \$100,000 a year and 10% for families earning under \$165,000 and having no more than \$165,000 in assets (excluding primary residence). In 2017-18, the campus had 776 students receive an average award of \$2,891, with a total disbursed amount of \$2.24M.

2017-18 was the third year of eligibility for the 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 participate in the program. In 2017-18, a total of \$367,240 was loaned to 152 students, an average of \$2,416 per student.

## ***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. This UCOP committee meets quarterly regarding issues that affect the determination of the Cost-of-Attendance and the cross-campus allocation of aid funds.

When tuition and campus fees are combined with other elements of the student budget, such as housing/dining and health care, the average cost for a UC Santa Cruz CA resident student living on campus in 2018-19 will be \$36,396. Non-residents will have an additional \$28,992 tuition charges, bringing the non-resident on-campus budget to \$65,388. Under EFM, 2018-19 UC Santa Cruz undergraduates who qualify for need-based assistance must pay approximately the first \$9,840 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 2017-18 the Financial Aid and Scholarship Office administered \$290 million in financial assistance to about 75% of our undergraduates, as compared to \$278 million / 78% in 2016-17.

2017-18 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	69.2%	\$ 209,430,548	\$ 17,209
UCSC Scholarships*	15.5%	\$ 9,220,613	\$ 3,389
Federal Pell Grants*	38.7%	\$ 32,565,791	\$ 4,791
Student/Parent Loans	46.6%	\$ 77,236,947	\$ 9,439
Federal Work-Study	8.5%	\$ 2,812,012	\$ 1,875
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor’s degrees in 2016-17, 64% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$22,804. 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 (<http://projectonstudentdebt.org/>). National Data for students graduating in 2017 is not yet available.

Each year, the U.S. Department of Education calculates cohort default rates for loans by campus. The national 3-Year average was 11.5% for 2014 (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
2011	5.6%	5.7%
2012	3.5%	3.4%
2013	3.1%	3.1%
2014	3.1%	3.1%
2015	3.6%	Not Yet Available

Campus undergraduate scholarship programs are administered by various campus departments as well as by the Financial Aid and Scholarship Office. Listed below are data for major scholarship programs administered by the Financial Aid and Scholarship Office:

<b>2017-18 Scholarship Program</b>	<b>Recipients</b>	<b>Amount Received</b>	<b>Average Award</b>
<b>Regents Scholarships</b>	<b>123</b>	<b>\$ 605,668</b>	<b>\$4,924</b>
<b>Campus Merit Scholarships</b>	<b>247</b>	<b>\$ 316,927</b>	<b>\$1,283</b>
<b>Pister Leadership Opportunity Awards</b>	<b>21</b>	<b>\$ 175,464</b>	<b>\$8,355</b>

The Office of the President's website<sup>3</sup> maintains numerous reports regarding student financial support.

### **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, 2018

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<sup>3</sup> <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 2017-18 Annual Report**

To: Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) undertakes studies of policies and practices regarding affirmative action, diversity, and equity, makes recommendations to appropriate campus bodies, and regularly confers with other administrative units and Senate committees about a broad range of issues related to diversity, equity, and inclusion.

### **I. ISSUES CAAD ADDRESSED IN 2017-18**

#### **Guidelines for Diversity Statements**

The University of California Academic Personnel Manual policy governing faculty appointment and advancement (APM 210) was amended effective July 2005 so that faculty contributions to diversity would receive recognition and reward in the academic personnel process. Similarly, candidates for waivers of open recruitment through Target of Excellence (TOE) hires are obliged to write such statements, and it is CAAD's responsibility to review them. Additionally, trial programs have been implemented on our campus and others in the UC to use such statements for candidates at the point of hire. While University policy states that a candidate's identity, including race or gender, may not be considered in selection for student or faculty appointments, the University also recognizes that to attract excellent faculty who will contribute to the University's diversity imperative, written statements articulating this contribution are vital.

Yet, as CAAD has long noted, such statements can vary widely and can be difficult to evaluate—whether by CAAD or at other points in the review process. Thus, over the last three years, beginning during Ingrid Parker's tenure as chair and in consultation with Vice Provost of Academic Affairs (VPAA) Herbie Lee and the Academic Personnel Office (APO), CAAD has been working on drafting guidelines to help applicants, deans and department chairs in writing and evaluating such statements. Initially these guidelines were aimed at those writing statements for TOE hires. This past year, given the potential expansion in the use of such statements, CAAD expanded the guidelines to apply to all such statements.

Within these guidelines, CAAD developed a framework that encourages statement writers and readers to consider the range of contributions to diversity faculty might have in their teaching, service, research, and outside activities. In addition, CAAD encouraged candidates to contextualize the significance of these contributions by articulating the particular diversity issues in academia and/or in a candidate's field. The finalized version is available on the CAAD website.<sup>1</sup>

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<sup>1</sup> <https://senate.ucsc.edu/committees/caad-committee-on-affirmative-action-and-diversity/DivStateGuidelines.pdf>

### **Student Evaluations of Teaching (SET)**

For the last two years CAAD has been conducting research and compiling an annotated bibliography on the issue of bias in student evaluations of teaching (SETs). This past year, CAAD collaborated with the Center for Innovation in Teaching and Learning (CITL), the Committee on Teaching (COT), and the Committee on Academic Personnel (CAP) in thinking through how to change the culture of student evaluations of teaching (SETs) on campus—with CAAD’s primary goal being to reduce incidents of bias in SETs, as well as help our campus and faculty recognize and know what to do when it occurs.

The result of this collaboration was the writing of a white paper co-authored by CAAD, CITL, and COT, providing guidance on best practices for designing and using SETs. CAAD contributed the first two pages of the document, discussing the questions, “How do we know there’s bias in SETs?”, “How can we identify bias in our own SETs, or SETs we review?”, and “What should we do if we find bias?” CAAD also contributed to the joint section, “What can we do to prevent bias?” This white paper will be distributed to the campus this coming fall.<sup>2</sup>

### **Addressing Care-related Inequities: Back up Care and Research Travel Childcare Coverage**

In consultation with the Resource Group for Academic Mothers (RGAM), a new campus-based initiative launched by faculty in 2017, and in collaboration with the Committee on Faculty Welfare (CFW), CAAD became increasingly interested this year in confronting issues of care-related inequities in academia and on our campus. Our interest stemmed from research CAAD read on the stubbornly disproportionate role of women amongst domestic caregivers—including primarily for children, but also for adults and parents—and thus the disparate impact that the lack of support for such care has on women’s academic careers.

First, CAAD and the Committee for Faculty Welfare (CFW) wrote a joint letter in support of a proposal to bring a "back-up care" program to our campus. Back-up care exists to support faculty members in the common and onerous situation when they need to be at work and their regular child, adult, or elder-care is unavailable. (Even pet-care is available in some cases). Back-up care exists on campuses across the country, as well as on other campuses in the UC system, with programs typically making available a given number of days or hours for faculty caregivers to use annually. With active discussions surrounding the new campus-day care facility now in progress, CAAD argued that the time is ripe to consider a program that reaches a broader swath of UCSC faculty caregivers. Such a program would be an important institutional program to support, retain, and recruit diverse faculty members on our campus.

In addition, following up on concerns raised by RGAM, CAAD sought to research and address an apparent policy change that prevents faculty from claiming coverage for childcare as part of their allowable UC-funded conference travel. CAAD wrote a letter framing this as an issue of diversity and equity, and detailing its disparate impacts for faculty parents, and especially for women faculty, including anecdotes from members of RGAM. Ultimately, CAAD brought this

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<sup>2</sup> <https://citl.ucsc.edu/teaching-resources/documenting-teaching/>

letter to the University Committee on Affirmative Action, Diversity, and Equity (UCAADE), as this is a system-wide funding issue (see below for UCAADE discussion).

### **Mentoring the Mentors**

As a new initiative for 2017-18, CAAD brainstormed on a topic referred to as "Mentoring the Mentors," or, how to help graduate mentors address diversity and equity-related issues with their mentees. CAAD observed that much of the diversity and equity related programming related to pedagogy and advising, on our campus and more broadly, is aimed primarily at undergraduates. While CAAD applauded these efforts, CAAD was mindful of the fact that diversity and equity issues enter the graduate mentoring relationship in a variety of significant and complex ways, and can result in challenges for graduate students in our programs, and that graduate mentors at all stages (from assistant to full professor) could benefit from some guidance and support in these areas.

Just as an example, a few areas CAAD discussed include:

- Mentors may not be familiar with diversity-related issues students face—from juggling dissertation writing with being a new mother, to facing discrimination as a TA because of an accent, to feeling alienated in a program in which they are the only member of their racial or ethnic group.
- Mentors may want to help prepare students entering fields or academic settings where diversity and equity remain issues.
- And at a time when Contributions to Diversity statements are increasingly expected on applications for academic jobs, mentors may want to advise students on what may constitute such contributions.

As a follow up, CAAD met in two meetings with CITL Director Jody Greene, Committee on Teaching (COT) Chair Matt McCarthy, Graduate Council (GC) Chair Gina Dent, VPAA Herbie Lee, and Associate VPAA Martin Berger to discuss this issue. One of the main next steps that emerged was for CAAD to support and contribute to curriculum that CITL is developing on this issue, and that will be offered in the coming year in department-specific trainings.

### **Chancellor's Postdoctoral Award Program**

CAAD and UCAADE view both the President's and Chancellor's Postdoctoral Programs as two of the most important programs available in the UC to advance academic excellence and diversity through the mentoring, support, and especially, hiring of post-doctoral fellows in the President's Postdoctoral Fellowship Program (PPFP) and Chancellor's Postdoctoral Fellowship Program (CPFP) pools. However, while the former exists on all campuses and across fields, the latter is far less wide-spread. On our own campus, the CPFP has only begun to be supported in the last two years; is used to a negligible extent, supporting approximately one fellow per year in that time; and to date only supported fellows in the science, technology, engineering, and mathematics (STEM) fields. CAAD sought to understand why the program is so little understood and utilized on our campus, particularly outside of STEM fields, and what might be done to rectify this. CAAD was particularly interested in more sustainable and equitable models on other campuses. Thus, CAAD consulted with VPAA Lee and CAAD chairs on different campuses.

According to our preliminary research, the relative lack of CPDs as compared to PPDs is due to their lower level of compensation from the UC, as well as the requirement that local campuses find their own funding sources to support fellows' full salaries. Some campuses (e.g. UC Davis) have established centralized programs to support eligible Chancellor's fellows, and have relatively robust programs across fields and divisions, including the humanities, arts, and humanistic social sciences. Others have left it to the divisions to fund, which has led to less funding for Chancellors overall, as well as de-facto concentration of those fellows who are hired in STEM fields, where lab-based faculty have disposable funds to hire post-docs--precisely what CAAD saw on our campus. CAAD supports continuing to discuss how it might be possible to overcome the current funding limitations of this program on our campus, and thus realize its great potential for enhancing diversity and excellence across all fields and divisions at UC Santa Cruz.

## **II. ISSUES, POLICIES, AND PROGRAMS WITH DIVERSITY IMPLICATIONS REVIEWED BY CAAD IN 2017-18**

### **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*

- Proposed Revisions to Academic Personnel Manual - Lecturer with Security of Employment Series subsection 285 and subsections 210-3, 133, 740, 135, and 235
- Proposed Revisions to Senate Bylaw 128 - Conflict of Interest
- Draft Revised Presidential Policy on Supplement to Military Pay - Four-Year Renewal
- Draft Revised Presidential Policy on Disclosure of Financial Interests and Management of Conflicts of Interest in Private Sponsors of Research and proposed revised APM - 028, Disclosure of Financial Interest in Private Sponsors of Research

#### *Divisional*

- Intellectual Property (IP) Campus Policies Proposal
- Proposed Campus Plan to Achieve 2:1
- Draft Campus Policy on Conflict of Interest Related to Consensual Relationships
- Revised Campus Impaction Policy
- Computer Science Department Request for Impacted Status
- Proposal for Centers of Excellence (CoE) Startup Program
- Graduate Growth Initiatives
- Strategic Academic Planning: Phase I and Phase II
- Data for Student Success Proposal
- Salaries for Further Above Scale Merits

CAAD also reviewed four (4) waiver of open recruitment proposals (Target of Excellence and Spousal/Domestic Partner proposals).

### **III. CONSULTATIONS**

#### **Vice Provost of Academic Affairs Herbie Lee - November 27, 2017 and February 26, 2018**

On November 27, VPAA Herbie Lee and CAAD discussed diversity statements and their use in waivers of open recruitment, merit increase, and standard ladder rank hiring processes.

On February 26, CAAD invited VPAA Lee, CITL Director Greene, and COT Chair McCarthy to explore the possibility of drafting a white paper on the use of SETs. Also discussed was the possibility of having a Faculty Equity Advisor on campus.<sup>3</sup>

### **IV. CAAD ON SYSTEMWIDE AND ADMINISTRATIVE COMMITTEES**

#### **Chancellor's Diversity Advisory Council (CDAC)**

Undergraduate student representative for CAAD, Katherine Le, sat on a student panel/Q&A session in the Winter CDAC meeting in order to address concerns about how to better serve the diverse UCSC student community. Students answered questions regarding campus climate, projects and initiatives they have been involved in, as well as how CDAC can support students to foster a healthier campus climate.

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

The main agenda items for UCAADE in which CAAD was involved included:

##### System-wide Diversity Statement Guidelines

Chair Greenberg presented CAAD's guidelines, described above, at UCAADE in fall. Following this, she chaired a subcommittee winter quarter that coordinated an effort to consolidate the contributions to diversity statement guideline documents developed on other campuses, including those that use them as a rubric for review and evaluation of candidates. After creating a document listing all such guidelines and rubrics, the subcommittee began to analyze distinctions among them, sharing this with UCAADE in spring. Based on this work, UCAADE plans to devise preliminary guidelines to propose system-wide.

##### Review of policy barring childcare from travel grants

In consultation with RGAM, CAAD wrote a letter framing the issue of lack of UC compensation for childcare expenses during conference travel as one of diversity and equity. UCAADE chose to take this matter up and put it on its April 19 agenda, where it was discussed with Pamela Peterson and Susan Carlson from UC-wide Academic Personnel. They shared some relevant history: the policy to enable childcare to be an allowable travel expense went through the senate approval process in 2017, and was approved by President Napolitano (which it would need to be

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<sup>3</sup> Jody Greene, Director, Center for Innovations in Teaching and Learning - November 13, 2017 and February 26, 2018

to become system-wide policy) but then, late last year, it was inexplicably pulled. Susan Carlson suspected this may have had to do with the UC audit, when everything on Napolitano's desk was put on hold. She recommended that UCAADE write a letter to UC-wide Academic Council, and then from the AC to Napolitano, to get this off the ground again and finalize the approval. UCAADE did so, sending an edited version of the letter CAAD wrote. It is our hope that this matter will be resolved early in the 2018-19 academic year.

### UCAADE Statements

UCAADE drafted several statements, which were submitted to the Academic Council. Two were authored by our committee, three others jointly with the UC Systemwide Equal Employment/Affirmative Action Officers Group (EO/AA). They include:

- Equity for faculty salaries at the University of California: Suggestions for future faculty salary equity analyses (September 28, 2017)
- The Use of Statements on Contributions to Diversity, Equity, and Inclusion for Academic Positions at the University of California, Joint Recommendations from: UC Systemwide Affirmative Action, Diversity, and Equity Academic Senate Committee (UCAADE) and UC Systemwide Equal Employment/Affirmative Action Officers Group (EO/AA) (June 15, 2018)
- Equity Advisor Programs at the University of California Joint Recommendations from: UC Systemwide Affirmative Action, Diversity, and Equity Academic Senate Committee (UCAADE) and UC Systemwide Equal Employment/Affirmative Action Officers group (EO/AA) (June 15, 2018)
- UCAADE: Enhancing Faculty Diversity in the UC System (July 17, 2018)

In terms of these statements, and research relevant to the drafting of them, CAAD spent most time in 2017-18 discussing the Faculty Equity Advisor (FEA) program. (Note: the statement on Salary Equity Studies (SES), which included best practices for producing them, was a result of research and discussion from the previous year. This will be relevant when the SES process is conducted again, potentially in 2019-20.) A review of the FEA discussion can be found below.

### Faculty Equity Advisor Program

Chair Greenberg discussed and shared relevant documents regarding the new FEA Programs on a number of campuses across the UC, including at UCLA, Berkeley, Irvine, Merced, and San Diego. Generally speaking, the goal of FEA programs is to work at the departmental or divisional level to help ensure that diversity and equity are considered in all aspects of the academic mission. This may include help with strategic planning, faculty recruitment and retention, graduate student admission and advancement, and promoting a climate of equity and inclusion. Beyond this, FEA programs vary in strategy, funding support, governance structure, and guidelines. Based on a survey of the programs, UCAADE and EO/AA identified three models for these programs:

1. **Smaller number, more concentrated, compensation, some power.** On smaller campuses, the school has three to four FEAs per school or division, each getting a stipend

(\$5000/year at Merced, \$1500 at Irvine). Their focus is on assisting the search process, divisional equity reviews, and advising Deans.

2. **Larger number, more dispersed, no compensation, little power.** On larger campuses like UC Berkeley, FEAs are in every dept. Their focus is on the hiring process.
3. **More administrative, no compensation, more power.** At UC San Diego, FEAs are Associate Deans. It's seen as part of a broader pathway to leadership.

CAAD discussed these models, and how such a program could be useful at UCSC. CAAD also raised this question with VPAA Herbie Lee during his consultation with the committee. VPAA Lee raised some concerns about how such a program would be supported on our campus and whether it would duplicate the work that he and his office, together with APO, already do to train faculty diversity liaisons on search committees. While CAAD members noted that FEAs can play a broader role, and that there might be benefits to having faculty in departments or divisions play this role, there was no consensus on whether UCSC should move forward with such a program.

### **Office of Diversity, Equity, and Inclusion (ODEI) Co-Funding Program**

CAAD helped review proposals for the Office of Diversity, Equity, and Inclusion's (ODEI) Co-Funding Program for Tier I (graduate students, staff) and Tier II (faculty) funding for diversity, inclusion and equity related programming on campus. A luncheon at which criteria were discussed kicked off the year, with Ashish Sahni, on Tuesday, Oct 3. Following this CAAD representative Grace Delgado helped review three batches of proposals once each quarter.

## **V. CO-SPONSORED EVENTS**

### **MLK Convocation**

The 34th Annual Martin Luther King Jr. Memorial Convocation featured Kimberlé Crenshaw, professor of law at UCLA and Columbia Law School on Thursday, February 8, 2018. Undergraduate representative, Katherine Le, sat on the MLK Convocation committee in order to present student feedback regarding the planning of the event. Katherine's engagement included preparing for student transportation to the venue, outreaching to the Student Union Assembly and student groups, as well as providing feedback for next year's convocation.

Respectfully submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

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Imelda Mercado, Undergraduate Representative

August 31, 2018

## **Committee on Career Advising Annual Report, 2017-18**

To: Academic Senate, Santa Cruz Division

In 2017-18, the Committee on Career Advising (CCA) managed the third year of the UCSC Faculty Mentorship Program and focused much of its attention on developing materials on mentoring, organizing events for the program participants, and making program improvements for 2018-19, including a more effective mentor-mentee matching process. With the overall goal of improving the culture of mentorship on campus, CCA also attended divisional chairs' meetings to discuss departmental and divisional faculty support, and continued a campus dialogue on mentorship and faculty wellbeing with the Campus Provost/Executive Vice Chancellor, the Vice Provost of Academic Affairs, and other campus units, Senate Committees, including the Office of Diversity, Equity, and Inclusion (ODEI), the Center for Innovations in Teaching and Learning (CITL), the Strategic Academic Plan (SAP), and the Senate Executive Committee (SEC). The following detailed report on the committee's accomplishments for 2017-18 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 campus. These two foci are closely interrelated and CCA has been guided by 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 (FMP) 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.

#### *Cross-departmental pairing of mentors and mentees*

Initially mentees were 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). Starting in 2017-18, pairing extended cross-divisionally, to further facilitate interdisciplinary collaborations between mentors and mentees who share relevant research interest. (Currently two mentors from Social Sciences work with mentees in the Humanities).

#### *Growth of the program*

When the UCSC Faculty Mentorship Program began in 2015-16, 15 mentors were paired with 47 mentees who were either junior faculty on campus for less than three years or recently hired Assistant Professors. In 2016-17 the program grew to 28 mentors and 74 mentees. These included participants from the previous year who requested to continue, in addition to new mentors and mentees. The latter included the most recent hires of not only Assistant Professors, but also Associate Professors and Teaching Professors (Lecturers with Security of Employment

or Potential Security of Employment). In 2017-18, the third year of the FMP, CCA added newly hired Full Professors to its mentee ranks (in addition to the new Assistant, Associate, and Teaching Professors joining the campus), in order to offer support to all new faculty at UCSC. The committee also reached out to existing Teaching Professors who were not integrated into the program when it first began in 2015-16, and two of them asked to be included in the FMP and were matched with faculty mentors. In addition, the program welcomed new mentees among existing faculty hired in the past years (two Assistant and one Associate Professor) who reached out to CCA and requested a cross-departmental mentor. By the end of 2017-18, the program included 44 mentors and 108 mentees.

Although all newly-hired faculty are invited to become mentees in the FMP, their participation is optional. For the first two years of the program's operation (2015-16 and 2016-17), mentors were enlisted through personal invitation by the CCA. Starting in winter 2017 (and planning ahead for the 2017-18 academic year), Senate faculty were invited to express their interest in becoming mentors for the program through the annual Senate Service Preference Survey. 102 faculty responded positively then, and after CCA reached out to them, several became FMP mentors in 2017-18. In fall 2017, 98 faculty responded positively to the annual Senate Service Preference Survey (for the 2018-19 academic year), and CCA will reach out to them during summer 2018 to secure their participation for next year. Increased mentor participation is essential for the viability of the FMP, since the program integrates several new mentees each year.

#### *Previous mentor-mentee matching process*

Based on available literature on mentoring and comments by several mentees, CCA believes that research compatibility between mentors and mentees can favorably impact their collaboration (although it is not always a main factor in successful mentoring relationships). When planning the FMP for the academic years 2017-16 and 2017-18, CCA made an effort to take into account the research interests of mentors and mentees in order to create more synergistic pairs, but the process was very time-consuming and of limited effectiveness (since it required the committee Chair to find online information on faculty research interests and then make educated guesses on how to best pair mentors and mentees).

#### *New mentor-mentee matching process*

Considering that mentor-mentee compatibility can hinge on multiple factors and can increase exponentially if mentees have some say in whom they are paired with, during 2017-18 CCA worked to develop a more effective matching process that will be first implemented in fall 2018 (for the academic year 2018-19). The process collects a wide range of data on mentors (through a survey with required and optional questions) and shares the results with mentees so that they can submit their mentoring preferences for CCA to consider in the creation of mentoring pairs. The committee hopes that the new matching process will foster fruitful collaborations between FMP mentors and mentees. A detailed description of the new matching process in all its steps is included as an appendix at the end of this report.

#### **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.

### *Social events*

The second CCA *Annual Meet and Greet Event* was held on October 18, 2017 at the University Center. The overall goal of this two-hour event is 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. CCA established and first held its Annual Meet and Greet Event in fall 2016, on the basis of feedback received from FMP participants in the 2015-16 academic year, which called for more opportunities for social interactions between mentors and mentees, especially at the beginning of the year, when several new mentoring partners are supposed to initiate their collaboration. Both times the Meet and Greet was held, event activities were structured around the concepts of storytelling and sharing common challenges, coping mechanisms and core values, but in fall 2017 some activities were omitted in order to make more time for socializing; during the second hour of that event, participants organically developed their own discussion foci on the basis of what they had discussed already (without strictly following the proposed agenda at that point), and that led to a very rich and fruitful exchange of insights and advice (for example, on how to engage students in the classroom and through assignments). In fall 2016, around 36 faculty participated out of 102 FMP mentors and mentees, while in fall 2017, around 29 faculty participated out of the 147 faculty enrolled at the FMP at that time. This drop in attendance might be due to the fact that most continuing mentors and mentees did not feel the need to participate (only around 45 faculty were new members of the FMP in fall 2017).

In future years, CCA might consider updating the agenda; potentially following what organically occurred in fall 2017, with some structured activities in the first hour and remaining faculty collectively selecting topics of discussion in the second hour. The committee could also encourage mentors and mentees to participate and contribute even if they are veterans in the program and even if their own mentoring partners are not in attendance. Socializing across mentoring cohorts can help new faculty to network with colleagues and can enrich peer-mentoring and fruitful exchange of advice during the event. CCA might also reach out to the divisions and ask them to encourage their faculty, and especially their new hires and their respective mentors to participate. This encouragement would indicate institutional support for the FMP and might prompt new faculty to take advantage of the program. This could be particularly beneficial in the Division of Physical and Biological Sciences, which had a very low mentee participation in both Meet and Greet events (1 mentee and 3 mentors in fall 2016, no mentee and at least 3 mentors in fall 2017).

During fall 2017 finals week, CCA offered an *informal meet-up* for mentors and mentees at Café Iveta, opposite the campus bookstore. Eleven mentors and mentees enjoyed having space and time to gather, ask questions and receive advice. Given that FMP participant surveys consistently indicate that faculty need time and space to socialize, it could be beneficial if CCA developed more social events in the future.

### *Topical workshops for faculty, offered by CCA*

This year CCA continued its series of lunch workshops open to all UCSC faculty (rather than just members of the FMP), each one of which focused on a different topic of interest. Panelists

included Senate colleagues and peers, as well as administrative experts. Refreshments were provided courtesy of the Office for Diversity, Equity, and Inclusion (ODEI).

The fall 2017 workshop on the topic of “Supporting Students with Academic & Personal Challenges: Campus Resources & Best Practices” was attended by fifteen participants and was led by Jody Greene, Professor in Literature and Founding Director of the Center for Innovations in Teaching and Learning (CITL). It was an interactive workshop with small group breakout sessions that gave faculty the opportunity to consider recurring challenges and ways to constructively support students in their learning.

The winter 2018 workshop was focused on the topic of “Path to Tenure: Teaching and Service” and was attended by fourteen Assistant Professors. The panelists were Carla Freccero, Chair of the Committee on Academic Personnel (CAP), Jody Greene, Founding Director of CITL, Ibukun Bloom, Senior Analyst from the Academic Personnel Office (APO), and Ed Green, Associate Professor in Biomolecular Engineering who joined the workshop to share insights from the perspective of a recently tenured UCSC faculty member.

The spring 2018 workshop on “Path to Tenure: Research and Grant Writing” was attended by 31 faculty and included presentations by CITL Director Jody Greene, and Nancy Furber from the Academic Personnel Office (CAP Chair Freccero was also invited; due to an unexpected scheduling conflict she could not attend but offered advice through email to faculty who contacted her after the workshop.) In addition, three faculty who have been tenured at UCSC joined the workshop in order to answer questions and share their experience and insights on the process: Raquel Prado from Applied Mathematics and Statistics, Noah Finnegan from Earth and Planetary Sciences, and Sikina Jinnah from Politics. CCA invited campus-wide and divisional research support staff to make brief presentations, but due to scheduling conflicts only the group from the Office of Research was able to attend (Research and Development Specialists Karen Ruhleder, David States, and Julia Gaudinski). The representative from Humanities submitted printed material and the representative from Social Sciences submitted slides that CCA shared during the event. Planning of the workshop during exam week facilitated greater faculty attendance (as was also the case in June 2017 for CCA’s path to tenure workshop), and CCA recommends it for future years.

This was the first year CCA split its “path to tenure” workshop into two parts (teaching and service in the winter, research and grant-writing in the spring), following the recommendations of faculty who had attended past workshops in which all topics were combined together. Offering two separate workshops provided adequate time for a more in-depth discussion of all topics and faculty questions. In both workshops, issues of diversity were also discussed in relation to all aspects of faculty work and personnel files. In general, faculty were given valuable advice about understanding the tenure process and planning their work and personnel files accordingly. Special attention was given to preparing strong personal statements that contextualize and showcase faculty teaching, service, and research. The CCA Chair took notes during both workshops and created a comprehensive document with relevant information and tips that was then shared with the CITL Director, the CAP Chair, and ultimately the whole CAP committee. Their feedback and recommendations were integrated in the document which is now

published in the CCA online resources for personnel reviews<sup>1</sup> as “CCA’s Tips on the Path to Tenure.”<sup>2</sup> In the future, CCA could consider offering a workshop for Associate Professors on the “Path to Full” and create a relevant document with CCA tips. Associate Professors who are current CCA mentees have expressed the need for such a workshop (through personal communication with the CCA outgoing Chair). As faculty move through the ranks, they face new challenges and expectations, and therefore continued mentoring and support can be very beneficial to them and by extension to their departments, divisions, and the entire campus.

Our committee thanks all the panelist and presenters who participated in this year’s CCA workshops, and especially CITL Director Greene and CAP Chair Freccero. CCA is grateful for the support and funding it received from the ODEI, without which these events would not be possible.

*Topical workshops for faculty, solicited and co-sponsored by CCA*

During the year, CCA solicited two workshops that were offered in spring 2018:

On April 17, 2017 Campus Diversity Officer for Staff and Students (CDO-SS) Linda Scholz of the Office for Diversity, Equity, and Inclusion (ODEI) sponsored and led a workshop on “Identifying, Understanding (The Impact of), and Responding to Microaggressions in Learning Environments” which was attended by 11 faculty and graduate students. Since at least twice as many people had originally signed up for the event, low attendance might have been due to the busy schedule of that week (the CITL and the Senate were sponsoring a forum on inclusive teaching that same week. This could be taken into consideration in future years.) The workshop was very fruitful for the participants and led to rich discussions and exchange of insights. CCA would like to recommend that a microaggression event be offered regularly on campus (at least every other year), given the significance of the topic and its relevance to faculty and student challenges. The microaggression half-day event organized by ODEI in spring 2016 was very well attended, with more than 30 participants.

On May 4, VPAA Herbie Lee sponsored and led a workshop for faculty mentors on constructive mentoring. The event was attended by ten faculty who contributed to a very generative exchange of advice on various mentoring issues. As a follow-up, CCA posted on its website Mentors’ Insights:<sup>3</sup> a mentoring resource that compiles questions and answers that were brought up by UCSC faculty mentors before and during the workshop. CCA recommends that CCA sponsor similar workshops in the future, to facilitate peer-mentoring and the sharing of advice among faculty mentors.

CCA sincerely thanks CDO-SS Scholz and VPAA Lee for their continuous collaboration with and support of the committee’s mission.

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<sup>1</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/personnel-reviews.html>

<sup>2</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/cca-tips-for-tenure.pdf>

<sup>3</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/6.-mentors-insights.-questions-and-suggestions-from-ucsc-mentors-spring-2018.pdf>

### **Online Resources on Mentoring**

During the year, CCA created some new mentoring resources and selected several others already available on the internet, that were added to the committee's webpage,<sup>4</sup> organized under the following categories:

Developing Constructive Mentoring Relationships<sup>5</sup> (15 documents and links)

Teaching Resources<sup>6</sup> (19 documents and links)

Advising/Mentoring Graduate Students<sup>7</sup> (7 documents and links)

Research and Grant Writing<sup>8</sup> (4 documents and links)

Personnel Reviews<sup>9</sup> (13 documents and links)

Work-Life Balance<sup>10</sup> (4 documents and links)

Academic Parents<sup>11</sup> (3 documents and links)

The New Faculty Quickguide, APO 3.8.18<sup>12</sup> was also added to the site. CCA thanks CCA Analyst Susanna Wrangell for her extensive work in redesigning and updating the committee's website. CCA hopes that the available resources will be useful to UCSC faculty, even outside the context of mentoring relationships. CCA recommends that in fall 2018, CCA notify all Senate faculty about these online resources and remind FMP mentors and mentees about the resources when contacting them to inform them about their matching, so that faculty are made aware and take advantage of this material.

### **Consultation and collaboration with the VPAA and ODEI**

On November 28, 2017, CCA consulted with VPAA Lee and CDO-SS Scholz concerning collaboration for the promotion of faculty mentoring and support.

During the consultation, it was agreed that VPAA Lee would:

- have a standing invitation to attend the last half hour of CCA meetings whenever his schedule allows (and CCA would make the effort to plan the agenda so that the last half hour of each meeting is dedicated to topics that might be of greater relevance and interest to the VPAA)
- hold a training workshop for mentors to support them in their role (offered in May 4th)
- collaborate with ODEI to organize an event on microaggression (offered on April 17th)
- continue to support CCA with an annual budget for the various events of the FMP, such as the annual Meet and Greet Event, quarterly pizza-lunch workshops and end-of-quarter

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<sup>4</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/index.html>

<sup>5</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/developing-constructive-mentoring-relationships.html>

<sup>6</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/teaching-page.html>

<sup>7</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/advising-mentoring-graduate-students-page.html>

<sup>8</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/research-and-grant-writing.html>

<sup>9</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/personnel-reviews.html>

<sup>10</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/work-life-balance.html>

<sup>11</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/academic-parents.html>

<sup>12</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/32.-ucsc,-new-faculty-quickguide,-apo-rev-3.8.18.pdf>

informal socials (in the last two years, CCA's budget has been \$1,200 per year)

- work with CCA and Assistant Director for Assessment Anna Sher on a survey for the effective assessment of the UCSC FMP (recommended goal for 2018-19)

In addition, it was agreed upon that CDO-SS Scholz would:

- offer her comments and suggestions on CCA documents and initiatives that are relevant to issues of diversity, equity and inclusion
- be willing to provide a workshop for mentors and mentees on issues of diversity and inclusion

CCA thanks VPAA Lee and CDO-SS Scholz for their collaboration on the above topics and for offering one workshop each on mentoring and microaggressions issues respectively. The VPAA's attendance as a guest at CCA's committee meetings has proven very helpful and has provided both sides with additional insights, so CCA recommends that next year CCA renews this invitation.

In addition to the above, two more topics were discussed during the November 2017 consultation:

- CCA repeated its recommendation for the *creation of a one-stop-shop webpage that would provide a comprehensive list of online campus resources* and would make them more accessible to faculty. CCA advocated for this project in CCA's 2016-17 consultation with Interim VPAA Martin Berger and CDO-SS Scholz, as stated in CCA's end-of year report for the same academic period.<sup>13</sup> Other Senate Committees have also identified the need for such a webpage (Faculty Welfare, Affirmative Action and Diversity, Information Technology). During CCA's November 2017 consultation, VPAA Lee agreed with the importance of this undertaking but noted that his office does not have the financial and human resources to support it. CCA believes that the CP/EVC's office might be more appropriate for spearheading such a major initiative in collaboration with the Senate Office, which could also weigh in on where the webpage should be housed. CCA recommends that various campus units and Senate Committees be invited to participate in the drafting of sections of this online resource that are relevant to their purview. This campus-wide webpage could also house divisional and departmental resource webpages and in addition, include a section of resources relevant to the local community (beyond the campus).
- CCA also suggested that the campus should explore the possibility of *applying for a Mellon or other grant that would allow the university to develop a mutual/network mentoring program* like the one housed at the University of Massachusetts, Amherst. This program provides grants to individuals and groups of faculty who develop their own mentoring goals and networks, and has proven particularly beneficial for female faculty and faculty of color. The VPAA does not have the resources to pursue this project but supports the idea. CCA repeated this recommendation during CCA's spring 2018 consultation with CP/EVC Marlene Tromp (see below).

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<sup>13</sup> 2017-16 Committee on Career Advising Annual Report, August 2017.

### **Other consultations**

On November 14, 2017, CCA held a consultation with Grace McClintock, Assistant Vice Provost in the Academic Personnel Office (APO) to discuss the rules governing the Teaching Professor Titles (Lecturers with Potential for Security of Employment—LPSOE, as well as Lectures and Senior Lecturer with Security of Employment—LSOE and SLSOE). The meeting was deemed necessary so that CCA could gain a better understanding of these titles in order to plan more appropriate mentoring opportunities for them. As a result, CCA suggested that APO could offer a workshop on the personnel review process for LPSOE and LSOE (who are invited in relevant APO workshops for tenure-track faculty, but until recently did not have access to workshops specifically addressing their titles). CCA thanks APO and Senior Analyst Ibukun Bloom for offering such a workshop on May 17, 2018. Following the November 2017 consultation, CCA reached out to LSOE and LPSOE who were hired from 2014 onwards and were not yet members of the Faculty Mentorship Program, and encouraged them to submit their preferences for a mentor (either tenured faculty, or Senior LSOE, or both). Two respondents requested a tenured faculty mentor and one requested a Senior LSOE. CCA recommends that CCA continue to include new hires in the Teaching Professor Titles among the mentees of the Faculty Mentorship Program.

On January 23, 2018, CCA held a consultation with CITL Founding Director Jody Greene, who updated the committee on the Center's initiatives for this and the coming year. Due to CCA's limited human and financial resources that currently suffice only for one topical workshop per quarter, it was agreed that the committee can publicize and endorse CITL workshops, but CCA cannot organize and sponsor them ourselves. Throughout the year, CCA has maintained a close collaboration with Director Greene, who has led the fall workshop on teaching, has been a primary panelist in the winter and spring workshops on the path to tenure, and has offered extensive feedback on two CCA documents that are now posted on CCA's website: CCA recommendations for constructive teaching (class) visits.<sup>14</sup> and CCA tips on the path to tenure.<sup>15</sup> CCA is grateful for Director Greene's generous involvement and sharing of expertise with the committee and for the very active and wide-ranging programming that the CITL is developing for the benefit of instructors and students on campus. Following Director Greene's recommendation, CCA has started inviting graduate students to workshops relevant to teaching, given the important contribution of Teaching Assistants and Graduate Student Instructors to the teaching mission of campus. CCA recommends that this practice continues in the future, and the invitation is extended to include lectures and continuing lecturers, who also teach a large number of classes at UCSC.

### **Surveys**

In fall 2017, CCA shared its 2016-17 Assistant Professors Mentoring Survey results with the VPAA, the CITL, and the Senate Committees on Teaching, Research, and Affirmative Action and Diversity (COT, COR, CAAD), in order to update them on Assistant Professor concerns on a number of topics relevant to their purviews. The survey results were extensively discussed in the

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<sup>14</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/12.-cca-recommendations-for-constructive-teaching-class-visits.pdf>

<sup>15</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/cca-tips-for-tenure.pdf>

2016-17 end-of-year CCA report<sup>16</sup> (pp. 6-7). The same survey and report were also shared with the participants of the Divisional Chairs' Meetings CCA visited in winter and spring 2018 (see below). CCA believes that the campus should seriously consider, and effectively respond to, the need of Assistant Professors for guidance and support on the issues mentioned in this survey. CCA can continue to take these issues into consideration when planning future topical workshops for faculty.

CCA conducts two annual surveys (fall and spring), addressed separately to mentors and mentees, with the overall aim of collecting feedback on their mentoring relationship, and recommendations about how the Faculty Mentorship Program could be improved. In addition, the fall survey is intended to remind mentoring pairs to reach out to each other, and the spring survey asks them to indicate whether they wish to continue in the program with the same or different mentors or mentees so that CCA can plan the new matching chart for the following year. In both surveys for 2017-18, the majority of responses were positive, with mentees appreciating the opportunity to get advice on a number of issues when the need arises, and having somebody with relevant experience to talk to about their challenges. Limited time and availability for meetings is a recurring concern for both mentors and mentees. Respondents often suggest that more CCA-organized social gatherings and topical workshops can offer important opportunities for mentors and mentees to network and for mentees to get advice on a number of issues. A few mentees and mentors (in one case even in the same pair) replied that their mentoring partner was not responsive to their meeting invitations and they would therefore wish to either drop the program or change pairs. CCA recommends that mentors send a meeting invitation to all their mentees once a quarter and make sure they follow up on their meeting and other commitments. CCA also recommends that mentees reach out to their mentors and take initiative in planning meetings. CCA hopes that once the new matching process is implemented (see above and Appendix), communication and collaboration among mentoring partners will improve. Finally, some responses from both mentors and mentees indicate that faculty are not aware of the online mentoring resources on CCA's website, even though relevant links were included in the fall 2017 letter addressed to them regarding their pairing. Now that CCA's website is extensively augmented with new mentoring resources,<sup>17</sup> it would be helpful if CCA continued to remind faculty about it through its recurring communication. This could be done, for example, with the addition of a website link in all written CCA correspondence, and by oral references at all CCA events. The committee could also consider offering a flyer with relevant links (a photocopied page), to all its workshop participants, or at least to the faculty attending the fall Meet and Greet Event.

### **Advocating for and Promoting a Strong Culture of Faculty Mentoring and Support**

During the year, CCA took the following steps to support and advocate for a strong culture of faculty mentoring and support on campus:

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<sup>16</sup> <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2017-2018/2017-December-1-Meeting/1872---CCA-Annual-Report-1617.pdf>

<sup>17</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/index.html>

### **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) has been organized by the office of the VPAA, while the afternoon session, dedicated primarily to teaching and research, has been organized by CCA.

In order to plan the fall 2017 afternoon session of the Orientation, CCA took into consideration faculty feedback on the 2016 Orientation, and consulted with CITL Director Greene (on the planning of the teaching session) and with outgoing and incoming Chairs of the Senate Committee on Research Steve Whittaker and Dejan Milutinovic respectively (on the planning of the research session). The teaching session included presentations on: the teaching mission and resources at UCSC, focusing on the CITL (by Director Greene); strategies for engagement with UCSC students (by Nandini Bhattacharya, Lecturer, Mathematics Department); serving a diverse body of students and using campus resources (by Pablo Reguerin, Assistant Vice Provost, Division of Student Success and Executive Director of the Educational Opportunity Program); universal design (by Rick Gubash, Director of the Disability Resource Center); and instructional technology at UCSC (by Leslie Kern, Operations Manager, Faculty Instructional Technology Center). The research session included two panels: the first one addressed research resources and useful strategies (with presentations by Dejan Milutinovic, Chair of COR; Kate Aja, Director of the Office of Sponsored Programs; Noah Finnegan, Associate Professor of Earth and Planetary Sciences; and Rebecca Covarrubias, Assistant Professor of Psychology). The second panel addressed divisional research resources and initiatives (with presentations by Holger Schmidt, Associate Dean of Research, Baskin School of Engineering; Irena Polic, Managing Director, The Humanities Institute; and Ashlee Ann Tews, Director of Research Development, Division of Social Sciences). CCA thanks all panelists for contributing to the success of the afternoon session. Eight faculty responded on a follow-up survey conducted by the VPAA's office and found both the teaching and research sessions useful (with a median rating of 4.14/5 and 3.85/5 respectively). Recommendations submitted by one faculty included providing a list of attendees with their departmental affiliations and contact (to which CCA recommends presenters are also included) and offering more information on: grading norms and standards, supporting first-generation students, and tips on UCOP calls and collaborations across UC campuses. Outgoing CCA Chair Maria Evangelatou has shared suggestions and brought the above comments to the attention of incoming CCA Chair Judith Scott and CITL Director Greene, who will be planning the fall 2018 Orientation. The event is an excellent opportunity for CCA to introduce new faculty to the UCSC Faculty Mentorship Program and encourage them to participate. It is the hope of the committee that the Orientation Day will remain an annual tradition.

### **Consultation with CP/EVC Marlene Tromp**

In April 17, 2018, the committee consulted with CP/EVC Marlene Tromp on pursuing common goals of supporting and retaining a diverse body of successful faculty. Issues discussed and later included in the post-consultation document, focused on mentoring and other resources for faculty.

Concerning the topic of mentoring, CCA noted the following:

- *CCA funding and outreach:* currently the Faculty Mentorship Program is managed by CCA has 108 mentees and 44 mentors and has a very small annual budget of \$1,200, which comes out of the Chancellor's Office and the Office of Diversity, Equity, and Inclusion (ODEI). This budget is barely enough for one major and one minor social event in the fall, and three quarterly workshops per year, all of which are a vital part of CCA's programming, and are considered important resources by mentors and mentees. Unfortunately, VPAA Lee has informed CCA that this modest budget is available only for one more year (2018-19) until the relevant funding source runs out. CCA's programming will be seriously hampered without at least this modest annual support, so CCA hopes campus administration will consider continuing CCA's funding. If CCA was to receive additional funding and staff support beyond its current modest resources, it would be able to expand an invitation to all faculty and teaching professors to join the mentoring program, and to plan more social events and workshops to support the mentoring experiences of the FMP participants and the mentoring culture of the campus.
- *Mutual/network mentoring model:* CCA strongly recommends that UCSC consider the mentoring program developed at the University of Massachusetts, Amherst,<sup>18</sup> which could be an outstanding resource not only for faculty but also for graduate students. CCA has discussed more extensively this recommendation in its SAP Campus Landscape Analysis report (found on p. 20 of the compiled individual committee responses.<sup>19</sup>).
- *Awards for faculty mentors* (also mentioned in the original VPAA/ODEI proposal for the UCSC Faculty Mentorship Program<sup>20</sup>). CCA was delighted to hear that CP/EVC Tromp supports this proposal. The recognition of excellent mentors on campus will highlight the importance of mentoring, enhance the visibility of this important kind of service, encourage faculty participation, and in general contribute to the growth of the mentoring culture at UCSC. Mentoring Awards could be centrally-funded, like the Teaching Awards handled by the Committee on Teaching (COT). CCA could work to develop and implement the nomination and selection procedures and solicit nominations from faculty mentees across campus (concerning both department mentors and the FMP mentors who collaborate with CCA). Part of the nomination process could be the submission of "six words about my mentor," which could then be posted online on CCA's website, as a form of recognition as well as a resource (offering highlights on good mentoring). This suggestion is inspired by the relevant "six words" project<sup>21</sup> at UCSF. UCSF has a widely successful mentoring program that is highly regarded, nationally and internationally, and was the inspirational model on which the original 2013 VPAA/ODEI proposal for the reconstitution of CCA and the creation of a UCSC Faculty Mentorship Program was based.

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<sup>18</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/10.-mutual-network-mentoring-guide,-university-of-massachusetts,-amherst.pdf>

<sup>19</sup> [https://drive.google.com/file/d/1iyLgfGsbESal\\_vUHHDnWZ92-Vc\\_ujReV/view](https://drive.google.com/file/d/1iyLgfGsbESal_vUHHDnWZ92-Vc_ujReV/view)

<sup>20</sup> Lee to Konopelski, 12/19/13, Re: Proposal for a UCSC Faculty Mentoring Program

<sup>21</sup> [http://academicaffairs.ucsf.edu/ccfl/faculty\\_mentoring\\_program\\_six\\_words.php](http://academicaffairs.ucsf.edu/ccfl/faculty_mentoring_program_six_words.php)

Concerning other resources for faculty, CCA recommended the following:

- *The creation of a one-stop-shop webpage* that would provide a comprehensive list of online campus resources. (For more details, see above, under consultation with VPAA Lee.)
- *The creation of a Faculty Resources Handbook* which could be published online to complement the one-stop-shop webpage.
- *Enhanced campus support for divisional and cross-divisional efforts to provide grant-writing resources and workshops* for faculty, as befitting a Research 1 university.
- *Increase in Library funding* to support the research and teaching of our faculty and students, as befitting a R1 institution with a strong teaching mission.
- *Enhanced support for academic parents.* CCA recommended that the CP/EVC's office reach out to and support the "UCSC Resource Group for Academic Mothers," an informal support group for scholar-moms. In a post-consultation document, CCA also expressed concerns about the quality and viability of the current childcare plan involving the for-profit provider Bright Horizons. CCA noted in particular two issues (in conjunction with the spring 2018 Senate Report of the Committee on Faculty Welfare (CFW) and the subsequent discussion among Senate faculty): 1. The alarming conflict of interest involved in charging Bright Horizons to recommend external childcare providers to become UCSC partners, and the lack of an open call that would have resulted in competitive offers, which led to Bright Horizons being selected for the job without due process and proof of worth. 2. The limitations that Bright Horizons has compared to non-profit and independent providers, in terms of lack of diversity/inclusivity and very high costs, could make its services pedagogically undesirable and financially prohibitive for our faculty. CCA urges CP/EVC Tromp to work with CFW to revise the current plans towards the establishment of a visionary childcare facility that would truly serve our community along our values of diversity and inclusion (the same values that are also emphasized in the SAP design principles shared with the campus). Such a facility would also contribute towards building a positive reputation for our campus and would assist in the recruitment and retention of a diverse body of excellent faculty.

CCA also offered recommendations on the following two topics:

- *EVC Fellows Academy pilot program for 2018-19:* CCA fully endorses this program and hopes it will become an established resource for the UCSC campus. CCA recommended that the Chairs of the Committees on Academic Personnel and Affirmative Action and Diversity (CAP and CAAD) could be invited to participate in the application review process. CCA hopes that a wider consultation with Senate Leadership and relevant Committees will be sought before renewing the program next year, taking into consideration feedback from the first cohort of fellows. CCA would like to be part of that conversation.
- *UC-wide effort to inform legislature and constituents about the role of the UC System:* CP/EVC Tromp is leading this initiative. CCA recommended that videos be used in this

outreach campaign, as an impactful medium of communication in the current digital age (as an example, several videos produced by Themed Academic Working Groups in the context of the Strategic Academic Plan successfully showcased the scope and impact of UCSC faculty research).

### **Collaboration with Deans and Departments**

In December 2016, Chair Evangelatou attended a meeting of the Council of Deans (COD) to offer CCA's recommendations about how divisions and departments could increase the culture of mentoring on campus. Following the COD's recommendation, this year Chair Evangelatou and CCA divisional representatives attended three Divisional Department Chairs' Meetings, in the Humanities, Physical and Biological Sciences, and Social Sciences. CCA was not able to secure consultations with the School of Engineering or the Arts Division, but CCA hopes these meetings can take place in 2018-19. Prior to each consultation, CCA shared its 2016-17 annual report, drawing attention to the results of the surveys the committee conducted that year. During consultation, Chair Evangelatou shared CCA recommendations on the topics of mentoring, supporting junior faculty, supporting all faculty (equity practices), preparing faculty for personnel reviews, offering research-related support, and building community. Full information on these topics is available in CCA Recommendations to Departments and Divisions for Enhanced Faculty Support.<sup>22</sup>

These consultations gave CCA the opportunity to provide more information on its mission and vision and encouraged Department Chairs to direct their faculty to the committee if they wish to work with a cross-departmental mentor. Attendees had the opportunity to ask questions, provide recommendations (which CCA is considering for future implementation), and suggest field-specific mentoring resources (now integrated into the updated CCA website). CCA was pleased to learn that two departments (Physics and Politics) have adjusted their policies to allow junior faculty to attend all personnel reviews (without voting rights), so that they can become more familiar with the process, and more prepared for their own personnel reviews. This change was implemented in response to a relevant recommendation in CCA's 2016-17 annual report<sup>23</sup> (page 8). Following CCA's consultation in the Division of Social Sciences, the Politics Department voted to implement a formal mentoring program for Assistant Professors that integrates relevant CCA recommendations. According to Politics Chair Dean Mathiowetz, "in Spring or Summer each year, the Chair will solicit from Assistant Professors the names of 3 or 4 members of our department whom they'd like to have as their faculty mentors. The Chair will then match 2 mentors with each Assistant Professor. The expectation is that the mentor and mentee will meet at least once each quarter. The arrangement lasts one year, though the same mentor and mentee can be matched in subsequent years if both parties report to the Chair that the match is desirable. Faculty who serve as mentors to Assistants should report this as service for their review, and it will be considered as such by the department." CCA commends the Politics Department for this initiative and hopes that other departments will also develop a new (or enhance their existing) mentoring program. Some relevant resources are posted in CCA's webpage on Developing

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<sup>22</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/9a.-cca-recommendations-to-departments-and-divisions-for-enhanced-faculty-support.pdf>

<sup>23</sup> <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2017-2018/2017-December-1-Meeting/1872---CCA-Annual-Report-1617.pdf>

Constructive Mentoring Relationships.<sup>24</sup> CCA thanks all divisional and departmental personnel for consulting with CCA, and CCA hopes for continuous collaboration in the future.

### **Recommendations for Constructive Teaching (Class) Visits**

During 2016-17, CCA worked to create a document with recommendations on how to conduct constructive teaching visits that can lead to fruitful dialogue among participating faculty and provide some essential advice about instructional improvements. CCA's recommendations can be used in any context in which class visits are conducted (such as mentoring or peer-mentoring collaborations, or departmental programs), and aim to promote equity and constructive interactions in such processes, with the ultimate goal of assisting faculty in developing an inclusive class environment and a generative learning experience for their students. In 2017-18, the new CCA members reviewed and refined the document, which was then shared with CAP, COT, CAAD, and CITL for their feedback. CAP and CITL provided suggestions that were integrated into the final document, now available as CCA Recommendations for Constructive Teaching (Class) Visits<sup>25</sup> in the Teaching section<sup>26</sup> of CCA's online mentoring resources. CCA thanks CAP and CITL for their collaboration, and CCA hopes this document will contribute to our university's teaching mission.

### **Strategic Academic Planning (SAP) reports**

CCA submitted two reports in response to the request for Senate committees to review and comment on the Strategic Academic Plan (SAP) process and related documents. CCA's extensive, six-page report on the Campus Landscape Analysis (CLA) can be read in pages 16-21 of the Senate Committee's compiled responses to the CLA.<sup>27</sup> CCA raised certain concerns about the process, focused on providing constructive recommendations for moving forward, and advocated for the inclusion of faculty mentoring in the SAP. CCA's one-page report on the ranking of the proposals of the 28 Themed Academic Working Groups (TAWGs) can be read in page 12 of the Senate Committee's compiled responses to the TAWGs.<sup>28</sup> For reasons discussed in that document, CCA refrained from ranking the proposals and instead noted that a number of them had *organic and meaningful overlaps* in terms of subject, values, objectives, and methods, which could lead to fruitful future collaborations.

### **Consultation with the SEC about barrier steps and equity issues**

During March and April 2018, CCA Chair Evangelatou initiated a discussion with CAP Chair Freccero and Senate Leadership about equity issues in connection to the current campus practice of limiting off-scale salary increases in certain personnel reviews, when faculty are not ready for promotion but may still have outstanding performance in some areas of their file (these are the so-called barrier steps: Associate Professor Step 4, and Full Professor Step 5 and 9, CAPM 407.690.C.3<sup>29</sup> and CAPM 803.620.C<sup>30</sup>). In April 24, Chair Evangelatou visited the Senate

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<sup>24</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/developing-constructive-mentoring-relationships.html>

<sup>25</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/12.-cca-recommendations-for-constructive-teaching-class-visits.pdf>

<sup>26</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/teaching-page.html>

<sup>27</sup> [https://drive.google.com/file/d/1iyLgfGsbESal\\_vUHHDnWZ92-Vc\\_ujReV/view](https://drive.google.com/file/d/1iyLgfGsbESal_vUHHDnWZ92-Vc_ujReV/view)

<sup>28</sup> [https://drive.google.com/file/d/1DMsjET\\_DmezAKRgv9vn3DI\\_e\\_0xCzMFf/view](https://drive.google.com/file/d/1DMsjET_DmezAKRgv9vn3DI_e_0xCzMFf/view)

<sup>29</sup> <https://apo.ucsc.edu/policy/capm/407.690.html>

Executive Committee (SEC) to discuss this issue and share relevant faculty concerns that have been brought to the attention of CCA, especially in relation to Associate Professor Step 4. CCA's purview does not include Academic Personnel issues, but it does focus on retention and career advancement, satisfaction, and success of all faculty, and therefore the equitable recognition and reward of faculty work is of concern to the committee. CCA believes that outstanding performance in any of the three areas of evaluation (teaching, research, and service) during personnel reviews should be equitably recognized in terms of salary raises at all times, even when a faculty member may not be ready for promotion. Such recognition promotes faculty well-being, success, and retention by properly rewarding areas of outstanding performance through the appropriate salary increase. With this opportunity, CCA would like to offer some additional thoughts on the matter that concern Associate Professors Step 4 (but can also be relevant to Full Professor Step 5 and 9).

CAPM 407.690.C.3.<sup>31</sup> recommends salary increase practices that can lead to personnel reviews in which outstanding service or teaching performance in Associate Step 4 may not be rewarded with the same salary increase that it garners in other steps, until faculty produce the research required to advance to Full. However, such research often takes longer to produce, exactly because faculty service and/or teaching (for example, graduate advising) may increase exponentially after tenure. Faculty fully recognize the need for certain research accomplishments before advancement to Full, but they are concerned about the limited recommended compensation for outstanding performance in other areas of their files (namely, service and teaching) while they remain at Associate Step 4.

This is an equity issue that may be further affected by other factors, three of which have come to the attention of CCA through discussions with faculty:

1. *Research and publication processes vary greatly across disciplines and field.* Depending on their specialization and research projects, some faculty may take many more years than other colleagues to develop the research output required for promotion to Full Professor, but in the meantime, they may have outstanding service and/or teaching, that under the current policy may not lead to proper compensation at Associate Step 4.
2. *Graduate advising commitments usually increase after tenure, but their impact on faculty productivity can differ widely across the divisions:* in the Humanities and Arts, advising graduate students significantly limits the time faculty have for their own research (which is often or usually a solitary endeavor), while in other divisions faculty may advance their research through collaboration with their graduate students (for example, through lab research and group publications).
3. *Women in academia may carry a disproportionate service load,* as discussed in an article entitled "Relying on Women, Not Rewarding Them,"<sup>32</sup> which concludes that female faculty should learn to say "no" to service requests. Concerning this conclusion, CCA does not wish to dispute the importance of faculty declining service requests

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<sup>30</sup> <https://apo.ucsc.edu/policy/capm/803.620.html>

<sup>31</sup> <https://apo.ucsc.edu/policy/capm/407.690.html>

<sup>32</sup> <https://www.insidehighered.com/news/2017/04/12/study-finds-female-professors-outperform-men-service-their-possible-professional>

disproportionate to their rank and step or unequally distributed among colleagues. However, CCA would like to suggest that results can be more beneficial for faculty and the university when the institution equitably rewards outstanding service and teaching at all ranks and steps, instead of discouraging such outstanding performance, either by mentoring faculty to say "no" or by limiting their salary compensation for those achievements, if their research productivity is not considered up to measure. The latter approach can easily be perceived as penalization, which can adversely impact faculty morale and dedication to service and teaching, *and may also have questionable research results by pushing faculty to rush their projects to completion.* None of these consequences are desirable for a research university with a teaching mission and a commitment to community values, such as UCSC. CCA hopes that the SEC will continue its discussion on the matter of barrier steps with the campus administration and will develop an appropriate solution to the current equity issue.

### **Recommendations for next year's CCA**

Since three out of the five members of CCA will not serve next year, including the Chair, the committee would like to take this opportunity to offer some recommendations for the consideration of the 2018-19 members, in hopes that CCA's suggestions may prove helpful. Some of the following issues have been already mentioned above, while others are introduced here for the first time.

1. Discuss CCA funding with the central administration. The existing funds may run out at the end of 2018-19.
2. Collaborate with VPAA and Assistant Director for Assessment Anna Sher on a survey for the effective assessment of the UCSC FMP.
3. Consider evaluating and improving the new matching process that will be implemented in fall 2018. CCA could ask for input from relevant Senate Committees and campus units on the matter (e.g. CAAD, COC, ODEI, VPAA).
4. Conduct a survey in which faculty are asked to identify expertise and experiences they might be willing to share with colleagues on a case-by-case basis, as need arises (in-the-moment mentoring). CCA can publish the collected information on its website, as a valuable resource for faculty. (This recommendation was submitted to CCA during the committee's visit in a Chair's Meeting at the Division of Physical and Biological Sciences.) Information on faculty expertise and experiences might include things like the following: Senate Committee Service (when contacted by colleagues, faculty could provide insights on committee work, or advise colleagues on issues of concern to them that relate to committee purview); inclusive and interactive pedagogies in the classroom (e.g. faculty who have been Teaching Fellows and have offered CITL workshops on specific pedagogical approaches); success in grant-writing (faculty can identify specific grants they obtained, so that colleagues can approach them and ask for relevant insights and tips), etc.
5. In collaboration with COC, consider creating a document that gives some insights into

the workload of individual Senate committees and ideally also includes recommendations about which committees would be appropriate for Assistant Professors and which for Associate or Full. The document could also include information about which faculty have served in which committees in recent years, so that colleagues who consider serving could contact them for insights. CCA could add this document to its online mentoring resources (in a new subsection about service), to help faculty decide what kind of Senate service to pursue or accept. This could be a helpful resource for both mentors and mentees, since currently faculty have two main concerns about Senate service: being asked to do too much service before tenure, or wanting more information so as to decide what service to do.

6. Create group peer-mentoring opportunities by organizing two (or more) annual workshops in which mentors and mentees come together to share questions, challenges and possible solutions. CCA recommends one workshop to be only for mentors and another for both mentors and mentees. In preparation for the 2018 mentors' workshop offered by VPAA Lee, CCA shared with faculty a Google document<sup>33</sup> (accessible to anyone signed in with their UCSC email account) in which mentors could add mentoring questions and suggestions. Before and after the workshop, the CCA Chair worked to answer mentors' questions and integrate mentors' suggestions into the shared document, which was later published in the CCA website as "Mentors' Insights."<sup>34</sup> The committee may consider continuing this practice, in order to produce a document that is updated and augmented each year.
7. Consider updating the section on Advising/Mentoring Graduate Students<sup>35</sup> in the CCA website, with material and links CITL will be developing between spring-fall 2018.
8. Consider visiting a Chairs' Meeting in the Arts and the School of Engineering to present recommendations on faculty mentoring and support (these are the only two divisions that did not respond to CCA's request for a meeting in 2017-18).
9. In collaboration with CAP, consider providing a workshop "On the Path to Becoming Full Professor" that could assist faculty in the Associate rank to strategize and prepare for promotion. There is strong interest among Associate Professors for such a workshop.
10. Consider contributing to the campus-wide conversation regarding barrier steps that was initiated this year.
11. Collaborate with central administration to establish Mentoring Awards (similar to the Teaching Awards handled by the Committee on Teaching). CP/EVC Tromp expressed interest in this initiative during her April 17th 2018 consultation with CCA.

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<sup>33</sup> [https://docs.google.com/document/d/1S196MROx0VctxC\\_im5T8mLqgjYCYtyNXSQibj0lvUFU/edit](https://docs.google.com/document/d/1S196MROx0VctxC_im5T8mLqgjYCYtyNXSQibj0lvUFU/edit)

<sup>34</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/6.-mentors-insights.-questions-and-suggestions-from-ucsc-mentors-spring-2018.pdf>

<sup>35</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/advising-mentoring-graduate-students-page.html>

12. In fall 2018, notify the campus community of the updated CCA online resources and draw their attention to specific documents of particular interest, such as the CCA Recommendations to Departments and Divisions for Enhanced Faculty Support,<sup>36</sup> CCA Recommendations for Constructive Teaching (Class) Visits,<sup>37</sup> and CCA’s Tips on the Path to Tenure.<sup>38</sup>
  
13. Present an oral report in a future Senate meeting. Potential goals may include the following:
  - increase the visibility of the UCSC Faculty Mentorship Program managed by CCA and raise awareness about its work, so that more faculty become engaged participants
  
  - advertise the online resources on the updated CCA website
  
  - present the state of mentoring on campus (the results of the relevant survey in the 2016-17 CCA annual report could be easily revised if departments are asked whether they have updates on the matter)
  
  - advocate for more involvement by departments and divisions
  
  - provide recommendations for promoting a stronger campus-wide culture of mentoring (sharing CCA Recommendations to Departments and Divisions for Enhanced Faculty Support<sup>39</sup>)
  
  - potentially invite Dean Mathiowetz, Chair of Politics (dpmath@ucsc.edu) to contribute with a brief presentation of the formal mentoring program his department established following CCA’s recommendations after the committee’s consultation with the Social Sciences Chairs’ Meeting in spring 2018

Before closing, CCA would like to thank the CCA Committee Analyst, Susanna Wrangell, for her tireless and dedicated service, and wish her all the best in her upcoming retirement.

Respectfully submitted;  
COMMITTEE ON CAREER ADVISING  
Jonathan Fortney  
Alex Pang  
Ivy Sichel  
Judy Scott  
Maria Evangelatou, Chair  
August 31, 2018

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<sup>36</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/9a.-cca-recommendations-to-departments-and-divisions-for-enhanced-faculty-support.pdf>

<sup>37</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/12.-cca-recommendations-for-constructive-teaching-class-visits.pdf>

<sup>38</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/cca-tips-for-tenure.pdf>

<sup>39</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/9a.-cca-recommendations-to-departments-and-divisions-for-enhanced-faculty-support.pdf>

## Appendix

### New Mentor-Mentee Matching Process

The new matching process developed by CCA in 2017-18 for implementation in the following year involves the following steps:

1. Each year CCA creates a list of faculty who want to become FMP mentors or are willing to continue serving in the program with new mentees. (This information is collected on the basis of the annual Senate Service Preference Survey and the annual spring CCA Current Mentor Survey.)
2. In spring CCA asks all the above faculty to participate in a survey through which they can state their commitment to serve as FMP mentors and provide information about themselves. The *required* survey questions collect information on faculty email, departmental and divisional affiliation, years at UCSC, years at rank, research and teaching interests, and links to departmental or personal online profiles. The *optional* survey questions collect more detailed information about faculty mentors, on the following issues: faculty preferences about prospective mentees and mentoring issues; self-evaluation on mentoring strengths; major funded research, grants and fellowships; involvement with teaching initiatives focused on student learning; service experience; childrearing experience; knowledge of local life and community; preferred personal pronouns; first-generation status; cultural and/or ethnic background; other information they would like to share with CCA and prospective mentees.
3. By September, the above information is compiled and shared with new mentees (new faculty hires) and existing mentees who have indicated they would like a different mentor (through the annual spring CCA Current Mentee Survey). After reviewing this material, mentees are asked to provide a minimum of 3 and a maximum of 5 names of their preferred prospective mentors that CCA will use in the matching process. New faculty who do not respond are also paired with mentors and encouraged to participate in this optional mentoring program. (This is done because depending on cultural background and previous experiences, some new faculty might be less prone to ask for help or express their preferences when first arriving on campus.) Faculty mentees are asked to provide their response by the end of September or early October.
4. When mentees submit their matching preferences, they are also invited to participate in a brief, optional and anonymous survey regarding their mentor-selection criteria. CCA expects that the resulting data could be useful in refining the matching process in the future and in identifying and developing mentoring resources in response to faculty input.
5. As soon as CCA reconvenes in the fall, individual member works on the basis of mentees' expressed preferences to draft a matching chart of mentors and mentees in their respective division (while also keeping in mind that some pairs might be cross-divisional). CCA finalizes the matching chart preferably by mid-October.
6. CCA shares the matching chart with all mentors and mentees so that they are informed of their assignments before the fall Meet and Greet Event (late October or early November), which they are invited to attend together. (Note: the first matching chart<sup>40</sup> shared with

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<sup>40</sup> <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/mentoring-resources/2017-18-updated-mentors-and-mentees-matching-table-by-division.pdf>

FMP participants and posted on the CCA website was created in 2017-18. CCA recommends that past matching charts remain available on the committee's website when new ones are added, so that mentors and administrators can verify mentoring commitments when they prepare and review personnel files. In addition, matching charts can facilitate networking and the exchange of advice among mentors and mentees.)

## **Committee on Courses of Instruction Annual Report 2017 -18**

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) meets bi-weekly to review 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.

In addition to the routine business of CCI, the committee gave attention to some matters of policy as they related to course approvals. CCI consulted with Preceptor Ethan Hutchinson, Center for Innovations in Teaching and Learning (CITL) Director Jody Greene, Vice Provost for Academic Affairs (VPAA) Herbie Lee, and Director for Online Education Initiatives Michael Tassio for their views on advising, pedagogy and course assessment, and online courses. CCI also developed a new set of petition submission guidelines for preceptors, worked on streamlining the course approval form in preparation for a shift to the smart catalog, and partnered with CEP to develop a survey of UCSC grading practices.

Other major topics are discussed below.

### **Online Courses**

CCI collaborated with the Committee on Educational Policy (CEP) to develop a proposal for an online course policy for the UCSC campus. CCI focused on revising the online course approval questions to reduce redundancy and generally make the process less onerous, while still gathering information distinct to online courses both for administrative reasons and to improve our understanding of the fundamentals of a successful online offering. The online course proposal will be presented to the Senate in the academic year 2018-2019.

### **Enrollment Restrictions**

CCI discussed the issue of catalog copy that specifies enrollment restrictions. Generally, CCI is not in favor of departments imposing too many restrictions on enrollments, but CCI recognizes three grounds on which enrollment restrictions might be appropriate:

- First, there may be pedagogical issues, such as the need for discussion in a seminar course that would make it wise to limit the number of students in every offering of the course, which should be reflected in the catalog.
- Second, there may be capacity limits, such as the number of stations in a laboratory, which limits the number of students per section, but not the number of sections. There may also be constraints on instructor or TA availability. These limits should not be in the catalog nor on the forms submitted to CCI, as they are properly addressed in the curriculum leave plans and course scheduling each quarter.
- Third, impaction of a major may require limiting a course to majors, in order to ensure sufficient capacity for the majors. Limiting to majors may also be appropriate for capstone courses for the major.

In any request for restrictions on enrollment, strong justifications for the restriction should be provided, as the default view of CCI is that all students who satisfy the prerequisites should be permitted to enroll in a course. Exclusion of curious and competent students from courses is not consistent with the educational aspirations of UCSC.

### **Stakeholder Issues**

Many course revisions were submitted with no consideration of stakeholder issues—specifically the departments for the requested prerequisites and the courses and programs that require the course as a prerequisite or as part of a major or minor. Although it is fairly straightforward for a faculty member or department to request stakeholder approval for the listed prerequisites of a course, it is very difficult to find out what programs or courses require a particular course. The Senate and Registrar should work together to create a database of course and program dependencies and provide easy access to the database for every faculty member.

### **UCOP/Senate Review Requests**

All Academic Senate Committees were asked to comment on the Strategic Academic Planning (SAP) process and the 28 Themed Academic Working Group (TAWG) documents submitted for consideration for academic priority. CCI believes that the SAP process is proceeding too quickly for thoughtful and meaningful Senate input and that the timeline to provide our opinions has been too short. Given this, CCI members divided up the 28 TAWG proposals and consistent with our committee charter, evaluated them based on their contribution to the undergraduate educational mission of the University. At least one committee member read each proposal.

We found that many of the proposals gave only lip service to undergraduate education, reflecting the administration's framing of the SAP to the faculty primarily in terms of research areas, rather than as a comprehensive *academic* plan. A more deliberative process with better framing of the goals would likely have resulted in a rather different set of proposals, which could be more fairly assessed for their effects on education at UCSC.

### **Procedural Changes or Adjustments**

Currently, after CCI approves a course, it becomes a permanent addition to the catalog (though CCI can ask that it be removed if not taught for six years). Many courses have evolved considerably since their original approval and bear little resemblance to the originally approved course. It has been proposed within CCI that all course approvals be of limited duration, such as 10 years, with course-offering units required to submit a new syllabus for re-approval a year before approval expiration. Courses recently approved by CCI could have their expiration dates set 10 years from their most recent approval, and older courses could have sunset dates spread out arbitrarily over the next 10 years to avoid a large bolus of expirations in any one year.

At present, faculty should submit their current syllabi any time they make a major change, so that the course approval database has up-to-date course information.

### **UCSC Study Abroad with the Committee on International Education (CIE)**

CCI and CIE chairs and analysts met in the winter quarter of 2018 to determine the process for evaluating and approving UC Abroad courses, and reported the results to the Study Abroad office and the VPDUE. Study Abroad will accept UC Abroad proposals and forward them to CIE

for review. CIE will return the proposals to Study Abroad, which will then forward the recommended proposals to CCI along with CIE comments. CCI will review UC Abroad courses in a timely manner to facilitate concretization of relations with overseas institutions.

### **Credit Inflation**

Thirty years ago, faculty were instructed that courses at UCSC were semester courses compressed into a quarter. UCSC is the only UC campus to have a default 5-unit course, which is supposed to require 150 hours of student work—equivalent to 3.3 semester credits. Most of the other UC campuses use 3-unit and 4-unit courses, corresponding to 90 or 120 hours of student work. Faculty who have come to UCSC from quarter-system universities have generally created courses of this size, but have given the default 5 units to them. The default 5-unit course has caused difficulty with transferring courses from other colleges, as the transferred courses often do not carry as many units as the UCSC courses, even when they have the same content. The small number of high-unit courses taken by students also makes it difficult to structure 4-year curricula in fields where there are many different subjects to cover, such as engineering fields and interdisciplinary studies.

It has been proposed within CCI that the university move from the 5-unit default course to a 4-unit default course, asking departments to review the amount of time students actually spend on each course and adjusting credits appropriately for existing courses. Nevertheless, it is also recognized by CCI that one problem with this recommendation is that reducing the number of credits per course to the level justified by the course content will almost undoubtedly require increasing the number of course offerings each quarter, and the campus already is challenged to find sufficient classroom seats to handle the current number of courses.

### **Courses Descriptions and Learning Outcomes**

All course approvals now require that syllabi have specific course descriptions and learning outcomes. CCI would like to urge that this information be made much more accessible. This could mean setting up much wider access to the approved course descriptions in the online course approval database, or asking each department to provide easy access to their detailed course descriptions.

CCI has noted that currently many of the course syllabi being submitted have very vague learning outcomes, which ought to outline specific skills so that students and faculty know what a course is supposed to help the students develop. This can be of benefit in grounding expectations for subsequent courses as well.

### **Routine Business**

- The committee considered 161 course approvals in the fall, 282 in the winter, and 155 in the spring, for a total of 598. Within the course approvals were 166 requests for a GE designation. Of these 8 were denied, and the rest were granted initially or after discussion.
- The committee considered 108 requests for Graduate Student teaching designation and 3 for undergraduate instructors.
- The committee received 371 petitions; 55 were denied. The majority were grade appeals or requests for GE substitutions. There were also a number of petitions from

undergraduates who required a letter grade as a major requirement when enrolling in a graduate course, which defaults to the P/NP option. CCI hopes there can be a better process developed so that undergraduates taking graduate courses can rely on a default of receiving a grade as they can with their other courses.

- The committee received 8 grade grievances. 6 were denied, and the rest were granted initially or after investigation and further discussion.

#### Recommendations for 2018-2019 Committee

- Update the course approval calendar to align with the committee business schedule and course enrollment schedules.
- Continue to monitor and communicate findings regarding online courses, course enrollment, grading practices, stakeholder statements, UC Abroad, SmartCatalog, and other issues linked to course approvals, petitions, grievances, and other matters in the committee's charge.

CCI greatly benefited from the expertise of Associate Registrar Margie Claxton. CCI also benefited tremendously from the expert assistance and dedication of Susanna Wrangell.

Respectfully submitted;

COMMITTEE ON COURSES OF INSTRUCTION

Michael Chemers

Faye Crosby

Kevin Karplus

Susan Schwartz

Hirotaaka Tamanoi

Margie Claxton, *ex-officio*

Noriko Aso, Chair

August 31, 2018

## **Committee on Educational Policy Annual Report 2017 -18**

To: 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 transfer students, the Strategic Academic Plan, the Computer Science impactation status request, the reshaping proposal for the Baskin School of Engineering, and planning the program statement templates for the new online curriculum system set to be live fall quarter. The committee sent out more than 190 letters during the year.

### **I. Transfer Students and Major Preparation**

In 2017-18, the University of California suffered a mandate from the state government to strive to reach a 2:1 frosh:transfer ratio in entering students at every campus separately (except UC Merced). That is, the number of transfer students entering a campus would have to be at least half the number of entering frosh each year. Before this year, UC Santa Cruz and Riverside (and Merced) were the only campuses that did not meet the 2:1 target. As a result, there was tremendous pressure this year for these two campuses to increase the intake of transfer students. Since UCSC has been admitting all transfer students who meet our minimum conditions for admission, this was a question of increasing the number of applicants and the number of admission offers that are accepted by making UCSC seem more attractive to transfer students, and removing any unnecessary conditions for admission to a program.

Conditions for admission of students are determined by the Academic Senate. At UCSC, major-specific preparation requirements for transfer students are determined by CEP, while all other conditions for admission are determined by the Committee on Admissions and Financial Aid (CAFA). Accordingly, CEP undertook a review of major preparation requirements for all majors to see where they could be simplified or reduced without compromising the academic program. A few programs changed their preparation requirements as a result of this review.

CEP also tried to ensure that information for transfer students in the General Catalog and on the Admissions website was as transparent as possible. In the 2018-19 catalog, almost all programs have a two-year major planner for transfer students, with a statement about what courses have to be completed before coming to UCSC if a student wishes to follow the planner. By the 2019-20 catalog, this will be true for all programs. CEP also worked with CAFA and Admissions to ensure that the wording of the Transfer Admission Guarantees (TAGs) for transfer students was made clearer. In the coming year, CEP will continue to work with departments and programs to streamline and clarify major preparation requirements, and to help the Committee on Courses of Instruction (CCI) articulate courses more widely across the California community college system.

In the fall term, the Board of Admissions and Relations with Schools (BOARS) at the systemwide level published an advisory policy for all campuses, asking that courses required for major preparation should not be changed with less than two years' notice, to ensure that prospective transfer students have time to plan their coursework at community college. CEP supports this goal, and will adhere to the policy where there is insufficient reason to provide less notice to prospective students. CEP and CAFA wrote jointly to BOARS, opposing having this policy as a rule rather than a guideline.

CEP reviewed and responded to the 2:1 Transfer Strategic Plan created by Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey in the fall term, which proposed how the Senate and the administration could work together to achieve the transfer target.

Mainly because of the hard work of the Admissions Office under the supervision of the VPDUE, the number of transfer students entering UCSC in Fall 2018 far exceeded expectations, going beyond the 2:1 target. Partly because of developments at the community college level, it would be premature to assume that this remarkable outcome is assured for future years, and efforts to remove unnecessary obstacles must continue in all programs. However, if this outcome is sustained, CEP believes that the new entry pathways for transfer students that UCSC created this year — winter transfer admissions, sophomore and senior transfer admissions — should be minimized or closed; UCSC already has poor time to degree statistics, and creating numerous entry pathways for programs makes it harder for departments to guide students toward completing the degree in normative time.

The increase in transfer students entering in fall 2018 is not uniformly distributed among departments. Instead, a small number of departments have experienced sharp increases in enrollment. CEP urged Campus Provost and Executive Vice Chancellor (CP/EVC) Tromp to provide sufficient resources to these departments so that the enrollment increase *benefits* them, rather than expecting them to work with the minimum resources with which they can somehow manage. Over the next few years, ladder rank faculty positions will be needed in some of the departments that have been most highly affected. If programs have more students than can be taught with the resources available to them, they should apply for impactation, failing which CEP will have to take steps to ensure that the program quality is not degraded.

## **II. Timely Graduation of Students**

Throughout the year, CEP was concerned about various aspects of students' timely progress in their academic program, or lack thereof. Approximately a third of incoming frosh at UCSC do not declare their major by the campus declaration deadline. The percentage of frosh graduating in four years dropped from 56% for the 2009 cohort to 49% for the 2012 cohort. CEP reviewed and approved proposed legislation and policies that would take various steps to simplify and reduce the number of student petitions that college and departmental advisors have to handle, so that they can focus on providing guidance to targeted students. This will be submitted to the Senate in the fall. CEP also approved proposed changes to the policy regarding Withdrawal (W) grades; departmental feedback will be obtained before the policy is confirmed.

Because of the lack of time, CEP was unable to discuss proposals to simplify the major declaration process so that the percentage of students who are able to meet the campus

declaration deadline is increased. These changes, and possible policy changes (similar to several other UC campuses) regarding students prolonging their academic programs, should be discussed in the fall.

In response to a proposal from the VPDUE, CEP approved UCSC Physical Education (PE) courses carrying half or one credit if the administration felt it would be able to support such credit-bearing courses. CEP also learned that UCSC accepts up to six transfer credits of PE courses from community colleges. The committee felt that this was excessive and revised the limit to three credits, irrespective of whether the courses are from UCSC or other colleges. With these changes, the committee supported requesting the Senate to repeal the regulation allowing students to graduate with 178 credits instead of 180, which is peculiar to this campus in the UC system.

### **III. Data Analytics for Student Success**

In the spring term, the Senate received a proposal from the Student Success Division and the Institutional Research and Policy Studies (IRAPS) unit to provide various standard reports that might help departments assess how their curriculum works in practice (bottleneck courses, flow of students through the major, migration into and out of the major, etc.), and diagnostics to assess if a student is in danger of not succeeding in their academic path. The committee supported the custom reports created by IRAPS, but had serious criticisms of the reports that the commercial software from the Student Success Division would provide. The committee appreciated the objective behind the proposal and hopes that the shortcomings pointed out by CEP can be remedied.

The proposal also contemplated creating a Data and Information Governance Policy, and possibly curtailing the availability of ad-hoc reports that faculty and staff request at present when standard reports start being provided by IRAPS and Student Success. CEP's recommendation was that a simple data policy, largely codifying present practice, should be sufficient. The committee strongly opposed the possibility that ad-hoc reports might be curtailed; even with standard reports, the demands of curricular planning keep changing, and ad-hoc reports are essential to deal with this.

### **IV. Program Statement Review and New Curriculum Management System**

The General Catalog will transition to a new system provided by an external vendor, SmartCatalog, in 2018-19. This is being supervised by the Curriculum Management Group (CMG) in the registrar's office. CEP consulted with the group when the vendor was being chosen. It also held several meetings with the CMG to decide the structure of program statements in the new catalog. CEP and Graduate Council worked with the CMG to create the new curriculum management system. In the 2018-19 catalog, each degree and non-degree program will have a separate statement. In addition, each academic unit (department, college, division) will have a brief statement and links to all the programs it sponsors, as well as links to any other programs that may be of interest to its students. For an undergraduate degree program, the program statement will have an Information and Policies tab, as well as a tab leading to the course requirements and the planners for the program (with multiple tabs if the major has several concentrations).

In order to prepare for the transition to SmartCatalog, to provide clear guidance to prospective transfer students, and to catch errors in the catalog that have accumulated over the years, CEP conducted a comprehensive review of all program statements this year instead of only looking at the changes from the previous year. During CEP's annual review of program statements in the winter term, each member was required to review two statements per meeting: one as the lead reviewer (comprehensive review) and one as the second reviewer (changes from the previous year). CEP appreciates the work of departments in responding to numerous questions and requests for changes in a short time, enabling the catalog to be released before incoming students enroll in classes for the fall term; this has not been possible in recent years. After the transition to SmartCatalog, the Office of the Registrar, along with CEP and GC, should see if the catalog release date can be advanced still further, ideally before continuing students enroll for the fall term.

## **V. Academic Literacy Curriculum**

Over the last several years, the Writing Program and the colleges had been working on a restructuring of the College Core course and writing/composition requirements, based on new guidelines created by CEP. The results of this effort were reported to the Senate from time to time and in CEP's annual reports. In 2016-17, CEP and the Committee on Planning and Budget (CPB) reviewed proposals from the Writing Program and Council of Provosts, and made substantial modifications to ensure that they would conform to the budgetary constraints.

During the summer, the Senate was apprised that a combined proposal for an Academic Literacy Curriculum (ALC) was being developed by the Writing Program and the Council of Provosts, to replace the modified proposal that was endorsed by the Senate committees in the spring term. The Senate received the proposal early in the fall, whereupon it was reviewed by CEP and CPB. In the proposal, all students would take a College 1 (core) course in which students would not be tracked by their proficiency in writing. After College 1, all students would take one composition course (Writing 2) taught by the Writing Program, with an additional prior course (Writing 1) required for students who had not satisfied the Entry-Level Writing Requirement (ELWR) of the University of California system. The Multilingual Curriculum (MLC), which has hitherto been available only to international students, would be opened to domestic English multilingual students; with this change, the systemwide ELWR satisfaction deadline (one year after matriculation) would be applied to students, except those in the MLC for whom the deadline of four quarters after matriculation would be retained. CEP endorsed the proposal with the following observations:

- i) Detailed assessment plans for students in College 1 would have to be developed by the colleges, with the involvement of the Writing Program and Institutional Research and Policy Studies (IRAPS), when course proposals would be submitted to CCI. The effectiveness of the writing instruction provided by the ALC should not be worse than it is at present for any group of students.
- ii) College 1 courses would have to be designed to engage a broad spectrum of students, since students would not be tracked. CEP and CAFA are reviewing the College Scholars (Honors) program, whose students at present are placed in separate sections of the College Core course. Depending on the outcome of the review, some additional features

in the ALC might have to be introduced in the future for students in the College Scholars program.

- iii) The Writing Program should develop a Writing 2H (honors) course as an option to Writing 2 for students entering UCSC with the greatest writing proficiency who might wish to take a more challenging course.
- iv) Each section of College 1 should have 30 students instead of the proposed 28. Even with this change, classrooms with 30-50 seats would be in high demand, and it might not be possible to schedule all College 1 sections in the colleges.
- v) As per advice from the Committee on Rules, Jurisdiction and Elections, authority over the College 1 course (and other aspects of college curricula) cannot be delegated by the college faculty solely to the College Provost. At a minimum, it must be delegated to the College Provost and the Chair of the Faculty. CEP recommended that the college faculties delegate their authority to a broader group, the College Executive Committee.
- vi) CEP and CPB made suggestions to the administration of possibilities that might lead to additional savings in administrative costs.
- vii) CEP supported the VPAA's recommendation that the Academic Literacy Curriculum be included in the external reviews of the Writing Program.

In order to be implemented in fall 2018, CEP, CPB, the Writing Program, the Council of Provosts and the administration had to review the proposal and each other's comments extremely quickly. CEP is grateful to all of them for this effort. The necessary legislative changes were approved by the Senate in its fall 2017 meeting (SR 10.2.3.1.a and 10.5.2).

## **VI. Kresge Project**

At the beginning of the fall term, CEP learned of a planned reconfiguration of the classroom space in Kresge College as part of a larger project to replace several buildings in the college. CEP wrote to the administration presenting arguments why the campus would be better served if the proposed largest classroom — with 600 seats — were to be scaled back to slightly more than 500 seats, while the intermediate sized classroom with 150 seats was enlarged. The campus administration had chosen the sizes of the classrooms without formal consultation with any Senate committees and without CEP's knowledge. Later in the fall, the Senate was informed that no changes would be made to the project without Senate consultation. Despite this assurance, the committee learned in the winter term that two small classrooms had been cut from the project while preserving the 600 seat classroom, without the promised Senate consultation. CEP, along with CPB and the Senate Executive Committee, protested this action and disputed the reasons behind it. With the introduction of the Academic Literacy Curriculum and the increasing emphasis on effective use of discussion sections, the pressure on small classrooms is increasing enormously, and reducing their number without replacement rooms being identified is imprudent.

## **VII. Introductory Calculus Courses**

CEP continued the discussion that was initiated in 2016-17 about the quality of the introductory calculus courses and the role of their online versions. Calculus courses are foundational to student success for many majors in the School of Engineering and in the Physical and Biological Sciences Division. A letter requesting feedback had been sent by CEP to the Mathematics Department in spring 2017. The response from the department, an IRAPS study comparing the effectiveness of online and face-to-face calculus courses, and a study of calculus courses at other UC campuses conducted by a CEP subcommittee were reviewed by CEP.

CEP recommended to the Math Department that discussion sections in these courses should be small and used for active learning. The Math Department agreed to implement this recommendation. Later in the year, CEP discussed with the Math Department and the Physical and Biological Sciences (PBSci) Dean how to ensure that the department would have adequate resources to accomplish this.

At CEP's request, the Math Department also agreed to look into the feasibility of a Calculus Room, where help is available to all students in calculus courses for a block of time each day; UC Davis uses this very successfully.

CEP also recommended that the class sizes in Math 19A, 19B and 23A be limited to 150-200 students; this is the general practice at other UC campuses. In response, the PBSci Dean pointed out that there was no data to support the conclusion that this norm was actually beneficial for students. CEP has requested the Math Department to have two offerings of one of these courses in a single term, taught by the same instructor, with appropriate class sizes (e.g. 200 and 450) to test this.

The IRAPS report on the online calculus courses found them to be as effective academically as the face-to-face offerings of the same courses. The data that was studied was limited by the way in which these courses have been offered by the Math Department; there were no examples of an online and face-to-face version of a course being offered in the same term, which would have allowed a direct comparison of the academic performance of the two groups in the next term. The IRAPS report urged the Mathematics Department to develop rubric-based comparisons of the two versions instead of relying entirely on the statistical analysis. After discussion, CEP concluded that reviewing a specific online course is the purview of the Committee on Courses of Instruction. CEP focused on constructing a general policy regarding the use and review of online courses.

### **VIII. Online Course Policy**

CEP has been concerned that our campus does not have a policy for online courses, nor do we provide guidance to campus departments. During the fall quarter, a sub-committee was formed to make recommendations for a UCSC online course policy. The sub-committee reviewed policies from other campuses in the UC system and across the country, and presented recommendations to the full committee. CEP members all agreed that students should have a choice between face-to-face and online offerings of a course, and not more than 50% of the seats in a course should be online in any academic year (with certain exceptions). The schedule and questions for review of new online courses were modified: 1) assessment reports would be limited to the first and third years; and 2) the revised questions sought to eliminate duplicate information and to target more

precisely issues distinct to fully online courses. The policy was then reviewed by the Committee on Courses of Instruction, which made minor changes to the assessment questions. Proctoring remains a concern for both committees. The policy will be presented to the Senate in the fall for feedback.

CEP members agreed that online courses should be clearly visible as such to students. The committee discussed the possibility of having a special suffix to the course number for an online course; although this is the practice at a few UC campuses, the committee was informed by the registrar that this would be too complicated to implement at UCSC. The committee then decided that the schedule of classes for each quarter would show “Online” in the Location field for online courses, and section numbers in a certain range (e.g. 90 and above) would be used. The course description in the catalog should also state if the course is sometimes or always offered online.

### **IX. Impaction Policy and Computer Science Enrollment Management**

The Senate and administration worked together in 2016-17 to develop an “impaction policy” by which departments whose curricular resources were insufficient to teach the number of students interested in their academic programs could limit the number of students. Hitherto, all students who satisfied the qualification requirements for a program would be admitted into the program. Following comments from Senate committees, the Vice Provost for Academic Affairs (VPAA) circulated an updated version of the policy this year. CEP supported the policy with minor comments. Beyond the impaction process, CEP retains the ability to make modifications — or suspend admissions to — an undergraduate program that is not functioning properly.

Toward the end of the fall term, the Senate received an enrollment management (impaction) proposal from the Computer Science (CS) Department for its undergraduate programs. The enrollments for CS majors have grown extremely rapidly over the last few years. For 2018-19, the Admissions Office estimated the number of proposed majors would grow by another 25%. Senate committees were concerned that a public university is about access, and the CS major is perceived by many students as a path to a brighter future. After extensive discussion by CEP, CPB and CAFA, the Senate supported the impaction request for one year. CEP was unable to verify the capacity analysis supplied by the Computer Science Department in time for 2018 admissions, but in view of the urgency of the situation, tentatively endorsed the target of 400 CS declarations per year (excluding transfer students) for one year. CEP recommended that the number of transfer students per year should be capped at half the target number of non-transfer declared majors per year. CEP also requested curricular changes, and asked that the department conduct a curricular review as recommended by their last External Review Committee. Following Senate review, the number of students admitted as proposed Computer Science majors for fall 2018 was limited, and lateral entry into the program (from students proposed or declared in other majors) was stopped. If this is to be continued for 2019, the department will have to submit a request for renewal.

Near the end of the spring term, CEP learned that there was a serious shortfall in the number of seats planned for 2018-19 in various essential CS courses, partly because the number of frosh and transfer students accepting admission offers in CS was unexpectedly large. The committee was also told that incoming students listing CS as an alternate major in their application might be allowed to propose the major, but the committee did not have to take steps to respond to this

because it was informed by the Vice Provost and Dean of Undergraduate Education (VPDUE) that this would not happen. CEP wrote to the CS Department Chair, BSOE Dean Wolf, and CP/EVC Tromp with its analysis of the deficiencies in the 2018-19 CS course offerings and a request that the problem be remedied by the administration during the summer. CEP asked that a revised Curriculum Plan be provided to the committee by the beginning of the fall for the committee to assess if further steps would be needed.

### **X. Baskin School of Engineering Reshaping Proposal**

Late in spring quarter the Senate received a proposal to reorganize the School of Engineering. The proposal included (i) the disestablishment of the Computer Science, Computer Engineering and Electrical Engineering departments and their reconstitution as two departments instead of three; (ii) the disestablishment of the Department of Technology Management and the redistribution of its faculty; (iii) the disestablishment of the Department of Applied Mathematics and Statistics; and (iv) the creation of a Department of Statistics and the transfer of faculty in Applied Mathematics to the newly created Department of Electrical and Computer Engineering. CEP reviewed the proposal based on the immediate and long-term impact on the undergraduate curriculum, and offered qualified support for the first item and support for the second and third items, while disagreeing with the fourth item. The final decision by the CP/EVC approved the creation of the departments proposed by the BSOE Dean as well as a Department of Applied Mathematics, with the Department of Statistics and the Department of Applied Mathematics to be reviewed internally after three years. Decisions about programs and courses were deferred to 2018-19.

### **XI. Strategic Academic Plan**

At the end of the fall term, the Senate received its first request from the administration for input about the Strategic Academic Plan that was being developed. This was the first of several such requests during the rest of the year, generally with short deadlines. Especially during the winter term when program statement review had to proceed at a pace that ensures timely publication of the General Catalog, short deadline requests from the administration strained the committee. Senate feedback was first requested to identify strategies for resource generation and to identify internal barriers to teaching and research. (Although the request from the administration asked for barriers to *interdisciplinary* activity, the scope of this item metamorphosed and broadened.) Feedback was then requested on the Future State Brief, which was supposed to identify design principles for future campus growth; unfortunately, CEP found the “principles” to be platitudes. Finally, feedback was requested on the Themed Academic Working Groups (TAWGs) in the spring term; unfortunately, the large number of other items pending with the committee and the brevity of each of the TAWG proposals made it impossible for CEP to conduct a review in as much depth as it would have liked. More details, including most of CEP’s letters on the matter, can be found on the Strategic Academic Planning Website<sup>1</sup> and on CEP’s website<sup>2</sup>. The draft SAP was released in the middle of July, to be reviewed by Senate committees during the summer before being finalized by the CP/EVC. CEP’s response is on the Senate website.

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<sup>1</sup> <https://cpevc.ucsc.edu/academic-plan/index.html>

<sup>2</sup> <https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/CEP%20to%20AVPAA%20re%20Strategic%20Academic%20Plan%20Process.pdf>

## **XII. Review of Major Qualification Policies (MQP)**

Qualification policies have been approved for many undergraduate majors over the last several years: students are required to complete a set of courses with a specified minimum GPA before they can declare the major. For some majors, students cannot obtain more than one failing grade in the qualification courses, or cannot complete the requirements after the UCSC major declaration deadline. All major qualification policies were approved by CEP based on student data presented to the committee. However, each department's request would analyze the data differently. CEP felt that it was desirable to develop a uniform protocol to review existing major qualification policies from time to time and to evaluate requests for new major qualification policies. The data analysis should be conducted by IRAPS. When reviewing existing major qualification policies, the following should be taken into account:

1. For majors that require a set of courses to be completed — perhaps by the campus deadline to declare a major — the review will consider whether the number and choice of courses was the appropriate subset of the course requirements for the major. Barriers to completion will also be considered (long chains of prerequisites, the length of waitlists, the number of offerings per year, fail/withdraw rates, and entry quizzes) and the term in which students typically complete the qualification requirement.
2. For majors that require completion of courses with no more than one failing grade, CEP will examine students with one failing grade and how the success rate in the major for these students compares to campus averages, to see if two failing grades would indeed be undesirable. All questions for Category 1 are also relevant here.
3. For majors that require a minimum GPA in courses, with or without a limit on failing grades, an analysis looking at threshold cases, similar to Category 2, should be conducted.
4. For major programs that require a specific grade individually in multiple courses, CEP will request data about whether obtaining the minimum grade in any one of the courses is indeed sufficient to result in borderline student success rates. Otherwise, recognizing the variation in grading from one instructor to another, wherever possible these should be replaced with a GPA in a set of major qualification courses.
5. For majors that require completion of a minimum number of courses from a much larger set, and count the GPA in all completed courses, the review will be similar to Category 3. In addition, CEP will seek data about whether students who complete the minimum number of courses and fail to meet the required GPA continue to take major qualification courses without ultimately being able to declare the major, thus merely delaying their rejection. If this is the case, the policy should be changed so that eligibility to declare the major is determined as soon as the student has completed the minimum number of courses.

The review of proposed new major qualification policies will be similar, except that there will be sufficient data on student success for students who do not meet the proposed qualification policy, and therefore the extrapolations in Category 2 - 5 are not needed. CEP will work with IRAPS to

decide the best way to measure student success (e.g. four/five year graduation, graduation in the declared major or in any major, etc.). CEP will also check with IRAPS if separate analyses can be conducted for transfer students, which would allow major qualification and major preparation requirements to be decoupled; at present, CEP policy does not allow major preparation requirements to exceed major qualification requirements.

### **XIII. Graduate Student Instructors**

Director Greene from the Center for Innovations in Teaching and Learning (CITL) consulted with the committee on the programs the center is offering. Among those, CITL has created a training program for graduate student teaching assistants. The Center has rewritten the Graduate TA Handbook and is encouraging departments to promote compliance and professional development for graduate students. Currently, there is a 10-week Graduate Pedagogy Fellows program that is available to students who are interested; students meet for two hours every other week during the quarter and develop training for their home departments. There is also a pilot program for summer session Graduate Student Instructors (GSIs) with peer mentoring. CEP members support the center and will advocate that it be provided adequate resources in the fall.

CEP also reviewed a proposal from the central administration to promote the use of GSIs. The committee acknowledges that some graduate students can teach certain courses very well, and that teaching experience is valuable for the future career plans of many graduate students. However, the committee could not endorse the proposal without clearer guarantees that the GSI would be sufficiently qualified, trained, and mentored.

### **XIV. College Scholars Program (CSP)**

In the fall term, CEP formed a joint subcommittee with CAFA to review the campus honors program, which has been renamed the College Scholars Program (CSP). Some colleges admit students to this program when they enter UCSC in the fall term. An additional group of students is admitted to the program in the spring term of their frosh year. UCSC compares favorably to national averages with regard to retention and graduation of its academically weaker students, but fails to do so at the other end of the spectrum.

CEP discussed the report of the subcommittee in the spring term, consulting with the Director of CSP. Both the Program Director and CEP supported the subcommittee recommendations. To this end, CEP has written to CP/EVC Tromp requesting that CSP students be provided a space of their own at certain designated times during the week to foster interaction and allow the students to organize their own activities. CEP will work with CAFA to expand enrollments in this program, which will enable additional colleges that wish to participate in the fall-start part of CSP to do so. CEP expects to send a request for resources for this program to the administration next year, after a review of similar programs across the country. At present, some volunteer work by faculty members, especially college provosts, is needed to keep the program running, which is a precarious situation.

### **XV. International Exchange Program Proposal**

VPDUE Hughey requested Senate review and comments on his proposal as Interim Vice Provost of Global Engagement (IVPGE) to bring students to UCSC as part of an international exchange visitor program. UCSC is estimating 10-20 students will be in the program for any year. CEP

was supportive of the program, approving priority enrollment as long as the enrollment does not exceed 30 in any year. If the number goes beyond the limit, CEP will revisit this status.

CEP did not approve waiving course prerequisites for these students. CEP expressed concern to the IVGPE that, in some courses, the department approves all prerequisites being waived for visiting students, and asked how this was consistent with Senate Regulation SR 542, which gives *instructors* the right to keep out unqualified students from their courses. IVGPE Hughey proposed that, when such waivers were sought for any term, the course sponsoring units would be informed that they would need approval of the instructor. CEP found this arrangement satisfactory and consistent with SR 542. CEP has subsequently sought clarification about the reported practice in which prerequisites are waived for *all* students in a Summer Session course, including UCSC students.

### **XVI. Senior Comprehensive Requirement**

The Senior Comprehensive requirement was part of the grading process approved when UCSC was established with the Pass/No Pass narrative evaluation system. This requirement has morphed into a requirement that is not necessarily comprehensive in the sense of tying together the student's study of discipline during their undergraduate career. Some departments create a senior capstone experience for their majors, which CEP felt plays a valuable role. The committee discussed if the Senior Comprehensive should be retained as a requirement or made optional for each program, perhaps with CEP permission. After discussion and informal consultation with various departments, the committee sent a letter to all department chairs requesting their perspective. Six departments with undergraduate majors responded, all of which supported the requirement and indicated that successful completion benefited students and contributed to student satisfaction in their program.

### **XVII. Course Grading Schemes**

CEP considered whether the grading scheme used in a course must be provided to students at the beginning of the term in the course syllabus. The committee concluded that fairness to students requires that this be done. The committee also decided that an entry quiz, where the performance of a student on a quiz to be taken at the beginning of the course (i.e., based on prior knowledge) can determine whether they fail the course, is a kind of prerequisite, and must be approved by CCI and noted in the catalog description of the course. In the course of the discussion, committee members realized that different departments may have very different grading schemes that they commonly use; information was requested from a few departments to allow the committee to better understand practices across the campus.

### **XVIII. Double Counting Policy**

In 2016-17, CEP requested clarification from the Committee on Rules, Jurisdiction and Elections (RJ&E) about how courses satisfying the requirements for two majors should be counted for students pursuing double majors, in the light of Santa Cruz Regulation SCR 10.4.7. RJ&E's interpretation was stricter than the current practice. After discussion in 2017-18, CEP felt that it would not be desirable to change the current practice and brought draft legislation to the Senate to amend SCR 10.4.7. The proposed legislation was approved.

### **XIX. Other Policies**

CEP reviewed the policy regarding Withdrawal (W) grades in courses. At present, students can withdraw from any course until the end of the sixth week of a term, and thereafter under documented emergency circumstances, with permission. This results in a lot of petitions being processed by college advisors, and a surge in the workload for Counseling and Psychological Services (CAPS) in the last few weeks of each term. After discussion, the committee felt that the six week deadline should be extended to nine weeks, with a limit placed on the number of such non-emergency W grades. The proposed policy will be discussed with departments for feedback.

CEP also reviewed divisional regulations pertaining to undergraduate students, with the general objective of simplifying and reducing the number of student petitions. Proposed legislative changes, and policies, will be presented to the Senate in its fall meeting.

### **XX. Routine Business**

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

- *New programs:* New program proposals reviewed and approved this year included the Environmental Science B.S. and the Intensive History Major. An Anthropology B.S. proposal was reviewed, and comments were returned to the department. A proposal for an Accounting concentration in the majors sponsored by the Economics Department was also returned to the department with suggestions about how it could be modified and resubmitted.
- *Maintenance of programs:* Proposals to change the names of the concentrations in the History major and to transfer the Biomolecular Engineering concentration from the Bioengineering program to the Bioinformatics program (to be renamed Biomolecular Engineering and Bioinformatics) were approved. CEP reviewed and endorsed the charter and bylaws for the interdisciplinary Art Design: Games and Playable Media program. CEP also reviewed the charter and bylaws for the Computer Science: Computer Game Design program, but objected to the fact that all Senate faculty in the Computational Media Department would not have equal voting rights in the program, despite contributing fully to teaching the program. A revised charter and bylaws are expected for this program.
- *Discontinuance and suspension of programs:* CEP approved the discontinuance of concentrations in the Feminist Studies program, the discontinuance of a concentration in Science Education in the Earth and Planetary Sciences program, the discontinuance of the Assistive Technology (Cognitive & Perceptual) concentration in the Bioengineering program, and the suspension of the German Studies major due to the lack of resources.
- *Internal review of new programs:* The reports from the three-year review of new programs were discussed by CEP for Critical Race and Ethnic Studies (CRES) and the Sustainability Minor. The committee informed the VPAA that the CRES program was under-resourced and suggested how this could be remedied. The committee supported the proposal that suitable college courses should be provided with Teaching Assistant (TA)

support, provided that this was not achieved by changing the formula by which TAs are provided to academic divisions. (The actual number of TAs varies from year to year and could go down if the enrollment in courses in a division were to decrease as a result of college courses.)

- *External reviews:* At the request of the Languages & Applied Linguistics Department and the Dean of Humanities, CEP recommended deferral of the external review of the department by one year. CEP participated in the external reviews of the following departments: Applied Mathematics & Statistics, Art, Chemistry, History, Linguistics, Music, and Earth & Planetary Sciences.
- *Mid-cycle reviews:* CEP reviewed mid-cycle reports and made recommendations on the length of review cycle for the following departments and programs: Electrical Engineering, Mathematics, Ecology and Evolutionary Biology, and Molecular, Cellular and Developmental Biology.
- *University Extension:* After reviewing systemwide and local regulations and Regents' Standing Orders, CEP, CCI, and GC created a new process for approving UNEX courses and certificate requests. The UNEX certificate in Supply Chain Management was approved under this process.

In addition to the issues discussed in earlier sections of the report, CEP dealt with the following matters:

- Systemwide review of draft changes to Academic Personnel Manual Section 285 for Lecturers with Security of Employment.
- Review of systemwide Senate Regulation 424.A.3, changing the Area d requirement for incoming frosh at the University of California from two units of Laboratory Science to three units of Science.
- Request to remove notation about academic disqualification or an enrollment bar for academic reasons after the sanction has ended; enrollment bars for disciplinary reasons are removed under similar circumstances. The request was approved.
- Review of Disciplinary Communication (DC) Grant proposals from the following departments: Art, Ecology and Environmental Biology; Environmental Studies; Psychology; the CITL, IRAPS, and the Writing Program (joint proposal); and Crown College. CEP made recommendations to the VPDUE who makes the final funding decision.
- Updated learning outcomes for the Composition requirement. CEP approved the revision.
- Request for clarification about whether a course that had been approved as satisfying the Disciplinary Communication (DC) requirements for two majors would fulfill this

requirement for both majors for a student pursuing both. CEP decided that the same course could be used for both DC requirements.

- Review of student categories that are given priority enrollment. CEP decided to retain the status quo.
- Proposal from Office of Research to provide seed funding to Centers of Excellence that have the potential to generate substantial extramural funding. CEP felt that a more detailed and better justified proposal was needed.
- Proposal from Graduate Division that teaching assistantships should be provided for large classes in master's programs. CEP opposed this being done by reducing TA allocations for undergraduate courses. The committee also felt that large master's classes would primarily be in self-supporting programs (at UCSC, programs charging professional degree supplemental tuition) for which the supplemental tuition should be sufficient to cover such expenses without cutting back on resources provided for undergraduate courses.

Throughout the year, CEP was provided with valuable input from Associate Registrar Margie Claxton and the Academic Preceptor representative Kalin McGraw. We also thank analysts Susanna Wrangell and Kim Van Le for the enormous amount of work they did in supporting the work of the committee and serving as a repository of knowledge about CEP activity in previous years.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

Jeffrey Bury

Ben Carson (W&S)

Patrick Chuang

Suresh Lodha

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Joy Hagen, NSTF

Jessica Xu, Undergraduate Representative

Burcu Birol, Undergraduate Representative (W&S)

Lauren Woo, Undergraduate Representative (S)

Ben Carson, Provost Representative (F)

August 31, 2018

## **Committee on Emeriti Relations Annual Report 2017-18**

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met four times during the 2017-18 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) and participated in the selection of a new director for the UCSC Retirees and Emeriti Center.

### **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 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 2018-19 proposals went out to Senate Faculty, divisional deans, and department chairs on November 6, 2017 with a deadline for submissions of January 15, 2018. The submissions were forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which gave its recommendation to CER. 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 2018-19 Dickson Professorship was awarded to **Frank Bridges, Dominic Massaro, and Pat Zavella**.

Frank Bridges, Professor Emeritus of Physics (Physical and Biological Sciences), will be examining materials that undergo phase transitions, e.g. magnetic to non-magnetic, when subject to pressure. His project entitled "The concept of 'chemical pressure'; how does it differ from actual pressure?" will focus on understanding the precise atomic structure of these materials under different conditions.

Dominic Massaro, Professor Emeritus of Psychology (Social Sciences), will continue his work with large databases to understand how children acquire language in his project entitled "Analyzing Big Data to Understand Children's Language Acquisition: Dissemination, Reproduction and Discussion of Experimental Approaches to Children's Language Acquisition."

Pat Zavella, Professor Emerita of Latin and American and Latino Studies (Social Sciences), will work on the completion of the book, *Our Bodies, Our Rights: Women of Color and the Movement for Reproductive Justice*, that explores activism by women of color working on behalf of reproductive justice.

All three of these Emeriti wrote persuasive proposals, 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 Chair Bowman during the annual Emeriti Association luncheon with the Chancellor on April 5th, 2018 and at the Spring Academic Senate Meeting of 2018. In the future, we look forward to having the names of the new Dickson Emeriti Professors announced and publicized in additional venues.

### **Retirement Benefits**

There was a concern early this year that UC was going to revisit its commitment to pay a minimum of 70% of the cost of retiree health benefits. After objections were raised by CUCEA, CUCRA, and UCFW, the discussion of this proposal was removed from the agenda of the Board of Regents. For the upcoming year there will be no changes for most retirees. However, there is a small group of retirees who did not select to contribute to Social Security, who will see an increase in their contribution to healthcare insurance. The fund of UCRP assets from which retiree pensions are drawn had a good year, increasing by 12%.

Respectfully submitted;  
COMMITTEE ON EMERITI RELATIONS  
Murray Baumgarten (W&S)  
Linda Burman-Hall  
Norma Klahn  
Daniel Selden  
Stefano Profumo, *ex Officio*  
Barry Bowman, Chair

August 30, 2018

## **Committee on Faculty Welfare Annual Report, 2017-18**

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 Systemwide University Committee on Faculty Welfare (UCFW).

CFW's work in 2017-18 focused attention on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life. The key topics of this year's work were

- (1) a new faculty salary study centered on the question of equity across gender, ranks, and race at UCSC, and
- (2) a close engagement with Campus Administration on the rapidly evolving development of a childcare facility on campus.

Other topics traditionally making up a substantial part of the committee's work, such as healthcare and retirement, did not see as much activity since no major changes have occurred either on campus or systemwide.

### **Faculty Salaries**

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 2018. The data used in the analysis correspond to the October 2016 payroll extract in the UC Office of the President Corporate Data Warehouse as provided to CFW on February 2, 2018 by the office of Assistant Vice Provost of Academic Personnel (AVP) McClintock. As in previous years, this data set does not include professional schools, and it does not reflect all 2016-17 personnel actions, nor the July 1, 2017 academic salary plan. The data contained salary information on 7,567 faculty members from all campuses except UC San Francisco, a primarily medical campus. Of these faculty, 1,593 were on the Business, Economics and Engineering (BEE) scale, and 5,974 were on the regular (REG) scale.

In addition to the comparative study across the UC system, this year a central focus of CFW's analysis was salary equity across gender, ethnicity, and academic affiliations within the UCSC campus (CFW did not receive any system-wide data which included gender, ethnicity, and academic affiliations). The data set we used for this analysis reflects UCSC salaries as of the academic year 2017-18, and includes recent retention reviews data.

This year's CFW salary analysis was structured as follows: we started with a critical review of the Annual Report of Faculty Salary Competitiveness from the Academic Personnel Office<sup>1</sup> (APO), and made four recommendations for future APO salary competitiveness studies; we then

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<sup>1</sup> <https://apo.ucsc.edu/advancement/data-and-reports/index.html>

presented our equity study, which comprises three sections: (1) ethnicity and gender salary and salary growth gaps; (2) the role and equitability of retention actions as they impact salaries and salary growth; and (3) salary and salary growth equity across academic divisions and departments.

### **FACULTY SALARIES ANALYSIS: EXECUTIVE SUMMARY**

**Finding 1:** UCSC salaries continue to lag behind system-wide levels, up to 8.5% for Above-Scale professors on the REG scale. The gap between UCSC median salaries and UC systemwide salaries increased compared to last year, even though the (original, uncurtailed) Special Salary Practice (SSP) was still in place for 2016-17 personnel actions. CFW anticipates that with the drastic changes and reduction in scope for the SSP, salary gaps will continue to grow. The situation is dismal for the top 25% and even worse for the top 10% at a given rank/step, and, when considering cost of living, makes UCSC salaries largely non-competitive even just compared to our sister UC campuses. CFW advises future APO analyses to: (1) Eliminate the misleading and inappropriate use of and comparison to 7-campus medians; (2) Include Above Scale faculty salaries; (3) Factor in estimates of cost of living; (4) Include a comparison to past years' figures.

**Finding 2:** UCSC faculty salaries have a “gender gap” of -10.4%, or \$14,648/yr and an “ethnicity gap” (non-white versus white) of -11.8%, or \$16,683/yr. Faculty at higher ranks and steps and with longer tenure at UCSC are increasingly less diverse both in gender and ethnicity, which explains in part the aggregate salary gaps. CFW finds a significant and persistent gender gap at the Assistant Professor rank (5.7% or \$5,655/yr) and at the Full Professor (6-9) rank (4.3%, or \$7,710/yr). Salary growth did not show a significant gender or ethnic bias.

**Finding 3:** CFW's study indicates the highly significant role that retention actions play in affecting overall compensation. Faculty who had a retention review have significantly higher median salaries and annual median salary growth. Given the large gender, ethnicity, and academic affiliation variance in retention actions, salary growth is intrinsically inequitable, for instance disproportionately benefitting male over female faculty members and certain academic divisions and departments and not others. CFW reiterates the recommendation made last year to adopt salary strategies that better reward and compensate meritorious faculty within the normative personnel action path such as an enhanced version of the Special Salary Practice.

**Finding 4:** UCSC exhibits a strong correlation between low average salaries and the representation of female faculty in a given department, but no such correlation exists in salary growth or based on ethnicity (white versus non-white faculty fraction by department); CFW finds that the Arts division has a systematically low promotion rate, resulting in a low salary growth; CFW did not find evidence for promotion growth bias based on gender or ethnicity at UCSC.

## COMPARISON OF UCSC MEDIAN SALARIES TO SYSTEM-WIDE SALARIES

The January 2018 “Annual Report of Faculty Salary Competitiveness”, prepared by the UCSC Academic Personnel Office<sup>2</sup> serves “*to monitor progress toward the two goals outlined in the Joint Task Force Report<sup>3</sup>, namely:*

- 1) *to raise the median off-scale dollar amount at UCSC to the median off-scale amount at the next lowest campus-- then UC Davis-- by July 1, 2009; and*
- 2) *to raise UCSC’s median faculty salary to the UC systemwide (9-campus) median by July 1, 2011.”* The report subsequently indicates that “*Since the 2008 Task Force Report, ‘off-scale dollars’ has become increasingly unreliable as a measure of salary competitiveness*” and that, as a consequence the report “*now focuses on overall faculty salary median, with the understanding that the variation between campuses is a result of differing practices and mechanisms to increase the off-scale components.*”

Additionally, the report specifically indicates (despite its title) that it “*does not address issues of faculty salary market competitiveness*”, including not addressing the issue of cost of living, which was a core focus of CFW’s analysis last year. The report separately considers the Regular scale (REG) and the Business, Engineering, Economics (BEE) Scale.

CFW respectfully advises future salary analysis to:

1. **Eliminate the misleading and inappropriate use of and comparison to 7-campus medians.** There is no rationale at all in excluding UCLA and UCB from salary comparison, as already emphasized in CFW’s 2016-17 Annual Report.<sup>4</sup> First, it is important to note (as also noted in CFW’s Faculty Salary Analysis last year<sup>5</sup>) that both UCLA and UCB are coastal/city campuses, with cost of living similar (and, in fact, by all three measures considered by CFW’s analysis last year, *lower!*) to Santa Cruz. Second, our campus systematically uses cross-campus equity (including UCB and UCLA) as a 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. CFW reiterates that continuing to offer comparisons to 7-campus medians is misleading and inappropriate, and should be eliminated from future analysis and disregarded in evaluating the findings of this year’s APO faculty salary study.
2. **Include Above Scale faculty salaries.** Approximately 8.5% of all Senate faculty are Above Scale, with similar numbers at other UC campuses. These faculty are obviously a very active and important component of our faculty. There is no rationale at all for

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<sup>2</sup> UCSC Academic Personnel Office Annual Report of Faculty Salary Competitiveness, January 2018

<sup>3</sup> Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008

<sup>4</sup> Committee on Faculty Welfare, Annual Report, 2016-17

<sup>5</sup> Committee on Faculty Welfare Faculty Salary Analysis Academic Senate Report, January 2016

factoring out these faculty members based on the fact that their salaries are Above Scale, especially in view of the fact that a very small fraction of salaries have no off-scale compensation, making any reference to on-scale salaries fairly meaningless. We strongly urge future APO studies to include above-scale salaries.

3. **Include estimates of cost of living.** A study titled “Report of Faculty Salary Competitiveness” that explicitly mentions that it does not “address issues of faculty salary market competitiveness [and] cost of living” is of very limited use. CFW is of the opinion that any meaningful and useful (to both faculty members and the administration) faculty study must include an assessment of cost of living, as critical decisions such as new hires and retentions obviously do. There is no merit or usefulness in comparing dollar-to-dollar salaries across campuses where cost of living differs by up to around 30%, the difference between cost of living in Santa Cruz and Merced.<sup>6</sup>
4. **Include a comparison to past years’ figures:** The APO analysis fails to compare faculty salary gaps between UCSC and UC system-wide medians now versus past years.

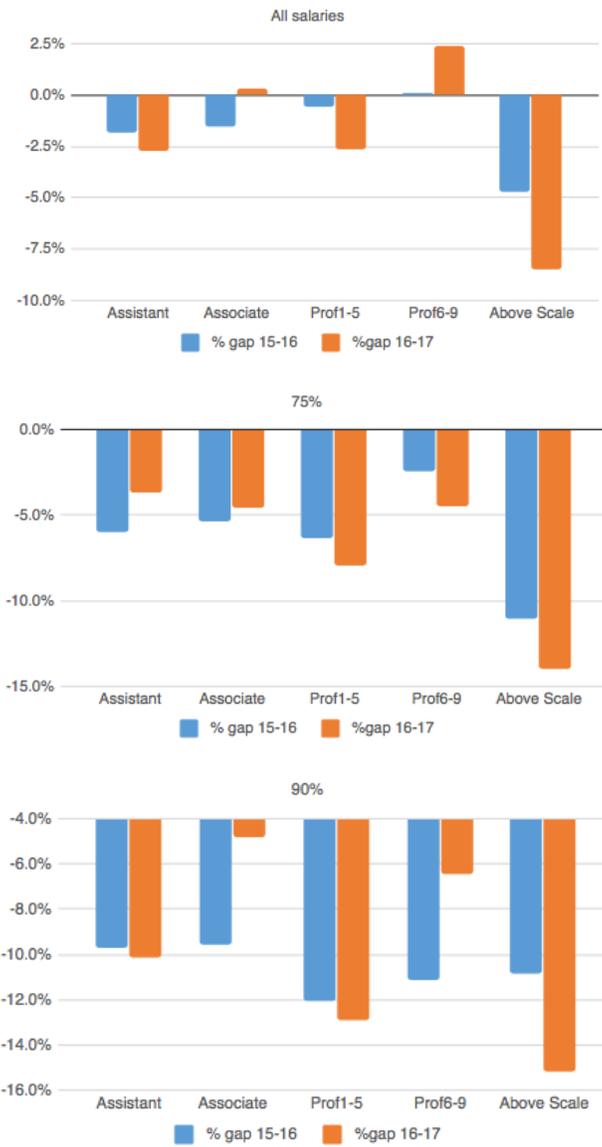
CFW decided to address some of the shortcomings listed above in the present section of our salary analysis. Figure 1 focuses on the REG scales, and compares the median salary gaps at given ranks and steps between UCSC and UC-system medians. Unlike what the APO study states, gaps are larger than 3% (the gap for above-scale faculty is at 8.5%, or almost \$17,000). Additionally, with the exception of Associate and Professor 6-9, the gap between UCSC and UC-wide median salaries is widening, even though the Special Salary Practice (SSP) was still in place for 2016-17 personnel actions. CFW anticipates that with the drastic changes and reduction in scope for the SSP, salary gaps will continue to grow (as CFW’s study last year, comparing historical trends before and after the institution of the SSP at UCSC, had predicted).

The situation is markedly worse with the high-end salaries (75th and 90th percentile, corresponding to the top 25% and 10% salaries at a given rank/step). We note that none of these salary comparisons include cost of living, and that our analysis last year indicated that including cost of living places UCSC salaries gaps at the 10% or greater level. UCSC salaries therefore continue to not be competitive with salaries at other UC campuses, and the drastic reduction of the scope of the SSP goes in the opposite direction to addressing this critical strategic issue.

Fig. 2 shows the same analysis for the BEE scale. Here, the trend compared to the previous year is not as bad, but salary gaps continue to exist, especially above scale and for the higher percentiles.

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<sup>6</sup> Committee on Faculty Welfare Faculty Salary Analysis Academic Senate Report, January 2016



**Figure 1: Comparison between 2015-16 (blue) and 2016-17 (orange) median salary gaps for UCSC versus UC system-wide medians at a given rank/step, for all salaries (top), the highest 25% salaries at a given rank/step (middle) and the highest 10% salaries (bottom) for the REG scale**

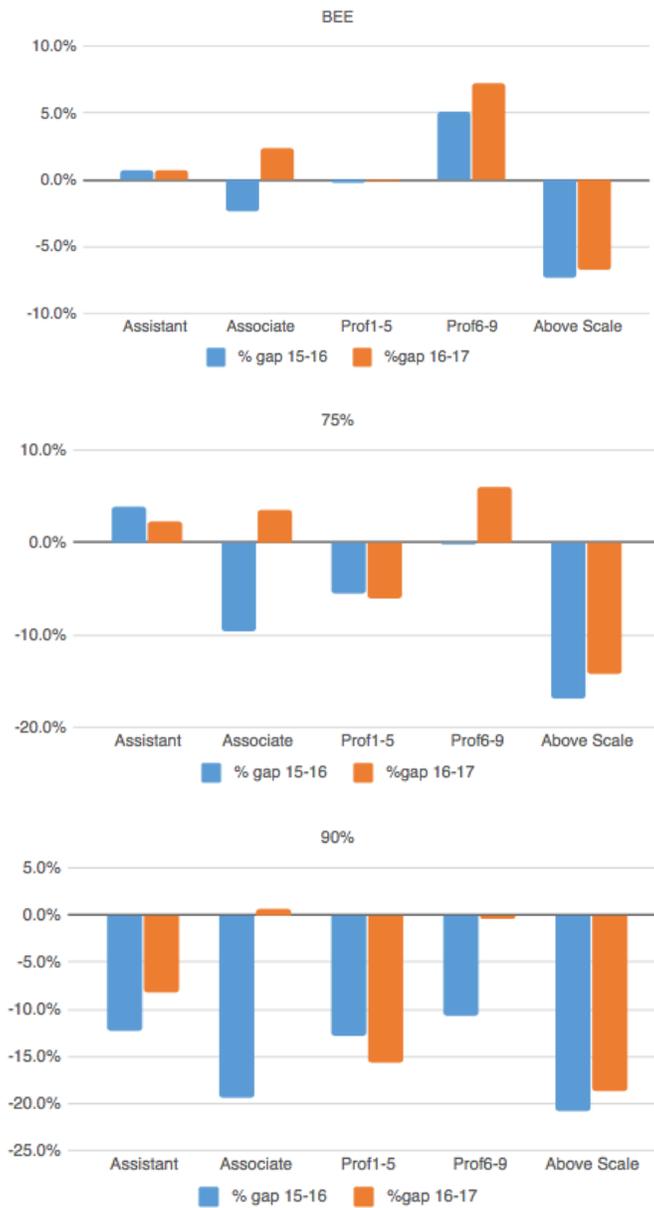


Figure 2: As in fig.1, but for the BEE scale

## **SALARY EQUITY STUDY: (1) ETHNICITY AND GENDER**

CFW analyzed data provided by the APO on November 29, 2017<sup>7</sup>, and December 7, 2017<sup>8</sup>, which included data on ethnicity, gender (M/F), initial hire date and rank/step, initial hire salary, 2017-18 rank, step and salary, departmental affiliation, and an (incomplete) list of 141 successful-only retention reviews, limited to retentions from 2000-01 onward. The data referred to a total of 580 faculty members.

With the intent of analyzing possible salary inequities on the basis of ethnicity, CFW simplified the ethnicities to six categories: Unknown (16), Native American (9), Black (18), Latinx (53), Asian (140), and White (380); CFW also considered the breakdown of White (380) versus non-White (the remaining 200) faculty members.

Considering all salaries, thus the aggregate of REG and BEE salary scales, CFW finds that as of 2017-18 UCSC faculty salaries have a “gender gap” (defined as the difference between the average salary of female faculty members minus the average salary of male faculty members) of -10.4%, or \$14,648/yr; CFW also finds that UCSC faculty salaries have an “ethnicity gap” (defined as the difference between the average salary of non-white faculty members minus the average salary of white faculty members) of -11.8%, or \$16,683/yr (see figure 3).

Aggregate salary gaps do not compare faculty salaries for faculty members with the same length of appointment or rank/step. The demographics of UCSC faculty is highly skewed, as we illustrate in figures 4 and 5. Figure 4 illustrates the fraction, at a given rank/step, of non-white (blue columns) and of female (red columns) faculty members. Figure 5 shows the fraction, at a given rank/step, of white male faculty members. The figures portray the fact that faculty at higher ranks and steps and with longer tenure at UCSC are increasingly less “diverse” both in gender and ethnicity. This explains in part the aggregate salary gaps. The trend of growing diversity at lower faculty ranks indicates that campus efforts to increase diversity are delivering statistically significant results.

Breaking down the ethnicity and gender gap by rank/step, CFW found that there is no significant ethnicity salary gap (with the possible exception of the Associate professor rank), while there is a significant, persistent gender gap, especially and worrisomely at the Assistant Professor rank (5.7% or \$5,655/yr) and at the Full Professor (6-9) rank (4.3%, or \$7,710/yr). CFW strongly suggests further study of this gender gap, especially at junior ranks.

A critical measure of salary equity is salary growth. CFW studied (figures 8 and 9) the average annualized salary growth at a given rank/step for, again, white versus non-white faculty (fig. 8) and for female versus male faculty (fig. 9). CFW finds that salary growth is lower for the Assistant, Associate, and Full (5-9) Professor ranks for non-whites compared to whites; CFW also finds that female faculty salaries, on average, grow on par with male faculty salaries, with the possible exceptions of the Associate and Above Scale Professor ranks.

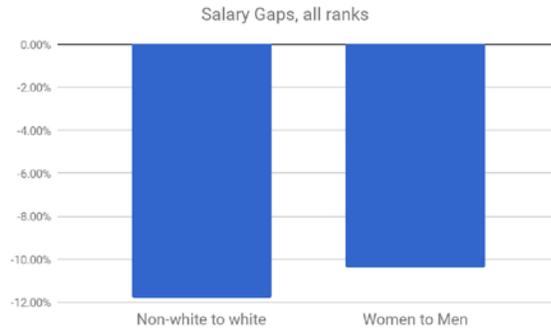
Finally, fig. 10 and 11 break down average salaries and average salary growth at given ranks and

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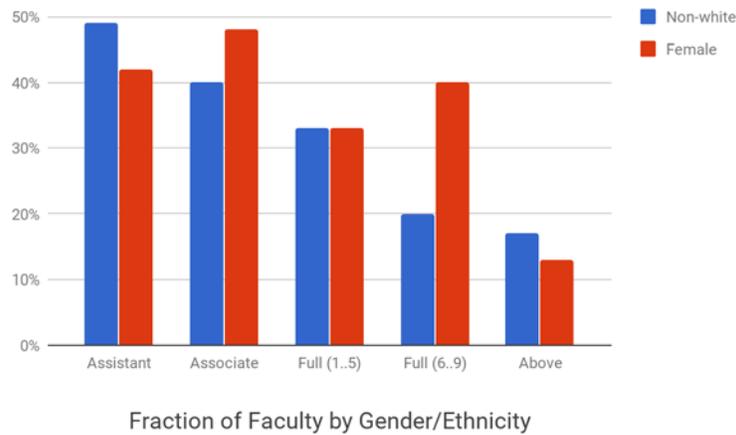
<sup>7</sup> McClintock to Profumo, 11/29/17, Re: CFW: Data Request

<sup>8</sup> De La Garza to Profumo, 12/07/17, Re: CFW Data Request – Additional Info

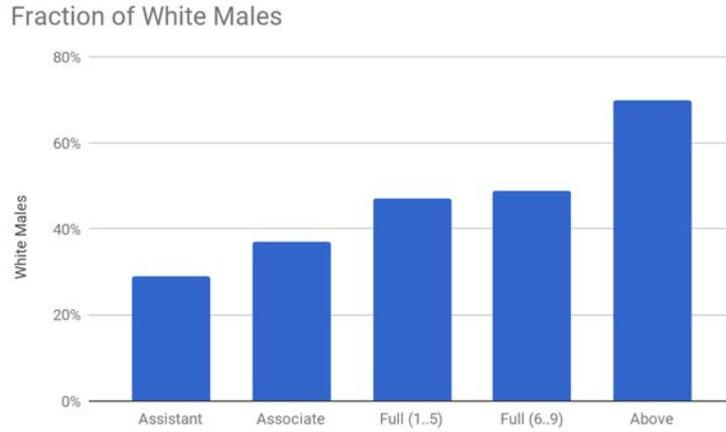
steps by ethnicity. CFW did not identify statistically significant correlations between ethnicity and either salary or salary growth at a given rank/step.



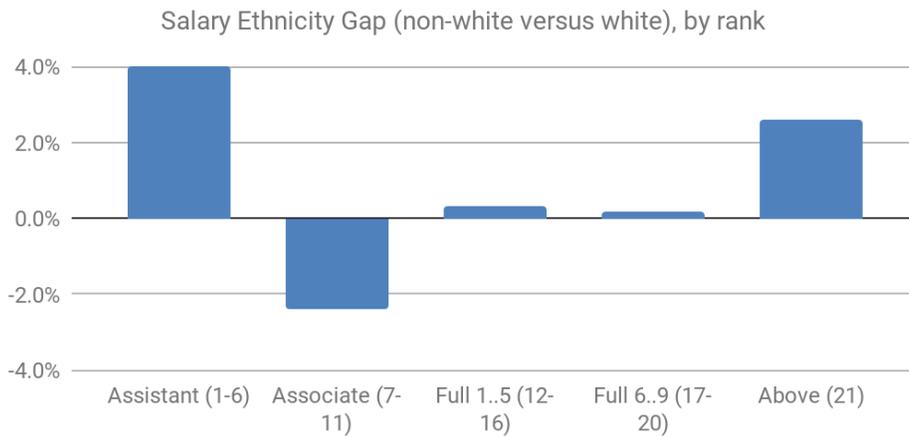
**Figure 3: Aggregate faculty salary “gaps” by ethnicity (average non-white minus white faculty salaries at all ranks and steps) and by gender (average female minus male faculty salaries at all ranks and steps)**



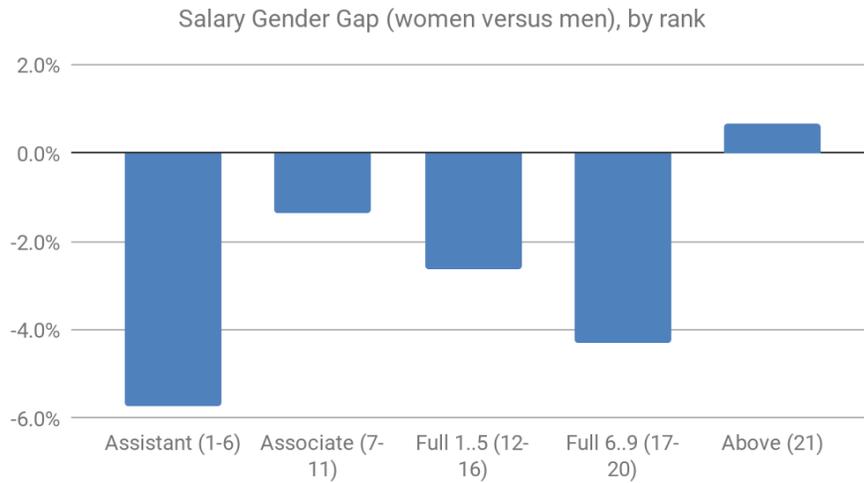
**Figure 4: Fraction of non-white (blue columns) and of female (red columns) faculty members at a given rank/step (UCSC, 2017-18)**



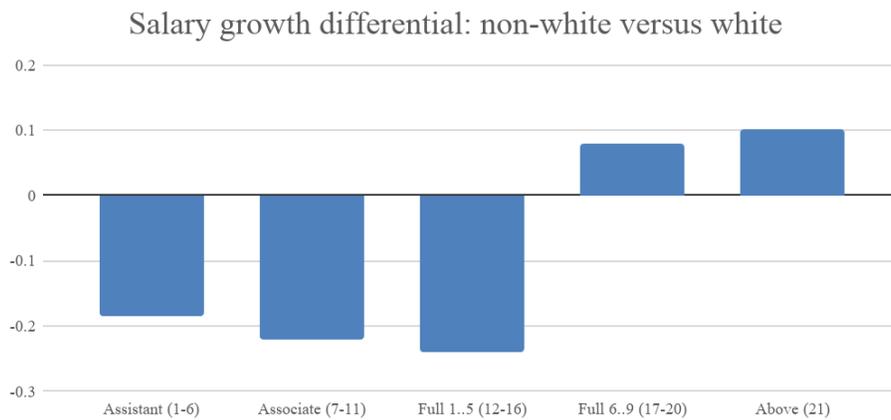
**Figure 5: Fraction of white male faculty members at a given rank/step (UCSC, 2017-18)**



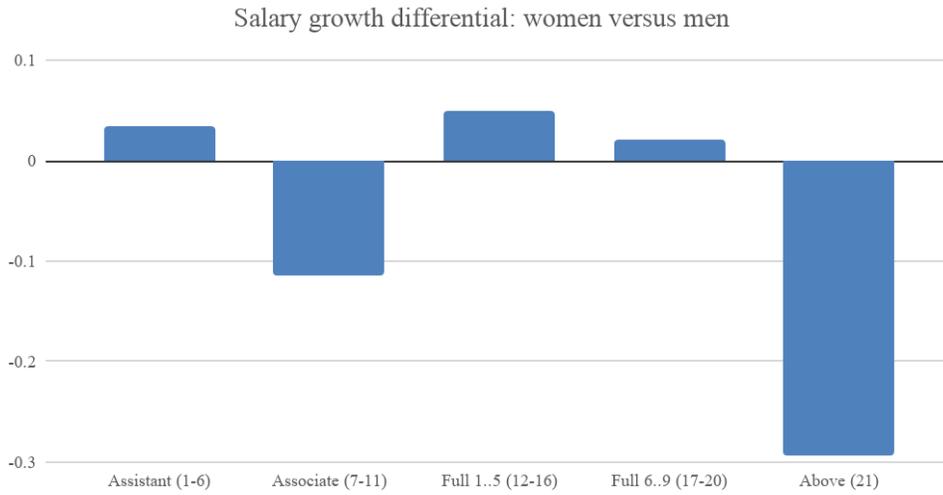
**Figure 6: Salary “ethnicity gap” (non-white versus white faculty members) at a given rank/step (UCSC, 2017-18)**



**Figure 7: Salary “gender gap” (female versus male faculty members) at a given rank/step (UCSC, 2017-18)**

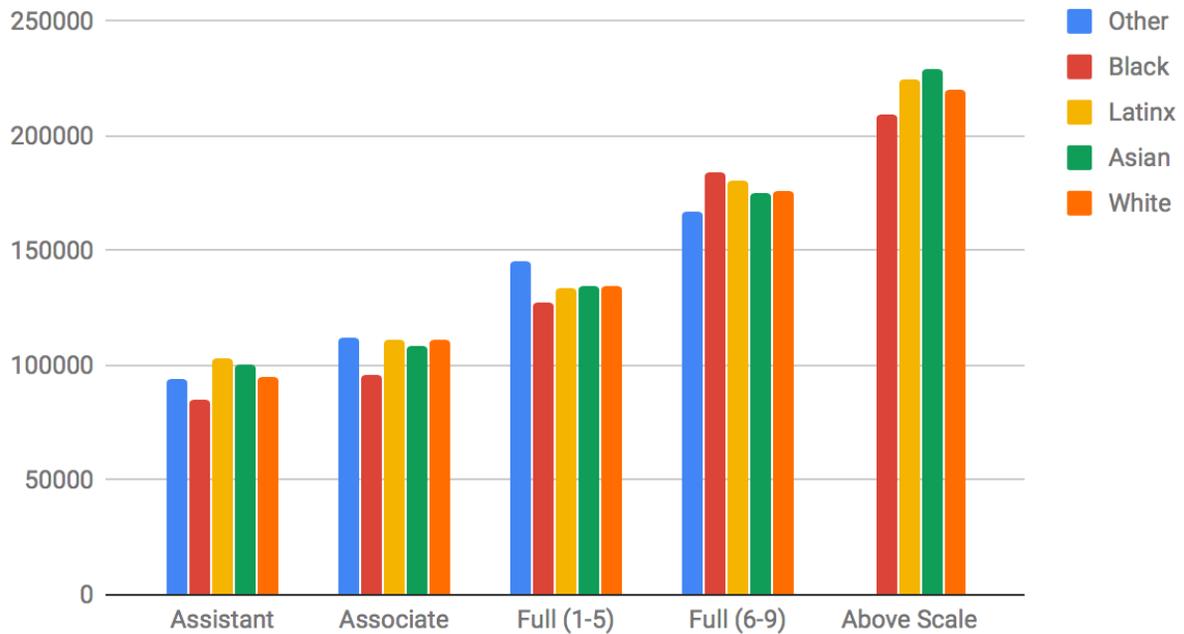


**Figure 8: Salary growth differential based on ethnicity (non-white versus white faculty members) at a given rank/step (UCSC, 2017-18)**



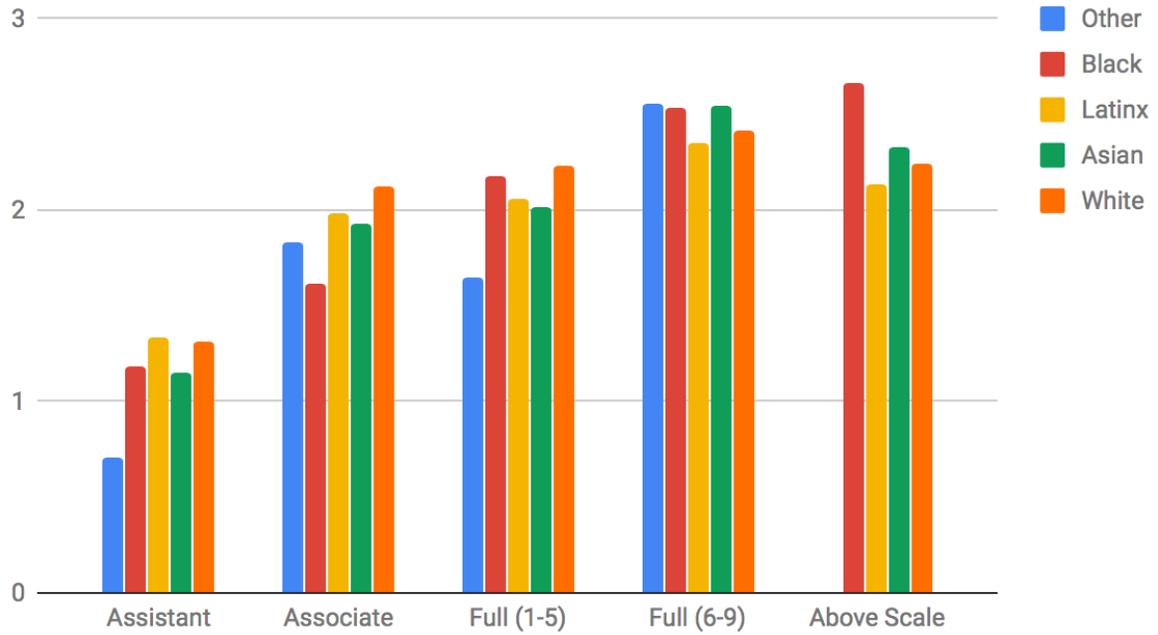
**Figure 9: Salary growth differential by gender (female versus male faculty members) at a given rank/step (UCSC, 2017-18)**

### Ethnicity Salary Gap Comparison



**Figure 10: Average salary by ethnicity, at a given rank/step (UCSC, 2017-18)**

### Ethnicity Salary Growth Comparison



**Figure 11: Average salary growth by ethnicity, at a given rank/step (UCSC, 2017-18)**

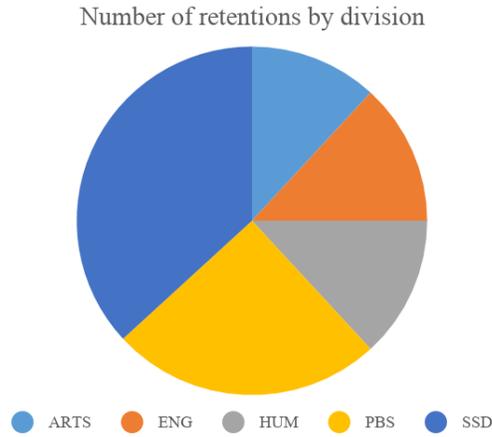
## **SALARY EQUITY STUDY: (2) RETENTION ACTIONS**

CFW received data from APO on retention reviews which were limited to (i) reviews occurring on or after the academic year 2000-01, and (ii) successful reviews (i.e. reviews that did not lead to separations). Through the anonymous faculty ID available on the retention review database, CFW correlated retentions with a variety of metrics, including academic division (fig.12). CFW notes that the number and rate of retention reviews differ greatly among divisions. For example, the ratio of the total number of retention reviews by number of affiliated faculty in a given division varies from 9.3% in the Humanities to more than double, 19.0%, in the Social Sciences (fig.13). Additionally, CFW finds that significantly more male faculty (52 retention reviews since 2000-01) than female faculty (27 retention reviews since 2000-01) have had retention reviews recently, even expressed in number of retention to total number of faculty members of a given gender (14.5% versus 12.2%, see fig.14).

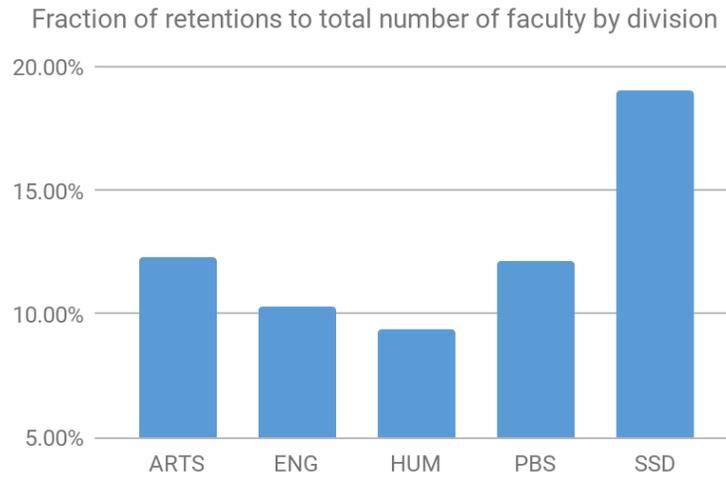
Faculty who had a retention review have significantly higher median salaries (fig. 15) and annual median salary growth (fig .16) than the figures associated with any ethnic group on campus, and higher median annual salary growth than faculty affiliated with any division (fig. 17). Finally, CFW finds a very high correlation between the fraction of faculty members who had a retention review in a department, by department, and the annual average salary and average salary growth (fig. 18). In other words, the frequency of retention actions in a department is strongly correlated with how quickly average salaries grow, and how large salaries are in that department.

CFW's study indicates that the very significant role that retention actions have in affecting overall compensation and salary growth is largely and intrinsically inequitable, as it disproportionately benefits (i) male over female faculty members, (ii) certain academic divisions and departments and not others, and (iii) it bypasses the comprehensive personnel review criteria for rank and salary growth that other faculty are subject to. CFW reiterates the recommendation made last year to adopt salary strategies that better reward and compensate meritorious faculty *within* the normative personnel action path. One such possible strategy is an enhanced version of the Special Salary Practice, which comparison with our sister UC campuses indicates is necessary both to keep UCSC salaries merely in line with growth at other campuses, and to fill the gap between UCSC and UC-system-wide salaries at the highest percentiles at a given rank/step (see fig.1 and 2 above).

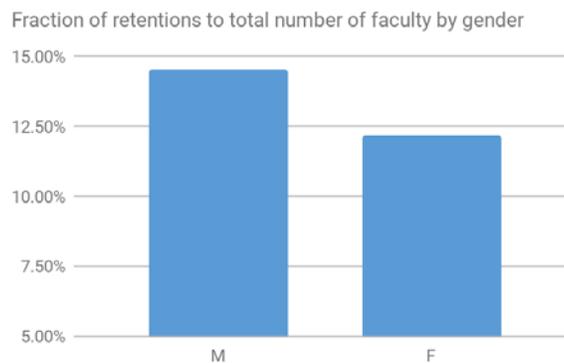
Retention actions are extremely expensive, in terms of (i) time faculty members spend in seeking external offers, (ii) resources needed to match external offers, and (iii) resources needed to replace faculty members who decide to leave UCSC. An aggressive salary practice that better rewards high-performing faculty would both have the beneficial effect of boosting faculty morale, and of reducing the desire of faculty to seek external offers to secure a retention action.



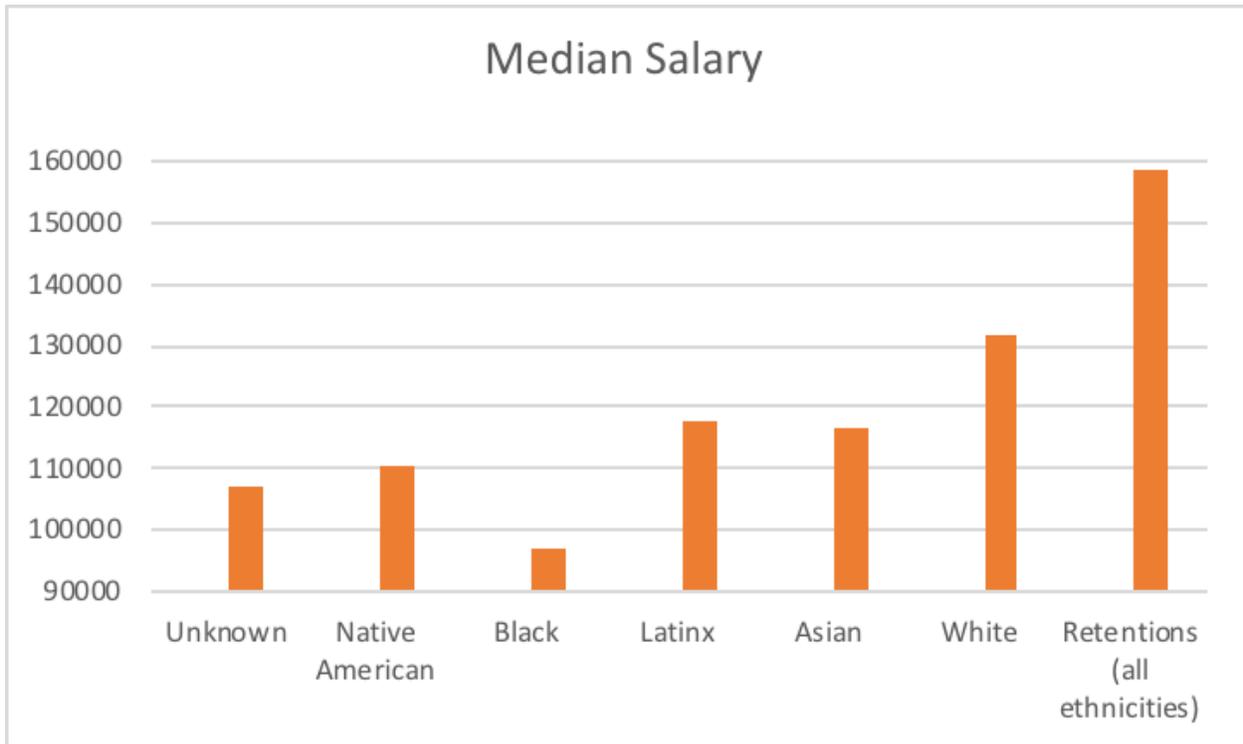
**Figure 12: Number of retentions (2000-01 to 2017-18) by division**



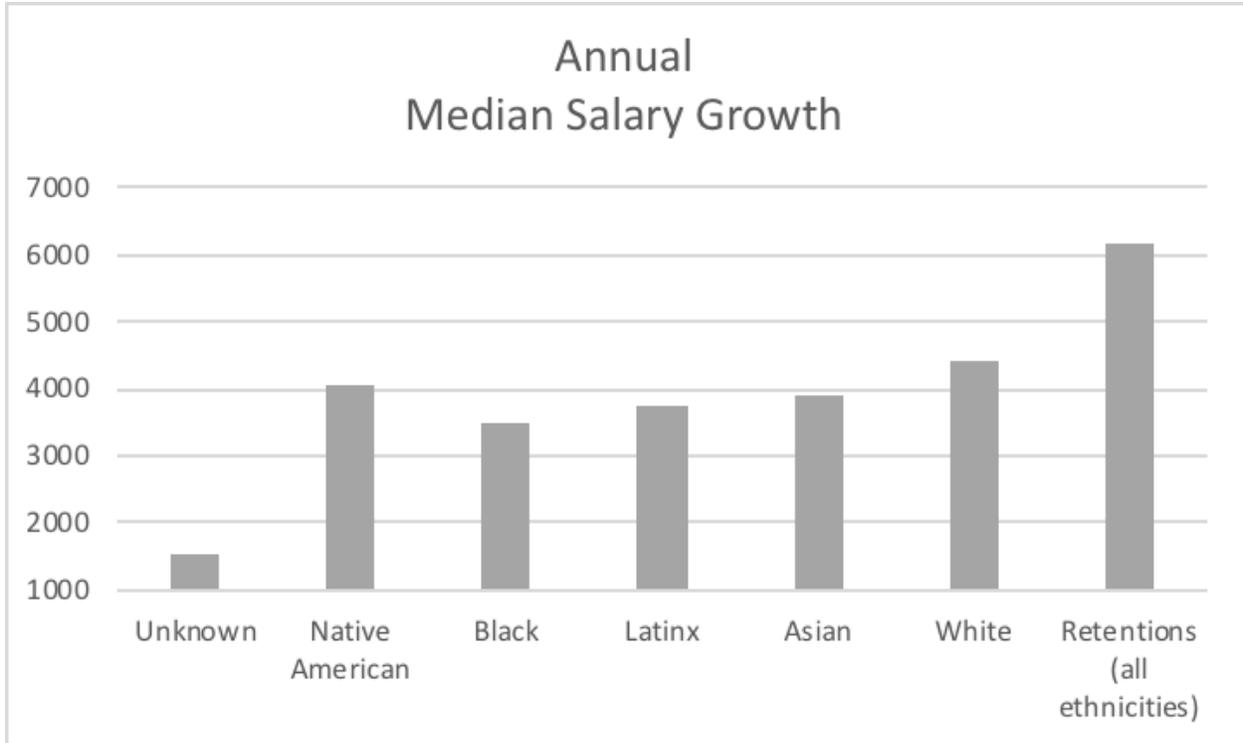
**Figure 13: Fraction of retentions to number of faculty (2000-01 to 2017-18) by division**



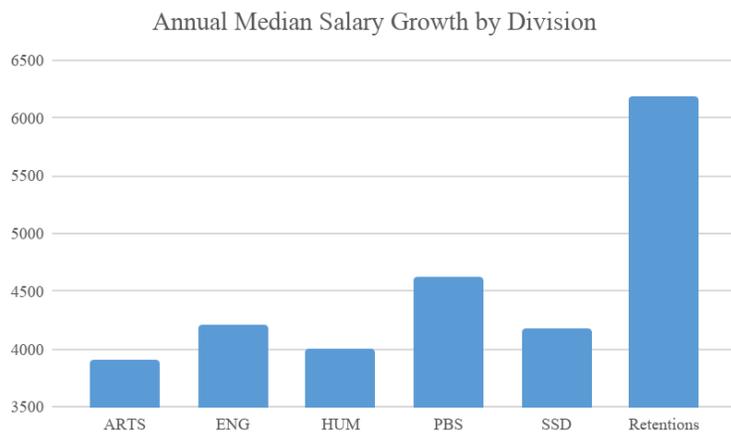
**Figure 14: Fraction of retentions (2000-01 to 2017-18) by gender**



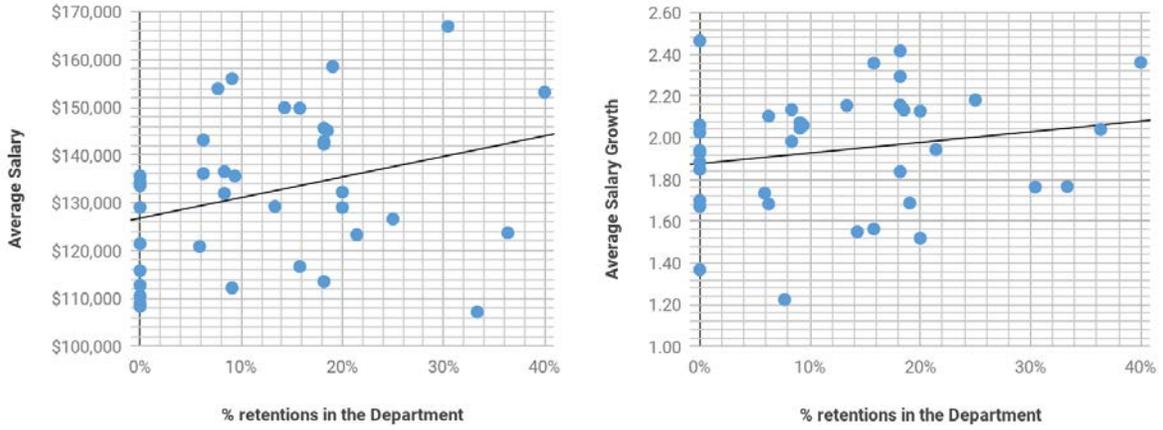
**Figure 15: Median salary by ethnicity, plus median salary for faculty (of any ethnicity) with a retention review**



**Figure 16: Annual median salary growth by ethnicity, plus retentions**



**Figure 17: Annual median salary growth by division, plus retentions**

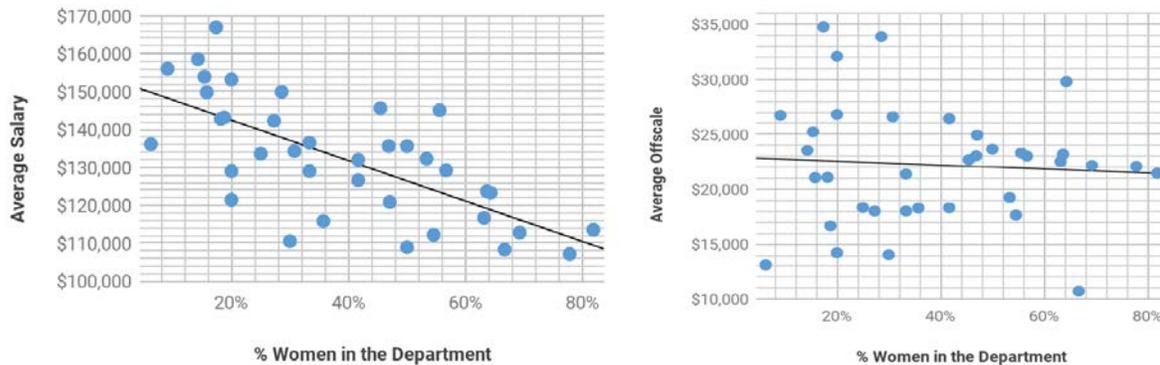


**Figure 18: Correlation between the fraction of faculty members who had a retention review in a Department, by Department, and the annual average salary (left) and average salary growth (right)**

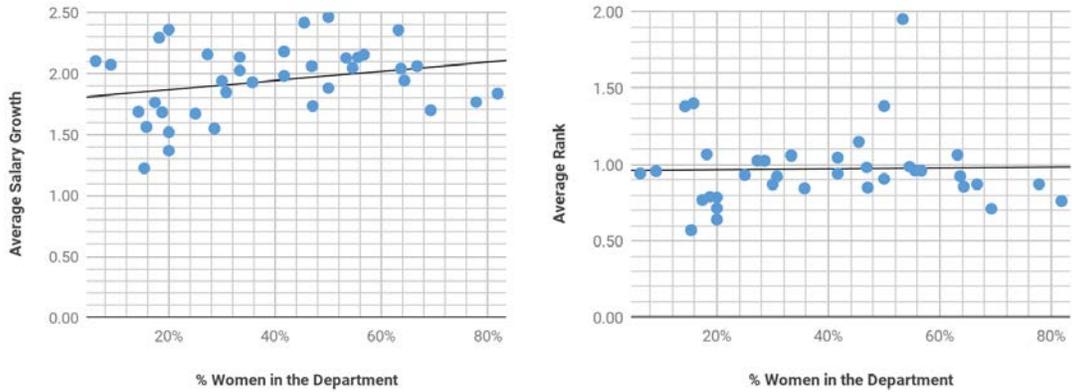
### SALARY EQUITY STUDY: (3) SALARY AND SALARY GROWTH EQUITY ACROSS ACADEMIC DIVISIONS AND DEPARTMENTS

In this section, we focus on salary and salary growth equity at the divisional and departmental level. First, we show in fig. 19 the correlation between the fraction of female faculty in a department and the average salary (left) and average off-scale (right) in that department. While the off-scale has a weak correlation with gender representation, the correlation with average salary is striking: departments with the largest average salaries tend to have fewer female faculty. CFW notes that this likely correlates with what shown in fig. 4 above - female faculty on campus tend to be over-represented at more junior ranks/steps than their male colleagues. To further inspect the finding of figure 19, left, we researched whether there is a correlation at the departmental level between gender representation and salary growth or rank advancement (fig. 20). Our analysis does not find any evidence for such a correlation.

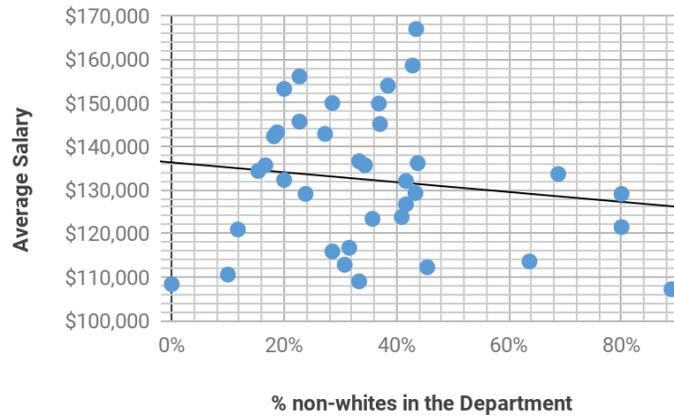
Fig. 21 shows that there is a weak correlation between ethnicity (as represented by the fraction of non-white faculty members) and salaries.



**Figure 19: Correlation between the fraction of female faculty in a Department, by Department and the average salary (left) and average off-scale compensation (right).**



**Figure 20: Correlation between the fraction of female faculty in a Department, by Department and the annual average salary growth (left) and average rank growth (right).**



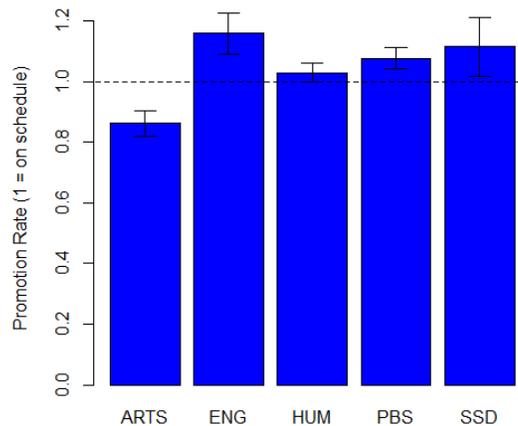
**Figure 21: Correlation between the fraction of non-white faculty members in a Department, by Department, and the annual average salary (aggregate for all ranks/steps)**

In addition to examining the above factors by salary growth, CFW also examined these factors in comparison to promotion growth. This measure converts the rank and steps to their time (in years) equivalence as shown below. According to this measure, a PG of 1 indicates the standard progression through the ranks, while a value above 1 indicates acceleration with respect to the standard progression.

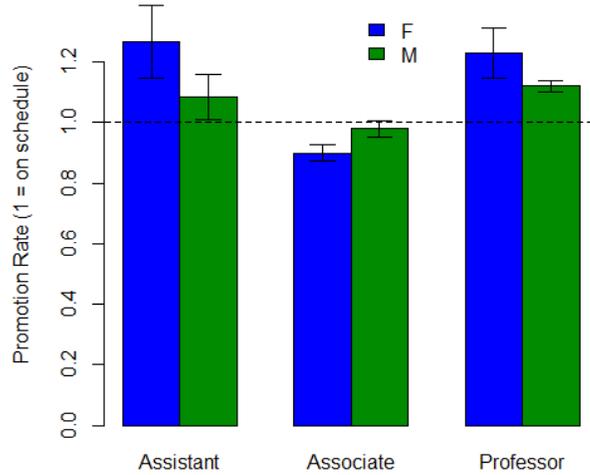
$$PG = \frac{\text{time equivalence of rank/step (years)}}{\text{years since degree}}$$

Assist 1	Assist 2	Assist 3	Assist 4	Assist 5	Assist 6	Assoc 1	Assoc 2	Assoc 3	Assoc 4	Assoc 5	Full 1	Full 2	Full 3	Full 4	Full 5	Full 6	Full 7	Full 8	Full 9	Above Scale
1.0	3.0	5.0	7.0	9.0	11.0	9.0	11.0	13.0	15.5	18.6	15.5	18.5	21.5	24.5	27.5	30.5	33.5	36.5	39.5	42.5

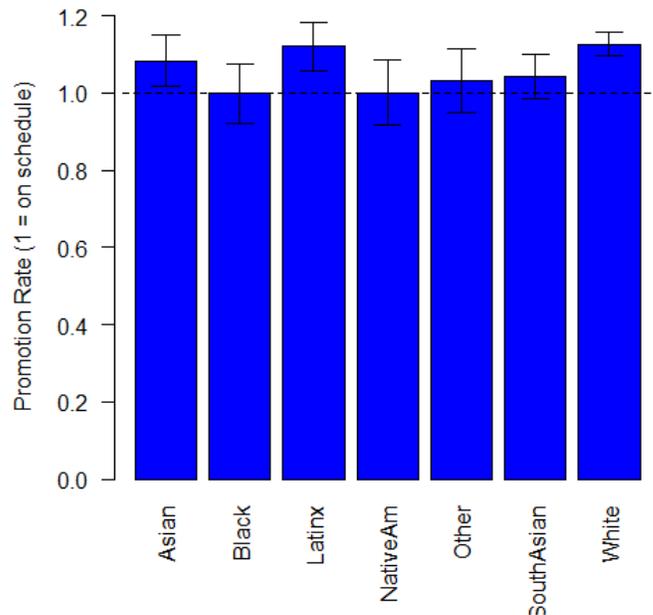
In general, promotion growth is roughly the same across divisions and slightly above 1, with the major exception of the Arts Division, which has an overall lower promotion rate (Fig. 25). Similarly, promotion and gender do not show major differences, even when broken down by rank (Fig. 26). The overall slower promotion rate at the Associate level is likely due to some faculty spending additional time at Associate Professor, Step 5. We see similar result by ethnicity; promotion growth is fairly equivalent (Fig. 27).



**Figure 25. Promotion by division. Dotted line = on scale. Error bars indicate standard error.**



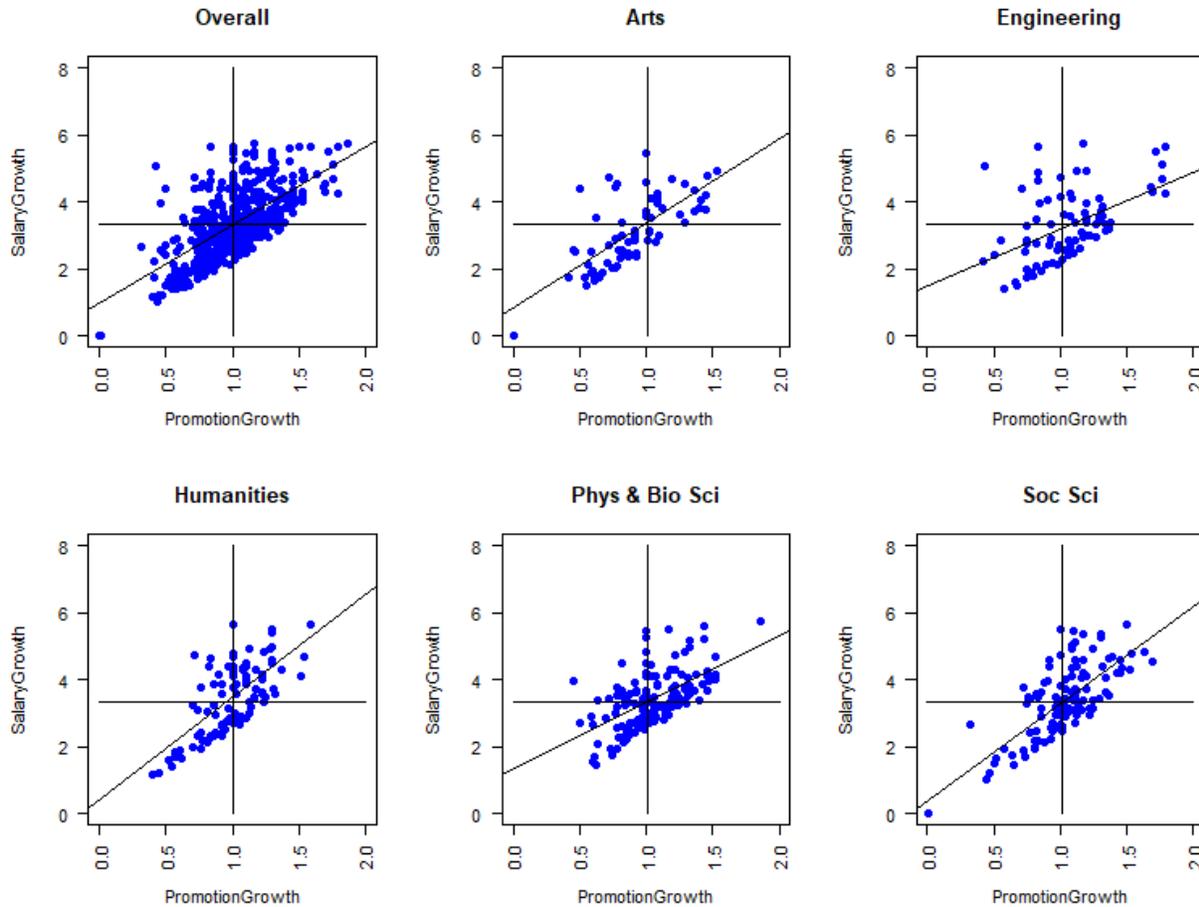
**Figure 26. Promotion Growth by Gender and Rank. Error bars indicate standard error.**



**Figure 27. Promotion Growth by Ethnicity. Error bars indicate standard error.**

A final way to evaluate faculty salaries is to compare salary growth with promotion growth. In this measure, we expect a positive correlation where higher promotion rates correspond to higher salary growth. While this is broadly true, the relationship does vary somewhat by division (Fig. 28). Two divisions, Engineering and Physical and Biological Sciences show slightly shallower

slopes that suggest more faculty being promoted faster than their salary growth, though the high degree of variation makes any strong conclusions tentative.



**Fig 28. Promotion Growth by Salary Growth.** The top left panel shows the data for the university overall where 1 dot = 1 faculty member. In all panels the horizontal and vertical lines show the median values for the university as a whole. Diagonal lines are linear regression lines fitted to each subset of the data (in all cases  $p < 0.001$ ,  $r > 0.8$ ).

CFW notes that all data shown in this analysis are available upon request.

## **Childcare**

Childcare has been and continues to be a priority area for CFW. This year CFW was thrilled to collaborate with the administration as the preparation of UCSC childcare expansion began. In the next sections, we summarize CFW's work on childcare in 2017-18 and outline CFW's goals in 2018-19.

### **I. 2017 Summer Child Care Work Group**

The 2017 Summer Child Care Work Group was convened in July to develop the program, cost structure and facility needs for UCSC's childcare expansion as part of the Student Housing West project. The Work Group members included CFW's childcare representative Professor Su-hua Wang as well as representatives from other stakeholders. Through rigorous efforts from July to September, the Work Group put together a final report with recommendations on the design and programming of campus childcare expansion.<sup>9</sup> The report was published on <https://news.ucsc.edu/2018/03/images/2017-child-care-work-group-report-tn.pdf>. The following sections summarize some of the key recommendations.

The Work Group recommended the construction of a high-quality center to provide services for up to 140 children from a diverse population, ranging in age from infants through school age. The proposed program envisions a nature based science, technology, engineering, arts and math (STEAM) curriculum, with associated implications for design and construction. Among these implications was a recommendation for outdoor learning and activity space, access to which flows naturally from the indoor classrooms.

Other recommendations addressed the need for support spaces such as teachers' meeting and work spaces, food preparation and laundry spaces, storage for curricular and other educational materials, a nursing room adjacent to the infant classrooms, and enclosed administrative spaces for privacy and secured file storage. Further recommendations addressed the need for ample natural light and fresh air circulation, natural color palettes in classrooms and attention to minimal acoustics in order to maintain a calm and quiet environment conducive to learning. The Work Group operated on the understanding that the selected developer will engage an architect that specializes in the design of childcare centers, and has expertise in designing spaces that meet or exceed Community Care Licensing requirements in terms of indoor and outdoor square footage minimums per child and other requirements.

There is strong interest for the childcare center to feature a robust research component that allows for observation of children in the center by student researchers in developmental psychology and other academic programs. The partnership with research will present opportunities for seeking external funding to support and benefit the center. The Work Group therefore recommended that the basic observation space and supporting infrastructure elements (e.g., one-way observation mirrors and conduit to support eventual installation of audio visual equipment) be built into the facility.

Last but not the least, the report included an Integrated Logic Model developed by Professor Emerita Catherine Cooper, who has worked on campus childcare expansion for more than 30 years. The Integrated Logic Model is a tool designed to keep programs on track toward their

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<sup>9</sup> Child Care Work Group, Summer 2017, Final Report (pending cost structure)

intended goals over time, and through turnover of the staff and administration involved in the management of the center. An important component in the Model is a Childcare Advisory Committee that would play a crucial role to ensure the program will stay on track toward its intended goals, including the evaluation of care operator.

## **II. Childcare and Family Support Advisory Committee**

CFW was pleased with movements in the spring of 2018 to reinstate an advisory committee for childcare and was delighted to learn that the scope of the committee would be beyond childcare, including broader family support. CFW requested the opportunity to review and provide feedback on the committee charge before the committee convened. In May 2018, CFW provided feedback on the draft charge from the CP/EVC's office and made several suggestions.<sup>10</sup> For example, CFW suggested the membership of the committee include a CFW representative, as well as faculty at large. In addition, CFW expressed appreciation for the opportunity to review and provide feedback on the proposed Childcare and Family Support Advisory Committee before the charge was finalized, in the hopes of facilitating the formation of the committee and its contributions to faculty welfare from the get go. Finally, CFW pointed out the key role this Advisory Committee should play in the assessment and evaluation of the quality of the childcare program and operator.

## **III. Selection of Childcare Operator**

Through the Summer Childcare Work Group, CFW made multiple inquiries about the operator selection process. For example, CFW member and Childcare Representative Su-hua Wang specifically asked, in several Work Group meetings, that the selection process be conducted in a careful and transparent way; however, no information or response was provided at the time. Since the final Work Group Report was released, CFW made multiple requests, asking that faculty be engaged in the planning process, including the selection of the 3rd-party operator. Some efforts were made to include CFW's childcare representative in campus community meetings in November 2017 and facility design meetings in January 2018. However, it was not until late January 2018 that CFW became aware that the selection of the childcare operator had been ongoing without any representatives from stakeholders: faculty, staff, or students.

CFW immediately requested that our childcare representative be included in all planning meetings related to facility design, program operation, and vendor selection. While we very much appreciate the efforts being made in childcare expansion, and look forward to the establishment of expanded childcare services, CFW has been deeply concerned with the lack of shared governance in the operator selection process. Moreover, CFW raised concerns about the lack of Request for Proposals (RFP) in the selection process and demanded that an RFP be issued before the operator was finalized.

## **IV. Back-Up Care**

In collaboration with the Committee on Affirmative Action and Diversity (CAAD), CFW recommended that our campus should establish a new back-up care program for faculty emergency needs to care for children, elderly, and other dependents (e.g., when a child becomes ill and cannot attend the regular care program, a care provider would care for the child while

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<sup>10</sup> Profumo to Tromp, 5/25/18, Re: UCSC Family Advisory Committee

faculty is at work).<sup>11</sup> Similar programs are already in place in other UC campuses, such as Berkeley, allowing faculty to access care support in the face of emergency needs. CFW requested that efforts be made to establish this important program to support faculty.

## **V. Looking Ahead**

1. CFW will continue to work with the administration to move forward with the establishment of UCSC's childcare services for faculty.
2. CFW will continue to request information about why no RFP was in place in the initial operator consideration, and why an RFP is deemed infeasible at this point.
3. CFW has requested and will continue to urge the administration to instate the Childcare and Family Support Advisory Committee as soon as possible. We look forward to collaborating with this committee in 2018-19.
4. CFW will continue to request that the childcare programming and facility designs should build on existing efforts (rather than "reinventing the wheel") and include faculty and other stakeholders' involvement throughout the process.
5. CFW will continue to support efforts on the establishment of back-up care for emergency childcare and family support needs.

## **VI. August 6, 2018 Meeting**

Incoming and outgoing CFW Chairs McGuire and Profumo were invited by CP/EVC Tromp to attend a meeting on childcare updates. The meeting was also attended by VCBAS Latham and incoming and outgoing Senate Chairs Lau and Einarsdóttir. No updates were provided on site selection or on overall timeline and project progress. The process by which third party for-profit operator Bright Horizons was selected was referred to as "Piggy-Back Contract Strategy." VCBAS Latham confirmed that on no occasion was Bright Horizons selected by a comparative process and deemed preferable to other third-party operators by a UCSC committee. Incoming Chair McGuire asked whether UC Davis RFP documents were available for review, and whether such documents had been reviewed, but no answer was given. Chair Profumo continued to insist that the selection of a for-profit third party provider by a public entity without any comparative bidding process is not an advisable modus operandi, and that such choice will inevitably impact childcare rates and costs.

CFW Chair Profumo asked about the \$750,000 committed since 2012 by then CP/EVC Galloway. VCBAS Latham stated that funds will be used to cover, in part, operation costs for the new UCSC Childcare facility. Chair Profumo also asked about the engagement of private entities in funding the childcare facility, especially the Giannini Trust. The VCBAS indicated that no fundraising/philanthropic efforts to fund the childcare facility were currently underway; CP/EVC Tromp requested that such fundraising efforts be initiated.

Chair Profumo requested that the new Childcare and Family Advisory Committee be charged with conducting an "informal RFP" with the goal of establishing which possible childcare

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<sup>11</sup> Greenberg and Profumo to Einarsdóttir, 3/01/18, Re: Campus Emergency Back-up Care Program

operators might exist as alternatives to Bright Horizons, and of comparing such operators with Bright Horizons to assess whether proceeding with the “Piggyback Contract Strategy” is indeed the optimal strategy for Campus. The CP/EVC agreed that such a charge should be given to the Childcare and Family Advisory Committee and called it an “Action Item.”

### **Housing**

CFW has continued to work with VCBAS Latham and the Housing Advisory Committee regarding housing development of Ranch View Terrace 2. The potential advantages of the new P3 model were laid out to CFW and other stakeholders. These include: reduced use of scarce public funds, resulting also from a general reduction in education funding; less institutional staff to support projects; private sectors deliver faster; less political support for public work projects. Additional advantages outlined in factor of a P3 model include the transfer of risk to private sector, the access to new capital markets, possible time savings and the reduction of outstanding debt.

Suggestions have been made to increase the “for rent” vs. the “for sale” ratio of faculty houses in order to increase turnover and to accommodate more employees. More surveys will be conducted to assess the pros and cons of these suggestions. CFW looks forward to representing employees as major stakeholders in the future development of employee housing. On this topic, CFW representatives raised the following question, to be discussed further: the reduction of “for sale” vs. “for rent” units does not sound feasible if the faculty/staff housing is intended to be a recruitment and retention tool, given the low salary standard that would not allow faculty/staff to buy market properties. A survey of faculty and staff needs and desires would be in order, in balance with the campus agenda to speed up the turnover rate so as to accommodate the maximal number of faculty/staff.

One CFW member pointed out that among all 10 UC campuses, UCSC is the only campus where the housing service office is called "*Employee* Housing." As shown below, none of other 9 campuses use the term "employee" for any of the housing services.

UC Berkeley Housing

<https://housing.berkeley.edu/>

UCSF Campus Life Services, Housing Services

<http://campusliveservices.ucsf.edu/cls/>

UC Davis West Village, Faculty/Staff Housing,

<https://westvillage.ucdavis.edu/facultystaff-housing-0>

UC Merced, Housing & Residence Life

<https://housing.ucmerced.edu/guest-housing/faculty-staff>

UCSB Community Housing Services

<http://www.housing.ucsb.edu/community-housing-services-general-information>

UCLA Housing  
<https://housing.ucla.edu/>

UCI Irvine Campus Housing Authority  
<https://icha.uci.edu/>

UCR Housing Services  
<http://housing.ucr.edu/faculty-staff.html>

UCSD Housing Resources  
<https://blink.ucsd.edu/HR/services/support/housing.html>

UCSC Employee Housing  
<https://employeehousing.ucsc.edu/>

The CFW member noted that the term "*employee*" technically means an individual who is hired or employed for wages or salaries, especially at a non-executive level (i.e., they are not a member of high-managing class or owners), and that the term also subliminally implies the presence of unequal power relationships.

When applied in public universities, the term "employee" is also a misnomer, because the principal funders of the university (or "those who provide educational fundings") are taxpayers, not university administrators, but "us" taxpayers, including the administrators.

The CFW member suggests to consider changing "Employee Housing," to UCSC Housing or something similar to what other UC campuses use for their housing services.

### **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 faculty salary as a key component of faculty welfare; however, CFW also emphasizes the ability of partners of faculty members to find satisfactory employment as a necessity in attracting and retaining top faculty. One way campus can effectively increase household income is to help partners of faculty members find the best jobs they can. The Clayman Institute 2008 study "Dual-Career Academic Couples: What Universities Need to Know"<sup>12</sup> surveyed 9,000 full-time faculty at 13 leading U.S. research universities and found that 72% of full-time faculty have employed partners, and 36% of full-time faculty have academic partners, making partner employment critical to recruiting. Among the key findings, this report also highlights couple hiring as a potential method to increase faculty diversity.

Currently there is no support on campus for partner hire resources, except the remodeled Academic Personnel Dual Career Resources website<sup>13</sup>. Therefore, former CFW member Ted Holman 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

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<sup>12</sup> [https://gender.stanford.edu/sites/default/files/publications/dualcareerfinal\\_0.pdf](https://gender.stanford.edu/sites/default/files/publications/dualcareerfinal_0.pdf)

<sup>13</sup> <https://apo.ucsc.edu/employment/faculty-relocation/dual-career-resources%20.html>

partners are signed up. Members of CFW are committed to expanding the participation across the entire campus. The issue of partner hires and the list developed by former CFW member Holman were discussed in the consultation of February 1, 2018 with CP/EVC Tromp and VPAA Lee. VPAA Lee commented that something similar had been tried 10 years ago, but was rarely effective and required significant staff resources. CFW members noted that, with modern resources like password protected Google Sheets, maintaining this resource should now be minimal if there was buy-in from the administration and appropriate encouragement to department managers and chairs. CFW members would be willing help develop this resource if the administration was then willing to support it.

An alternative plan was not suggested by the administration, even though in previous consultations then 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.

### **Transportation and Parking**

The Advisory Committee on Campus Transportation and Parking (ACCTP) met monthly in the past academic year. ACCTP is comprised of staff representatives, Academic Senate representatives, faculty at large, and student representatives. A representative from CFW serves on the committee. ACCTP's meetings this year centered on crafting and promoting Proposition 69 for a student referendum. The proposition would have increased student fees for transportation services. Transit fees at UC Santa Cruz (affecting both undergraduate and graduate students) have not increased since 2008. They are currently set at \$111.66 per student per quarter. Both the cost of Campus Transit Operations and the ridership, however, have grown. This has resulted in a cumulative deficit of \$3.3 million for TAPS (Transportation and Parking Services). Absent an increase in fees (and possibly even with such an increase), TAPS would have to cut services.

Proposition 69 proposed to increase student fees each year with a sunset period of fall 2038 at which point a new referendum may be proposed. The fee increase was meant to meet the transportation demands of a growing student population, while also reducing TAPS deficit as described above. The proposition failed for lack of quorum.

In its last meeting, ACCTP was tasked by the CP/EVC to make a recommendation concerning what to do moving forward. Four scenarios were discussed that differ in how much service is cut and in how the cuts are spread out over the years. All scenarios envisage a cut of 45-50% in services in the next 5 years. Services to be cut include, Night Owl, Night Core, Upper Campus, East Gate loops and Barn Theater Loops. The CP/EVC has the ultimate authority to decide which scenario, if any, is adopted.

In this context, the worries raised by CFW concerning parking and transportation are particularly pressing. First, there is an ever-increasing difficulty for faculty to find parking on campus. Some days are worse than others, but arriving to campus late makes it very difficult to find a spot reasonably close to one's department. It is further very difficult to leave campus for whatever reason and then come back. This difficulty may be particularly taxing for faculty members with family obligations. The CFW representative proposed that TAPS consider making some parking

lots exclusive to faculty with A permits. Currently, all parking lots that are available to A permits are also open to B permits (held mostly by graduate students). This is the result of a past negotiation with the graduate student representatives. TAPS asked them if they preferred to pay a higher amount for parking, while being able to park closer to their departments, as opposed to paying a bit less and being restricted to more remote locations. The graduate students chose the former option.

The CFW representative also brought up the interest in introducing shuttles that would transport faculty and graduate students from various locations directly to campus. The current bus service is too crowded. Some possible locations are the unused parking lot at 2300 Delaware (which UCSC owns and which holds approximately 250 parking spaces). San Jose Diridon Station, and other locations in the Bay Area are also of interest. Due to the cost of living in Santa Cruz, many graduate students and some faculty live elsewhere. A more comprehensive shuttle system would prevent many faculty and graduate students from commuting to campus by car. In the current climate of cuts to transportation services, however, it is hard to see how any of this could be implemented. It is further hard to see how TAPS could do without parking revenue which also seems at odds with the general goal of having a sustainable campus.

TAPS intends to make changes to facilitate parking such as reducing the number of C permits (for undergraduates), reallocating A/B permits in North Remote, adding medical spaces in Science Hill, expanding parking in East Remote (from 190 to 250 spaces in the summer of 2019) and expanding Kresge College. But if transportation services are being cut and the student population continues to increase, it is hard to judge whether these changes will suffice. The CFW representative should follow up on these issues next year.

### **Retirement**

There was a concern earlier in this academic year that UC was going to revisit its commitment to pay a minimum of 70% of the cost of retiree health benefits. After objections were raised by the Council of University of California Emeriti Associations (CUCEA), the Council of University of California Retiree Associations (CUCRA), and the University Committee on Faculty Welfare (UCFW), the discussion of this proposal was removed from the agenda of the Board of Regents. For the upcoming year there will be no changes for most retirees. However, there is a small group of retirees who did not select to contribute to Social Security, who will see an increase in their contribution to healthcare insurance. The fund of UCRP assets from which retiree pensions are drawn had a good year, increasing by 12%.

### **Healthcare**

In 2016-17 UCSC CFW requested that UCFW investigate the significant increase in the out of pocket maxima (also known as MOOPs) for those enrolling in UC Care in 2017<sup>14</sup>. UCFW was told at the time that the maximums would likely return to the 2016 levels in 2019 (Open Enrollment 2018). However, we now know that the maximums will not decrease in 2019 due to financial constraints on the UC Care plan.

A Request for Proposals for the 2019 Blue and Gold plans was awarded to HealthNet, with negotiations still underway; mental health should now be included as part of a more holistic plan

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<sup>14</sup> Profumo to Lubin, 11/04/16, Re: Significant Change in Open Enrollment Out-of-Pocket Maximums

offering. In addition, pet insurance will be offered. At systemwide UCFW, much discussion took place regarding health care providers who refuse service for religious reasons; no specific action item on this topic was taken.

CFW was approached by the Palo Alto Medical Foundation (PAMF) for an April meeting regarding a potential new plan offering in Santa Cruz. CFW Chair and the CFW Healthcare Representative preemptively met with the CFW Analyst and Senate Chair prior to the meeting to prepare. The meeting was, however, canceled on 4/23/2018 and not rescheduled. It remains unclear what the topic of the meeting would have been.

### **Acknowledgments**

The committee would like to thank those who consulted with and/or provided information to the committee this year: CP/EVC Tromp, VCBAS Latham, VPAA Lee, AVP McClintock, and collaboration with members of the Committee on Planning and Budget (CPB) and of the Committee on Affirmative Action and Diversity (CAAD), especially Chairs Walsh and Greenberg.

Respectfully submitted;

COMMITTEE ON FACULTY WELFARE

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August 31, 2018

## **Committee on Information Technology Annual Report 2017-18**

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 2017-18 academic year was focused on identifying IT priorities for UCSC faculty through a survey of Senate faculty, and providing guidance to the UCSC community on university and systemwide IT issues as described in the following report.

### **Information Technology Priority Survey**

One of the primary goals of the Committee on Information Technology (CIT) during the 2017-18 academic year was to identify Senate faculty needs in campus computing and information technology. To accomplish this goal, the committee launched a survey in spring 2018 to assess IT usage, satisfaction, and need on campus. The survey represents the efforts and essential input by CIT committee members, and benefited greatly from the assistance of Dr. Anna Sher from Institutional Research, Assessment & Policy Studies. CIT shared the results of the survey with CP/EVC Tromp and incoming Vice Chancellor of Information Technology (VCIT) Van Williams<sup>1</sup>, to assist in identifying pressing technology needs and to help guide the subsequent allocation of campus resources.

The survey was open from May 1-16, 2018, yielding 195 responses representing roughly 30% of all campus Senate faculty. The majority of respondents had the rank of Full Professor (52%), followed by Assistant Professor (21%), Associate Professor (16%), Emeriti (9%), and Teaching Professors (2%). Divisional representation in the responses included Social Sciences (29%), Humanities (22%), PSci (22%), SOE (16%), and Arts (11%).

The survey results provide a view into the common IT needs of faculty, as described below. Interesting survey results that we would like to highlight include:

- Roughly 36% of our faculty use high performance computing or cloud computing resources either daily or more than once per week.
- More than 65% of our faculty report use of Personally Identifiable Information (52%) or Personal Health Information (14%) data on their campus computers.
- Less than 10% of our faculty have experienced a computer security breach on a campus computer.
- Internet connectivity and speed is very important or essential (wireless and wired, 93% and 82%), but only 55% of respondents are satisfied with the campus wireless network.

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<sup>1</sup> Robertson to Tromp and Williams, 6/06/18, Re: Information Technology Priorities Survey Results and CIT Recommendations

- Essentially all faculty report interactions with the ITS staff (99%), and these are largely positive experiences (81%).
- The vast majority of faculty make use of the campus websites (>90%), but only a minority of respondents are satisfied with the design or usability (37%).

### **Recommendations**

Based on the results of the survey, CIT members recommended attention and resources be directed toward two current IT needs:

- 1) Centralized software licensing for software that is highly utilized on campus
- 2) UCSC website redesign

#### *Centralized Software Licensing and Support*

The survey asked faculty to indicate what software they use regularly. CIT recognizes that software utilized by faculty respondents, even those tools used by only a small fraction of faculty, may prove absolutely essential to the research and teaching of individual faculty and should therefore be supported when possible. However, the numbers yielded by the survey may be used to guide campus centralized licensing, and have the potential for large-scale cost savings.

The survey respondents indicate that the software licenses faculty would most like campus to maintain and support are Microsoft Office (87%) and Acrobat Professional (80%). Widely used and currently freely available software includes Google Chrome (63%), Google Office Tools (62%), Safari (45%), and Apple Mail (29%).

We note that more than 25% of responding faculty would like campus to officially support Linux Distributions (RedHat, Ubuntu, etc.). We highlight this because many business functions on campus require Acrobat Reader or Professional to edit Acrobat PDF documents (Post Travel, Direct Payment), but such software is not currently supported for Linux. We recommend that university business documents, forms, and websites be agnostic toward the end user operating system.

#### *Website Redesign*

CIT has consulted with ITS and discussed the redesign process for the UCSC campus website and content management system backend, which began with a Phase I of minor adjustments in February 2018. In consultation, CIT expressed the need for greater transparency and communication as well as faculty involvement and input in the project. The committee was informed that a communication plan was being drafted, and it was assured that the Academic Senate would be consulted on the action plan for the more dramatic redesign in Phase II. This discussion and the redesign project are timely, as the results of the survey detailed above emphasize the necessity of closely engaging faculty in the planned Phase II remodel process. There is significant concern across divisions about the website's utility and design, and an overall opinion reported in the survey that the current website does not adequately highlight research being conducted on campus.

After its consultation with ITS, CIT recommended that, as the website redesign goes forward, the campus or any third party vendors reach out specifically to individual divisions, in addition to a

random sampling of campus faculty (as was done in the past).<sup>2</sup> As the IT Priorities Survey results support, divisions and their departments have unique website and interface needs, and CIT encourages Information Technology Services (ITS) and University Relations to reach out to the five divisions in order to create a finished product that will speak to the large variety of needs on campus.

CIT members acknowledge that the UCSC website is not just an external public relations platform, but is highly utilized by the internal campus community and should therefore be a functional and useful tool for faculty, staff, and students. CIT strongly recommends that ITS actively engage with faculty and campus stakeholders during Phase II of the website redesign project to ensure that departmental staff, who are providing the majority of website support on campus (as shown by the survey), have the resources and training needed, and are not confined to restrictive templates or a platform that requires a high level of skill to augment.

As part of the survey, CIT asked faculty to provide written feedback on other IT issues they considered important. This feedback covered a wide range of topics, providing insight into the variable IT experiences and issues of faculty across campus. We hope this information proves useful to incoming VCIT Williams by providing a view of the IT landscape on campus.

### **IT Barriers to Research and Teaching - Strategic Academic Plan**

As part of the campus-wide Strategic Academic Plan, the Faculty Senate committees were asked to create a list of Barriers to Research and Teaching to help identify areas of common need throughout UCSC. CIT discussed a wide range of potential barriers, and below we describe several important IT barriers that the committee agreed directly impacted the research and teaching mission of the faculty.

#### *Limited campus-supported software licensing*

While ITS<sup>3</sup> provides information at the campus level about how to obtain a license for a variety of software, Divisional Computing Services purchase licenses for only a subset of the faculty. The software packages that are supported by each division and available to their faculty, and how they might obtain them, are frequently not clearly communicated to faculty (e.g., Humanities<sup>4</sup> or Arts<sup>5</sup>). In addition, the choice of software that is supported in each division does not appear to be governed by a transparent process with faculty input solicited in a systematic fashion. Software support is often granted to staff ahead of faculty, and decisions about what campus software is supplied and maintained are heavily influenced by staff needs above faculty needs. One clear example is the requirement that Adobe Reader be used to fill out university financial PDF forms (Post Travel, Direct Payment), but Adobe Reader is no longer available for Linux systems. Disparity in support and software licenses exist for users who choose between Windows, Mac OS, and Linux operating systems.

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<sup>2</sup> Robertson to Silva, Turner, and Knight, 1/23/18, Re: CIT Consultation on 11/15/17

<sup>3</sup> <https://its.ucsc.edu/software/list.html>

<sup>4</sup> <https://www.adc.ucsc.edu/service-catalog/divisions/2>

<sup>5</sup> <https://www.adc.ucsc.edu/service-catalog/offerings/46>

*Connectivity, bandwidth, and speed of campus internet and Wi-Fi*

UCSC has been undertaking a long-term initiative to update internet connectivity on campus. While connectivity, speed, and reliability have improved, there are still substantial improvements to be made. Owing to our rural setting, the Wi-Fi connectivity is still incomplete, and we need to work to identify and eliminate regions with poor Wi-Fi connectivity. The overall speed of our campus wired internet and the bandwidth of our Wi-Fi need to be continuously improved. Connectivity in the residence halls and in some faculty offices is still lacking. All of the above issues are important for the student learning and faculty teaching/research experience. Stable funding and staff support are needed.

*Lack of stability in PG&E power to campus*

As a world-class research university set in a rural environment, UCSC is constantly threatened by power outages that disrupt activities on campus, interrupt research experiments, and potentially damage equipment. When power outages do occur, communication about the severity and duration of the outages is lacking. To maintain competitiveness with peer research institutions, campus should prioritize our basic infrastructure needs. The instability of power to campus hinders our research and teaching, reflects poorly on the prestige of UCSC as a higher-education institution, and is frankly embarrassing for a world-class research center. These issues are in addition to the obvious safety issues associated with loss of power, wireless internet, and cell phone connectivity.

*Legacy software and hardware systems*

With the fast pace of technological advancements, the modernization of our enterprise software systems are required. The simple management of student information, employee information, payroll, class administration, and the university website all require investment. ITS has conducted an important strategic investment in utilizing cloud-based resources to help modernize the enterprise systems and reduce long-term costs, and campus should be exploring further ways to improve on costly and potentially outdated software. Modernization of our software is also essential for security, which is constantly under pressure from outside threats.

*Space assignment and utilization practices*

There are at least two major issues regarding space assignment and utilization that involve IT concerns. The major relocation of ITS away from the Delaware facility to Scotts Valley has illustrated the general lack of prioritization of staff space needs relative to faculty -- the relocation of the place of work of hundreds of employees has a personal impact on the lives of our staff, and the current utilization of the Delaware facility is largely unknown to campus. Second, the university Data Center in the Communications building is very out-of-date, and has limited power, cooling capability, and floor space. The historical utilization of this space has been for computing servers in support of enterprise applications, but this local hardware is being obviated through the modernization provided by cloud services. If the data center facilities will now be used to support faculty research computing, they would need to be modernized and the support staffing made more specialized and responsive to faculty needs.

*Lack of shared high-performance computing resources for researchers*

At competitor world-class research institutions in higher-education, the essential need for shared high-performance computing resources is a given and supported at a strategic level. UCSC does

not have any substantial shared computing resources available to the entire campus, with current computers being either limited in scope or maintained and used by individual research groups. The availability of qualified staff for computer administrative support is sorely lacking for systems that do exist, and the university currently uses individual faculty to provide personal research computing administration to hundreds of users, sometimes without any compensation. Although computing is recognized as an essential need for research and student training, especially in the context of a campus so proximate to Silicon Valley, our campus has no strategic computing resources and no plan to develop them on an institutional level.

*Difficulty in knowing where/how to access campus resources*

The UCSC web presence is fractured and often difficult to navigate, even for obtaining simple information. For our websites, it is not always clear where to ask for help finding information or resources (e.g., help@ucsc.edu is primarily for IT questions). Access to information and resources is crucial for current and future students as well as every member of the campus community. Campus may have legal exposure to liability owing to the non-ADA compliance of some of our websites. The currently ongoing updates to the UCSC websites have occurred largely outside the review of the Senate faculty, and tighter engagement with the Senate will be essential to guarantee this update is successful.

*Lack of integration with Silicon Valley*

The proximity of UCSC with Silicon Valley is an enormous potential asset, but the ability of UCSC to integrate with both industry and the UCSC Silicon Valley campus have yet to realize fully this potential. UCSC could leverage the massive technological investments of Silicon Valley companies, but the cross section between industry and UCSC faculty through the Silicon Valley campus is quite narrow. Given our current efforts in Silicon Valley, there is not enough staff to support classes that are broadcast to the Silicon Valley campus. For instance, only one staff member at Silicon Valley who was part of TIM program provided support to classes there. However, that staff was reassigned to the main campus a few years ago, and there has been no subsequent staff support. Therefore, currently, many faculty are hesitant to allow broadcast of their graduate courses to Silicon Valley. UCSC needs to either hire a full time staff at Silicon Valley to provide support or install necessary software so that our off-campus students can appropriately interact with faculty on campus. This is important as the campus is trying to increase its presence at Silicon Valley, and without such support the UCSC presence in terms of available classes at Silicon Valley will actually be reduced or eliminated.

*Staff support*

Members noted that major underlying campus barriers include lack of staff support and high staff turnover. Members discussed issues with increased responsibilities in single job descriptions, where responsibilities that were once assigned to numerous staff are now consolidated into one position for cost savings. This pressure overwhelms staff, results in high turnover, and provides less support for faculty when a single staff person is absent and/or their position is vacant. The issue is compounded by increasing housing/living costs in the area, growing job descriptions with no additional compensation, and the inability for staff to move up for better pay in one's unit. Members noted that there is a need for better job descriptions and appropriate/competitive pay for staff on campus. This issue is directly related to IT support on campus, given the

competitive surroundings of Silicon Valley. Members noted that addressing this issue would improve many barriers on the list.

### **UCSC Website Remodel**

Given the input from the faculty through the CIT survey, a high priority in the coming year will be for CIT to interface with the UCSC Website Remodel that is ongoing. As the survey indicates, the faculty view the UCSC website as an essential information resource, both for providing useful internal information for the UCSC communication and for advertising the unique strengths and research of UCSC to the world. CIT should work to ensure that the committee and the rest of the Senate faculty body are consulted during Phase II of the website redesign to guide the redesign process. The goals of this consultation should be to involve the departmental and divisional levels of the university in highlighting the research of UCSC faculty, improve the ability to find essential information quickly, and to provide Senate faculty ample opportunity to review and comment on any permanent campus-wide redesign.

### **IT Security**

As a modern and complex research institution, UCSC faces a wide range of IT security concerns. These concerns would provide challenges to campus as an individual institute, but in the context of the broader UC environment and the related pressures, IT Security at UCSC will continue to require campus-wide effort from faculty, staff, and students. The UC system has begun to implement the FireEye system at various campuses, and UCSC has already started installing related hardware at the network boundary of the institute. CIT has consulted with IT Director of Information Security Byron Walker about the ongoing implementation of the FireEye system and received assurances that UCSC will deploy the minimum system that provides the least invasive option for campus while maintaining the security system required by the UCOP. Over the next year, CIT should work with Director Walker to generate a statement describing the FireEye system, its capabilities and limitations, and to provide further documentation of the faculty input into the deployment of FireEye.

### **Collaborating with the Vice Chancellor for Information Technology**

In recent years, CIT has invited the UCSC VCIT as a standing guest to attend the bi-weekly CIT meetings. During the 2017-2018 year, Interim Vice Chancellor for Information Technology (IVCIT) Brad Smith was a regular guest at CIT meetings, and provided CIT with welcome and forthcoming information about events in ITS during an important year for campus. CIT would like to thank IVCIT Smith for his participation in the meetings and collaboration with CIT. Further, we recommend that the new VCIT Van Williams be invited to continue meeting regularly with CIT, and provide consultations on the status of ITS activities and plans in the coming 2018-2019 academic year.

Respectfully submitted;  
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## **Committee on International Education 2017-18 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 on the faculty led study abroad proposal review process.

### **Strategic Planning and Campus Structure for Internationalization**

During the 2016-17 year, CIE sent correspondence to Chancellor Blumenthal and then-new CP/EVC Tromp (6/23/17), providing a recent history of committee efforts to engage with the administration on strategic planning for internationalization and providing a set of recommendations for a structure that would implement a strategic vision for internationalization, strengthen research partnerships and international faculty collaborations, increase non-resident enrollments, and create opportunities for students. CIE, over recent years, has strongly advocated for a Vice Provost position, appropriately staffed, that would lead the development of a vision and planning for advancing our stated campus goal of increased internationalization. In winter 2018, the committee received a response from CP/EVC Tromp (1/08/18), indicating her decision to postpone the search for a Vice Provost for Global Engagement, also noting that the Strategic Academic Plan (SAP) process would help assess the needs of the campus.

The committee in 2017-18 continues to strongly advocate for and believe in the need for a VPGE position for the campus (i.e., CIE to CP/EVC Tromp 3/6/18). Given the campus aspirations for non-resident growth relative to its current numbers, and the clear need to have a central, responsible position for following up on and implementing research partnerships and international collaborations, the committee believes a strong administrative commitment to this position is needed to make progress on internationalization goals.

The Strategic Academic Plan (SAP) process underway this year provided an opportunity for the committee to further provide input to the campus. CIE also consulted with Associate Vice Provost for Academic Affairs (AVPAA) Martin Berger (4/3/18) for an in-depth discussion on how campus internationalization might be integrated into the SAP. CIE continues to be concerned that global engagement has not emerged as a strong priority in the SAP process. While the committee appreciated AVPAA Berger's insights about how global engagement can take various forms, and be integrated into the process in different ways, the gap between stated campus goals and what is emerging in the SAP process needs to be addressed. CIE believes that the entire campus (faculty, students, staff) will benefit from global engagement and diversity via increased research collaborations that connect research, teaching, recruiting and partnership, and that this can be accomplished in synergy with resource generation efforts that have been a goal of the campus (through non-resident enrollments). However, strong leadership and a strategic vision and plan are needed to help us achieve these goals, and campus administration needs to articulate a commitment to global engagement as a priority for the campus.

During spring 2018, the committee reviewed a request from Interim Vice Provost for Global Engagement (iVPGE) Richard Hughey seeking CIE support on his planned use of the American Council on Education (ACE) Internationalization Lab program to assist with campus strategic planning for internationalization. The use of ACE Lab was first proposed in 2015-16 by then VPGE Joel Ferguson. At that time, the committee was not supportive of the use of ACE Lab. The committee recommended consideration of alternate ways to proceed with strategic planning, and requested, but never received, data on how other UC campuses have proceeded with internationalization. Ultimately, VPGE Ferguson communicated that campus central administration preferred development of an in-house planning process, modeled after the ACE Lab. The committee considered the renewed request with this context, and ultimately decided to support iVPGE Hughey's efforts to work with ACE, viewing it as an opportunity to get key stakeholders, especially our Chancellor and CP/EVC, engaged in the process.

CIE did express a number of reservations, including lack of clarity around campus commitment to internationalization efforts, ACE experience with and ability to meet the needs of our campus (ACE does not have recent experience with what CIE would consider peer institutions), and total cost of the program. However, CIE sees the potential advantages as outweighing these reservations and looks forward to participation in this process and to making progress in integrating strategic planning for internationalization with the broader campus SAP.

The committee appreciates the work of iVPGE Hughey in moving the ACE Lab process forward. He has identified, with Senate support, co-Chairs for the program, which will include the 2018-19 CIE Chair. CIE looks forward to its engagement in the process in the next academic year.

### **Review of Faculty Led Study Abroad Proposals**

2017-18 constituted the second year of the "pilot phase" for CIE and Global Engagement/Study Abroad for faculty led study abroad proposals. Proposals reviewed this year were submitted by faculty for summer 2019 courses abroad.

CIE worked extensively in 2016-17 and continuing into 2017-18, in collaboration with Global Engagement, to recommend changes for this review cycle. This year, there were a number of significant positive changes to the process, including: increasing the time between the faculty call and deadline for submission, which provided faculty more time to prepare the proposal; availability of a web portal for faculty submissions; Study Abroad information workshops that included CIE representatives on the faculty study abroad application process; revising CIE and GE/Study Abroad criteria for review and providing review criteria in the application process; and clarifying the two step review process. The committee appreciated the collaborations and consultations with both iVPGE Hughey and Assistant Vice Provost for Global Engagement George that led to instituting these changes in this review cycle.

During winter 2018, the committee reviewed six faculty led study abroad proposals for summer 2019 from faculty in the Arts, Humanities, Social Sciences, and one course to be offered by a College. CIE reviewed the proposals and supplemental documents (typically the syllabus, and in one case, an Agreement of Cooperation). Like last year, the committee worked with GE/Study Abroad on a two-step campus review process for the proposals. CIE's review constituted the first

step of the process. The committee believes 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. In reviewing proposals, the committee considered description of the target demographic and student selection criteria, academic content/quality (international components), and feasibility, including clear statement of instructor experience and preparedness in leading study abroad programs or in-country language experience, evidence of instructor connection with the host institution, evidence that facilities and related resources of the host institution were adequate for course implementation, and description of potential safety issues and instructor cognizance of need to develop a risk management plan. CIE emphasizes that it is not equipped to evaluate risk and safety of the program; this aspect is evaluated comprehensively by the Study Abroad Office. Rather, CIE is looking for evidence that the faculty is aware of this issue and has a plan to address it.

#### *Recommendations for Future Review Cycles*

2016-17 and 2017-18 have both been treated by CIE and GE/ Study Abroad as the “pilot phase” for faculty led study abroad proposals, with anticipation that the first “regular” cycle will take place in 2018-19 (with review of 2020 summer proposals). One continuing issue has been the question of how to handle integration of the Committee on Courses of Instruction (CCI)—which has plenary authority over course approvals—into the review process. CIE agreed to review the question of where in the process CCI review of courses would be best placed, either before or after CIE review of proposals, to both facilitate the course approval process by CCI and to best support and incentivize submission of study abroad proposals.

The CIE and CCI chairs met during winter 2018, with each chair taking discussions back to their respective committees. These discussions led to an internal document memorializing agreements for the review of faculty led proposals. The committees also provided this information to iVPGE Hughey (CIE and CCI to iVPGE 3/27/18) as a set of recommendations to implement in the coming year.

During the two-year pilot phase, CIE initial review of proposals requested that a course syllabus be submitted to CCI prior to CIE review. CIE found that, in practice, the review process has not worked optimally, with some proposers submitting syllabi from courses that are existing, but taught on campus, with the expectation that the syllabus would be revised at a later stage to fit the study abroad location. This practice did not provide CIE or CCI with the information needed to review these types of courses, or even to flag that the syllabus was intended for a study abroad course. The recommendations from CIE and CCI to iVPGE Hughey addressed this problem, and moving forward, CIE will review study abroad proposals, including an updated syllabus, without requiring the faculty to have submitted the course for CCI approval at the time of CIE review. CCI will review the course after CIE and GE/ Study Abroad approval of the faculty proposal.

CIE looks forward to reviewing faculty led summer abroad proposals for summer 2020 during winter 2019. CIE is concerned that even with an expanded application submission window this year, there were fewer proposals submitted for review than in the previous cycle. The committee will work with GE/Study Abroad and hopes to have an increased number of submissions this next year.

### **Review of Exchange Program Proposal**

During winter 2018, CIE reviewed a proposal from iVPGE Hughey for international exchange and visitor programs, which seeks to provide opportunities for students, increased global institutional collaborations, and increased international visibility for the campus. The committee was generally in strong support of the proposed program, which proposed to be limited in scope to 10-20 students for the 2018-19 academic year.

IVPGE/VPDUE Hughey sought endorsement from CAFA, CEP and CIE on different aspects of the proposal. CIE was requested to provide approval of the partner institution by certifying institutional or programmatic quality, and to participate, along with CAFA and CEP, in regular assessment of exchange and visitor programs. The committee felt strongly that it did not have the expertise to certify institutional quality, and without this expertise, would simply serve as a “rubber stamp” for these types of programs. CIE, however, was willing to participate in regular assessment or review of these programs.

The CIE and CEP chairs met with iVPGE Hughey and agreed that CEP would approve any additional institutions added to the program beyond the initial list of institutions presented in the proposal. CIE will participate in review of annual reports and assessments, with the first report scheduled to be received in fall 2020.

### **International Enrollment and Recruitment**

The committee once again consulted this year with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. The consultation focused on orienting the committee and providing data on nonresident enrollments for 2017-18, targets for the following years, 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 as well as how current approaches address those goals and vision. The consultation serves as an annual “state of international admissions” consultation, and helps the committee better understand developing trends. The committee noted that there is a gap between campus aspirations for nonresident enrollments and the actual nonresident enrollments the campus is able to yield. The committee also reiterated the importance of a positive experience for students as a recruitment tool and strategy for drawing robust future nonresident cohorts. The committee will continue to annually review international admissions and enrollments with AVCEM Whittingham.

### **International Student Success**

CIE considers a positive and successful experience for international students to be one key component of advancing internationalization of the campus. This year, the committee consulted with Vice Provost for Student Success (VPSS) Jaye Padgett (5/29/18) to learn about the work of the Student Success Division and its collaborations with other divisions. Specifically the committee was interested in the work and mission of the division and its collaborations with Undergraduate Education and the Graduate Division; an overview into international experience and wellbeing, including successes and challenges in advancing and promoting student success for international students; and an overview of the difference between international and domestic students on typical measures of success, including retention, time to degree, and GPA.

VPSS Padgett shared the committee's concern that there is not enough attention to the experience of international students on the campus. The committee believes that the campus should be thinking about the student experience at the point of recruitment, as we have a responsibility to provide *all* of our students with the support that they need to be successful. The committee learned that there are funds that have been recently earmarked for international student success going forward, and the committee will follow up in 2018-19 on any resulting initiatives to support our international students.

The committee will also continue to work with VPSS Padgett on related issues in the next year. VPSS Padgett agreed to provide, once available, data from his office on international student success. The committee was particularly concerned with the difference in retention rates for international vs. domestic students. CIE was also interested in reviewing the results of the exit survey once these data are available. These data are expected to come to CIE during fall 2018.

### **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:

- Centers of Excellence Proposal (April 2018)
- Systemwide Senate Bylaw 128 (February 2018)

### **Continuing Issues for CIE in 2018-19**

- Participate in and monitor campus plans for internationalization, including ACE Lab participation
- 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, 2018

**Committee on Library and Scholarly Communication  
Annual Report 2017-18**

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 refers to the multi-faceted modalities by which research and creative work are made public and encompasses issues related to 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. Below we summarize our actions for the 2017-18 academic year.

**COLASC's Charge Change**

The Committee decided to update the charge to clarify the Committee's role and purview. The revision of the charge sought to foster dialogue and interaction between the libraries, Senate faculty, and students. The following amendment to Bylaw 13.23, with the updated charge, was worked on in conjunction with RJ&E, and then brought before the Academic Senate on May 16, 2018. It is given below, and was passed by a show of hands:

13.23.2 The Committee advises the President of the University and the Chancellor at Santa Cruz regarding the administration of the University Library at Santa Cruz, in accordance with the Standing Orders of the Regents. It consults with campus and library administration on local and Universitywide library and scholarly communication policies. Scholarly communication refers to the modalities by which research and creative work are made public, as described in 13.23.4. Whenever appropriate, the Committee joins the library administration in providing representation at Universitywide discussions of library policy. ~~It assists the library administration in determining acquisition and management policies for collections, considering changing patterns of faculty and student use of the library, and the varied needs of the different disciplines.~~

13.23.4 The Committee *reviews existing and proposed library acquisition and management policies and plans, and collaborates with the Library Administration and other appropriate campus entities in the development of those policies and plans, ensuring that they are based upon existing and changing patterns of faculty and student use of the University Libraries, and the varied needs of the campus's academic programs.*

It studies and reports on *multifaceted* issues of scholarly communication, including ~~technology,~~ *access*, publishing, teaching, archiving *and storage*, and copyright and *fair use*. ~~The Committee promotes education and advocacy for matters concerning the library and scholarly communication. It is the responsibility of the committee to strategize and recommend on matters related to scholarly communication, library~~

*services, and library resources in collaboration with the library personnel and other campus entities.*

### **Serials Cancellation**

On November 2, 2017, University Librarian Cowell shared briefly news that there would be an impending \$170,000 cut to journal subscriptions, due to an increase in costs to our UC systemwide journal subscriptions. The Library Administration decided to address the cost by cancelling some journal and database subscriptions. They consulted with COLASC multiple times to determine the criteria to use in the cancellation process and to engage as many faculty as possible in the process. The library set up a very clear web site to communicate the status of cancellation decisions.<sup>1</sup> They state that:

“the campus will need to identify locally licensed journals from across the disciplines to cancel (Examples of local journal subscriptions up for review: Genes & Development, Journal of Computer Game Design, Free Inquiry). The campus will also need to review systemwide-subscribed databases to cancel (Examples of systemwide databases to review: Economist Intelligence Unit, CIAO, Philosopher's Index).”

Communications were sent from the library to the faculty and department managers in spring quarter and early summer, as follows:

- During May 2018, Christy Hightower sent the following emails:
  - To each of department chairs, with the department manager cc'ed. The subject line was: Library Journal & Database Cancellation Review Website Launched. They were asked to share the information with their department.
  - To the Presidents of the SUA and the GSA, and to lecturers via the contact for the lecturers' union, asking each to share with their constituents.
  - To the Undergraduate and Graduate Directors (or equivalent) in each department asking them to participate in a dual role as both a researcher and an instructor. The subject line of the message to Directors was: Library Cancellations from Instructor Perspective.
- On June 14, 2018, University Librarian Cowell sent a message to all Senate faculty using the Academic Senate email alias. The subject line was: RE: Library Journal Cancellation Process Updates. A copy of this email is in Appendix 1.

The current timeline is to launch the input process in September. In an effort to ensure that enough time is allowed for faculty to consider the lists, the library has planned on keeping the title lists open for faculty input from September 2018 through January 2019. Initially the date was February 2019; however, it was realized that the title list will need to close a bit earlier to give time for COLASC input. This change was communicated to COLASC, and COLASC agreed that there would still be plenty of time with a revised end date.

One systemwide database already came up for consideration, STATISTA. It was part of the UC systemwide California Digital Library (CDL) package, and was being renegotiated up until the

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<sup>1</sup> [https://guides.library.ucsc.edu/serial\\_cancellations](https://guides.library.ucsc.edu/serial_cancellations)

last possible time, but CDL was unable to come to a satisfactory pricing so the UC-wide subscription was cancelled as of 6/30/18. Again, the librarians communicated with the Campus Provost/Executive Vice Chancellor (CP/EVC), COLASC, and the Academic Senate Chair as to how best to communicate this information to faculty. On 7/2/18, an email was sent to the Senate Faculty alias from Librarian Kerry Scott, with the subject line: RE: ALERT Imminent Cancellation: UC Libraries Cancelling STATISTA, 6/30/18.

As we move into the process, announcements about its start are planned to be communicated via the Senate list, on the Library website, and directly with department heads and managers. Library staff continue to be in communication with COLASC.

### **Library Budget**

Pursuing one of its major charges, the Committee devoted particular attention this year to developing a comprehensive understanding of the Library's budget — the sources of its revenues, the functional expenditure categories, the reasoning undergirding the Library's expenditure decisions, and the degree of flexibility the Library has in using its revenue. The committee was also interested in whether the Library is receiving its fair share of the campus's General Funds and in whether campus-wide advocacy on behalf of its budget is sufficient.

Because of the fall 2017 announcement about the Library's needs to significantly cut its expenditures on digital materials over the next few years (see Serials Cancellation section above), the Committee worked with the Library to get a better understanding of the Library's expenditures on CDL and non-CDL materials. A May 17, 2018 letter to University Librarian Cowell (Appendix 2), details the major questions with regard to the Library's budget that the Committee plans to pursue during the 2018-19 academic year. Over the summer of 2018, Librarian Cowell met with Chair Ottemann, Senate Director Mednick, and Associate University Librarian for Planning and Resource Management John Bono to discuss this request. Senate Director Mednick pointed out that several committees receive regular budget reports that follow a particular set format. All agreed that this approach would make sense for COLASC, and would help to minimize ad hoc requests and additional work for all. The 2018-19 COLASC can certainly weigh in on this idea.

### **Science and Engineering Library Space Planning Advisory Task Force**

CP/EVC Marlene Tromp and Librarian Cowell convened the Science & Engineering Library Space Planning Advisory Task Force to develop guidance for the S&E Library's space planning. The goal was to take into account the needs of STEM fields on campus. The Advisory Task Force started their work in November 2017 and completed a report in May 2018. The charge of the Task Force was as follows:

- Articulate a set of guiding principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative teaching, student success and access in STEM.
- Ensure that the principles developed are attentive to the needs of the increasingly diverse pool of UC Santa Cruz students enrolled in STEM.

- Assess and rank requests for space (both interim and long range), with priority given to those proposals that advance STEM education and student success and careful consideration paid to the budgetary implications of each proposal.
- Make recommendations for the partial renovation of the third floor, which will be supported by a \$5 million donor gift.

The Task Force data study plan included: 1) tours of the existing facility; 2) analysis of current best practices for science and engineering instruction and library facilities; 3) interviews and focus groups with faculty, students, deans, and units engaged with STEM; and 4) defining issues of access and other special requirements for practical uses.

COLASC had a representative on the task force (the F/W Chair, Jennifer Horne), and provided input on the draft Task Force report (see Appendix 3, COLASC to S&E Library Taskforce Chair re Draft Report 5-29-18). As of the submission of this annual report, the final Task Force Report was not publicly available.

### **COLASC Faculty Survey**

In winter 2017, the 2016-17 COLASC conducted a survey of faculty regarding their use of online and print library resources, library services, and library resources for teaching. The survey also collected faculty opinions on the vision for a renovated Science & Engineering library.

The survey was put together by a subcommittee of the 2016-17 COLASC, and administered online from November 2, 2017 to January 2, 2018. There were 361 respondents who answered at least the first question of the COLASC module, including Senate faculty and Unit 18 lecturers. This number decreased to 316 by the last question about the S&E library, but the relative distribution of rank and divisional affiliation stayed about the same. All responses were confidential and reported at the aggregated campus level for divisions.

Overall, the main findings were that access to online journals generally seems acceptable but could be better. Over 50% of faculty reported that they have experienced the inability to get an article they needed at some point. However, UCSC faculty are problem solvers and so were able to get access through interlibrary loan (ILL) or other clever methods. Accessing books was more problematic than accessing journal articles, with approximately 72% of faculty reporting that they have needed a book that UCSC did not own or have access to. Again, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy. Faculty raised good points about the challenges with the various online platforms for reading and reviewing materials, and COLASC suggests these would be good to delve into to see whether particular platforms are better than others. Another issue that became apparent is the challenge provided by the elimination of the book delivery service and drive up book return. Books serve particularly important research functions for faculty from Arts, Social Sciences, and Humanities and there appears to be a substantial burden gaining access to these materials for these faculty. COLASC strongly recommends examining what it would take to reinstate both a book delivery service and/or a drive-up book return bin. Another service provided by the library is the generation of classroom-directed resource guides. Overall, faculty expressed clear interest in using these guides, with great variation in practice. There were some good ideas to make the guides useful, including to have librarians work in collaboration or consultation with faculty on

designing/updating such guides, and to include more information on plagiarism. The format of these guides may be a good area for COLASC outreach to faculty in the future. With regard to the Science and Engineering Library, faculty placed high value on having space that was flexible so it could change as needed, and with current priorities being for quiet individual study, browse-able print collections, and a cafe. Faculty expressed concerns about the non-library areas and in providing space to other units on campus within the library. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space. These ideas suggest that examination of the library space inventory and mission might be useful, to ensure that everyone is on the same page. This section also highlighted that faculty want more ways to be engaged in library planning, mentioning possibilities such as focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. This is another area that COLASC should look into.

COLASC's full analysis of the survey can be found online<sup>2</sup> and in the main text in Appendix 4.

### **Open Access Movement**

During this year, COLASC took several actions regarding open access related to published work, theses and dissertations.

*Open access in general and OA2020.* In fall 2017, the Committee continued discussions about the open access (OA) movement and the varying attributes of OA across the disciplines. These discussions had occurred in several previous COLASC terms as well. In winter quarter 2018, we consulted with UC Davis Scholarly Communications Officer Michael Wolfe about the Open Access 2020 Expression of Interest (OA2020) document, which many UC Campuses had signed on to. From this discussion, it became clear that signing the Expression of Interest is non-binding and really just as it sounds — an expression of interest. Based on these discussions, COLASC drafted a letter to Academic Senate Chair Ólöf Einarsdóttir dated June 1, 2018 requesting to sign onto Open Access 2020 Expression of Interest. The text of the letter is in Appendix 5, and some parts are detailed below.

OA2020 is an international initiative with the goal of promoting the transition to open access. Their mission is to transform the current publishing system, replacing the subscription business model with an open access one. It aligns well with UCSC's pioneering 2004-05 faculty resolution supporting open access,<sup>3</sup> and the statement from UCOLASC of April 25, 2018 entitled "Declaration of Rights and Principles to Transform Scholarly Communication". OA2020 contains a road map with specific goals and plans for moving toward the large-scale implementation of free online access to, and largely unrestricted use and re-use of, scholarly research articles. The first step on this roadmap is to sign the OA2020 expression of interest, a step already taken by 107 scholarly organizations including most UC campuses<sup>4</sup>: UCLA, UCR, UCM, UCB, UCD, UCSF.

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<sup>2</sup> <https://senate.ucsc.edu/committees/colasc-committee-on-library-and-scholarly-communication/colasc-2017-survey--executive-summary-report.pdf>

<sup>3</sup> <https://news.ucsc.edu/2008/02/1970.html>

<sup>4</sup> <https://oa2020.org/mission/#eois>

On June 1, 2018, COLASC sent a letter describing their supportive position, with the suggestion that this request be brought to the Senate Executive Committee (SEC) for the initial consultation in early fall quarter 2018. Although there are several options after that, the ultimate step is signing by the CP/EVC. After signing, COLASC envisioned a collaborative process across the disciplines and between COLASC, UCOLASC, and our Librarians to develop any next steps. The campus would need to carefully explore the various options as to how any changes would affect each discipline as there are important differences between them. Additionally, COLASC noted that while OA approaches may help to contain costs, they are not free, and thus there will still be difficult decisions. Overall, there is substantial support among the UC Librarians and across the UC Campuses for taking steps toward OA.

Senate Chair Einarsdóttir replied to COLASC Chair Ottemann on June 4, 2018, with the following: “We discussed this issue at the Academic Council meeting this last Wednesday, and while everyone is philosophically supportive of more open access, there were some budgetary concerns raised by UCPB.” Chair Einarsdóttir included UCPB's letter regarding this issue, and it is attached here as Appendix 6. Essentially, UCPB did not endorse the UCOLASC OA “Declaration of Rights and Principles to Transform Scholarly Communication” document. Half the UCPB members abstained, and did so because:

“... they felt that they did not have adequate information about how implementation of the Principles would influence overall costs to the University or how a shift from a subscription-based model to an author-pays model for funding academic publishing might influence individual students, postdocs, and faculty in terms of their ability to publish freely in the important journals for their fields, and also to access all relevant journals in their fields during the transition period. Because UC produces a disproportionate fraction of academic articles overall, unless the cost-per- article were to decline, it is likely that the overall cost of supporting UC’s scholarly output would actually increase under this model—potentially even double—at least in the short-term. ...We share UCOLASC’s desire to create a more affordable and sustainable model for scholarly communication and to position UC as a force to reduce the cost to the University and its scholarly community of contributing and accessing journal articles; however, even if we were able to reduce commercial profits, that would not appear to provide a cost-neutral solution. In fact, our concern would shift to the potentially greater cost to individual scholars submitting their papers for publication”.

COLASC notes that these are two different documents — OA2020 and the “Declaration of Rights...” with the former being non-binding and an expression of interest. This leaves the OA2020 endorsement up in the air, and something for COLASC 2018-19 to resolve.

***Open access for Theses/Dissertations.*** The UC System put forth a draft Proposed Presidential Policy on Open Access for Theses & Dissertations in winter quarter 2018, which aimed to make a uniform policy across all UC Campuses.<sup>5</sup> The summary is that the proposal extends “the principles of the University’s existing open access policies – including the Academic Senate’s policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015 – to theses and dissertations prepared by the University’s graduate students. Specifically, this policy

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<sup>5</sup> [https://www.ucop.edu/academic-personnel-programs/\\_files/apm/etd-policy-sys-rvw/sys-rvw-etd-policy.pdf](https://www.ucop.edu/academic-personnel-programs/_files/apm/etd-policy-sys-rvw/sys-rvw-etd-policy.pdf)

requires theses or dissertations prepared at the University to be (1) deposited into an open access repository, and (2) freely and openly available to the public, subject to a requested delay of access (“embargo”) obtained by the student. The policy does not affect students’ copyright ownership rights in their theses or dissertations.”

UCSC COLASC was in support of this policy, noting support for any policy that would give the work of UC graduate students a more widely accessible platform than the subscription-based UMI, which prevents work from being read by scholars whose institutions cannot afford the services and by those in regions where impoverishment generally prohibits access to the work of UC graduate students. COLASC did note also that “in certain humanities and arts fields especially, graduate students will need to be fully informed about the embargo timeframe.” The full text of the UCSC COLASC letter is in Appendix 7.

On March 28, 2018, UC Academic Senate Chair Shane White wrote a letter to Susan Carlson (Vice Provost Academic Personnel UC) describing several concerns that were raised by various Senate committees, including concerns about whether the revised policy could harm graduate student’s ability to publish books, whether the policy’s two-year embargo period for scholars in book-publishing fields is too brief, a lack of clarity for how the policy would apply to collaborative research common in the sciences, and how the policy would apply to theses and dissertations in the arts that may include paintings, dance, collections of images and sounds, or portfolios of other artistic works. UC Chair White recommended the policy be revised to include “more flexibility concerning the length of embargoes to allow for variation across disciplines,” and to recommend that students be “required to make an affirmative selection with their thesis or dissertation submission of a two-year embargo, no embargo, or an infinite embargo.” So although there was a strong stated commitment to OA, the conclusion was that the policy needed additional modifications and clarifications.

### **COLASC Syllabus Statement**

During the winter quarter, COLASC discussed the fact that UC Santa Cruz has shifted entirely to a Demand-Driven Acquisition (DDA) model for the purchase of books and media, in place of a mixed DDA and “Just-In-Case” model that had been previously used—and that is still used by most UC campuses. UC Santa Cruz and UC Merced are the only two libraries in the system that are fully reliant on the DDA model.

Since this model relies on faculty, staff, and students to make requests to have physical collections added to the library’s stacks, Chair Horne proposed publicizing the Library’s book request link to students through inclusion of shared language on course syllabi, following the model of language on Disability Resource Center Accommodation and Learning Support Services. At subsequent meetings, COLASC finalized the following statement that we invited instructors to add to their syllabi:

#### *COLASC Syllabus Statement*

*UCSC requires active input to build its library collections. The Library adds books to its stacks on the basis of purchase recommendations that can come from any member of the campus community including students. Please visit <https://library.ucsc.edu/recommend->*

*a-purchase to make requests for the purchase of library materials important to your success at UCSC.*

On May 14 2018, COLASC sent out an email to Senate faculty inviting them to incorporate the above language in their syllabi and encouraging them to request their managers to distribute it to all faculty, lecturers, and GSI's who are teaching. We plan to follow up with another email as we get closer to the beginning of fall quarter.

It should be noted that COLASC will continue to discuss the efficiencies and pitfalls of the DDA model in supporting teaching and research in future years.

### **COLASC Role in Strategic Academic Plan**

At three points during the year, the Committee responded to requests for feedback on different facets of the Strategic Academic Plan (SAP). In each instance, after individual research and in-person discussion, the committee shared its feedback through collaboratively drafted letters, three in total.

The first request (November 28, 2017) asked the committee to address issues of “resource generation” and “internal barriers.” COLASC emphasized that the success of not just the SAP and its priority areas, but also of all research and teaching efforts on campus, requires conducive conditions of information access and research dissemination. In addition to expressing concerns that shifts in resources to priority areas might adversely affect library and communication resources for non-prioritized areas, the committee recommended (a) addressing the perils of an increasingly expensive and restrictive publication climate, as well as possible mitigating steps, including the campus's active participation in Open Access 2020 and the open access movement, and (b) taking the necessary steps—including permanent library budget increases—to join the Association of Research Libraries (ARL), which has been a longstanding recommendation of COLASC.

The second request (April 10, 2018) asked the committee to discuss a list of fifty-three “internal campus barriers” with a view toward a Senate-wide list of barriers most in need of attention. The committee responded (May 10, 2018) with a list of nine that seemed most significant from a COLASC perspective. Notably, the letter identified the most substantial barrier as a “lack of coordinating structure/support above divisional level (for intra-divisional efforts)” and appended the following observation: “With regards to this issue, COLASC thought a current problem is that there is not a structure that allows for equal voice for the library compared to the Dean's. In other words, we need a Dean level person that speaks for the Library.”

The third request (April 21, 2018) asked the committee to review the 28 themed academic working group (TAWG) proposals. The committee (May 18, 2018) deemed the request for a consensus list of the most promising proposals as unfeasible; instead, the committee reiterated earlier feedback on the importance of library issues for the success of the SAP and the campus, including ARL membership, and it also shared a number of new COLASC-related suggestions and concerns. The latter centered on the lack of opportunities for Library input in the TAWG process—including the University Librarian not having been included in the Academic Advisory Committee—as well as the absence of a library-related question in the TAWG proposal

questionnaire. The committee recommended allowing the Library to comment on the 6-8 finalist proposals and advocated further opportunities for increasing Library representation going forward.

In sum, throughout the SAP process COLASC encouraged the administration and fellow Senate committees to avoid separating SAP processes and ambitions from ongoing issues of access, publishing, technology, archiving, and copyright, and the committee further emphasized the broader strategic importance of joining ARL and supporting a thriving future for scholarly communication, including through open access initiatives.

### **Miscellaneous Other Business**

COLASC also was shown the Library's New Management System in late May 2018. Katharin Peters (Research Support Services/Discovery Lead) and Gillian Keleher (Library Resources Supervisor/Library Management System Lead) provided an overview of the new search interface. The cloud based system will manage the collection and patron information starting June 20, 2018. Advantages include that searches will be more comprehensive, to include not only the tangible collections but also electronic full text articles, audio, and visual materials. They walked members through an example of a search result. At the inquiry of a member, Lead Peters clarified that Melvyl (WorldCat) will still be available, although it's designed to look specifically for monographs. The library will have the ability to add its own local content, e-scholarship and open access journals. The library staff reported they plan to inform the campus community about the new library management system via Tuesday Newsday.

### **Future ideas and Carry-Over for Academic Year 2018-19**

There were several areas in which COLASC initiated questions that will be on-going in 2018-19.

#### **Library Space**

The Committee foresees that the allocation of space within the library will be an issue of future relevance. The anticipated growth in the undergraduate and graduate populations will likely create competing demands on physical space on campus, and the role of the library in serving these students is evolving in response to technological changes. The allocation of library space for non-library services was identified as potential internal campus barrier to success, as prompted by AVPAA Berger. The first step taken by the Committee in 2017-18 was to request information from Librarian Cowell regarding the current allocation of space within each university library, and the extent to which library space is allocated to other units on campus (Letter in Appendix 8). The results of this inquiry will be shared with the Committee on Planning and Budget.

#### **Library Budget**

See notes in the budget section about ongoing discussions.

#### **Demand Driven Acquisition (DDA).**

How well is DDA working? Efficiencies? Is it supporting all areas of teaching and research? Pitfalls? Alternatives?

**OA2020.**

The OA2020 letter (Appendix 5) went off to the Senate, and concerns were raised that need to be resolved.

**Discuss the future of the library and what that would look like for the campus**

A theme that emerged several times throughout 2017-18 centered around what a library should look like, in general, and specifically for the UCSC campus. Questions included the role of the physical space versus the IT/Digital scholarship, as well as the roles of the Senate Faculty and COLASC in this vision. For reference, the current UCSC Library Mission Statement is:

“The University Library fosters the success of the UC Santa Cruz community by providing access to scholarly information resources, investing in dynamic spaces for collaboration and study, and working with faculty and students in the discovery, use, creation, and management of information that supports research, teaching, and learning.”

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

Chelsea Blackmore (*F&S*)

David Brundage (*W&S*)

Michael Cowan

Justin Marion (*S*)

Kyle Parry

Mircea Teodorescu

Elizabeth Cowell, *ex-officio*

Jennifer Horne, Chair (*F&W*) (Member during *S*)

Karen Ottemann, Chair, (*S*) (Member during *F&W*)

Rachel Jaffe, LAUC Chair

Alix Norton, LAUC Vice Chair

Kelsey Mcdaid, Undergraduate Representative (*S*)

Gabriela Ramirez-Chavez, Graduate Representative

August 31, 2018

## Appendix 1. Communication from Librarian Cowell re Journal Subscription Cancellation

From: **Elizabeth Cowell** [mcowell@ucsc.edu](mailto:mcowell@ucsc.edu)  
Subject: RE: Library Journal Cancellation Process Updates  
Date: June 14, 2018 at 3:25 PM  
To: [senate@ucsc.edu](mailto:senate@ucsc.edu)



Dear Senate Colleagues,

I am writing to both provide an update about the communications the Library has sent to faculty regarding the pending journal cancellation process and to make you aware of what the Library will be doing over the summer to be ready for gathering your input during the September - February journal title review period.

As a reminder, the review process is being rolled out in two stages:

- Stage one: communication about the process and sharing of the title lists - Jan-May 2018.
- Stage two: launching the review process and sharing the title lists with analytics (usage, cost, etc.) - September 2018-February 2019.

### Background About the Impetus for the Cancellation Process

As many of you are aware from the [Library Budget Forum](#), communications through COLASC and the Senate Leadership, the historical cost-sharing model used to license and pay for UC systemwide journal packages and databases (e.g.: Wiley, Nature, Springer, JSTOR, etc.) is changing.

- The cost-sharing model will now be based on campus FTE (a three-year rolling average of FTE).
- Previously the model was based on a three-year rolling average of campus collections expenditures.

While the Library and COLASC are taking proactive steps to limit the number of cancellations, the most likely scenario will require the campus to reduce the number of paid subscriptions

### Communication About the Process

The Library has taken the following steps to communicate project details to the campus community:

- Beginning in January, Library leadership regularly met with COLASC to discuss the cost model impacts and develop a process for deciding which subscriptions to keep/cancel.
- In March, the Library hosted a [budget forum](#) open to faculty, staff and students.
- In April, and with the input and feedback of COLASC members, the Library launched a [website](#) describing the reasons for the cancellation process and the timeline for the process.
- In April, to further clarify the universe of titles that will be up for keep/cancellation consideration, the Library shared a list of our [local journal subscriptions](#) as well as lists of the [systemwide journal packages](#) and the [databases](#) that we currently subscribe to.
- In May, the Research Support Service Librarians reached out to department heads and department managers to describe the process and timeline. The subject heading for that email was "Library Journal & Database Cancellation Review Website Launched."
- In May, the Research Support Service Librarians reached out to Undergraduate and Graduate Directors (or equivalent) in each department asking them to participate (i.e., make recommendations in September) in a dual role as both a researcher and an instructor. The subject heading for this email was "Library Cancellations from Instructor Perspective."
- In May, the Research Support Services Librarians reached out to the Presidents of the SUA and the GSA, and to lecturers via the contact for the lecturers' union, asking each to share the information about the process with their constituents.
- On-going communication: Project and process updates are routinely communicated to the Chair of the Senate, Chair of COLASC and CP-EVC. The Library looks forward to continuing our partnership with COLASC in this important process.

### What the Library Will be Working on Over the Summer

This summer, the Library will be compiling analytics on the journals up for keep/cancellation consideration.

The following analytics were identified jointly with COLASC for guiding this process and will be shared with faculty in September:

- Usage data
- Cost per use
- Availability in Open Access venues
- Availability in the UC Libraries for InterLibrary Loan

### **What You Can Expect in September**

We will officially launch the input process in September. In an effort to ensure that we allow enough time for faculty to consider the lists, we are keeping the title lists open for faculty input from September 2018 through February 2019.

Announcements about the start of the process will be communicated via this list, on the Library website, and directly with department heads and managers.

In the interim, I encourage you to review the [cancellation website](#) and the title lists provided to get a sense of what the timeline is, what the process will be and what titles will be up for review.

Please share your [feedback](#) and send us your questions. We appreciate your support in this process and welcome your suggestions for ensuring that the process is effectively communicated and understood. Please forward this communication to any colleagues you think may not be on this list.

Elizabeth Cowell  
Richard L. Press University Librarian  
Presidential Chair

## Appendix 2. COLASC to Librarian Cowell re Journal Subscription Cancellation and Budget

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

May 17, 2018

Elizabeth Cowell, University Librarian  
University Library

### Re: Follow Up on the Journal Subscription Cancellation

Dear Elizabeth,

The Committee on the Library and Scholarly Communication appreciates the time and care reflected in your March 27 response to our questions on the library budget. After discussing that response, COLASC would appreciate the following additional information and clarifications:

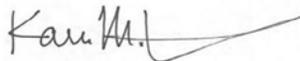
- Our understanding, per John Bono's forum presentation, is that the library's total collection expenditures for 2016-17 were about \$3 million and that, according to your March 27, 2018 letter, the non-CDL portion of those expenditures was around \$1.3 million. We assume that the other \$1.7 million was for CDL expenditures. Is that a correct assumption?
- The non-CDL data in your March 27, 2018 letter accounts for about \$933K in non-CDL expenditures (\$409K for non-CDL serials access, \$197K for eBook access, \$298 for print books, and \$36K for physical media items). Given the \$1.3 million number above, that apparently leaves about \$370K in non-CDL expenditures that the March 27 letter doesn't discuss. What was that \$370K used for?
- According to the library's November 14, 2017 memorandum, "Impending Cancellation of Library Subscriptions," our library is faced with cutting up to \$200K in expenditures over the next three years in response to the changed CDL funding formula (i.e., about 11% of its current CDL expenditures, or about 65% of its total collections expenditures). That memorandum focuses on cuts to its CDL expenditures, but not to potential cuts in other library expenditures.
  - Is the \$200K the total cut to its expenditures that the library anticipates?
  - How much of the mandated cuts does the library anticipate absorbing from its non-CDL collections expenditures? What criteria will it use to make these decisions?
  - Does the library anticipate absorbing any cuts from other parts of its \$8+ million budget? What criteria will it use to make these decisions?
- Would it be possible for COLASC to receive a spreadsheet of the library's current overall budget (or at least the 2016-17 budget), a spreadsheet reflecting expenditures in appropriately detailed categories?
- Do you believe that ARL membership is a realistic middle-term goal for this library? What specific benchmarks do you believe the library would need to meet in order to have a realistic shot at SRL membership? (Following up on your invitation in the March 27 letter, we went to the ARL website but were denied access to *ARL Statistics*, which seems available only to subscribers. Is this library a subscriber? We assume those statistics will offer us relevant data on current ARL members.)

COLASC to Librarian Cowell re Journal Subscription Cancellation  
5/17/18  
Page 2

- Do you believe the campus's academic deans have been sufficiently supportive of the library's budget? Do you believe they've been sufficiently sensitive to the impact of the library's currently strained resources, and of further cuts, on their faculty, students, and programs? What steps might the library or Academic Senate pursue to garner greater decanal support for the library's budget? Could you please elaborate on the support the Deans are currently providing the University Library?

If you'd like to discuss these matters at a COLASC meeting before responding in writing, we'd welcome that opportunity.

Sincerely,



Karen Ottemann, Chair  
Committee on the Library & Scholarly Communication

cc: Associate Librarian Bono

### Appendix 3: COLASC to S&E Library Taskforce Chair re Draft Report 5-29-18

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

May 29, 2018

Donald Smith, Chair  
Science & Engineering Library Space Planning Advisory Taskforce

#### Re: COLASC Review of S&E Library Space Planning Advisory Task force Report - Draft 5

Dear Don,

The Committee on Library and Scholarly Communication discussed the draft of the Science & Engineering (S&E) Library Space Planning Advisory Task force report at our meeting on May 24. We had the following comments and suggestions on the draft.

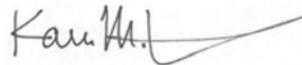
1. It would be great to bring out that the S&E library serves not only STEM students, but students from the entire campus. Ideally, future space utilization analysis should encourage transdivisional collaborations, e.g. Science and Art. Surveying art-based students might reveal different ideas for how they would use S&E space as compared to STEM students. This idea could be addressed by modifying the first paragraph of section II, to say “...*in promoting collaborative learning, student success, and access with a focus in STEM, but to include all students at UCSC*”
2. We overall agreed with the described broader process for assigning space in the S&E library (under Section IV). We particularly echo the desire to balance support of all UCSC students, with targeted groups. We had the following questions/suggestions:
  - a. For the review of new proposals, we think it would make sense to solicit new proposals two quarters before the MOU expires, to give adequate time for review (instead of the proposed one quarter).
  - b. It was not clear which parts of the Academic Senate would solicit proposals, e.g. COLASC? COT? Did the taskforce have ideas?
  - c. There needs to be a clear and better way to reach out to student groups, possibly through SOAR, the SUA and the GSA. It would be great if the report highlighted the need to work hard in this arena.
  - d. For the proposals, it would make sense for the groups to explain whether any modifications are needed in the space, what those modifications would be, and how the group proposes to pay for them.
3. COLASC felt it would make sense to view the space more by function than as assigned to specific groups. For example, there needs to be space that can be utilized for tutoring by small groups (2-5 students), medium sized groups (5-15), and large groups (>15). But does this space need to be assigned to one group? Or should there be space that a variety of groups can sign up for? We hope the taskforce would consider making this part of the broader principles section, by adding the following wording, taken largely from section II guiding principles:

*We view an important goal as making library space assignments that promote the success and engagement of as many students as possible. With this goal in mind, we encourage requests for access to space with particular capabilities, e.g. small group study rooms, but with an understanding that the space may shared by more than one group, possibly with certain groups having priority for sign ups.*
4. In Section IV, the proposals for space use, the response to Jaye Padgett’s request for interfaith prayer space was a bit on the harsh side. One challenge with the UCSC libraries is that they are some of the few central gathering places for students, so while it may not seem like the right place

to have a prayer space, it's also not clear what space would be better. We think you should remove the last sentence, which reads "Further, this proposal was not related to STEM in any way" as this could make it seem like particular types of students are not welcome in STEM fields. Instead, you could change the second to the last sentence to "... on the UCSC campus, and did not feel that the S&E library had enough space to spare for this purpose. However, there are on-going discussions about how best to serve this need".

5. Another proposal for space use in Section IV, that was endorsed, relates the Digital Scholarship Incubator. COLASC would like to recommend that, before proceeding with this, that CPB reviews who is the right owner/developer for various services that are at the nexus of IT and information. It would be great to put this idea in the report.
6. It was not clear how much space is available for outside groups, and whether the current requests will use it all. This question is relevant to the response for the interfaith prayer space.
7. In the current request, it was not clear if some of the requests require renovation or modifications, and if so, are the groups prepared to provide this. If not, then they should not be prioritized.
8. The report does not yet list the task force members.
9. The report does not make it clear how the proposals that were reviewed were solicited--can that be added?

Sincerely,



Karen Ottemann, Chair  
Committee on the Library & Scholarly Communication

## Appendix 4. COLASC Survey

### COLASC 2017 Faculty Survey Summary Report

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#### **Overview and Top Level Summary**

*History.* In winter 2017, the Committee on the Library & Scholarly Communication (COLASC) conducted a survey of faculty regarding their use of online and print library resources, library services, and library resources for teaching. The survey also collected faculty opinions on the vision for a renovated Science & Engineering library.

*Overall Summary.* Overall, the main findings were that access to online journals generally seems acceptable but could be better. Over 50% of faculty reporting that they have experienced inability to get an article they needed at some point. However, UCSC faculty are problem solvers and so were able to get access through interlibrary loan (ILL) or other clever methods. Accessing books were more problematic than accessing journal articles, with approximately 72% of faculty reporting that they have needed a book that UCSC did not own or have access to. Again, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy. Faculty raised good points about the challenges with the various online platforms for reading and reviewing materials, and COLASC suggests these would be good to delve into to see whether particular platforms are better than others. Another issue that became apparent is the challenge provided by the elimination of the book delivery service and drive up book return. Books serve particularly important research functions for faculty from Arts, Social Sciences, and Humanities and there appears to be a substantial burden gaining access to these materials for these faculty. COLASC strongly recommends examining what it would take to reinstitute both a book delivery service and/or a drive-up book return bin. Another service provided by the library is the generation of classroom-directed resource guides. Overall, faculty expressed clear interest in using these guides, with great variation in practice. There were some good ideas to make the guides useful, including to have librarians work in collaboration or consultation with faculty on designing/updating such guides, and to include more information on plagiarism. The format of these guides may be a good area for COLASC outreach to faculty in the future. With regard to the Science and Engineering Library, faculty placed high value on having space that was flexible so it could change as needed, and with current priorities being for quiet individual study, browsable print collections, and a cafe. Faculty expressed concerns about library mission creep to non-library areas, and in providing space to other units. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space. These ideas suggest that examination of the library space inventory and mission might be useful, to ensure that everyone is on the same page. This section also highlighted that faculty want more ways to be engaged in library planning, mentioning possibilities such as focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. This is another area that COLASC should look into.

*Design and Responses.* The survey was put together by a subcommittee of the 2016-17 COLASC, and administered online from November 2, 2017 to January 2, 2018. There were 361 respondents who answered at least the first question of the COLASC module, including Senate faculty and Unit 18 lecturers (Table 1). This number decreased to 316 by the last question, about the S&E library, but the relative distribution of rank and divisional affiliation stayed about the same. All responses were confidential and reported at the aggregated campus level for divisions.

		n	%
Division	PBSci	82	23%
	SOE	39	11%
	Social Sciences	99	27%
	Humanities	89	25%
	Arts	41	11%
	The Colleges	11	3%
	Total	361	100%
Rank/position	Full professors	172	48%
	Associate professors	62	17%
	Assistant professors	42	12%
	Adjunct professors	9	3%
	Unit 18 Lecturers	61	17%
	Other positions	4	1%

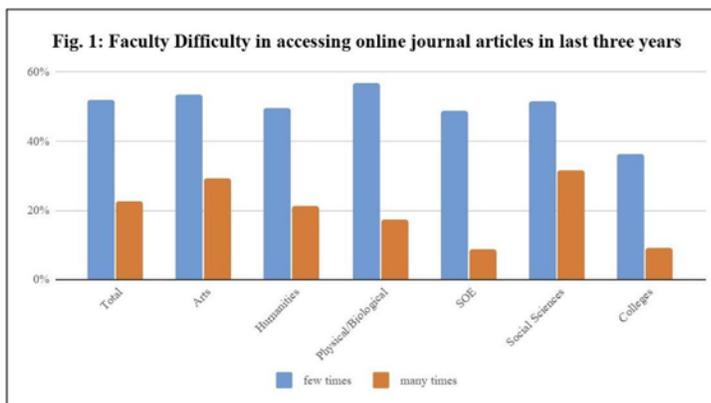
Below we provide a summary of each section, with key takeaway messages for each. The full survey is in Appendix 1.

**1. Library Resources**

This section of the survey generated comments on five general kinds of interrelated library resources: 1) materials (both physical and on-line), 2) people, and services they provide, 3) space, 4) time, and 5) financial cost to responders. Average frequency and intensity of use of some of these resources, and the value placed on them, varied somewhat from division to division. In a few cases there was apparently no significant variation between divisions.

**Access to Online Journal Articles:**

Questions in this section attempted to determine how readily faculty have been able to access online journal articles that they need in the last three years (Question 1.1). Most faculty (74%) said they had experienced difficulty, at least a few times, gaining immediate online access to needed journal articles.

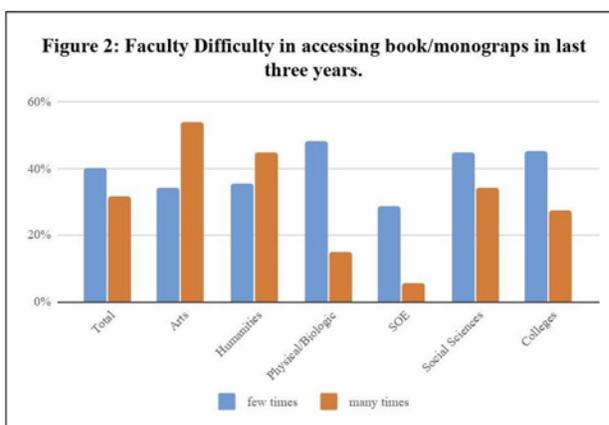


Faculty reported experiencing this challenge either a “few times” or “many times” over the course of the last three years (Fig. 1). Arts and Social Sciences faculty reported experiencing greater-than-average frustration (83% and 84%, respectively). After not being able to access the material, a fair number of respondents (70%) in all divisions apparently decided not to continue seeking access. Others successfully pursued alternative strategies to gain access to most of these articles, including photocopying (esp. in the

Arts and Humanities), ILL requests (except in SOE), searches on other websites including authors' web pages, and contacting the authors. In their written responses, a few faculty/lecturers indicated that they traveled to other libraries to obtain these materials. These additional steps could have a significant effect on faculty time and effort, and may be worth exploring further if there are particular faculty that are heavily affected.

**Access to Books:** Questions in this section attempted to determine how readily faculty have been able access books that they need in the past three years (Question 1.2). Many faculty in the Arts (54%), Humanities (45%), and Social Sciences (34%) indicated that “many times” UCSC didn’t own a print or electronic version of a book/monograph they needed (Fig. 2). Overall, the majority of faculty (72%) experienced issues accessing books/monographs, either a “few times” or “many times” over the last three years. Many faculty in the Arts, Humanities and Social Sciences rely on print or e-books more than articles.

When faculty needed a book not owned by UCSC in any format, most said they requested the book via ILL, found an online version, purchased their own copy, or asked the UCSC library to purchase a copy. Many (62%) indicated they did not try to obtain a book they sought, although the survey does not indicate whether their decision was rare or more common.



The survey also queried whether Faculty have considered or requested the library to purchase a book (Question 1.3). A large majority of faculty in the Arts, Humanities, and Social Sciences, and a lesser number of PBSci and BSOE faculty said that, in the past three years, they had “considered or requested” the library to purchase a book in print or digital form, although the survey doesn’t indicate the average number or books they so considered or requested. Most apparently followed up on a “consideration” with an actual request. The largest number of responses from who “considered but decided against” requesting a purchase noted as their primary reason that they “needed the book immediately and thought it would take too long”. A smaller number of responses noted uncertainty about the quality or relevance of the book for their own on campus community needs, about the process for making a request, or belief that the purchase would be too expensive. Twenty-five faculty noted uncertainty “that the book would remain in the collection long-term”—perhaps a reaction to last year’s removal of books from the S&E Library.

Faculty indicated that, if they asked the library to purchase a book for them to use in their own research (Question 1.4), they’d prefer a digital copy 52% of the time and a print copy 42% of the time. Preference for digital copies was strongest for PBSci and BSOE faculty, although roughly 50% of the Arts, 43% of the Humanities, and 41% of Social Sciences faculty indicated this preference for at least some of the purchases.

An unusually large number of individual faculty members wrote extensive and sometimes passionate comments that thoughtfully weighed the respective advantages and disadvantages of e-books and print books. Many also commented that digital access was problematic because of the platforms and applications that support the ebooks. Comments included issues with navigation, accessibility on different devices, and general issues of eye strain and fatigue.

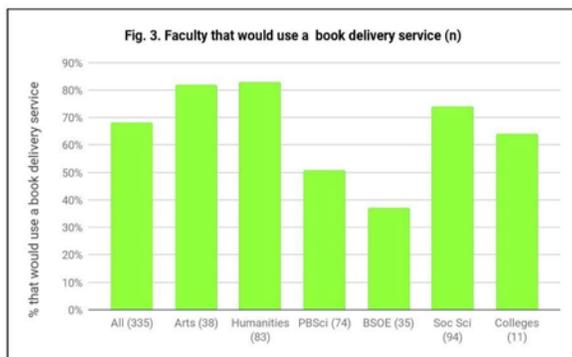
**Section 1 Takeaways:**

- While most faculty were able to access journals online or in the library collections, over 50% of the faculty have repeatedly experienced frustration in accessing articles related to their research. However, most people were able to get access through ILL, other online resources, or buying their own copy.
- Approximately 72% of faculty reported that they have needed a book that the UCSC did not own or have access to several times (quantified as a few/many) over the last three years. However, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy.
- The committee noted that although the above issues were resolved, these extra steps cost faculty time and effort that is already stretched thin.
- Many of the faculty have issues with the online ebook resources in terms of the platforms and how useful they are for reading and reviewing materials. This issue might be good to look into, to see if there is a preference for particular platforms or a strong dislike of others.
- There are differences in the way that faculty from different divisions appear to use the library resources. Larger percentages (24% and 43%) of faculty from the PBS and SOE have not accessed online or print books than faculty in the other divisions.

**2. Library Services**

This section of the survey asked about faculty desire to use particular services, as well as their actual use and visits to particular spaces.

*Use of Services.* The first question (Question 2.1) asked whether faculty would use specific library services, including book delivery, drive up book return, reference librarians, workshops, extended hours, and checking out of laptops/ipads. The main desires that jumped out were for a book delivery service and a drive-up book return.



A book delivery service known as SlugExpress was eliminated in 2008 and a drive-up book return bin was eliminated during the remodel of McHenry Library. Among the faculty in divisions where books are central to research, there was very strong support for the reintroduction of both of these services. Significant numbers of faculty in every division were in favor of this service, with 37-83% responding

that they would use a book delivery service if it were reintroduced (Fig. 3). About half of these also noted they would also pay a reasonable fee for this service.

There was also strong support for the reintroduction of a book return bin among these faculty, with a stronger desire expressed by faculty in Arts, Humanities and Social Sciences (over 50%) versus 12-17% of faculty in BSOE and PBSci. The qualitative comments reveal the intensity of feelings on both of these issues. Time taken from research going back and forth to the library was mentioned as a concern as was the question of equitable access for faculty with disabilities.

**Use of Specific Collections.** Questions in this section also asked about use of specific collections , e.g. the special collections/archives, digital collections, electronic theses and dissertations, electronic newspapers, maps, and the video gaming lab (Question 2.3). Far and away, the majority of faculty did not use any of these items. While this result does not suggest these collections are unimportant, it does suggest they are used by small numbers of faculty and/or students.

**Visits to specific library locations.** Lastly, it asked about actual visits to the library to use the Faculty Instructional Technology Center (FITC), the global village cafe, and the S and E library (Question 2.4). The answers to these questions did not provide much useful information, with some faculty visiting/using and some not.

**Section 2 Takeaways.**

- COLASC strongly recommends examining what it would take to reinstitute both a book delivery service and a drive-up book return bin.

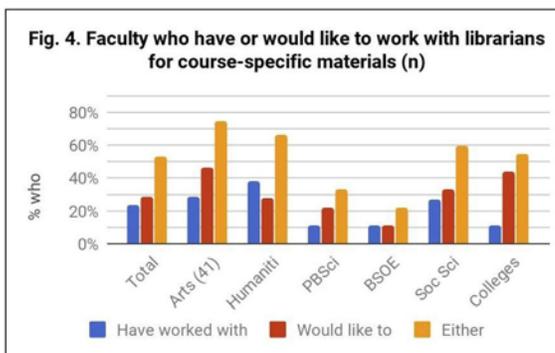
**3. Library Course-specific Materials Designed to Aid Teaching**

This section focussed on development and utilization of course-specific library materials to aid in teaching. It first questioned faculty about whether they had worked with the library to develop course-specific materials and if so, how useful they were. It then focussed specifically on the utility of online course-specific resources.

**Use of Course Specific Guides.**

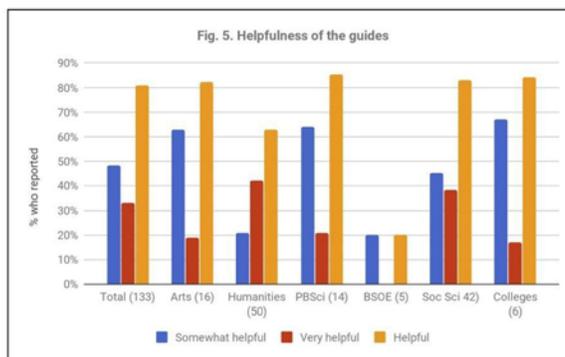
Overall, 24% of the total faculty had worked with librarians to create course-specific materials (resource guides) and another 29% would like to

to, given a bit over 50% who overall are interested in these resources (Question 3.1) (Fig. 4). There was variation between divisions (Fig. 4). Humanities faculty had the highest rate of having working with UCSC Librarians (38%), and Arts faculty were more interested in working with a UCSC librarian than faculty in other divisions (Fig. 4). Very few PBSci faculty (11%) have worked with the librarians but more than one in five (22%) would like to do so in the future. Very few (11%) faculty in SOE have worked with a librarian or plan to work with a librarian.



**Pointing students to the guides.** Overall, 40% of faculty referred their students to the online disciplinary guides available on the library website (Question 3.2). As above, there is a large variation between divisions in regards to this with only 15-18% of Baskin School of Engineering and PBSci faculty, 39-45% or Soc Sci and Arts , and 64% of Humanities faculty re saying .

**Usefulness of the guides.** Faculty were asked about how helpful these online resource guides have been for students to learn to use appropriate citation practices (e.g., how to select and evaluate resources, how to cite properly) (Question 3.1a and 3.2a). Of the faculty who have used such disciplinary guides as indicated in Question 3.2, (n=133), the majority (81%) said they were at either somewhat or very helpful (grouped as “helpful” in Fig. 5). Almost no one who have used these guides reported that they were *not helpful*. With the exception of BSOE faculty, faculty in all other divisions found the guides to be helpful. There was some variation on whether they were ranked very helpful, highest for Humanities and lowest for Arts and PBSci. The data also suggest that BSOE faculty do not really use them as only 5 faculty responded that they had, but only ⅓ considered them helpful. This finding likely highlights a need to improve the disciplinary guides in several areas. There were two main suggestions for improvement of online disciplinary guides: (1) having librarians work in collaboration or consultation with faculty on designing/updating such guides, and (2) including more information on plagiarism.



Many faculty worried about not all students using these online resources. They emphasized the importance of having a librarian speak to students in class or during an interactive session at the library in addition to giving students online resource guides, whether course- or discipline-specific. They also suggested giving students an incentive and faculty a way to check whether students have used these resources (i.e., some/more points on assignments).

**Section 3 Takeaways:**

- There is clear interest in having guides that will help students do research and use the library
- There is variation on how much the current guides are used, ranging from being used by only 15% of faculty in SOE, to 64% of faculty in Humanities.
- Reasons for low use of current differed. In some cases, faculty did not know about the guides, and in some they found them not highly helpful.
- For future guides, faculty suggest to have librarians work in collaboration or consultation with faculty on designing/updating such guides, and to include more information on plagiarism.
- This may be a good area for COLASC outreach, to notify faculty of these guides and promoting their engagement with guide creation.

#### **4. Vision for the Science & Engineering Library**

Questions in this section were directed toward understanding what people would like in a renovated S&E Library. Planning and Budget provided a summary of this data to COLASC as well as an official report, but we did not have a chance to look at the actual tabular data unlike for the other sections. The official report can be found [here](#).

The main findings from that report were that respondents hoped for a world class collection of scholarly sources and a library that would promote academic success of undergrad STEM majors. Respondents rated highly the use of space for quiet individual study, for browsable print collections, and for housing a cafe. They overall thought having the space be flexible was an important aspect. They additionally commented on the need for a reference librarian in the S&E Library. There were some differences in how people from the various divisions rated the importance of these, but overall these rose to the top.

Respondents expressed significant concerns about mission creep on the part of the library, e.g. that it is housing and providing resources for ventures that are outside of its mission. E.g. classrooms, yoga rooms, subscriptions to software. COLASC interpreted these results as not indicating these particular things are bad, but instead that given limited resources, investments in non-core areas takes away from core areas. Some areas that were highlighted as NOT being important included space for socializing (outside of the cafe), space that presented highly visible learning, random collision space, space that can be used by other units, access for tools to digital scholarship, e.g. data visualization. There was some disparity by division about the need for collaborative research space, with most respondents not favoring this but members of SOE being for it.

Finally, there emerged a clear desire for a better way than a survey to involve broad faculty in vision/planning. Respondents noted that such involvement needs to be regular, and could be focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. There were numerous comments about the bad decision making process. This will be an action item for COLASC in 2018-19.

#### **Section 4 Takeaways**

- Faculty placed high value on having space that was flexible so could change as needed, and would accommodate quiet individual study, browsable print collections, and a cafe.
- In terms of resources, faculty commented on the need for a reference librarian in the S&E Library.
- Faculty expressed concerns about library mission creep and providing space to other units. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space.
- Faculty want more ways to be engaged in library planning. Respondents noted that such involvement needs to be regular, and could be focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian.

## Appendix 5. COLASC to Senate Chair Request to sign on to OA2020 Expression of interest

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 1, 2018

Ólöf Einarsdóttir  
Chair, Academic Senate

### Re: Request to sign onto Open Access 2020 Expression of Interest

Dear Ólöf,

The Committee on Library and Scholarly Communication is interested in having UC Santa Cruz sign on to an initiative that aims to foster open access publishing, the OA2020 initiative. We are writing to request your help in taking this step.

#### What is OA2020?

OA2020 is an international initiative with the goal of promoting the transition to open access. Their mission is to transform the current publishing system, replacing the subscription business model with an open access one. It aligns well with UCSC's pioneering 2004-05 faculty resolution supporting open access (<https://news.ucsc.edu/2008/02/1970.html>), and the recent statement from UCOLASC of April 25, 2018 entitled "Re: Declaration of Rights and Principles to Transform Scholarly Communication".

#### Our request: UCSC endorse OA2020

OA2020 contains a road map with specific goals and plans for moving toward the large-scale implementation of free online access to, and largely unrestricted use and re-use of scholarly research articles. The first step on this roadmap is to sign the OA2020 expression of interest, a step already taken by 107 scholarly organizations including most UC campuses: UCLA, UCR, UCM, UCB, UCD, UCSF. (<https://oa2020.org/mission/#eois>).

Signing the OA2020 expression of interest is non-binding, and states that "we express our interest in establishing an international initiative for the OA [open access] transformation of scholarly journals". The document then describes three key aspects. It should be emphasized that while COLASC support signing on to these broad principles, we envision a consultative process across the disciplines as we define the actual steps we will take here at UCSC. There will certainly be field specific variations that will need to be considered. e.g. in fields that are image-based. Additionally, while open access approaches will contain costs, they are not free, and thus there will still be difficult decisions. The three aspects that the OA2020 document lays out are:

1. We aim to transform a majority of today's scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences. At the same time, we continue to support new and improved forms of OA publishing.
2. We will pursue this transformation process by converting resources currently spent on journal subscriptions into funds to support sustainable OA business models. Accordingly, we intend to reorganize the underlying cash flows, to establish transparency with regard to costs and potential savings, and to adopt mechanisms to avoid undue publication barriers.
3. We invite all parties involved in scholarly publishing, in particular universities, research institutions, funders, libraries, and publishers to collaborate on a swift and efficient transition for the benefit of scholarship and society at large.

It is important to note that our Librarians are fully in favor of OA2020, and of implementing open access policies. Indeed, the UC Librarians released a report called [Pathways to OA](#), which basically describes

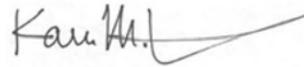
that the UC Libraries are committed to “transforming scholarly communication into a system that is economically sustainable and ensures the widest possible access to the scholarly record.... (which) necessitates transitioning away from subscription-based publishing models, and repurposing our investments into sustainable open access (OA) funding models”.

There are numerous reports documenting that the current subscription model for academic publishing is not working. Indeed, rising costs just this year are forcing the Library Administration to cut journal subscriptions yet again. All while academic publishers reap substantial profits.

As to next steps, we think that this request could be brought to the Senate Executive Committee (SEC) for the initial consultation early Fall quarter 2018. There are several options after that, which include either sending directly to the CP/EVC for signing or to the Senate committees and/or Senate at-large for review and endorsement, prior to presenting to the CP/EVC. While all UC Campuses have culminated in CP/EVC endorsement, they took different routes to get there. For example, UCM went with an all senate committee route: it had three committees (COLASC, COR and GC) and the SEC review. UCLA had a combination of senate committees and Senate at-large: The COLASC Chair presented the initiative to the SEC and a Council of Department Chairs, and then it was made available to the Senate at-large for comments. UCSC COLASC favors a route that involves broad senate consultation.

After signing, as described above, we envision that COLASC will consult with UCOLASC and work with our Librarians to develop any next steps.

Sincerely,



Karen Ottemann (S) & Jennifer Horne (F&W), Chair  
Committee on the Library & Scholarly Communication

cc: Director Mednick

## Appendix 6. UCPB letter re Declaration of Rights and Principles to transform scholarly communication

UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)  
Joshua Schimel, Chair  
[josh.schimel@lifesci.ucsb.edu](mailto:josh.schimel@lifesci.ucsb.edu)

Assembly of the Academic Senate  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200  
Phone: (510) 987-9466  
Fax: (510) 763-0309

May 14, 2018

**SHANE WHITE, CHAIR  
ACADEMIC COUNCIL**

**RE: Declaration of Rights and Principles to Transform Scholarly Communication**

Dear Shane,

UCPB consulted with UCOLASC Chair Rich Schneider at its May 8 meeting to discuss UCOLASC's "Declaration of Rights and Principles to Transform Scholarly Communication." There were 10 members present when the Committee voted on whether to formally endorse the Declaration. The vote split 5/5/0 for Yes/Abstain/No. Hence, UCPB is unable to formally endorse the Declaration.

UCPB members were essentially unanimous in philosophical support of continuing the move toward open access, and in support of most of the individual principles. However, UCPB's purview is primarily money: we are planning and budget. Those members who abstained did so because they felt that they did not have adequate information about how implementation of the Principles would influence overall costs to the University or how a shift from a subscription-based model to an author-pays model for funding academic publishing might influence individual students, postdocs, and faculty in terms of their ability to publish freely in the important journals for their fields, and also to access all relevant journals in their fields during the transition period.

Because UC produces a disproportionate fraction of academic articles overall, unless the cost-per-article were to decline, it is likely that the overall cost of supporting UC's scholarly output would actually increase under this model—potentially even double—at least in the short-term. We share UCOLASC's desire to create a more affordable and sustainable model for scholarly communication and to position UC as a force to reduce the cost to the University and its scholarly community of contributing and accessing journal articles; however, even if we were able to reduce commercial profits, that would not appear to provide a cost-neutral solution. In fact, our concern would shift to the potentially greater cost to individual scholars submitting their papers for publication. How, therefore would the costs be distributed across UC? Given a finite University library budget, would there end up being some kind of "rationing" of University-supported author-pays submissions? Half of UCPB members felt that these questions loomed large enough, and that given UCPB's specific purview they did not feel comfortable officially endorsing the Principles without more information about how those issues might actually be resolved.

Thank you for the opportunity to comment.

Sincerely,

A handwritten signature in cursive script, appearing to read "Josh Schimel", is displayed within a light gray rectangular background.

Joshua Schimel, Chair  
UCPB

Encl.

cc: UCPB  
UCOLASC Chair Schneider  
Executive Director Baxter

## **Appendix 7. COLASC to Senate Chair Re: Proposed Presidential Policy on Open Access for Theses & Dissertations**

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

March 8, 2018

Ólöf Einarsdóttir, Chair  
Academic Senate

### **Re: Proposed Presidential Policy on Open Access for Theses & Dissertations**

Dear Ólöf,

The Committee on the Library and Scholarly Communication (COLASC) has reviewed the draft UC Open Access for Theses and Dissertations Policy to provide systemwide consistency for graduate students' theses and dissertations.

The committee agrees in general with the systemwide policy, noting that in certain humanities and arts fields especially, graduate students will need to be fully informed about the embargo timeframe. In such instances, we would ask that students depositing work in California Digital Library be encouraged to discuss the submission practice and the embargo period with their faculty advisors at the time of submission to California Digital Library.

The COLASC recommends, in general, any policy which would give the work of UC graduate students a more widely accessible platform than the subscription-based UMI, which prevents work from being read by scholars whose institutions cannot afford the services and by those in regions where impoverishment generally prohibits access to the work of UC graduate students. In protecting the interests of emerging academic professionals we should be careful not to also protect the interests of publishers who seek to control the publication scope of authors by means of prohibitive pricing, limited publication runs, and contracts that do not allow authors to retain rights.

Sincerely,



Jennifer Horne, Chair  
Committee on the Library & Scholarly Communication

cc: Senate Committee Chairs

**Appendix 8: COLASC to University Librarian re Request for the University Library's Space Utilization Information**

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 1, 2018

Elizabeth Cowell, University Librarian  
Chancellor's Office

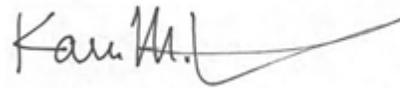
**Re: Request for the University Library's Space Utilization Information**

Dear Elizabeth,

The Committee on Library and Scholarly Communication would like to better understand the usage of space in the University Libraries as the role of the Library is changing to better serve our undergraduate, graduate and faculty populations, and some of those populations are likely to grow in the coming years. The committee requests the following, before the start of Fall quarter 2018 so the committee can review at the beginning of the academic year.

- 1) A listing of the assigned square footage in each UCSC library, please provide available building plans or drawings.
- 2) A description of what space is currently being used by the library, and what space is shared under MOUs with different units.
- 3) For the space used by the library, what categories is it assigned to. For example, collections of the various types, NRLF storage, private study space, open study space, offices, other uses (name), etc). We recognize that we may not know all the categories the library uses, so welcome your input if we missed any key categories.
- 4) For the space used by other units, we would like to know what the units are, and a description of the MOU in order to understand under what conditions the space would revert to the library.
- 5) Is there currently a formal process for space request? If so, what is it and does it differ between library spaces?

Sincerely,



Karen Ottemann, Chair  
Committee on the Library & Scholarly Communication

cc: Director Mednick

## **Appendix 9: Science and Engineering Library Space Planning Advisory Task Force Report June 4<sup>th</sup>, 2018**

### **I. Charge and Process**

The Science & Engineering Library (S&E Library) Space Planning Advisory Task Force was established by CP/EVC Tromp and UL Cowell in fall 2017 to propose use options for space in the S&E Library, including interim to longer-term renovations of the library, that advance collaborative teaching, student success and access in STEM. The **Task Force charge** states that the general purpose and objectives of the Task Force are as follows:

- Articulate a set of guiding principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative teaching, student success and access in STEM.
- Ensure that the principles developed are attentive to the needs of the increasingly diverse pool of UC Santa Cruz students enrolled in STEM.
- Assess and rank requests for space (both interim and long range), with priority given to those proposals that advance STEM education and student success, with careful consideration paid to the budgetary implications of each proposal.
- Make recommendations for the partial renovation of the upper level, which will be supported by a \$5 million donor gift.

### **Process**

The Task Force toured the existing S&E Library facility, and met approximately twice a month between November 2017 – April 2018. The Task Force considered current best practices for science and engineering instruction and library facilities, reviewed the 2014 draft S&E Library renovation study Concept Package, the S&E Library Business Case Analysis (dated January, 2017), and the December 11, 2017 letter to UL Cowell from CPSM P&B (Director Smith) and PPDO BAS (AVC Ferdolage) regarding partial renovation of the S&E Library lower level with a \$5 Million budget, among other things.

The Task Force conducted (or sought) interviews and focus groups with deans, faculty, students, and student support groups engaged with STEM, including student support groups targeting under-represented, first-generation, and at-risk undergraduate students. SOE Dean Alex Wolf, PBSci Acting Dean Dave Belanger, Vice Provost for Student Success Jaye Padgett, Tracy Larrabee (faculty, Computer Engineering), and Lydia Zendejas (Director, MESA Engineering Program) attended a Task Force meeting for consultation. Additional faculty, STEM diversity program, and student perspectives were provided by the nine ladder faculty, two STEM diversity program directors, and two student Task Force members. Efforts to engage and consult with representatives of campus student organizations (Bioengineering Club, Information Systems Management Association (ISMA), Security Santa Cruz (SSC), Women in Science and Engineering WiSE) by the Task Force Chair were unsuccessful in bringing group representatives to a Task Force meeting for consultation.

Graduate and undergraduate student Task Force members, with Task Force members' input, constructed and administered graduate and undergraduate student surveys of S&E Library student use and needs. In addition, the Task Force reviewed the draft report on faculty's vision for the S&E Library, which presented results of the UCSC faculty survey conducted in Fall 2017 by IRAPS on behalf of the Senate Committee on the Library and Scholarly Communication (COLASC).

## **II. Task Force Guiding Principles and Recommendations**

The Task Force developed Guiding Principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative learning, student success, and access with a focus in STEM, but to include all students at UCSC. These are:

- Library space should support faculty and students by providing scholarly resources, space, staffing, and technologies to enhance research, discovery, and the formation of academic community.
- Library space should promote student success and engagement, particularly for undergraduate and graduate STEM students, while accommodating the needs of a diverse pool of students, including low income, underrepresented, and first generation students.
- Library space design should create a welcoming and inclusive environment that promotes equitable use of library space, resources, and programming to accommodate a diversity of user needs, consistent with universal design principles<sup>1</sup>.
- Library space should be designed with inherent flexibility to accommodate a diversity of user needs and technologies that may change over time.

## **III. Student and faculty surveys of S&E Library space use**

The undergraduate, graduate, and faculty S&E Library survey results were reviewed by the Task Force, and used to inform Task Force recommendations for S&E Library space allocation and the partial renovation of the upper level. The results are briefly summarized below, and are summarized more completely in the Appendix [note that there was some concern among Task Force members about the low response rate for the undergraduate (328 responses) and graduate (159 responses) surveys, and the limited response from student groups to directly engage the Task Force]. The COLASC faculty survey is available directly from COLASC, while the complete student surveys are available via the links in the Appendix.

In summary, both undergraduate and graduate students ranked a Café, quiet study cubicles, and reservable group study rooms as their most or second most favored outcome of library space renovation; undergraduate students, but less so graduate students, also ranked favorably communal study space. Greater access to print collections ranked somewhat favorably by graduate students, but much less so by undergraduates.

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<sup>1</sup> The Center for Universal Design (1997). *The Principles of Universal Design, Version 2.0*. Raleigh, NC: North Carolina State University. Available from: [https://projects.ncsu.edu/design/cud/about\\_ud/udprinciplestext.htm](https://projects.ncsu.edu/design/cud/about_ud/udprinciplestext.htm)

In the COLASC faculty survey responses to whether a renovated S&E Library should provide space for particular uses, the top responses (i.e., rating as must have/essential) favored providing additional space for quiet, individual study (36%), open a café (similar to the one in McHenry) (30%), create spaces that can easily and flexibly transition to meet future needs (30%), allocate additional space for browsable physical print collections (compared to the current allocation) (28%), and provide space for project-based, collaborative, interactive learning (28%) (percent averages computed from PBSci & SOE faculty data in Table 2 of the survey). It is noteworthy that in all use categories listed above, the majority of faculty respondents rated the listed uses as *not needed* or *do not know* (i.e., 64% - 72% combined).

#### **IV. Proposals for space use in the S&E Library**

The Task Force received seven written proposals from the academic divisions, student success programs and others for space use in the S&E Library to enhance student success and meet program needs. The Task Force's Guiding Principles were applied to the review of proposals. The proposals are summarized below, followed by Task Force recommendations. These recommendations do not constitute formal space allocations. The CP/EVC and University Librarian should take these recommendations under careful consideration, in conjunction with the Strategic Academic Plan currently in development, to provide authorization for utilization of library space to the recommended programs [the complete proposals are provided via links in the Appendix]. In addition, the Task Force provides recommendations for the solicitation, review, and management of S&E Library space use proposals in the future.

#### **Proposals and Recommendations**

- Proposal from the Baskin School of Engineering, MESA Engineering Program (MEP) for ~2640 asf of space on the lower floor (former 'Map Room') to house student tutoring (~1980 asf), professional societies (~200 asf), student staff space (~200 asf), and MEP program staff space (~260 asf) on a pilot basis for a period of 3 years. MEP provides sustained academic support for underrepresented minorities (most of them first generation students) and women majoring in engineering programs.

Recommendation: The Task Force supports this request and recommends that the SOE MEP program be allocated ~2640 asf in the 'map room' space on the lower level of the S&E Library for a period of 3 years, with the possibility of renewal of the space use agreement.

- Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative, with addendum. The requested space includes the suite of cubicle space and one office located directly behind the Active Learning Classroom on the main level of the S&E Library. Space would be used to house one STEM counselor (in the office) to provide on-site advising adjacent to the academic support and tutoring-focused area located in the cubicle suite. The presence of the STEM advising counselor will complement the academic support delivered in the cubicle suite and make the space a comprehensive resource for students. The proposers envision utilizing the counseling office space to rotate in services and faculty to offer

drop-in services by the DRC, Slug Support and others, including faculty and teaching assistants in the higher failure rate STEM foundation courses. The proposers envision the space as a launching pad for students and a connection point to resources to increase STEM equity and reduce STEM attrition; activities will outreach and target Latinx and low income/EOP students, but will not be exclusive space.

Recommendation: The Task Force supports this request and recommends that HSI Initiative program be allocated ~1,200 asf in the requested space on the main level of the S&E Library for a period of 3 years, with the possibility of renewal of the space use agreement.

- Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research, to enhance research development capabilities by hiring and housing three research development staff to work in the areas of physical, biomedical, and environmental sciences in general, and to help write large proposals to support STEM student success awards (IMSD, MARC, PREP), etc.

Recommendation: The Task Force does not support or recommend this proposal, since it would not directly serve or meet the needs of STEM students and faculty.

- Proposal from Task Force member Kiyomi Kaneshiro (titled *Proposal for a Virtual Reality set-up in the S&E library*) for ~35 asf of shared space use in the Video Game Lab (S&E Library main level) to set up a virtual reality lab in the S&E Library.

Recommendation: The Task Force supports the request but recommended that the proposer contact reference librarian Christy Caldwell to arrange shared use of the space, since the proposed use of the existing Video Game Lab space falls outside the immediate charge of the Task Force.

- Proposal from Task Force member George Brown (titled *The S&E Print Collection: A Modest Proposal*) to distribute the relict print collection in the S&E Library among all 59 stacks on the lower floor, in a manner that for browsing convenience, keeps the lowest and uppermost subshelves of each 30-foot shelf empty; the 59 shelves could all be moved to the upper level, kept on the lower level, or distributed between the upper and lower level.

Recommendation: While issues related to the S&E Library print collection are outside of the Task Force's charge, the Task Force discussed the costs and benefits with distributing the current print collection from the current ~34 stacks to 59 stacks (i.e., partially filling the currently empty ~24 stacks), and the redistribution stacks on the lower and upper floors. The Task Force did not support, and does not recommend, redistribution of the print collection to occupy currently empty stacks, or the redistribution of the print collection to the upper floor.

- Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jaye Padgett, Vice Provost, Division of Student Success. The proposal is seeking permanent interfaith prayer and meditation space in the S&E Library to accommodate 10 to 20 individuals. The requested space would support contemplative time and meet the religious practice needs of the Muslim community at UCSC; space use needs would require access from sunrise to sunset daily, preferably even on weekends.

Recommendation: The Task Force recognizes and is sensitive to the need for dedicated prayer/meditation space on the UCSC campus, but does not feel that there is space in the S&E Library for this purpose. Hopefully, the on-going campus discussions about how best to serve this need will identify an appropriate solution.

- Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator (DSI) space on the lower floor of the S&E Library. The proposed DSI space builds on the success of the Digital Scholarship Commons (DSC in McHenry) and, in particular, the newly opened Visualization Lab (VizLab). Converting the old map room (~2640 asf) on the lower level of the S&E Library into an incubation hub focused on innovation and open experimentation would extend the model of the DSC into the S&E Library. In particular, this space would expand the ability to create, manipulate, and share 3D files and invite students to participate in the entire lifecycle of 3D and 360 content. By adding 3D scanning and 3D printing to the DSC list of services, the library staff would create a holistic pipeline of 3D data analysis that includes input (3D scanning and 360 video), digital output (VR, 360 video, and 3D models), and physical output (3D printing).

Recommendation: The Task Force was enthusiastic about the potential benefits of establishing DSI space in the S&E Library, as well as the positive role such a facility would play in the future of a technology-driven library facility. The Task Force recommends that before proceeding with this proposal that the Academic Senate (e.g., CPB) reviews who is the right owner/developer for various services that are at the nexus of IT and information. The Task Force also recommends that if pursued, the DSI facility be placed on the east side of the main level of the S&E Library, rather than in the requested lower level map room space. The Task Force felt that locating the DSI facility on the main (second) level with the Active Learning Classroom would more effectively highlight the technological draw of the facility around a broader theme of active and experiential learning and creation. Moreover, a proposal from the SOE MEP program for use of the map room space is recommended by the Task Force as a higher priority use of that space compared to the DSI proposal. Some comments were raised in the discussion about the number and discipline of students that would be served by the DSI facility, and the Task Force suggests that the proposers include in the proposal moving forward comprehensive information on student use of the similar facility in McHenry Library; this would address questions on the number of students across STEM disciplines that the facility would serve.

#### **V. Broader process for assigning space in the S&E Library, soliciting proposals in the future, timeframe of space assignment, etc.**

More broadly regarding the allocation of S&E Library space to specific, potentially exclusive, student support programs, the Task Force recommends that:

1. Allocation of S&E Library space to outside programs should not restrict near or longer term renovation of the S&E Library.

2. Allocation of S&E Library space to student support programs that exclusively serve targeted segments of the STEM student population should be balanced by library space use and programming that equitably serves the broader STEM student population.
3. Moving forward, the S&E Library administration in collaboration with the Office of Student Success, Graduate Division, and the Academic Senate should broadly solicit proposals for space use in the S&E Library; a program currently occupying S&E Library space can reapply for space allocation. Proposals should be solicited approximately two academic quarters prior to the expiration of existing S&E Library space use agreements. Proposal guidelines and evaluation criteria should be collaboratively developed by the University Library administration, Office of Student Success, Graduate Division, and the Academic Senate; proposals should address whether any modifications are needed in the space, what those modifications would be, and how the proposers plan to pay for them.
4. A written memorandum of understanding (MOU) be established between the program and library administration that makes clear the following:
  - The specific space allocation, expected and allowed uses of the space, tenant responsibilities for maintaining clean and safe spaces, and tenant access limitations relative to library operating hours.
  - Space allocation is not permanent. Space should be allocated for a 3 year period (or less), after which the space use will be evaluated for effectiveness in serving STEM students and promoting student success specific to the program, and STEM students more broadly.
  - The program be required to collect data on students served and student success emanating directly from the program's activities within the S&E Library space, and those data summarized and made available to the S&E Library administration and the Academic Senate for review in subsequent proposals to renew space allocations, if requested.

Finally, the Task Force views an important goal as making library space assignments that promote the success and engagement of as many students as possible. With this in mind, it may be that rather than allocate space to particular programs, space allocation in the S&E Library should emphasize allocations based on space use for particular functions (e.g., student tutoring, advising, small group study rooms, etc.) that may be shared by more than one program, possibly with certain programs having priority for use of the space.

## **VI. Recommendations on the partial renovation of the S&E Library upper floor**

As noted above, the Task Force reviewed the 2014 draft S&E Library renovation study Concept Package, the S&E Library Business Case Analysis, and the letter to UL Cowell from CPSM P&B (Director Smith) and PPDO BAS (AVC Ferdolage) regarding partial renovation of the S&E Library upper level with a \$5 Million budget. These materials, along with the Task Force Guiding Principles and the student and faculty survey results, informed our recommendations below.

The Task Force supports the partial renovations of the upper level as proposed in Director Smith's and AVC Ferdolage's December 11, 2017 letter to University Librarian Cowell, with the understanding that the proposed partial renovations are within the budgetary scope of the \$5 Million gift. Those partial renovations include new seating, tables and carrels, new electrical raceways, outlets, and wiring to provide each student with electrical power, new carpet, acoustical

paneling, painting throughout, and modifications to HVAC ductwork and installation of additional HVAC units to improve ventilation.

The Task Force recommends that these improvements be guided by the general space use plan proposed by the Task Force, as shown in the charrette exercise figure in the Appendix, which was developed to provide a mix of quiet, group, and lounge seating study and workspace separated by visual display and acoustic sound-dampening installations to enhance the visual and acoustic setting; examples of visual displays could be installations of science and engineering-themed art, historic print materials, etc. Under the proposed space use plan, the partial renovation should strive to serve students with a diverse set of user needs by separating quiet from active space use, considering foot traffic patterns, providing electricity and WiFi to each student, and maintaining flexibility for multi-use configurations in some areas (e.g., in the proposed group study area shown in the southeast corner; see design charrette exercise figure in the Appendix, red card). Use of natural lighting, augmented by installed lighting should be optimized for the different space use needs. Furniture, lighting, and installation of visual displays should strive to create a space that is accommodating, inviting, and in the case of visual displays, also educational and stimulating.

The recommended renovation and space use plan would increase the seating capacity on the upper level by ~100 people over current capacity. The current upper level seating capacity is 368 people, and the occupant load based on current means of egress is 401 people. Our proposed plan would accommodate ~450 students, excluding the existing enclosed group study rooms, depending on exact space use and configuration of the open flexible use space. Note that, based on the number of exits, the maximum occupant load for the floor is 500 people.

The Task Force also considered reconfiguring space use on the lower level of the S&E Library in order to more optimally serve students and faculty. Given current resource limitations for lower level renovations, the Task Force recommends that the lower level of the S&E Library be modestly reconfigured to better support a mix of quiet study (with assorted cubicles along the northern margin of the floor) and collaborative group/active learning uses (with group study tables in the southern region of the floor), along with housing of the S&E Library print collection (see charrette exercise figure in the Appendix). Space in the ‘map room’ should be allocated to the SOE MEP program (a STEM diversity and student support group) for student advising and tutoring. The Task Force also recommends use of acoustic barriers between the quiet study area and the group tables/active learning area, as well as between group study tables to reduce distractions and noise interference between group tables and group vs quiet learning spaces. One possibility is to rearrange the existing print collection stacks to help create visual and acoustic barriers among and around the group/active learning tables. Currently there are ~29 filled print collection stacks, including ~4 stacks holding the East Asian Collection, and ~23 empty print collection stacks. Empty print collection stacks should be removed to provide space for the group and active learning tables. The Task Force also recommends that the East Asian Collection be relocated to a site outside of the S&E Library to generate additional space for student use.

The reconfiguring of lower level space should strive to optimize electricity availability, lighting, and WiFi in the group and quiet study areas. This lower level space use plan takes into account a diverse set of user-needs by separating quiet from active space use, and it considers foot traffic patterns, including the increased foot traffic to the SOE MEP student tutoring and advising

program that we recommend should occupy the map room space. Future renovation of the lower level should also include installation of compact shelving for print collections to generate additional space efficiency for student use and to provide space for expansion of the print collection if needed.

The recommended reconfiguration and space use plan for the lower level would increase the seating capacity by ~80 people over what currently exists, excluding the SOE MEP program use of the former map room and existing enclosed group study rooms. The current lower level seating count is 255 people, and the occupant load based on current functions is 386 people. Our proposed plan would accommodate ~335 occupants (excluding the SOE MEP program use of the former Map Room and existing enclosed group study rooms). Note that the maximum occupant load based on the number of exits is 1000 people.

## **VII. Beyond the Task Force's partial renovation recommendations**

The Task Force sees exciting potential in a fully renovated S&E Library facility, some elements of which are proposed in the 2014 draft renovation Concept Package. Based on the student and faculty surveys reviewed by the Task Force, there was clear support among undergraduates, graduates, and faculty for a renovated S&E Library offering a café and a mix of individual and group study space to better support individual, collaborative, and interactive learning. We recognize that reconfiguration of the lower level and partial renovation of the upper level, as recommended here, are only the first steps in this effort.

Given the central role the S&E Library will play in serving a diverse set of student and faculty user needs and supporting excellence in teaching and research in STEM fields at UCSC, the Task Force recommends that prior to capital planning and renovations beyond use of the \$5 Million gift, the campus administration and Academic Senate perform aggressive outreach to engage the campus community. Undergraduate and graduate students could be engaged through SOAR, SUA, GSA and other student groups for input on renovation planning. Input via student, faculty, and broader campus community forums should be incorporated into the work of the appointed Building Committee and Executive Architect and associated staff on the design development for a comprehensive renovation project. Finally, the Task Force recommends that this report be integrated into the Library's 10-year capital plan.

### **Science and Engineering Library Space Planning Advisory Task Force Members**

Donald Smith, Task Force Chair, Professor, Microbiology & Environmental Toxicology  
Department

Greg Careaga, Head of Assessment and Planning, University Library

Nancy N. Chen, Professor, Anthropology Department

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Ted Holman, Professor, Chemistry and Biochemistry Department

Jennifer Horne, Professor, Film & Digital Media Department

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Zia Isola, Director of the Genomics Institute Office of Diversity

Kiyomi Kaneshiro, Graduate Student Representative

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Advisors to the Task Force:

Sloan Campi, Educational Facilities Planner, Office of Capital Planning and Space Management

Andrea Hilderman, Associate Architect, Physical Planning, Development and Operations

## **APPENDICES**

### **Appendix 1: Summary of Science & Engineering Library use survey findings**

- 1.1 Undergraduate survey
- 1.2 Graduate survey
- 1.3 COLASC/IRAPS faculty survey

### **Appendix 2: Proposals for space use in the S&E Library**

- 21 Proposal from the Baskin School of Engineering, MESA Engineering Program (MEP).
- 22 Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative, with addendum.
- 23 Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research.
- 24 Proposal from Task Force member Kiyomi Kaneshiro (titled *Proposal for a Virtual Reality set-up in the S&E library*).
- 25 Proposal from Task Force member George Brown (titled *The S&E Print Collection: A Modest Proposal*).
- 26 Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jaye Padgett, Vice Provost, Division of Student Success.
- 27 Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator (DSI) space on the lower floor of the S&E Library.

### **Appendix 3: Design charrette exercise, S&E Library 1<sup>st</sup> and 3<sup>rd</sup> floor layouts**

- 3.1 Lower level
- 3.2 Upper level

## **Appendix 1. Summary of Science & Engineering Library use survey findings (with links to full survey results).**

### **1.1 Undergraduate survey (organized by Task Force undergraduate student member Kelsey McDaid), conducted Winter quarter 2018.**

328 responses, with evidence that some participants responded more than once.

- 19% 1<sup>st</sup> yr., 30% 2<sup>nd</sup>, 27% 3<sup>rd</sup> yr., and ~23% 4<sup>th</sup> and 5<sup>th</sup> yr. students
- 66% Physical and Biological Sciences Division, 25% School of Engineering, with remainder from Social Sciences and Humanities Divisions

How often students use the S & E library

- 80% use S&E Library daily or weekly, 14% monthly

Questions regarding types of use of library space (response options 1 (least) to 5 (most); Favored = percent responding 4 or 5, not favored = percent responding 1 or 2):

- 69% favored using S&E Library space for Café, 18% did not
- 67% favored space for silent study room, 13% did not
- 71% favored space for quiet (not necessarily silent) study with cubicles, 14% did not
- 67% favored space for communal study tables, 12% did not
- 68% favored space for reservable group study rooms, 14% did not
- 33% favored space for larger rooms for workshops, etc., 38% did not
- 43% favored space for pop-ups (tutoring, MESA, STARS, STEM diversity), 29% did not
- 52% favored space for multi-use for integrated student support unit housing STEM, ACE, LSS, ACE, EOP, STARS, etc., 22% did not
- 49% favored space to expand access to print collections, 24% did not, 27% neutral

Undergraduate student ranking of renovations in S & E Library:

Most favored:

- Café (35%)
- Quiet study cubicles (22%)
- Communal study (20%)
- Reservable group study rooms (11%)
- Greater access to print collections (~3%)

2<sup>nd</sup> most favored:

- Quiet study cubicles (27%)
- Reservable group study rooms (24%)
- Café (19%)
- Communal study (18%)
- Greater access to print collections (~2%)

3<sup>rd</sup> most favored:

- Reservable group study rooms (21%)
- Communal study (20%)
- Quiet study cubicles (20%)

- Café (15%)
- Greater access to print collections (~6%)

Some common comments:

- More power/outlets
- Whiteboards
- Reliable WiFi
- More books

## **12 Graduate survey (organized by Task Force graduate student member Kivomi Kaneshiro), conducted Winter quarter, 2018.**

159 responses

- 29% 1<sup>st</sup> yr. graduate, 36% 2<sup>nd</sup> yr., ~18% 3<sup>rd</sup> and 4<sup>th</sup> yr., remainder 5<sup>th</sup>+ yr. graduate
- 73% PhD, 27% M.S.
- 53% Physical and Biological Sciences Division, 45% School of Engineering, with remainder from Social Sciences Division

How often students use the S & E library

- 37% use SEL daily or weekly, 28% monthly, 30% almost never

Questions regarding types of use of library space (response options 1 (least) to 5 (most); Favored = percent responding 4 or 5, not favored = percent responding 1 or 2):

- 61% favored using S&E Library space for Café, 23% did not
- 57% favored space for silent study room, 13% did not
- 67% favored space for quiet (not silent) study with cubicles, 10% did not
- 35% favored space for communal study tables, 29% did not, 36% neutral
- 60% favored space for reservable group study rooms, 16% did not
- 34% favored space for larger rooms for workshops, etc., 36% did not, 30% neutral
- 23% favored space for pop-ups (tutoring, MESA, STARS, STEM diversity) 35% did not, 42% neutral
- 21% favored space for multi-use for integrated student support unit housing STEM, ACE, LSS, ACE, EOP, STARS, etc., 36% did not, and 43% neutral
- 50% favored space for expanded access to print collections, 20% did not, 30% neutral

### **Graduate student ranking of renovations in S & E Library:**

Most favored:

- Café (36%)
- Quiet study cubicles (26%)
- Greater access to print collections (16%)
- Reservable group study rooms (13%)
- Communal study (~5%)

2<sup>nd</sup> most favored:

- Quiet study cubicles (26%)

- Café (20%)
- Reservable group study rooms (18%)
- Communal study (13%)
- Greater access to print collections (10%)
- Space for workshops (10%)

3<sup>rd</sup> most favored:

- Reservable group study rooms (29%)
- Quiet study cubicles (14%)
- Communal study (14%)
- Café (12%)
- Space for workshops (10%)
- Greater access to print collections (7%)

Comments:

- More power/outlets
- Books
- Whiteboards
- Graduate study lounge
- Reliable WiFi
- Extended hours

### **13 COLASC/IRAPS faculty survey, conducted Fall 2017**

Top responses (rating as must have/essential; % avg. computed from PBSci & SOE faculty data in Table 2 of survey). Note: In all use categories listed below, the majority of respondents rated the listed uses as *not needed* or *do not know* (i.e., 64% - 72% combined).

- Provide additional space for quiet, individual study (36%)
- Open a café (similar to the one in McHenry) (30%)
- Create spaces that can easily and flexibly transition to meet future needs (30%)
- Allocate additional space for browsable physical print collections (compared to the current allocation) (28%)
- Provide space for project-based, collaborative, interactive learning (28%)

Key Findings (as summarized in survey):

- >40% of PBSci/Humanities/Arts/Social Sciences faculty (combined) and 29% of SOE faculty thought additional space for quiet, individual study was essential
- ~40% of faculty in four divisions and 18% of SOE faculty thought additional space for browsable physical print collections (compared to the present allocation) was essential
- ~30% of faculty across all divisions rated it essential to create spaces that can easily and flexibly transition to meet future needs
- The highest (most essential, 37%) goal for SOE faculty was to open a café at the SEL

- The highest (most essential, 51%) goal for faculty in the Humanities/Arts/Social Sciences was to provide reference librarians to assist w/ research techniques/methods
- ~73 -74% of faculty rated the top (must have/good to have) two goals/mission of SEL:
  - preserve and curate a world class collection of scholarly sources and
  - promote the academic success of undergraduate STEM students
- Additional two goals were less favored (44-45% of faculty rated as must/good to have):
  - Facilitate learning and exploration in ways that are highly visible to other patrons of the library
  - Create “collision space” where innovation and discovery can happen
- 88% of faculty said that it would be good or essential to have avenues for broader faculty involvement in visioning and/or consulting, via:
  - Direct and regular input (e.g., via an annual survey, focus group) should be provided to University Librarian and to COLASC (72-76%)
  - Designating a faculty member in each department as a library liaison (62% of supportive responses)

**Appendix 2: Proposals for space use in the S&E Library.**

- 2.1 [Proposal from the Baskin School of Engineering, MESA Engineering Program \(MEP\)](#)
- 2.2 [Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative](#)
- 2.2.1 [Associated addendum to proposal in response to Task Force proposal review comments](#)
- 2.3 [Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research](#)
- 2.4 [Proposal from Task Force member Kivomi Kaneshiro \(titled \*Proposal for a Virtual Reality set-up in the S&E library\*\)](#)
- 2.5 [Proposal from Task Force member George Brown \(titled \*The S&E Print Collection: A Modest Proposal\*\)](#)
- 2.6 [Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jave Padgett, Vice Provost, Division of Student Success](#)
- 2.7 [Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator \(DSI\) space on the lower floor of the S&E Library](#)

**Appendix 3: Design charrette exercise, with Task Force recommendations of space use in current lower level and partially renovated upper level.**

**3.1**     [Lower level](#)

**3.2**     [Upper level](#)

## **Committee on Planning and Budget Annual Report, 2017-18**

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) worked on a wide range of issues this year, including (a) the campus Strategic Academic Plan (SAP) process; (b) divisional faculty FTE and Competitive Target of Excellence (CTOE) requests; (c) the BSOE Reshaping proposal; (d) the Academic Literacy Curriculum review, and (e) graduate growth initiatives. In addition, the committee continued to address planning issues, including Silicon Valley programs, capacity planning, capital planning, and the use of academic and student data, while also engaging with the administration as CPB developed and refined its guidelines for review of second hire and CAPM 101.000 waiver of open recruitment requests. The report also documents the committee's ongoing requests for better organized financial information from the Office of Planning and Budget and CPB's consultation process in the context of shared governance principles. Extensive routine business for the committee included review of new degree program proposals, participation in external reviews of departments, and review of off-cycle and waiver of open recruitment FTE requests. A detailed summary of CPB's work in 2017-18, as well as a list of anticipated issues for 2018-19, is provided below.

### **Strategic Academic Planning**

In previous years, CPB identified the lack of a Strategic Academic Plan as the most critical issue facing our campus, and the committee invested substantial effort advocating for the development of such a plan. Since her arrival at UCSC, CP/EVC Marlene Tromp has strongly supported the development of a Strategic Academic Plan (SAP), identifying such planning as one of her top priorities. In the fall, she set out an ambitious timeline for completing a plan before the start of the 2018-2019 academic year, and CPB was engaged throughout the year with the SAP process. The committee met directly with CP/EVC Tromp and then AVPAA Berger, who was overseeing the SAP process. Like other Senate committees, CPB provided feedback to the SAP team through the Academic Senate Chair on several aspects of the SAP, including structural barriers, a prioritization survey, resource allocation questions, the themed academic working group proposals, and the draft SAP and Implementation Playbook.

#### *Structural barriers*

In December 2017, the committee reviewed a list of structural barriers to research and teaching that were identified through information collected by Entangled Solutions, the consulting firm retained by the campus to assist in the SAP process. Barriers to interdepartmental and interdivisional collaborations, and how these affect teaching *and* research activities, were a major focus of CPB's discussions. CPB identified difficulties in facilitating team teaching, the divisional "ownership" of research space, and the barriers to hiring across departments or divisions as areas that will need to be addressed if the campus wishes to promote collaborative research and teaching.

Barriers that hinder the flexible allocation of resources to meet shifting student interests also limit our ability to serve students, creating imbalances between the distribution of students across programs and the distribution of instructional resources. The absence of a campus

enrollment management system makes the development of such imbalances more likely, and the backward-looking mechanism for setting temporary academic staffing (TAS) allocations, while facilitating planning, reduces the flexibility to move instructional capacity quickly to areas of rapid student growth.

#### *Prioritization Survey and Campus Landscape Analysis*

Entangled Solutions provided the results of the SAP Assessment Criteria Prioritization Survey and Campus Landscape Findings and these results were reviewed by CPB in April. CPB members felt the survey results were likely to be heavily affected by the framing of the factors respondents were asked to prioritize. Concerns were expressed about the way in which the responses of different populations of respondents (faculty, staff, students) were mixed together, especially when the objective was to establish potential research areas that would define UCSC. Despite these problems, CPB was struck by some of the data the survey revealed, particularly the apparent faculty mistrust of the administration, and the sharply different perspectives held by faculty in Arts and Humanities, on one hand, and Engineering, on the other. This mistrust emphasizes the importance of securing broad faculty support for the strategic directions that emerge from the SAP.

#### *Resource Allocation Issues*

CPB was asked to provide input on resource allocation guidelines by AVPAA Berger. The committee's discussion highlighted the need for integrated campus financial, staffing, and enrollment information provided in a format amenable to scenario analysis. The absence of such information is a barrier to planning, and CPB has been engaged with VCPB Peggy Delaney and Director Kimberly Register of the Office of Planning and Budget to develop budget-related data that can aid decision making. This activity is discussed elsewhere in this report.

Many of the questions posed by AVPAA Berger were, in the opinion of CPB, premature in the sense that the answers required more clarity on the research themes to emerge from the SAP process. The nature of those themes would influence the extent of the investment in faculty, staff, and/or space necessary to pursue successfully the research and educational areas aligned with the themes. However, CPB reiterated its support for introducing a mechanism that returns to the center some fraction of faculty FTE provisions generated by separations. Doing so will provide greater flexibility to employ resources strategically in advancing our research and teaching missions.

#### *Themed Academic Working Groups*

The SAP process solicited broad input from faculty on potential research areas in a process that led to the formation of twenty-eight Themed Academic Working Groups (TAWGS), each of which submitted a short proposal outlining its objectives and resource needs, and any barriers to achieving its objectives. Each group consisted of faculty spanning several departments and often several academic divisions. Senate committees were asked to rank the TAWG proposals.

In its evaluation of the TAWGs, CPB stressed that identifying a small set of projects from among the twenty-eight proposals does not represent a Strategic Academic Plan (CPB to Senate Chair 5/21/18). The SAP, and the themes identified in it, should guide the choice of TAWGs to

fund initially. However, CPB felt that the number of cross-departmental, cross-divisional ideas that emerged from the TAWGs were extremely helpful in serving to define potential SAP themes. CPB noted several themes that were represented by multiple TAWGs.

#### *Draft SAP and Implementation Playbook*

In mid-July, CPB and other Senate committees received the draft SAP and Implementation Playbook.<sup>1</sup> This document sketched out the SAP's three academic priority areas and provided five design principles, together with goals meant to translate these design principles into reachable aspirations, and a five-year menu of initiatives designed to deal with campus structural barriers and enable us to reach those goals. It also identified a list of ten structural barriers that would be prioritized for reduction. Members of the committee held one meeting in August to discuss the draft SAP and Playbook.

CPB found the draft SAP and Implementation Playbook seriously inadequate as a document meant to express UCSC's academic priorities in the immediate future and to guide decisions about resource allocations for research and teaching, including plans for hiring faculty. Rather than building on the campus-wide sense of energy and intellectual excitement that was generated by the TAWG process, committee members participating in the discussion found that the draft SAP confused design principles, goals, and objectives, failed to articulate the intellectual rationale for the chosen academic priority areas, and presented a long list of initiatives unconnected to the academic priority areas and that often seemed designed to give the appearance of achieving goals and removing barriers rather than actually doing so. Furthermore, the draft plan offered no guidelines for the resource allocation decisions that will be central to achieving campus goals, and issues of graduate education were notably absent, even though graduate growth, particularly enrollment at the Ph.D. level, has helped guide resource allocations and been a campus goal for the past several years.

In a detailed response to the draft, the committee offered six specific recommendations, listed below, meant to ensure a final SAP and a set of implementation procedures that will serve to guide and inspire the campus.

**Recommendation 1:** CPB recommends realignment among the categories of design principles, goals, initiatives, and outcomes. The design principles **are** the campus goals--namely, improving the central intellectual, creative, and educational work of the institution; the goals stated in the draft are superfluous and should be dropped.

This recommendation responds to a significant misalignment among the design principles, goals, initiatives, and outcomes. Most serious, we found that the SAP offered "goals" that redefined design principles focused on creation of new knowledge through research and teaching into lesser ambitions focusing on assessment and reputation. Consequently, "outcomes" were tied to achieving these lesser goals, diminishing the aims of the SAP and, CPB members feared, potentially compromising the buy-in of the UCSC community, especially faculty.

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<sup>1</sup> A link to the draft plan can be found at <https://cpevc.ucsc.edu/academic-plan/index.html>.

**Recommendation 2:** The rationale for the choice of *Earth Futures*, *Justice in a Changing World*, and *Digital Interventions* as the three campus academic priority areas needs to be explained to the campus in the SAP itself. A clear description of what each area will include and why these areas were selected must be articulated in order to help the campus community understand the historic strengths that feed these areas as well as our capacity to continue to generate high-impact research as we move forward.

The draft SAP's descriptions of the three priority areas are brief and generic, and do not explain their conceptual range nor link them to specific TAWGs.

**Recommendation 3:** The SAP must articulate how the ten barriers selected to be addressed in the first year are related to promoting progress toward the Design Principle goals and the academic priority areas. While recognizing that the Implementation Working Group (IWG) established by the CP/EVC will further prioritize the ten barriers, the SAP needs to explain why *these* ten barriers are the most important ones to address initially.

**Recommendation 4:** Use the opportunity of the SAP to develop a budgetary framework that promotes transparency, facilitates decision making, reduces imbalances between the distributions of students and instructional capacity, and positions the campus to respond to new, emerging areas of intellectual excitement, potentially by allowing some separations to return to the Center.

CPB has articulated this recommendation both within and beyond its responses to various stages of the SAP process. A clear budgetary framework and method for communicating budgetary priorities is perhaps the most consistent ongoing need for the future work of strategic planning.

**Recommendation 5:** Each Design Principle (goal) should be associated with specific initiatives to be done in year 1, together with an articulation of how results in year 1 will be built upon in years 2 through 5. Initiatives should be actionable and linked directly toward achieving goals. The plan needs to show how the campus will make meaningful progress in achieving its goals (Design Principles).

**Recommendation 6:** For each academic priority area, the faculty leaders from the relevant TAWGs should help define and prioritize the menu of initiatives that will form part of the SAP implementation plan to ensure that the campus is clearly informed of the resource and infrastructure needs, as well as the barriers that must be removed, to realize success in each area. This process should also define the accountability measures that will guide assessment and allocation of future resources to the priority areas.

Under the direction of VPAA Herbie Lee, the administration plans to produce a revised SAP once Senate feedback on the draft has been received in September. Our hope is that the final version of the SAP will address the concerns raised by CPB members and other Senate committees and that it will provide the rationale for and a clearer definition of the academic priority areas as well as a better mapping between the proposed initiatives to be undertaken over the next five years and achieving progress on the five campus goals identified in the draft plan: (1) driving research and creative work that transforms our world; (2) creating enriching experiential learning and research opportunities for students; (3) engaging and supporting a

diverse faculty, staff, and student body; (4) supporting generative interdisciplinary connections in research and teaching; and (5) expanding excellence and innovation in areas distinctive to UC Santa Cruz, such as social justice, diversity and sustainability.

### **Faculty FTE and CTOE Review**

CPB devoted significant effort this year to faculty FTE and recruitment planning, offering advice to the CP/EVC on the evaluation of the divisional proposals.

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 has been improving, and the clear articulation of campus goals and the establishment of accountability metrics have all been positive steps. Over the last three 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.

CPB discussed the possibility of recommending one major change to the FTE allocation process. In our discussions with the deans it 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.

The Faculty Recruitment Call for 2018-2019 occurred in the midst of the campus's SAP process. To allow the SAP to inform the future hiring and allocation of new FTEs, this year's process represented a departure from that of previous years. Deans were directed to submit recruitment authorization requests using only existing, divisionally-held open provisions. Separately, deans were invited to nominate up to three "nationally/internationally recognized" candidates as "transformative Target of Excellence" (Competitive Target of Excellence or CTOE) hires.

CPB reviewed both the FTE requests to fill divisionally open provisions and the CTOE requests. In addition, the committee reviewed the vision statements and divisional plans submitted by each dean and met with each dean to discuss their requests, their divisional plans, and their CTOE requests. The Chairs of Graduate Council (GC) and the Committee on Educational Policy (CEP) participated in our consultations with the deans and later met with CPB to provide their perspectives on the pros and cons of the divisional plans and the proposed CTOEs. We are grateful for their participation, and we incorporated their feedback in our evaluations of the requests and our ultimate recommendations. We also met regularly with CP/EVC Marlene Tromp 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.

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 research profile of the campus by supporting significant doctoral or MFA growth in existing programs or supporting new programs with high growth potential,” “2. Improving the educational experience of undergraduate students,” and “3. Increasing faculty diversity, to create a richly varied and robust research profile and pedagogical offerings.”

With no new centrally funded faculty FTEs to be allocated outside of the CTOE process this year, weighing trade-offs across divisions was not directly relevant. This meant that CPB’s discussion focused on the contributions of the proposed hires to the three priorities and their consistency with the divisional visions as articulated in the submissions. In addition, CPB generally looked favorably on requests that, in addition to contributing to the three campus priorities, created synergies across departmental or divisional boundaries.

### **BSOE Reshaping**

In the spring, CPB reviewed the Baskin School of Engineering Reshaping proposal, which aims to reorganize the departmental structure of the School to enhance its research and teaching missions. The proposal represented a significant undertaking and CPB was supportive of the project’s overarching goal to create organizational structures that best support the university’s mission. We discussed the disestablishment of Technology Management and discontinuance of its graduate programs, but we primarily focused on the fate of the Applied Mathematics and Statistics (AMS) department and its current faculty, and on the merger of Computer Science, Computer Engineering, and Electrical Engineering into two larger departments.

One major change envisioned by the proposal was the merger of Computer Science, Computer Engineering, and Electrical Engineering into two larger departments of Computer Science & Engineering (CSE) and Electrical & Computer Engineering (ECE). CPB felt that the intellectual rationale for this new structure was reasonable, but also noted uncertainties in whether this restructuring would be resource neutral beyond the short term. The disestablishment of departments, whether CS/CE/EE or AMS, and the transfer of faculty may prompt some faculty to request transfers to other divisions at UCSC or even choose to separate from the School. In those cases, there may be implications for space and/or curricular planning, as well as financial costs (e.g. start-up funds) involved in hiring faculty to replace faculty who separated.

In the reshaping proposal, the AMS department was slated for disestablishment, with faculty in the applied mathematics (AM) fields being transferred to a new ECE department and faculty in the statistics fields forming a new department of Statistics. CPB disagreed with both of these proposals and, furthermore, disagreed with the rationale given for differential treatment of the AM group and Statistics group. Only the Statistics group was viewed in the proposal as having critical mass to form a department, but CPB noted that both groups had the same number of faculty (with the AM group actually being larger after accounting for administrative leave). Both groups face challenges in forming stand-alone departments, curriculum and resource related in the case of AM, and governance and intellectual breadth related in the case of Statistics. However, CPB felt that, in the long term, both an AM department and a Statistics department would be assets to the BSOE and the campus, although requiring additional resources for viability. That said, we also felt that neither group was prepared to immediately form a

department, and our preferred solution was for AM and Statistics both to exist as subject matter units (“an academic unit that administers program faculty, who in turn provide an array of courses that may or may not lead to a degree”) until they could demonstrate readiness to form departments. Regardless, CPB strongly felt that subsuming the AM faculty into ECE would be a mistake.

CPB was pleased that the CP/EVC decided to treat the AM and Statistics faculty in a parallel fashion although she did not adopt CPB’s suggestion of initially creating “subject matter units.” Instead, the CP/EVC approved the establishment of an Applied Mathematics department (AM) and a Statistics department (STAT). Both AM and STAT will undergo internal reviews during 2020-21 to assess their viability.

The reshaping process, when complete, may necessitate alterations to divisional hiring plans. The out-years of current divisional plans justified placement of FTEs into current departments, most of which will no longer exist. Establishment of new departments with different faculty configuration may also reveal new priority areas for hiring. CPB looks forward to consulting with the Engineering dean about future hiring directions, and to working with the campus administration to ensure successful execution of the reshaping process.

### **Academic Literacy Curriculum (ALC)**

In 2016-2017, CPB commented on separate proposals from the College Provosts and the Writing Program for revising the first-year curriculum. This year, committee members were pleased to see a joint proposal from the College Provosts and the Writing Program, and the efforts each put into developing an integrated first-year literacy curriculum was greatly appreciated. CPB devoted considerable time during the fall evaluating the Academic Literacy Curriculum (ALC) proposal (with members Elizabeth Abrams and Jie Qing recused). Given CEP’s plenary authority over the curriculum, CPB’s focus was on the resource implications of the ALC proposal.

The committee appreciated the assistance of VPAA Lee, VPDUE Hughey, and the Office of Planning and Budget (P&B) in providing information that aided our analysis of the resource implications of the proposal. However, this information was not always provided in a format that made evaluating alternative budget scenarios simple and transparent. Hence, CPB developed its own budgetary framework that allowed the committee to estimate the cost of the ALC proposal and to assess the implications of alternative assumptions about such aspects of the proposal as average class sizes.

The committee advised CEP that the cost of the ALC fell within the budget envelope established by the administration. The budget envelope was useful in ensuring that in the process of developing and reviewing the ALC all participants balanced achieving curricular objectives with the need to keep within available resources. Because the budget analysis is based on a number of different assumptions, it will be important to monitor the ALC’s costs as it is implemented. Three areas were of particular concern to CPB: the distribution of students across pathways, the use of GSIs, and the basic budgeting model for the Writing Program and for the College Core.

### *Distribution across pathways*

The number of classes a student must take to complete the ALC will depend on their placement into a specific pathway. Five pathways are laid out in the proposal; a student placed in pathway A needs to complete only one course (the College Core) to fulfill the ALC, while a student placed in pathway E will need to complete five courses. Costs per student will vary from under \$300 for pathway A to almost \$2000 for pathway E. The Council of Provosts and the Writing Program have made careful projections of the expected fraction of first-year students into each pathway. It will be important to track actual outcomes relative to these projections. If costs have been underestimated, the campus will need to devote more resources to the ALC; if costs have been overestimated, the budget for ALC should be reduced and redirected to other pressing campus needs.

### *Use of GSIs*

A second area of concern for CPB is the assumption about the use of GSIs that is incorporated into the budget model used to fund the Writing Program. The Humanities Division receives a permanent allocation for the Writing Program based on 3150 budgeted frosh. This allocation is then adjusted (up or down) depending on actual enrollments. However, CPB estimates that under the current budget model the increase in funding for the Writing Program as enrollments rise would fall short of the increase in the program's actual costs under the ALC, leaving the Humanities Division with a budget shortfall. One reason for this shortfall is that the actual allocation is based on the assumption that 20% of the Writing courses would be taught by GSIs when in fact, only about 7% of the courses are taught by GSIs. While the present model provides an incentive for the Writing Program to increase its use of GSIs, the budget model should reflect a more achievable goal for GSI usage. Of course, while greater use of GSIs reduces costs for the Writing Program, it increases the campus costs of the ALC as a GSI costs more than a Lecturer both in terms of direct costs and indirect costs that arise because those graduate students could be teaching courses in other programs and departments. The budgetary treatment of GSIs illustrates how focusing the campus discussion of ALC's budget on the direct costs of the College Core and Writing Program does not provide a full picture of the resource implications of the ALC.

### *Basic budgeting model*

CPB's analysis indicates the ALC will require a shift of resources from the College Core budget to the Writing Program budget. Based on actual section numbers in 2015, 45% were UE/Core funded and 55% Humanities funded. Under the ALC proposal, the split becomes 38% UE/Core, 62% Humanities. Hence, the ALC will require significant reallocation of the overall budget devoted to Core/Writing. This redistribution of funds between UE/Core and Humanities provides an opportunity to revisit the historical, opaque model currently used to fund Core and Writing. Developing a more transparent model would promote clear lines of responsibility and facilitate accountability. The fact that the new proposal provides a sequential, interdependent curriculum of Core and Writing increases the benefits of employing a funding model that facilitates planning across both these central components of the first-year curriculum.

### **Graduate Growth Initiatives**

During the 2017-2018 academic year, CPB provided advice on several graduate growth initiatives. One such initiative was the Centers of Excellence (CoE) proposal put forth by the Vice Provost and Dean of Graduate Studies and Vice Chancellor for Research. While CPB was

in general supportive of the overall goals of the proposal to increase external funding and the number of graduate students, the committee believed that the revised proposal fell short of making a convincing argument for the requested funds. The main justification for the request was based on the assertion that the five existing centers and institutes on campus bring in ~40% of the current research funds. However, in absence of data on the relative contribution of each center and the source of funds, CPB was unable to evaluate whether these entities serve as good role models for the expected gains, in particular when considering the decreasing federal support in the last several years. Furthermore, an evaluation of alternative uses of the requested funds was not provided, making it difficult for the committee to determine if the CoE represented the best use of significant campus funds, a total of \$14M over seven years for a “minimum increment at steady state of at least 40 PhD FTE.” CPB recommended that a revised proposal provide details on the source of campus funds used to support doctoral students. CPB also expressed concerns about the ranges proposed for the seed and center grants; the proposal called for funding 25 one-year seed grants of \$10,000 to \$75,000 per grant (maximum of \$1.875M), and up to 24 center grants of \$50,000 to \$500,000 (maximum of \$12M). CPB recommended that a revised proposal include more realistic minimum and maximum ranges for the two sets of proposals as well as an assessment on how other UC campuses have increased external funding for doctoral enrollment.

CPB was undecided whether the obstacle hindering increased external funding was lack of support for existing fund-seeking efforts by centers, institutes and individual faculty, and recommended that faculty be asked whether they prefer funds be used for improving existing support-seeking efforts or the proposed CoE. CPB was not convinced that the projection of at least 40 additional PhD FTE represents a good return on the proposed \$14M investment and pointed out that investing the \$14M at 5% interest per year would generate \$700,000, thereby enabling the funding of 12-15 doctoral students per year. The committee recommended that a revised proposal make a better case for the effectiveness of the CoE process and that other alternatives be considered as well. Importantly, CPB proposed that any investment in support of the CoE should be delayed until the outcome of the Strategic Academic Plan was clear.

The other two graduate growth initiatives involved central funding of GSI benefits, and supplementary TA-ships for large graduate courses. While CPB supported the goals of these initiatives, the committee believes that they are likely to have an incremental rather than transformative effect on increasing graduate enrollment. The main concern of CPB with both proposals was the lack of identification of funding sources for the initiatives. If the funding is reallocated from existing programs, it is unclear whether the new graduate support outweighs the use of the funds for existing programs. In the proposal, Temporary Academic Staffing (TAS) funds were proposed as a possible funding source, but this could potentially have a negative effect on undergraduate education. In this context, it is uncertain whether the divisional TAS budgets would be reduced to offset the GSI tuition. The proposal also mentioned the summer session and Master Incentive Program funds as a possible source to support the GSI benefits and TA-ships; however, again it is unclear whether redirecting these funds from their current uses would negatively impact existing programs.

### **Silicon Valley**

The Baskin School of Engineering (BSOE) is continuing to develop and launch graduate programs based in Silicon Valley, and during 2017-2018, CPB provided advice to Graduate Council (GC) on two M.S. proposals. The first, from the Computational Media (CM) department, was a revised proposal for Human and Computer Interaction (HCI). The second was a new interdisciplinary proposal to establish a M.S. degree program in Natural Language Processing (NLP). Both these programs include Professional Degree Supplemental Tuition (PDST). HCI and NLP, in concert with CM's existing M.S. program Games and Playable Media (GPM) and its soon to be launched (fall 2019) program in Serious Games (SG), are designed to contribute significantly to building UCSC's presence in Silicon Valley.

CPB has been supportive of proposals for M.S. degree programs at UCSC's Silicon Valley Center (SVC). The committee recognizes the importance of these engineering school initiatives in building a larger academic presence for UCSC in Silicon Valley. In advising GC, the Senate body with plenary authority over graduate curriculum, on specific proposals, CPB has strived to make suggestions designed to strengthen the proposals and ensure their successful launch. However, our review of new degree programs has raised general concerns pertaining to space, integration of faculty and graduate students across the main and SV campuses, and overall campus planning for Silicon Valley.

#### *Space*

It appears that there may be limited space available at the SVC for additional academic programs such as NLP, and CPB does not have any sense of how space needs for the NLP program will be coordinated with the HCI program or other M.S. programs such as SG and GPM, both in Silicon Valley and on the main campus. Our understanding is that, based on previous commitments of space at SVC (e.g., to UNEX and the SVLink Incubator) the campus may need to obtain additional space in Silicon Valley to accommodate new engineering programs such as NLP.

#### *Integration with the main campus*

As the campus hires more faculty whose primary teaching and research activities are 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 participating in departmental and university service. Facilitating this full participation by faculty and ensuring SV-based graduate students also have access to Santa Cruz campus resources will require careful thought be given to transportation issues and that appropriate research/office space on campus be made available.

#### *Overall planning*

The current approach to expanding UCSC's presence in Silicon Valley involves launching M.S. programs that are relatively small and quite costly. CPB questions whether this strategy will yield sufficient student numbers to allow SVC to become an intellectually vibrant and financially sustainable academic endeavor. We had hoped that the formation this year of the Silicon Valley Governance Group (SVGG), chaired by VCR Scott Brandt, would provide an administrative body that could take the lead in providing an overall plan for the SVC. Such a plan would

facilitate the evaluation of proposals for new academic programs at SVC, as well as address space and transportation issues.

In commenting on the revised HCI proposal, for example, CPB noted that the Silicon Valley Governance Group provides “the campus with a formal organizational structure and a responsible principal officer for addressing issues such as transportation, but for also developing, with Senate consultation, a sustainable strategic vision for UCSC’s academic activities in Silicon Valley.” Unfortunately, CPB was informed of just one SVGG meeting during 2017-2018 (in fall 2017), and after repeated inquiries CPB was unable to ascertain SVGG’s current status. It appears no progress in developing a vision for SVC has occurred.

The most recent Academic Plan for Silicon Valley (dated 2013) is in need of an update to reflect the development of programs such as GPM, SG, HCI and NLP. The plan should also address concerns related to the integration of SVC and the main campus and develop a space utilization plan that prioritizes academic and research programs at SVC that are linked directly to the mission of UCSC. In consultation with the Academic Senate, we hope to see the SVGG address these planning issues.

### **Capacity Planning**

During 2017-18, CPB reviewed a revised version of the campus “Guide for Managing Curricular Capacity and Program Enrollment.” This policy document was the culmination of a working group convened by VPAA Lee during fall 2016. Members found much to praise about the current version of the guidelines, which took great care to incorporate earlier Senate feedback and the work of the original task force. However, overall, many members felt this revised version was a stopgap measure, and that moving to a general program of enrollment management, as practiced on other UC campuses, would be preferable, perhaps as part of, or as a follow up to the Strategic Academic Planning process.

CPB was critical of the amount of effort required to provide the vast array of evidence requested of departments who wish to be declared impacted. The committee suggested that the required data be readily available and provided divisionally or centrally, thereby ensuring that departments with statistically proficient faculty are not unfairly advantaged in seeking to deal with impactation pressures.

During fall 2018, and with members Flanagan and Larrabee recused, CPB discussed Computer Science’s (CS) revised request for impacted status, first reviewed in spring 2017. The committee strongly agreed that access to majors is a key principle at a public university, and the CS proposal raised some concerns in this context. However, despite these concerns, CPB recognized the challenges faced by CS in accommodating the extraordinarily rapid increase in majors and therefore supported a temporary declaration of impacted status.

CPB also recommended that CS impacted status should be re-evaluated on a yearly basis to assess the progress made on concerns raised during review of the proposal this year, including CS faculty progress toward meeting the department’s own teaching expectations and monitoring of the divisional plan for increasing FTEs and other resources allocated to CS to meet student demand. CPB expects to review such a status report during fall 2018.

### **Capital Planning**

In 2017-18, CPB participated in the capital planning process via its representatives on capital planning committees, including the Advisory Committee on Campus Planning and Stewardship (CPS), the Academic Space Plan Task Force, the Kresge College Project Committee, Classroom Subcommittee, and new this year, the Capital Improvements Program (CIP) Subcommittee. *The CPB representatives provide a channel through which the committee can be kept informed of capital planning issues; the presence of a CPB representative on an administrative committee is distinct from formal administrative consultation with CPB.* CPB's reviews related to capital planning issues focused on the Kresge Classroom Project and the Capital Financial Plan (CFP) prioritization process.

During winter 2018, CPB discussed letters from the Committee on Educational Policy (CEP) to CP/EVC Tromp (1/31/18) and from CEP to Kresge College Programming and Building Committee Co-Chairs Berger and Latham (10/12/17) regarding the size of the large lecture room planned for the Kresge Project academic building. During 2016-17, CPB supported the creation of a 600-seat classroom at Kresge, an opportunity made possible by \$50M in General Funds Financed (GFF) funds available to the campus from the state, plus \$3M provided by the campus. By summer of 2017, the Kresge Project plans had changed, reducing availability of smaller classrooms. CEP conducted its own analysis of classroom needs, which CPB also reviewed. CEP's analysis was the first detailed assessment CPB had seen of the actual need for a lecture room as large as 600 seats, the pedagogical implications of such a large classroom, the implications for time to degree, and the consequences for the quality of the undergraduate experience at UCSC. Upon review, and given that some smaller classrooms had already been eliminated from the Kresge project, CPB agreed with CEP that current needs would be better met by reducing the size of the largest classroom at Kresge to around 520 seats, enabling a classroom of 200-220 to be added, while also ensuring an adequate number of smaller classrooms could be included in the project.

After careful consideration of Senate recommendations, Chancellor Blumenthal and CP/EVC Tromp decided to move forward with the Kresge academic building as previously approved. CPB will continue to participate in the Kresge Project planning process through its representative, and through committee discussion as needed. CPB will also be monitoring the audit of campus space currently underway, which the administration has stated may identify additional capacity for smaller classroom space.

Late in spring 2018, the committee received a request to provide feedback on the Capital Improvements Program (CIP) subcommittee's proposed academic project additions to the 2018-28 Capital Financial Plan (CFP). CPB consulted with VCPB Delaney and Capital Planning and Space Management Director Karen Smith for clarification and context on the request this year, which was limited to the integration of two specific projects (BSOE 3 and BSOE Integrated Teaching and Learning Complex) into the CFP draft. CPB supported the inclusion of both projects on the CFP. CPB expects that it will participate in the full prioritization process for the CFP during 2018-2019, at which time a complete packet of information that can be used to help rank the academic projects on the list will be provided to CPB. The process this year did not work optimally, and CPB will work with VCPB Delaney to advocate for a consultation process next year that provides CPB with the needed information for a meaningful review.

### **Academic and Student Success Data Analytics**

CPB has supported greater and more consistent use of quantifiable data and relevant metrics in decision making, particularly in FTE planning. During 2017-18 the committee discussed the campus use of services from Academic Analytics and a document from Vice Provost for Student Success (VPSS) Jaye Padgett laying out a proposal on “Data, Analytics, and Research for Student Success.”

In the fall, CPB consulted with CP/EVC Tromp concerning the campus contract with Academic Analytics. The committee understands the potentially positive role the tools provided by Academic Analytics can play. However, members also had significant concerns related to the potential use of the data in the personnel process, the reliability and accuracy of the data, and the overarching value of the service provided by Academic Analytics.

Members shared the unease, felt broadly among the faculty, over the potential for the data on individual faculty from Academic Analytics to be used in the academic personnel process. We support the EVC’s commitment to maintain a firewall between the use of the database and the academic personnel process.

Questions have been raised about the quality of Academic Analytics’ underlying data, particularly with respect to its ability to capture important dimensions of research productivity and how it varies across academic disciplines. Metrics can help frame discussions in useful ways, but if the data are poor, such framing can be detrimental to good decision making. CPB believes it will be important that departments/faculty have the ability to review the data employed in any decision-making process. This would not require giving departments access to the Academic Analytics system but might be achieved by sharing spreadsheets or reports produced from the system.

Faculty in departments across UCSC have a wealth of knowledge about their own fields that can help inform decisions about such issues as whether hiring at a senior or more mid-career level would contribute the most to boosting research and scholarly activity. External reviews can also inform these types of decisions. Thus, members questioned whether the potential added value of Academic Analytics will justify its cost, particularly as last year, in a January 18, 2017 letter to Interim CP/EVC Lee, the committee noted that, beyond identifying untapped sources of extramural funding, Academic Analytics did not seem to have been widely used on the campus. To encourage wider use of it in academic planning, CPB suggested the CP/EVC pose specific questions to the deans as a means of encouraging them to use the data from Academic Analytics. We requested that the Senate be consulted in formulating these questions. With the transition from Interim CP/EVC Lee to CP/EVC Tromp, this suggestion has not been pursued.

CP/EVC Tromp has emphasized to CPB that she sees the data obtained through Academic Analytics as an important input into, but not the driver of, decision making. CPB urged her to make this point consistently with other constituencies on campus as well. While the contract with Academic Analytics was extended, CPB has seen no evidence that the company’s data has actually been used this year.

The second data usage topic reviewed by CPB dealt with a draft document from VPSS Padgett and the Office of Planning and Budget laying out a vision and plan for the use of “Data, Analytics, and Research for Student Success.” CPB appreciated the careful efforts toward classifying and prioritizing access to data contained in the draft document. The document also raises the important question of ethical use of this information.

CPB believes the data plan must address the extent to which departments and individual faculty are obligated to act on data made available in formal standardized reports: will faculty be responsible for acting on pedagogical tips triggered by, for instance, demographic course data? This is potentially problematic. Some members were especially concerned that such data could unintentionally lead faculty to practice implicit or explicit bias. Such bias could easily be exacerbated in smaller classes: pedagogical tips based on demographic data could encourage faculty to assume that specific individuals fall into particular categories and then treat those individuals differently (perhaps even according to what the faculty member believes to be best practices based on the resources provided). Thus, CPB did not see the potential benefits of course-level data outweighing the potential risks of introducing unanticipated inequities and biases.

The draft document discusses the challenges associated with having to respond to *ad hoc* requests for reports or data, which undoubtedly represent a strain on staff time. One solution, as outlined in the report, is to provide standardized tools and reports. This solution is not likely to be the optimal way of supporting data-driven student success efforts, however. It would be better to provide as much raw data as possible, subject to student privacy considerations, enabling researchers and advisors to pursue more targeted or flexible data analysis. Student success efforts will often raise division- or department-specific issues that are not easily anticipated by pre-prepared tools. There is tremendous potential for leveraging the time and skills of individuals interested in student success, and therefore alleviating staff burden, if data can be made available in a useful format (it presumably already is in a relational database, which is exceptionally useful) rather than being locked away in pdf documents or obfuscated by reporting systems such as Infoview.

In response to the perceived need for clear policies and procedures governing data usage, CP/EVC Tromp established the Academic and Research Analytics Steering Committee (ARASC) in April 2018. Chaired by VCR Scott Brandt, the committee held its first meeting June 6, 2018. The chair of CPB serves as a member of ARASC.

### **CPB Review of Second Hire and CAPM 101.000 Waiver Requests**

CPB developed guidelines to encourage the development and submission of consistent, informative, and complete proposals for CAPM 101.000 waiver of open recruitment requests (Target of Excellence and Spousal/Partner waivers) as well as for reviewing requests for approval of off-cycle second hire requests. The committee anticipates that the guidelines will clarify and make transparent the committee’s review process and criteria for evaluation. CPB’s guidelines for review of CAPM 101.000 waiver of open recruitment requests and second hire requests have been endorsed by CP/EVC Tromp, and have been disseminated to the divisional deans (July 26, 2018 and August 15, 2018).

In the case of special hires, CPB is concerned with the implications for hiring plans already in place, for future hiring plans, and for resources. Thus, in the case of TOEs and spousal/partner hires, it is important that CPB understands how the proposed hire meets the qualifications and requirements outlined in CAPM 101.000; in the case of second hires, CPB seeks evidence that the proposed hire represents a special opportunity for the department and division and aligns with top divisional and campus priorities. In all cases, CPB wishes to see the context for special recruitments: e.g., was there a failed prior special recruitment? Is there a related retention case? CPB also wishes to have an assessment how such incidents have affected or will affect the department.

Second hire requests are particularly in need of clear guidelines, as there is currently no existing campus policy guiding them. Second hire requests out of an initial authorized recruitment can leverage strong FTE recruitment pools containing a second candidate who also meets high priority and/or strategic needs in the department or division. CPB's guidelines for second hires provide an update to its now outdated "Guidelines on Double Hires" (CPB to CP/EVC, 2/27/07) and are intended to encourage the development and submission of consistent, informative, and complete proposals from the divisions as well as to clarify the committee's review process.

CPB sees requests of second hires as appropriate in two circumstances: (1) When the finalist pool happens to contain an exceptional candidate who, while not necessarily the first choice for the position originally advertised, would be a great fit for a future departmental need that has previously been laid out in departmental hiring plans and external review documents as being among the top two departmental priorities; (2) When a recruitment already authorized for a future year can be filled by a candidate in the current finalist pool.

With the support of the Senate Committees on Affirmative Action and Diversity (CAAD) and Academic Personnel (CAP), CPB is in the process of working with APO to make changes to CAPM 101.000 to require that a departmental vote be taken on waiver requests. Under current policy, the Bylaw 55 vote occurs only if the waiver is approved and the department moves forward with an appointment file. This raises several concerns, including the possibility of a request for a waiver being made (and potentially approved) without clear evidence of widespread departmental support, particularly because once a waiver is approved and departmental representatives enter into serious conversations with the targeted hire, faculty may feel more constrained in their voting. The CPB chair met with Assistant Vice Provost for Academic Personnel Grace McClintock over the summer and learned that there is opposition to requiring a departmental vote on waiver requests. AVP McClintock has informed CPB that she is in the process of undertaking a complete review and revision of the CAPM and the committee will work with her during 2018-2019 to ensure CAPM 101.000 is revised in a manner that is consistent with CPB's desire to have clear evidence of departmental support for waiver requests.

### **Data to Support CPB's Advising Role**

Throughout the academic year, and particularly in the context of a request for input from AVPAA Martin Berger on resource allocation guidelines for the SAP, CPB made a formal request to Planning and Budget for better-organized financial information. A subcommittee was formed to pursue this request.

After many delays, the CPB subcommittee was able to meet with Director Kimberly Register of Planning and Budget on May 22, 2018. The subcommittee members felt that this initial meeting led to a productive discussion in which the type of well-organized, usable financial information that CPB has been seeking was explained. Director Register was responsive. An initial draft of the financial operating summary information was provided to CPB for the fiscal years 2017 and 2018. However, P&B was unable to provide this data until August 9, 2018, making it too late for the committee to review or discuss the information provided. It does provide at least a starting point for developing more useful and transparent budget information. Continuing this effort in fall 2018 will lead to better informed decisions being made in allocating the campus's resources, a development of particular importance as the campus moves to implement the final SAP.

### **Shared Governance and Consultation Process**

Shared governance is the cornerstone of the University of California and represents the foundational belief that the university governance is strongest when faculty, staff, and students join with campus administration and systemwide leadership to shape, influence, and implement the university's mission. As the Academic Senate committee with the broadest purview—campus planning and budget—and the most comprehensive understanding of how UCSC's often competing priorities interrelate and affect each other, CPB takes shared governance very seriously. As such, the committee invites deans, vice provosts, and vice chancellors to meet with us in both structured and unstructured contexts: unstructured meetings generally provide opportunities for administrators to share their ideas and concerns with CPB and for CPB to understand the vision and priorities for various divisions, while structured consultations focus on specific topics, such as the deans' FTE requests and proposals like the Centers of Excellence forwarded jointly by VCR Brandt and VPDGS Tyrus Miller.

In addition to meeting with deans and principal officers, CPB meets weekly with the CP/EVC, and these regular meetings highlight the positive and productive possibilities at the heart of shared governance. The committee is grateful for CP/EVC Tromp's deep understanding of—and obvious commitment to—shared governance. We have benefited tremendously from the opportunity to converse and consult with her throughout the year, and we very much appreciate the seriousness with which she takes our opinions, perspectives, and questions, even/especially when she makes decisions that differ from our positions. The committee is hopeful that the CP/EVC's investment in shared governance, together with her ongoing collaborations with CPB and Senate leadership, will contribute to a campus culture in which shared governance is valued as one of the university's most important and unique principles.

### **Regular Committee Business**

#### *New Program Proposals*

CPB reviewed proposals for the establishment of undergraduate and graduate degrees, including: a B.S. in Environmental Sciences, B.S. in Anthropology, M.S. in Science Communication, M.S. in Human Computer Interaction with PDST (professional degree supplemental tuition), M.S. in MCD Biology, M.S. in Natural Language Processing (PDST), and M.F.A. in Environmental Art and Social Practice.

### *External Reviews*

CPB submitted specific questions to supplement the universal charge for upcoming external reviews in Art, Chemistry and Biochemistry, and Linguistics. The committee prepared responses to the external review reports for closure meeting discussion for Applied Mathematics and Statistics, Astronomy and Astrophysics, Earth and Planetary Sciences, History, and Music. CPB also reviewed mid-cycle reports and made recommendations on the length of review cycle for Electrical Engineering, Mathematics, Ecology and Evolutionary Biology, MCD Biology, Microbiology and Environmental Toxicology, Economics, and Anthropology. The committee also reviewed a deferral request for the Languages and Applied Linguistics external review.

### *Three-Year Interim Reports*

The committee reviewed three-year interim reports for the following programs: Rachel Carson College's Sustainability Studies minor, Critical Race and Ethnic Studies (CRES) B.A. program, and Scientific Computing and Applied Mathematics (SciCAM) M.S. program.

### *Off-Cycle FTE Requests and Waiver of Open Recruitment Requests*

CPB reviewed and made recommendations on six second hire requests, one request for a second and third hire from a single search, three Presidential Postdoctoral hire requests, two Target of Excellence (TOE) waiver of open recruitment requests (this does not include the Competitive Target of Excellence—CTOE—divisional requests that were part of the 18-19 FTE call), and two Spousal/Partner waiver of open recruitment requests. In addition, CPB reviewed additional requests as follows: upgrade of an already authorized search to the full professor level, one request for allocation of an off-cycle FTE, and three requests for authorization to use divisionally held FTEs for off-cycle recruitments.

### **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:

#### *Local*

- Request to Review One-Time Allocation for Housing Initiatives (October 2017)
- Art Design: Games and Playable Media B.A. Updated Charter and Bylaws (October 2017; February 2018)
- Review of APU (Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change) (October 2017)
- Proposed Fee Renewal for the M.S. in Applied Economics and Finance PDST (October 2017)
- Industry Alliance and Technology Commercialization (IATC) Proposed Intellectual Property Draft Policies (November 2017; February 2018))
- Proposed Strategic Plan to Meet 2:1 Transfer Goal (November 2017)
- Intensive History Major Request (November 2017)
- German Studies B.A. Suspension Request (December 2017)
- Computer Science Impaction Request (January 2018)
- Proposal for Concentration in Accounting from the Economics Department (January 2018)
- Guidelines for Managing Curricular Capacity and Program Enrollment (January 2018)

- Proposal to Discontinue the Science Education Concentration (January 2018)
- Proposal to Discontinue the Assistive Technology: Cognitive/Perceptual Concentration of the Bioengineering B.S. degree (February 2018)
- Proposal from Biomolecular Engineering to discontinue the Biomolecular Engineer concentration within the B.S degree in Bioengineering; change the name of the B.S. degree in Bioinformatics to a B.S. degree in Biomolecular Engineering and Bioinformatics, have two concentrations with the renamed Biomolecular Engineering and Bioinformatics B.S. degree (Biomolecular Engineering, Bioinformatics) (February 2018)
- Proposed Adjustment to Salary Increases: Further Above Scale Merits (February 2018)
- Kresge Classroom Project (February 2018)
- Computer Science: Computer Game Design B.S. Revised Charter and Bylaws (March 2018)
- Faculty FTE Transfer Request (October 2017)

*Systemwide*

- Taskforce Report on the Negotiated Salary Trial Program (NSTP) (November 2017)
- Review of Proposed Amendment to Senate Bylaw 128 (January 2018)
- Review of APM 285, 210-3, 133, 740 (February 2018)
- Proposed Presidential Policy on Disclosure of Financial Interests and Management of Conflicts of Interests in Private Sponsors of Research; Revised APM-028: Disclosure of Financial Interests in Private Sponsors of Research (May 2018)

**Continuing Issues for CPB 2017-18**

- Strategic Academic Plan (SAP) Implementation
- BSOE Reshaping--monitor relevant aspects of implementation of the reshaping process
- Long Range Development Plan--review documents arising from the planning process
- Silicon Valley--monitor progress of programs being developed; space planning
- Campus Capital Planning Prioritization--continue to monitor and participate in the review process
- Division of Global Engagement--monitor planned strategic planning and ACE Lab participation
- Office of Planning and Budget data--continue to collaborate with VCPB on data needs to inform campus decision making
- University Relations--review of external review report

Respectfully submitted;

COMMITTEE ON PLANNING AND BUDGET

Elizabeth Abrams

Doug Bonett

Matthew Clapham Cormac Flanagan

Jonathan Kahana

Tracy Larrabee

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Ólóf Einarsdóttir, *ex officio*

Kimberly Lau, *ex officio*

Carl Walsh, Chair

Dan Oliver, Graduate Representative

Maxine Jimenez, Undergraduate Representative (F&W)

Dylan Jones, Undergraduate Representative (W&S)

August 31, 2018

### **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. The Chair of CPB also serves, together with the Senate Chair and Vice-Chair, as a member of Senate Leadership. 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 2017-18 Annual Report**

To: Academic Senate, Santa Cruz Division

### **ELWR**

Oversight of the Entry Level Writing Requirement (ELWR) is a crucial part of Committee on Preparatory Education's (CPE) charge. During 2017-18, two important changes strongly influenced administration of ELWR at UCSC:

- UCOPE temporarily suspended acceptance of SAT scores for ELWR satisfaction, resulting in a dramatic increase in the number of students needing to take the Analytical Writing Placement Exam (AWPE).
- The transition to the Academic Literacy Curriculum (ALC), which includes pathways for students who have not satisfied ELWR prior to the start of their first quarter at UCSC.

### **Changes in the SAT**

ELWR can be satisfied prior to the start of a student's first term at UCSC by achievement of a sufficiently high score on

- one of several standardized admission tests,
- the exam for one of several AP or IB courses,
- appropriate transfer course credit, or
- the AWPE, a UC-created and administered exam.

The University Committee on Preparatory Education (UCOPE) oversees ELWR at the system level, including determining the cut-off scores for admissions tests, selecting the passages to be used in the AWPE, and calibrating scoring of the AWPE.

The AWPE serves as a last chance at ELWR satisfaction without UC coursework for many incoming students - it is administered in May, after students have been accepted to a UC campus, to students who haven't already satisfied ELWR. Students who are unable to take the AWPE in May (e.g. international students) can take the AWPE in the fall, shortly before the start of the quarter. The May administration of the AWPE is centrally managed, but the individual campuses administer and score the fall AWPE.

The SAT "Reasoning Test, Writing" was last administered in January 2016, and UCOPE did not immediately approve the new multiple choice "Evidenced-Based Reading and Writing" portion of the SAT for ELWR satisfaction. UCOP collected and analyzed UC student data from the first year that the new SAT was fully adopted by the College Board; that analysis was then used by UCOPE to determine an appropriate cut-off for ELWR satisfaction.

The unavailability of the SAT for ELWR satisfaction resulted in substantial increases in the number of students taking the AWPE; this was particularly challenging for the UC campuses, including UCSC, with lower rates of ELWR satisfaction via AP exam credit. The number of incoming UCSC students who took the AWPE in fall increased from approximately 540 in 2016 to approximately 1545 in 2017. CPE worked with the Writing Program to ensure that UCSC remained compliant with published ELWR policies despite the logistical challenges resulting

from the high number of students requiring last minute AWPE administration and subsequent enrollment in an appropriate Writing course.

### **AWPE scoring**

An arcane but crucial aspect of AWPE scoring played an important role in the Academic Literacy Curriculum (ALC) proposal. Each AWPE essay is initially scored by two readers; if the individual scores agree to within a point and are *not* a 3/4 pair, the student's score is the sum of the two scores. Papers whose composite scores are 8 and higher satisfy the Entry Level Writing requirement; papers whose composite scores are 6 and below do not. If the individual scores differ by more than a point or straddle the 3-4 divide, a third, highly experienced, reader scores the essay and that new reading alone determines the student's AWPE score. Since placement pigeon holes are at least two points wide, differences of a single point between individual scores do not affect students' coursework requirements.

This scoring protocol is designed to allow novice readers to gain expertise while minimizing the risk that students could be inappropriately placed. For example, in situations where there are significant variations in the sophistication and grammatical correctness within an essay, experienced readers are assumed to reliably distinguish essays written by students attempting to game the system by combining largely pre-written "generic" paragraphs with clumsy on-the-spot writing specific to the prompt from original essays in which the student initially struggles to express a strongly felt response, but then hits their stride and produces clear, if flawed, prompt-specific arguments.

The ALC proposal introduced the term "true 8's" and, in effect, proposed that UCSC split from the rest of the UC system and adopt distinct criteria for ELWR satisfaction via AWPE. Specifically, it was proposed that:

Analytical Writing Placement Exam (AWPE) scores of "true 8s" or above (or the equivalent) satisfy the ELWR and the C1 requirement. Scores of 7/7E or below do not.

A footnote on that page elaborated that:

This percent accounts for students who satisfy the ELWR by means other than the AWPE. It also includes an estimate for the number of students who would have scored 7 on the AWPE if scores of 7 had been retained. The current system "normalizes" 7s by resolving them into scores of 6 (not passing) or 8 (passing). We are assuming about half of the exams originally scored 7 were resolved to 8, and about half to 6.

The frequent references to scores of 7 in the ALC proposal indicated a fundamental misconception regarding the AWPE scoring process; poorly matched individual scores - particularly 3/4 pairs - are not combined, they are discarded. While most initial 3/4 pairs probably do receive a score of 6 or 8, the experienced readers aren't simply rounding the sum of the initial scores up or down.

The proposal to introduce an AWPE score of 7 and declare that scores of 7 would not satisfy ELWR appears to have been motivated by concerns within the Writing Program about the

academic success of students with AWPE scores of 8. CPE shares the Writing Program's concerns, but believes that efforts to better support these students should be data-driven and must be compliant with systemwide ELWR policies. CPE supports implementation of a research project involving acquisition, with the assistance of UCOP, and analysis of data on course outcomes for students receiving initial 3/4 pairs on the AWPE, and encourages the Writing Program to pursue such a project.

### **Time limit for ELWR satisfaction for students in the Multilingual Curriculum**

UCSC has traditionally granted students an extra quarter beyond the official one year time limit for ELWR satisfaction. However, that blanket extension had for many years been inconsistent with UCOP interpretation of systemwide Senate regulations. Hence the Writing Program's request that the extension be continued, but only for students required to take all three quarters of the Multilingual Curriculum (MLC, Writing 25-27), required both careful consideration by CPE and consultation with UCOPE and UCOP Undergraduate Admissions.

The pertinent question is *not* whether any student who fails to satisfy ELWR within their first year at UCSC should automatically be barred from enrollment, but whether case-by-case review should be required or an automatic extension should be granted to all students meeting certain criteria. Hence natural corollary questions are: how many students are expected to need more than one year to satisfy ELWR, and what would determine whether or not these students should directly continue their studies at UCSC or should transfer to another institution until they have gained adequate writing proficiency for success in UCSC courses.

Without adequate data on the outcomes of prior offerings of the MLC, well-grounded estimates of future enrollments in Writing 25-27, estimated pass rates for those courses, etc., CPE did not believe that we could make an informed decision to either approve or deny the Writing Program's request. According to UCOP Undergraduate Admissions, granting a provisional extension to a well-defined cohort of students facing clear challenges in timely ELWR satisfaction would be compliant with systemwide regulations, but there should be a commitment to ongoing collection and analysis of outcome data to assess the costs and benefits to students of such an extension. It was also recommended that UCSC consider offering appropriate ELWR courses (e.g. Writing 27) during Summer Session to enable students who haven't passed all of the courses in the Writing 25-27 sequence on the first attempt to meet the one year deadline.

### **Communication with the Writing Program**

CPE has traditionally had at least one representative from the Writing Program participate in the committee activities. In 2016-17, two Writing Program lecturers were members of CPE; in 2017-18, CPE had one WP representative, who attended only one CPE meeting, and did not participate in any of the committee's review activities. Given the focus on the Academic Literacy Curriculum (ALC) for much of the year, the resulting limited input from the Writing Program significantly complicated several of CPE's efforts.

The communication bottleneck was particularly troublesome in the context of CPE oversight of UCSC compliance with systemwide policies and procedures regarding the AWPE. At multiple times in summer and fall 2017 it seemed possible that there had been a breakdown of communication within the Writing Program, as well as with CPE and UCOPE. The extremely

limited CPE participation by the Writing Program representative made it difficult for CPE to make informal inquiries.

### **Future assessment of the ELWR course outcomes**

For ELWR-unsatisfied frosh, participation in Writing 20 or Writing 25-27 will support their progress towards mastery of the communication skills deemed essential for academic success at UCSC. When considering possible approaches to evaluating the ELWR courses, CPE decided that grade analyses should be combined with more qualitative assessment. Before attempting to develop processes for determining how well the *new* ELWR courses were working, we needed to develop a meaningful interpretation of “working” to consider ELWR in the larger context of first year writing instruction, and establish benchmarks using the outcomes of the current courses in combination with student and faculty satisfaction with those outcomes.

To gain qualitative information about downstream output of the Writing Program pipeline, CPE interviewed the chairs of several representative departments. The results of these interviews suggest that many faculty frequently work with their students to improve their basic writing skills, even after students have successfully completed their non-DC writing courses. CPE encourages the Writing Program to work with CEP to ensure that course learning goals and outcome assessments address the needs of the full spectrum of UCSC major programs.

Further development of protocols for assessment of the ELWR courses was put on hold after CPE learned that there would not be a CPE committee in 2018-19, and that CPE’s charge might be permanently assigned to CEP.

### **Strategic Academic Plan**

CPE, along with the other Academic Senate committees, reviewed key components of the Strategic Academic Plan, including the Campus Landscape Analysis and the Themed Academic Working Group (TAWG) proposals.

CPE is concerned that the Campus Landscape Analysis, and the requests for Senate and individual faculty input on the Landscape Analysis and TAWG proposals, may have very little influence on the actual evolution of UCSC. We suspect that some aspects of the development of the new Strategic Academic Plan, while well-intentioned, may have exacerbated the rivalries and competition for resources that were criticized by many faculty in the Landscape Analysis. The relationship between the dramatic restructuring of the School of Engineering and the Strategic Academic Plan is unclear.

CPE had several concerns about the review process for the TAWG proposals. CPE appreciates the decision to seek input from all faculty, but believes that some of the points addressed in the provided rubric could not be reliably evaluated by non-experts, and that the rubric did not provide adequate opportunity for faculty to openly express their priorities and preferences; several of the criteria addressed in the rubric would have been better addressed by independent expert reviewers in a process analogous to that used by major federal and state funding agencies. Reviewers in one academic division are unlikely to be aware of the “critical issues facing the research community” in areas represented in other divisions, and should not be expected to

reliably identify a “compelling case that the proposed research has distinctive qualities in an (inter)national context.”

Differences in academic cultures create substantial challenges in equitable reviewing; this problem is exacerbated by the limited guidance provided in preparing and reviewing proposals. In the absence of clear, precise instructions, people are likely to adapt proposal styles that have been successful in their native academic environment and undervalue proposals from other divisions not out of intentional bias, but because those proposals do not meet the common expectations of their research culture. This can reinforce perceptions of factionalism.

There were many important intersections between proposals - faculty, goals, and resources - but the desirability of coordination between projects does not seem to have been taken into account in the proposal creation or review processes. Shared resources, whether FTE, postdocs, staff, lab space, computers, or instructional studios, could greatly increase the cost effectiveness of several proposals. By failing to explicitly take possible coordination with other working groups into account, the rubric scoring system appeared to favor large, expensive proposals.

### **CPE hiatus in 2018-19**

The Committee on Committees, in cooperation with Senate leadership, decided not to assign Senate members to CPE in 2018-19, against the recommendation of the outgoing CPE chair.

At the start of 2016-17, Senate leaders expressed concerns that CPE didn’t have enough to do; we believe that the development of what was to become the Academic Literacy Curriculum, UCSC’s recent attainment of Hispanic Serving Institution (HSI) status, and the challenges in coordination between stakeholders in math placement and remediation have provided ample activity for the committee in recent years. In spring 2017 and in 2017-18, concerns were communicated to CPE that CPE might be too small to be a viable Senate committee, and a possible transfer of CPE’s charge to CEP was mentioned as a possible approach to remediating this perceived problem. We believe that a better approach would be to *increase* CPE Senate membership and to support increased interaction between CPE and CEP. “Fly on the wall” attendance, or even participation, by a CPE member in relevant sections of CEP meetings could address concerns that CPE may lack a sufficiently broad perspective.

We recommend inviting undergraduate representatives to participate in CPE meetings, to obtain firsthand information about student’s experiences with ELWR satisfaction and math placement.

CPE believes that the committee has served the Senate and the campus well, and hopes that it will continue to serve in the future. Permanently subsuming CPE into CEP would deprive the campus community of valuable opportunities to learn about multiple Senate perspectives on some important issues in undergraduate education. Compromises are inevitable when complex projects are developed and implemented; the greater the transparency regarding those compromises, the easier it will be in the future to evaluate their consequences.

Respectfully submitted;  
COMMITTEE ON PREPARATORY EDUCATION  
Dongwook Lee  
Kip Tellez  
Debra Lewis, Chair

August 31, 2018

**Committee on Privilege and Tenure  
Annual Report 2017-18**

To: Academic Senate, Santa Cruz Division

**I. Grievances**

Two grievances were filed with the committee during the 2017-18 academic year. Both have been resolved after a hearing.

**II. Charges**

Charges were presented by the administration against three members of the faculty this year. All three were resolved without a hearing.

**III. Review**

**A. Senate Review of Proposed Amendment to Senate Bylaw 128**

The committee reviewed an addition to Senate Bylaw 128. Members operated under the assumption that the purpose of the proposed addition is to provide a mechanism for dealing with situations in which there is a disagreement about the existence or the extent of a conflict of interest on the part of a member of a systemwide committee. On that interpretation, the committee agreed that the proposed language seemed sensible and appropriate.

**B. Strategic Academic Planning Consultation**

P&T commented on the two questions on which Martin Berger, interim Associate Vice Provost for Academic Affairs (AVPAA), requested feedback related to *Identifying Strategies for Resource Generation* and *Internal Structural Barriers to Research and Teaching* (Berger to Einarsdóttir, Nov. 28, 2017). P&T also responded to a request for feedback on the “full draft of the Strategic Academic Plan (SAP) and Implementation Playbook”.

**IV. 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  
Elisabeth Cameron  
June Gordon  
Amy Lonetree  
Roberto Manduchi  
Shigeko Okamoto  
Scott Oliver  
Bruce Schumm  
Jorge Hankamer, Chair

August 31, 2018

## **Committee on Research Annual Report 2017-18**

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) is charged with reviewing campus and system-wide 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 faculty researchers by awarding faculty research grants (FRG), special research grants (SRG), and travel grants, and works to develop policy and strategy that assist with broad research goals, like increasing multi-principal investigator initiatives.

In 2017-18, the Committee on Research reviewed a range of proposed policies and initiatives created at the campus and UC-wide levels. We consulted with Vice Chancellor for Research (VCR) Scott Brandt on long-term goals of supporting or creating new vibrant research communities across the campus that can produce high-quality research and potentially collaborate. We also discussed issues around improving experiences of submissions of proposals for extramural funding to support the research and our students.

To increase the amount of available funding for COR grants, this year COR worked with Associate Chancellor Ashish Sahni on a proposal that allowed the Chancellor's Office to provide additional funding for COR grants. To this end, COR put an extra effort to facilitate the Chancellor's Office to support new faculty and assistant professors, while not interfering with COR review process. The overall effort was worthwhile, allowing COR to increase the total amount of COR funding and award 107 grants (72% of submitted proposals) distributed as 10 New Faculty Research Grants, 75 Faculty Research Grants (FRG), and 22 Special Research Grants (SRG), with the total amount of \$324,972.

Throughout the academic year, COR worked on a survey that was deployed at the end of academic year, from June 16-25, 2018. The overall response rate to the survey was 30%, which was according to the survey analysts a "very good response rate, comparable to the response rates for other senate surveys administered this year." COR is thankful to faculty for their responses which reward the effort of revising the survey multiple times and provide valuable information on the best way to serve our campus research community.

Regarding COR's work, it is worth mentioning that besides all other activities, COR is responsible for the evaluation of proposals for faculty research grant programs (FRG, SRG, NFRG). Therefore, the committee spent a considerable time in the Fall quarter to discuss this year's proposal review process and much of the Winter quarter was spent evaluating 148 proposals. Here below is an overview of COR's work in 2017-18.

### **Strategic Consultations with the Office of Research**

The committee continued to extend a standing invitation to Vice Chancellor for Research (VCR) Scott Brandt to attend relevant COR meetings and consult on issues of mutual concern regarding research policy and culture on campus. Those consultations were also the main

vehicle through which COR members could learn about the administrative structure and responsibilities of the Office of Research units, as well as brainstorm potential directions which could improve institutional support for research and creative activities.

As part of the consultations, this year Director of the Office of Sponsored Projects (OSP) Kate Aja helped COR to update COR grant award letters to be compliant with the most recent campus policies. This helped COR to focus its grant review work only on the quality of the proposed research and creative activities. Later in the academic year, Director Aja provided COR a brief overview of the OSP, which has delegated authority to submit proposals and accept awards on behalf of the Board of Regents. Director Aja provided information about the modes of communication with faculty and the OSP operation, the number of the OSP personnel and grants they process to illustrate that the OSP is short-staffed for the scale of its operation. Finally, during that consultation COR also learned about regulatory challenges that the OSP was dealing with and Director Aja highlighted the openness to informal feedback on how to improve the OSP processes.

Early in the academic year, Graduate Council (GC) Chair Gina Dent contacted COR Chair Dejan Milutinović to initiate a discussion about potentials to improve the experience of graduate student proposal submissions for pursuing research funding. As a follow-up, Chair Milutinović wrote an inquiry about the status of ongoing hiring in the Office of Research (OR) and plans to support graduate students. Following the OR's response by Associate Vice Chancellor for Research Quentin Williams and OSP Director Aja, COR summarized the response and proposed some ideas for a follow-up, and sent the summary to Senate Chair Ólöf Einarisdóttir and GC Chair Dent for a further consultation about the issue. COR committee members were informed about the potential to work with the GC on the issue.

Last but not least, the consultation with the OR enabled VCR Brandt to present insights into: (1) Intellectual Property Campus Policies Proposal; (2) Centers of Excellence Proposal, as well as (3) Graduate Growth Initiatives. COR provided a formal response to all three documents.

## **Research Grants**

The committee has two funding sources, the Education Fund and University Opportunity Fund. This year the Education Fund was \$0 and University Opportunity Fund was \$341,749. This year's COR did not receive any carryforward funding (\$0). Therefore, the total 2017-18 COR grant budget was \$341,749, which was 8.5% lower than the budget in 2016-17 (\$373,454). In both years, the amount from the two funding sources were identically equal (\$341,749), therefore, the drop was due to the non-existing carryforward funding in 2017-18 budget. COR distributed the total budget (\$341,749) to Travel Grant Budget (\$125,650) and Research Grant Budget (\$216,099).

Budget Source	Amount
Opportunity Fund – Indirect Cost Receipt from federally funded grants	\$341,749
Education Fund – Indirect Cost Receipt from privately funded grants	\$0
<b>Total</b>	<b>\$341,749</b>

The information about the 2016-17 budget was taken from the same spreadsheet providing the budget information for this year, i.e., 2017-18. However, COR’s annual report for 2016-17 shows that the budget for that year had \$44,987 from Education fund \$337,466 from the Opportunity fund totaling to \$382,453. In the light of that, the total COR budget for 2017-18 was down from 2016-17 for about 10.6%. In the annual report for 2016-17 COR also indicated that COR budget was cut for 15.8%. While the constant budget cuts make awarding more difficult and negative impacts of it were discussed in the 2016-17 COR annual report in its section “Research Related Activities,”<sup>1</sup> the source of difference between the history of COR budgets and budget that is reported in the annual report is *unclear*. Furthermore, this makes it difficult to infer COR funding trends. More importantly, it should be noted that this year’s COR did not receive information about its budget until January 2018 and clear budget information was compiled by COR analysts in February 2018, which was very late and interfered with the timing of granting awards.

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). To increase the amount of available funding for COR research grants, COR Chair Milutinović worked with Associate Chancellor Ashish Sahni on a proposal that allowed the Chancellor’s Office (CO) to provide funding of \$112,000 for COR research grants. Towards this, COR put an extra effort to facilitate the Chancellor’s Office priority to support new faculty and assistant professors, while not interfering with the review process. The overall effort was worthwhile and allowed the budget for COR research grants of \$328,099, which is an increase of 18.5% in comparison to 2016-17.

This year there were 148 proposals, of which 72% were funded. For the reference, last year the number of proposals was about the same (151) of which 44% were funded. Our approach followed the prior COR policy in funding the majority of FRGs, which tend to be for smaller amounts. Furthermore, as noted above, this year the CO provided additional funding for COR research grants and we consulted with the CO on spending their funding in alignment with their goal to support new and more junior faculty. In consultation with the CO, out of their provided funding (\$112,000), the amount of \$39,383 was used to support all New Faculty Research Grants

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<sup>1</sup> <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2017-2018/2017-December-1-Meeting/1883---COR-Annual-Report-2016-17.pdf>

(NFRG) and the rest of \$72,617 was joined to the Research Grant Budget. Therefore, the total award budget for FRG and SRG grants was \$288,716 and overall effort allowed to award 107 grants (72% of submitted proposal) distributed as 10 New Faculty Research Grants (NFRG), 75 Faculty Research Grants (FRG), and 22 Special Research Grants (SRG), with the total amount of \$324,972. A note about each type of COR grants and the list of spending are provided below.

*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 10 NFRG requests, all 10 were funded. The award amount increased from last year’s \$19,000 to \$39,383 while the number of the NFRG applications decreased from 15 last year to 10 this year. All NFRG proposals were reviewed by COR and, in consultation with the Chancellor’s Office, the NFRG grants were fully funded by the office.

*Faculty Research Grants (FRGs) and Special Research Grants (SRGs).* The number of the grant applications in this category was 138 which is 2 proposals up from 136 applications in 2016-17 as it can be inferred from the annual report for that year. However, this year COR was able to fund about 70% of the proposals in this category.

Travel Grant Budget (\$125,650) is used for support of *Travel Grants*. Through these 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 the \$700 (scholarly meetings) or \$250 (inter-campus) travel grant, respectively.

<b>Research Grant Program</b>	<b>Funded</b>	<b>Amount</b>
New Faculty Research Grants (NFRG)	10	\$39,383
Faculty Research Grants (FRG)	75	\$136,279
Special Research Grants (SRG)	22	\$149,310
Travel Grants		\$152,232
<b>Total</b>		<b>\$477,204</b>

**Committee on Research Survey**

COR prepared a survey to collect information about the quality and scope of support for faculty research at UCSC, including COR grant programs, as well as about faculty views on how research support might be improved. COR worked with Institutional Research Assessment & Policy Studies Assistant Director for Assessment Anna Sher and the survey was deployed in the period June 16-25, 2018. As a part of the survey, COR collected contacts of faculty who were willing to serve as mentors helping other faculty to apply for COR grants. The survey response rate was 30%.

The COR survey was designed to be short, with up to 10 questions, and included questions about the division and record of COR grant awards of participants. Those data can be used to gain information about possible directions in which the COR review process or funding model may be improved. With regard to the responses focused on the submission process, the survey data indicate that across the divisions, there is a wide variance in the amount of time it takes faculty to input applications. However, above 90% across all divisions answered that the amount of time was reasonable. Therefore, while the submission process seems to work for most of the faculty, specific faculty comments can give an insight into how COR submission process can be improved.

With regard to the responses focused on faculty opinions on COR priorities, out of the 7 offered priorities, the faculty suggested that the top priority for COR should be “funding of small grants,” while the second and the third priorities were “funding pilot research” and “bringing new funding opportunities to the faculty attention.” The faculty responded that workshops on developing strategies for grant proposals and grant-writing workshops should be at the bottom of the list of COR priorities.

Faculty also provided comments on “important areas for COR to consider in the coming academic year,” which along with other general comments should be considered as items on the next year’s COR agenda. The use of the survey to inform activities in the upcoming academic year would be a big step in an improvement of COR’s service to the campus research community.

### **Other Committee Business**

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

- Multiple phases of the Strategic Academic Planning process
- Systemwide Review: Proposed Presidential Policy on Open Access for Theses and Dissertations
- Systemwide Review: Proposed Revisions to the Lecturer Security of Employment Series: APM 285, 210-3, 133, 740
- Systemwide Review: Proposed Presidential Policy on Disclosure of Financial Interests and Management of Conflicts of Interest in Private Sponsors of Research and Revised APM 028
- Data for Student Success Proposal

### **Upcoming Agenda for 2018-19**

The committee will further explore the following topics in 2018-19:

- The 2017-18 COR survey analysis
- Follow-up of COR budget for 2018-19 and consultation on how to reverse the negative trend in the budget for support of COR grants.
- Consultation with Associate Chancellor Ashish Sahni about the possibility of the Chancellor’s Office funding towards COR research grants

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 Heather Lemson.

Respectfully Submitted;  
COMMITTEE ON RESEARCH  
James Doucet-Battle (F&W)  
Jennifer Gonzalez (F)  
Charles Hedrick  
Peter Limbrick  
Jose Renau  
Marilou Sison-Mangus (F&W)  
Victoria Stone (W&S)  
Ben Storm  
Ahmet Ali Yanik  
Dejan Milutinović, Chair

Alex McDaniel, Graduate Representative

August 31, 2018

## **Committee on Rules, Jurisdiction, and Elections 2017-18 Annual Report**

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (RJ&E) met two times during each quarter in 2017-18. This report summarizes the committee's work during the year.

### **I. Advice and Interpretation of Legislation**

#### **Proposed Amendments to Divisional Senate Regulations 10.2.3.1 and 10.5.2**

RJ&E reviewed the proposed amendments to divisional Senate Regulations 10.2.3.1 and 10.5.2, which specify the undergraduate composition course requirements and entry-level writing requirements. The committee found no issues of compliance or conformance with existing Senate policies.

#### **Proposed Amendments to Systemwide Senate Bylaw 128**

RJ&E reviewed the proposed addition to systemwide Senate Bylaw 128. The amendment outlines a multi-layer process for addressing a Conflict of Interest (COI) on systemwide Senate committees, subcommittees, and task forces. After carefully considering the language of the amendment, RJ&E found no issues of compliance or conformance with existing policy. Even though SB 128 applies narrowly to committees of the Assembly and does not supersede divisional bylaw SCB 13.4.6, this amendment provides clear and useful guidelines for handling conflicts of interest, in the absence of guidance from the Standard Code of Parliamentary Procedure.

#### **Second Review: Systemwide Review of Proposed Revised Academic Personnel Manual (APM) - §§285, 210-3, 133, 740 and First Review of Proposed Revisions to APM §§ 135 and 235**

RJ&E reviewed a second round of proposed revisions to Academic Personnel Manual (APM) §§285, 210-3, 133, 740, 135, and 235, submitted to the Academic Senate for systemwide review by the University of California Office of the President (UCOP). The committee had reviewed the first round of proposed amendments on May 7, 2017 without the amendments to APM §§ 135 and 235. RJ&E concurred that the proposed revisions of § 285-20.a, b do not conform to Regents Standing Order 105.1(a) regarding the membership of the Academic Senate. UCOP intends to request a change in the Standing Orders to include part-time SOE appointees in Senate membership, and the proposed revisions are subject to that change. The committee found no other formal issues of compliance or conformance with existing policy, inclusive of the additional APM subsections.

RJ&E did take note of two unusual policy points in the cover letter that fall outside the scope of the proposed APM revisions. First, the committee took note of the proposal to give sabbatical credit retroactively based on years of service in the SOE series. Second, the possible revisions to Regents Standing Order 105.1, regarding Senate membership for part-time SOE appointees, are of interest to the Senate.

## **II. Rulings and Advice on Senate Policy and Process**

### **Academic Literacy Proposal**

Committee on Rules, Jurisdiction, and Elections discussed request for advice on the Academic Literacy Proposal from the Committee on Educational Policy (CEP). The first question touched on Senate faculty oversight of the Core (College 1) courses in the ten colleges. Oversight of the courses in each college is the responsibility of the Senate faculty of the college (SB 50 and RSO 105.2(b)), with the college provost playing a role analogous to that of a department chair (CAPM 308.240). This is similar to the oversight responsibility of principal faculty in a program of study. The college faculty can delegate portions of its authority to its executive officers, as provided by SB 50, but the committee advised that the faculty cannot delegate its curricular authority to a single member, even the provost. This would violate the letter of SB 50 and the spirit of faculty consultation. One possible solution is to delegate curricular authority in each college to the provost and Chair of the Faculty, who may then coordinate changes with other colleges in a consultative body, such as the Council of Provosts.

The second question focused on the existing general education requirements for composition courses. SCR 10.2.3.1(a) specifies completion of “a sequence of two five-credit hour courses or the equivalent in composition and rhetoric” as a general requirement for a Bachelor’s degree. The proposed curriculum, which shows a single Writing 2 course for the majority of students, required an amendment to SCR 10.2.3.1(a) to specify “one five-credit hour course.”

### **Draft Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change**

RJ&E reviewed the draft Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, submitted for Senate review by the Vice Provost of Academic Affairs Herbert Lee. After a careful reading of the document the committee found no issues of conformance with existing systemwide or divisional bylaws, regulations or policies.

### **Request for Advice on non-Senate faculty participation in ladder-rank personnel cases**

RJ&E reviewed, upon request, a specific department’s policy of non-Senate faculty attending meetings where personnel cases are discussed. It is normal practice in that department to have non-Senate faculty dismiss themselves from faculty meetings when ladder-rank personnel cases are discussed and voted upon. The question is whether non-Senate faculty can attend the meetings and offer input without voting.

RJ&E advised that the policy statement in CAPM 100.500 (Appendix A) is still in force and has not been superseded. This policy prohibits access to confidential personnel records, and participation in the confidential personnel process, to anyone other than the eligible voting Senate faculty. The policy does not preclude informal input from non-Senate personnel on certain non-confidential parts of the process, in advance of the Senate members’ separate discussion and voting.

### **Draft Revised Presidential Policy on Supplement to Military Pay – Four-Year Renewal**

RJ&E reviewed the draft revised Presidential Policy on Supplement to Military Pay that is scheduled to sunset on June 30, 2018. After a thorough discussion, the members agreed that there

were no issues of conformance with existing policy.

### **III. Updates of the Santa Cruz Division Manual**

The following updates were made for the 2018-2019 manual of the Santa Cruz division. There are two classes of changes.

#### 1. Changes due to divisional legislation.

- Santa Cruz Regulation 10.2.3.1.a, per legislation passed December 1, 2017 (AS/SCP/1889)
- Santa Cruz Regulation subsection 10.5.2, per legislation passed December 1, 2017 (AS/SCP/1889)
- Santa Cruz Regulation subsection 10.4.7, per legislation passed May 16, 2018 (AS/SCP/1896)
- Santa Cruz Bylaw subsection 13.23, et seq., per legislation passed May 16, 2018 (AS/SCP/1898)

#### 2. Conforming changes

- Changes to Santa Cruz Regulations 2.2, 8.3.1, and 9.1.3 replace “Committee on Educational Policy” by “Committee on Courses of Instruction.” These reflect the change of CCI in SCB 13.16.

### **IV. Certification of Elections**

#### **Committee on Committees Elections**

RJ&E reviewed COC nomination petitions, wherein two nominations were received for two open seats by the February 5, 2018 petition deadline. Pursuant to SCB 11.4, a ballot election was unnecessary, and RJ&E certified the two members as elected to COC on March 1, 2018.

Respectfully submitted;  
COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS  
Audun Dahl, Psychology  
David Dunn, Music  
Ken Pedrotti, Electrical Engineering  
Bali Sahota, Literature  
Jason Nielsen, Physics, Chair

August 31, 2018

## Committee on Teaching Annual Report 2017-18

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.

COT's work over the year encompassed several main themes. A main focus was completing our work on a full proposal for revising student evaluations of teaching (SETs) at UCSC. This continued the work of the prior year, in the context of COT's new purview over SETs. Members discussed and finalized proposals for specific change in three areas: 1) SET structure and the content of revised SET questions, 2) methods to increase SET feedback quality and return rates, and 3) deployment times. COT's full proposal for SET reform is appended to this report. As part of this effort, COT also deployed a survey to the entire faculty, consulted regularly with chairs of CAP, CAAD, and CITL director Jody Greene, as well as soliciting feedback from both the full senate and Senate Executive Committee (SEC). A second main area was continuing the development of a framework for collaboration between COT and the new CITL, which was entering its second operating year. Early in the year COT and CITL worked to develop several areas for collaboration which overlapped with main priorities of both bodies, and together with CAAD produced a jointly authored "best practices" document on interpretation and presentation of SETs, with a particular focus dealing with bias. Third, toward the year's end, COT engaged deeply with testing/piloting the campus's new online course evaluation (OCE) system, and produced early drafts of rollout communications for the new SET pilot year (2018-2019). This involved working with ITS and FITC on system and data report configurations, as well as working drafts of communication plans and outreach points, and ultimately conducting an internal pilot of the new customizable SET in spring quarter. In addition to these areas of new work, COT also conducted its traditional business, adjudicating the selection for the annual Excellence in Teaching Awards in spring quarter, and working on a wide variety of ad-hoc issues brought before the committee. Finally, COT's work continued over the summer with two subcommittees: the *OCE Pilot Evaluation* subcommittee worked on assessing the results of the spring pilot, and data presentation, while the *Rollout Communications* subcommittee continued forward momentum needed to formalize a communications plan and specific content in time for the planned fall quarter campus-wide new SET pilot program.

An overview of the committee's notable work in 2017-18 is provided below. Also appended to this report are 1) the final draft of *COT's recommendations for reforming SETs at UCSC* and 2) *Executive summary of the Faculty Survey on SETs*.

## **I. A Proposal for New Course Evaluations at UCSC**

*Background:* In 2015-16 COT was delegated purview over campus student evaluations of teaching (SETs). This new responsibility originated as a request by VPAA Lee in the context of planned replacement of UCSC's online course evaluation (OCE) system, and was part of an effort to standardize campus practice and strengthen SET usefulness for improving faculty teaching and student learning. This gave the Academic Senate a central role in developing policy and practice for SET implementation, and opened a major opportunity for taking a fresh look at established online evaluations and practices.

For two academic years (2016-2018), COT therefore conducted a wide-ranging reassessment about how teaching is evaluated at UCSC, and developed a set of recommendations for major changes to campus teaching evaluation, as well as revised practices for SET deployment. An additional motivation was serious research-based evidence showing that standard course evaluations are significantly impacted by gender and other forms of bias. In addition, both faculty and department chair surveys revealed widespread concern about current SETs as mainly focused on "rating" professors, and not assisting enough to improve teaching or student learning, nor constructed to encourage thoughtful student reflection.

*A New Framework for Evaluation of Teaching at UCSC* emerged from this process. Together with the VPAA and the Center for Teaching and Learning (CITL), a joint goal emerged to fundamentally rework SETs with an ultimate goal of a broad cultural change on campus in how SETs are used and understood. The central change is a fundamental shift away from SETs as often a de-facto main personnel/teaching assessment tool, toward primarily a "formative" function; that is, a mainly instructor-customized instrument with a primary goal of assisting instructors in improving their own pedagogy and student classroom experience, and assessing their students learning in the context of their own course goals.

Outreach and consultation with key stakeholders and committees was a major focus throughout this process. In 2017-2018 the chair and committee consulted regularly with the VPAA and Director Greene of the CITL, as well as key Senate committees including Academic Personnel (CAP), Affirmative Action and Diversity (CAAD), Educational Policy, Graduate Council and the Senate Executive Committee (SEC). Chair McCarthy, Director Greene, and Chairs of CAP and CAAD maintained the informal consultation group first formed in 2016 to discuss ongoing specifics and issues with the revised SET process. Chair McCarthy also gave two formal presentations to the Senate Executive Committee, and a presentation to the entire Senate (May 16 meeting) summarizing key elements of COTs new proposals, and soliciting direct feedback.

## **II. Faculty Survey Regarding SET Changes**

COT conducted a survey of UCSC faculty in November -December of 2017 as a follow-up to the 2016 survey of Department Chairs and Managers. The new survey collected feedback on both faculty's use and assessment of current standardized SETs. In particular, the survey asked about merit for personnel reviews, effectiveness for improving faculty teaching and student learning, and relative value of current questions.

Faculty in all departments and programs were invited to participate, and 33% of all faculty responded. The presentation of full findings is summarized in the survey executive summary

report, where main findings are presented under two themes. There was overall strong support for fundamentally changing current SETs, and significant concerns about the existing instrument. Campus-wide only 25% of respondents felt current SETs provide adequate information to improve teaching, and another 25% felt current SETs have no value at all. Over 90% of faculty either definitely or conditionally supported the idea of “formative” shift for SETs described above. The *perception of bias in SETs* was extremely widespread; however >90% of respondents were unaware of any specific resources or tools to deal with it. Finally, the survey demonstrated widespread interest in having alternate approaches (beyond SETs) to both assess and improve teaching and student learning.

### III. Completed Comprehensive Proposal

*The Rollout of New SETs* is envisioned as a two-year process. 2018-2019 will be a pilot year, used to test and refine the new instrument. The traditional (current) SETs will continue to be the default option during this year, and new SETs will be deployed on an “opt-in” basis to classes of interested faculty. At the beginning of each quarter faculty will have the option to “opt in” to test the new SET approach for specific courses. Based on feedback from faculty and other key stakeholders gathered in 2018-19, COT envisions that a revised version will replace current standardized SETs in the 2019-2020 academic year.

The full COT proposal for SET revision will be appended to this annual report, and will also be found posted to the COT website.<sup>1</sup> An overview of main elements of the three proposal sections are outlined below:

#### A. *New SET instrument: Revised format and questions*

COT’s proposal centers around a new instructor-driven, course-specific approach. The new survey is divided into two sections. Both reflect key goals of greatly reducing standardized quantitative (“bubble-in”) instructor evaluation, and instead emphasizing descriptive, open student responses.

1. ***Campus-wide, “common” questions.*** The majority of common questions target student motivation and self-reflection on class effort. Some questions asking students to qualitatively assess teaching also remain; however, these have been drastically reduced to 3 (from 25 in the current campus SET). Two questions survey students’ opinions of 1) overall teaching effectiveness and 2) students’ perceived overall course learning. However, both are now directly paired with open (qualitative/descriptive) responses, requiring students to contextualize and explain their responses. The last common question is completely open (descriptive), asking for feedback about the most effective course elements. The common questions, as with current UCSC SETs, will be forwarded to both departments and CAP, and become part of an instructors file.
2. ***Instructor created custom questions.*** The second section represents the heart of the new SETs, and is fully instructor driven and customizable. Responses will be returned *only* to instructors, reflecting COT’s goal of a campus shift away from SETs as tools for personnel actions, and toward a model where SETs are instructor-centered tools for

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<sup>1</sup> <https://senate.ucsc.edu/committees/cot-committee-on-teaching/index.html>

improving teaching and learning. While instructors may choose to include these data in their personnel files, private responses will allow instructors to take risks in assessing any course aspect, but especially teaching innovation. In the pilot year, instructors can choose to enter up to 5 customized questions in the system. While instructors have complete latitude to generate any questions they desire, the COT companion website will provide templates with a bank of example questions from different disciplines within a number of specific categories.

### ***B. Improving Response Quality and Response Rate***

A persistent concern since the adoption of online evaluations is substantially lower response rates in relation to the prior in-class paper system. The impact of low response rates on SET outcomes is not straightforward, as research has shown potential response rate impact scales strongly to class size. However, the larger issue is likely *quality* of evaluations. Many online systems attempt to increase return rate by saturating students with electronic reminders, or “punitive” measures such as withholding grades. Such measures can have the unintended consequence of degrading response quality, creating incentives for cursory “compliance” responses.

The central goal of COT’s proposal for return rate is therefore providing students incentive and in-class time to provide for the most thoughtful feedback possible, aligned with our core goal of increasing student engagement and accountability. Key elements include:

- ***Provide Class Time for Evaluations whenever possible.*** The removal of course time to complete evaluations is likely the single factor most responsible for response rate decline, and arguably changes in representative content. While in-class time may not be possible for every course, providing class time directly links SET completion to instructor introduction and context. As important, time within the formal class structure underscores that SETs are not simply a “tacked on” requirement, but rather an integral part of the course structure and the learning process.
- ***Provide Strong Instructor Context.*** Research has shown that strong instructor-provided context for importance and purpose of evaluations can be enormously effective in increasing both student motivation and quality.
- ***Provide quarterly communication summarizing recommended practices.*** A quarterly communication from COT will be sent to all instructors, analogous to prior guidelines disseminated with each quarter’s paper evaluations. It should include talking points for importance and purpose of SETs.
- ***Incentive approaches may also be effective.*** Incentive approaches, typically variations on extra credit or participation credit, have been tested by faculty and are even recommended by some departments. These have been reported to be successful; however, they can also be controversial. In particular, the underlying student motivation may not fully align with COT’s focus on maximizing thoughtfulness in evaluations. COT’s full report describes these as options for consideration, as well as pros and cons typically raised.

- ***Recommendations, not policy.*** The great diversity of UCSC course formats means one practice for increasing SET quality and return rate cannot be mandated. COT therefore provides a set of core recommendations, along with information about additional options.

### C. *Deployment times*

SET deployment times have the potential to impact both return rates and quality of feedback. Deployment times for current SETs were arguably relatively unimportant, given the standardized nature of most questions. COT's goal for return times is flexibility/customization to align with the new individualized framework. Given the new emphasis on instructor-generated questions and overall course learning and impact, evaluations for many courses might not be as effective until the entire course is completed. Recommendations for course return times include:

- ***In class structure sets timing for most evaluations.*** As noted above the main COT recommendation for improving quality of feedback is move back to in-class evaluations during week 10, whenever possible.
- ***Extended window if in-class evaluations are not possible, at least through inter-term breaks.*** COT recommends extending the window for evaluation at least through inter-term breaks, and ideally for 3 weeks after course end-date. This will give additional options for those instructors who believe the best feedback can be obtained after entire course/exam completion, and may also increase overall return rates.
- ***Explore instructor-driven ability for longer term back-looking evaluations.*** Many instructors feel that a course's ultimate impact can be gauged only in context of significant time (e.g., several quarters or even a year). COT therefore recommends exploring the creation of a new ad-hoc mechanism for instructors who wish to collect long-term feedback. This may be particularly valuable for foundational major classes or chain-classes.

## IV. Implementation and Piloting

***Implementation within new OCE System.*** College Net was chosen to be the vendor to implement the "What Do You Think" (WDYT) platform. In the winter and spring quarters, the committee worked with the Faculty Instructional Technology Center (FITC) to begin planning for how COT's new custom SETs would be implemented. This turned out to pose significant unanticipated challenges due to limitations discovered for desired customization within the campus' newly contracted College Net OCE system. The COT chair, representatives of FITC and Institutional Research met regularly through winter and spring quarters, including phone meetings with College Net representatives, and consultations with Stanford ITS staff and professors with experience implementing the same vendor's system. Ultimately, the committee was able to devise solutions that met our goals for customization, based on linkage to information on COT's website, for our pilot deployment.

**Custom SET first internal pilot.** In spring 2018, all members of COT piloted the new SETs for their courses, within a wider first campus pilot of the new WDYT system. Committee members worked with FITC staff to code the new SET common and custom questions and deployed these to their courses. This initial ‘beta’ pilot provided invaluable experience with the new system, including how new SETs would look and work for instructors, be experienced by students, and how actual reporting options and distribution to different levels within the University would function. The overall outcome was extremely positive, showing a full new SET pilot to the campus was clearly feasible for 2018-2019 year. However, we also identified numerous aspects for revision and improvement. At the end of the academic year, COT formed a subcommittee to continue meeting through the summer to address issues from this pilot, in preparation for the pilot year rollout.

**Rollout and Communications Planning.** Working with FITC, COT began planning for the communications associated with the pilot year. The committee anticipated a first campus-wide deployment in fall 2018, however on a participant-limited “opt in” basis to allow both faculty and department staff a manageable experience with the new SETs. COT anticipated expanding the pilot rollout throughout 2018-2019, making adjustments based on faculty, staff, and administration feedback. Beginning in Spring 2018 and continuing with a second subcommittee over the summer, COT began drafting rollout communications, to include 1) messages to department staff, 2) messaging and drafts of instructions for all faculty, and 3) plans for linking required instructions and information that could not be included directly within the OCE system direction to COTs website. The new customizable SET pilot is now slated to begin testing in Winter Quarter of 2019.

#### **V. Collaboration with Center for Innovations in Teaching and Learning (CITL)**

A continuing focus during the year was evolution of a framework for the most productive collaboration between COT and the new CITL (in 2018-19 entering its second year). COT wrote the proposal for the CITL’s establishment, and along with Senate leadership successfully advocated for its creation in 2016-17. However, many of the new CITL’s functions now overlap with elements of COT’s charge, likely requiring a reevaluation of the overall framework for teaching-related oversight and events on campus, as well as a new delineation of relative roles of the senate vs. administration and a potential oversight structure. In 2018-19, we continued these discussions via meetings including senate leadership, COT chair, VPAA Lee, and CITL Director Greene. These yielded an arrangement where Director Greene would remain a “sits with” member of COT, however due to time constraints would attend on an ad-hoc basis. COT and CITL would formally identify specific focus areas for collaboration at the start of each year. The COT chair and the CITL Director and Assistant Director also held monthly informal meetings throughout the year to keep abreast of issues and promote the most productive committee meeting time.

**Best Practices White Papers.** Based on this new structure, the main collaborative focus for 17-18 was to develop “best practices” documents that would focus on 1) identifying and dealing with bias in SETs, and 2) providing guides for faculty on how to use and interpret SET data, including interpretation of both qualitative and quantitative feedback. This project became an ongoing collaboration between COT, CITL, and the Committee on Affirmative Action and Diversity (CAAD). Both COT and CAAD members contributed specific text sections, and COT (in

combination with other stakeholders) worked to edit final documents. The final documents (*A Guide to Using SET Data and Preparing to Read Student Comments on SET Surveys*) are available on both CITL and COT websites.

## **VI. 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. ETA winners are based on student nominations, augmented by statements of teaching philosophy and letters of support from department chairs for a short list of finalists. In 2017-18, COT evaluated nominations by four hundred and fifty students, for over one hundred different instructors. We see this as evidence of the extraordinarily strong commitment by UCSC faculty and instructors to students and their learning.

Based on student nominations, teaching statements and chair letters were requested for a short list of fourteen instructors. After much deliberation, the Committee selected six to receive 2018 teaching awards, with an additional two chosen to receive letters of Honorable Mention. Chancellor Blumenthal presented the awards to the ETA recipients on June 12, 2018 at a luncheon hosted by the Chancellor's Office at the University Center.

### **2017-18 Excellence in Teaching Award Recipients:**

1. David Harrison
2. Melissa Jurica
3. Albert Narath
4. Carine Rohmer
5. David Smith
6. Veronica Tonay

### *Honorable Mention*

1. Steven Coulter
2. Robin Dunkin

## **VII. Upcoming Agenda for 2018-19**

*Implementation of the new SETs and Pilot Program* was discussed as the central goal for a 2018-2019 proactive agenda, bringing to fruition the main focus for the prior two COTs. Specific action items discussed included:

- Implementation of pilot year limited rollout in fall quarter of 2018.
- Finalize communication and outreach plans for introducing new SETs to campus.
- Department outreach: Throughout pilot year, in collaboration with CITL, a COT representative would visit all departments or council of chairs meetings to answer questions and promote new SETs.
- Frosh orientation outreach program: To emphasize importance of student engagement.
- Instructions: For custom SETs and example questions to be finalized and posted to COT website, in collaboration with Instructional Research, Assessment, and Policy Studies (IRAPS; Anna Sher).

- CAP, CITL, and Administration working group: Establish a formal working group to discuss a framework for adopting new SETs formally in personnel actions, beginning in 2019-2020.
- Faculty Trainings: Interface with CITL and IR on possible faculty trainings for new customized questions.
- Begin graduate student SET revisions: New SETs are currently targeted only at faculty; expansion to GSRs and TAs was envisioned as a logical next step, once current new SETs are in place.
- Audience Response Systems: Student representatives brought to the committee's attention a desire to look at clickers and other audience response systems, potentially evaluating function and standardization to reduce student costs.

Additional topics discussed included:

- Updating COT's charge: In particular updating relative roles of COT and CITL in different areas related to campus teaching, as well as potentially including a more formal description of relationship between the two bodies.
- Library Role: COT discussed briefly the establishment of a formal COT role addressing how evolution of libraries may affect campus teaching and learning. In 2017-18 this was judged to be premature, but this could also be part of an updated charge.
- Formalized role in student success: In 2017-18 Vice Provost Padgett reached out to initiate discussions on COT as a main senate committee with a direct advisory role to Student Success.
- Engagement in Graduate Student Instructors (GSI) proposal: The campus proposed expanded role of GSIs in 2018. Because of the potential impacts on teaching practice and quality, the committee felt COT should have a central role in advising on this initiative.
- Fundraising; "A Night for Teaching" idea was discussed with university relations, representing fundraising and direct community outreach to the general public (as opposed to CITL's more academic themed events), with proceeds to help support COT events or augment the currently very limited budget for ETA awards.

Respectfully Submitted;  
COMMITTEE ON TEACHING  
Nicholas Brummell (F&S)  
Seshadhri Comadur (W)  
Sylvanna Falcón  
Kimberly Helmer  
Danny Scheie  
Matthew McCarthy, Chair

Stephanie Bailey, NSTF  
Jim Phillips, sits with  
Jody Greene, sits with  
Erica Mullins, Graduate Representative

August 31, 2018

## **Graduate Council 2017-18 Annual Report**

To: Academic Senate, Santa Cruz Division

Graduate Council (GC) worked on several issues this year, including a) participation in the Senate's broader engagement with the campus Strategic Academic Plan, b) review of graduate growth initiatives and consultation with the EVC on graduate growth, c) review of the BSOE Reshaping proposal, c) development of guidelines for review of dual degrees, in collaboration with the administration, d) review of divisional faculty recruitment requests, and e) monitoring of graduate programs under GC review. Council also spent a considerable amount of time on routine business, including reviewing new degree programs and new non-degree proposals, participating in external reviews for several departments, reviewing proposed graduate program statement changes and course reviews, and participating in the review of applications for the Cota-Robles Fellowships. The Council also formally consulted with the Vice Provost and Dean of Graduate Studies 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. A detailed summary of the Council's work in 2017-18 is provided below.

### **Strategic Academic Plan (SAP)**

Council participated in several aspects of the review and process, formally commenting on Internal Campus Barriers (February 26, 2018; May 10, 2018) and the draft SAP plan and Implementation Playbook (August 31, 2018). Council was unable to comment on the Themed Academic Working Group (TAWG) proposals but reviewed them informally for graduate-related content. Members discussed a number of principles that would guide review if presented with a further opportunity, including the following: 1) the ability of the TAWG to generate funding in support of graduate students with attention to its concrete plans to do so; 2) the degree to which the TAWG will add to the distinctiveness of UCSC, increasing the university's attractiveness to graduate students; 3) the degree to which the TAWG will contribute to the formation of an interdisciplinary intellectual community from which graduate students can draw; 4) the likelihood that the TAWG will increase the diversity of our graduate students, with attention to its explicit plans to deliver greater diversity by means of outreach and other specific actions; 5) the likelihood that the TAWG will create new graduate programs that will attract strong students to UCSC, and 6) the degree to which the TAWG will provide meaningful opportunities for graduate research with attention to its explicit plans to accomplish this. Council's final response to the draft SAP Plan and Implementation Playbook rehearsed the arguments from previous studies of graduate growth<sup>1</sup> and emphasized the problem of the omission of graduate concerns from the overall plan, as well as the omission of Council, the larger Senate, and Graduate Division in the list of departments in charge of initiatives planned for the next five years.

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<sup>1</sup> Graduate Council Statement and Report on Strengthening and Growing Graduate Programs at UCSC, May 2017; Joint Senate/Administrative Task Force on Graduate Growth Report, June 2015; Joint Senate/Administrative Task Force on Academic Structures and Academic Planning: Report and Recommendations, May 2013

## **Graduate Growth**

During 2016-17, the Council's subcommittee on graduate growth concluded its work begun in 2015-16 and produced its "Statement on Strengthening and Growing Graduate Programs at UCSC." This report was presented at the May 2017 Senate meeting and later that summer, provided to new CP/EVC Marlene Tromp. During fall 2017, this year's Council invited CP/EVC Tromp to consult and obtain her feedback on the Council's report as well as discuss her thinking about graduate growth in the context of campus efforts toward a Strategic Academic Plan (SAP), infrastructure to support graduate student welfare and success, research development, and Silicon Valley planning.

During the 2017-18 year, the Council also reviewed initiatives related to graduate growth and provided comments on these proposals. The Council reviewed these initiatives with Vice Provost and Dean of Graduate Studies Tyrus Miller recused. The first was a proposal from the Office of Research and Graduate Division proposing "Centers of Excellence." The proposal identified two primary goals: 1) to increase the amount of external funding in support of research conducted at UCSC; and 2) to secure external funding in support of graduate students, thereby increasing UCSC graduate student numbers. The Council raised a number of concerns, including about sources of funding, trade-offs the campus would be making in order to fund these new research centers, data on existing centers and graduate growth contributions, impacts for faculty across divisions, relationship between COE and the Strategic Academic Plan, Council role in review or oversight of the Centers of Excellence. Members noted additional information was needed in order to assess the value of the proposed program.

The second set of initiatives was proposed by the Graduate Division and included two proposals: 1) for central funding of GSI benefits, and 2) for TAships for courses with large graduate student enrollments. In principle, GC strongly supported both initiatives and appreciated that these changes had the potential to enable departments to have greater flexibility in determining how to allocate TAships and GSIs to support departmental curricular and pedagogical needs for both undergraduate and graduate education. However, a number of concerns emerged. On the proposal for central funding of GSI benefits, these included questions about: how the initiative would be funded, given that funding would come from reallocation of existing funds; how department and divisional contributions would be determined; and pedagogical training and mentorship. On the proposal for TAships for courses with large graduate enrollments, members raised questions and comments in the following areas: criteria for evaluation of the initiative after its pilot phase; clarification on what constitutes a "large" graduate course, and whether that differs by discipline; and instructor oversight and mentoring.

The Council is very interested in further collaboration with the administration as initiatives to support graduate growth are developed, and as the development of a strategic plan to guide graduate growth on the campus is articulated. The Council is concerned that there is insufficient attention on graduate education in the draft Strategic Academic Plan and Implementation Playbook received by the Senate during the summer. With a new Vice Provost and Dean of Graduate Studies, the Council also expects that there will be a renewed focus on initiatives related to graduate education. The Council anticipates that graduate growth initiatives and planning will be an active area of engagement for the Council in the next academic year.

### **BSOE Reshaping**

During spring 2018, and with members Athanasios Kottas and Alex Pang recused, Graduate Council reviewed the “reshaping” proposal from Baskin School of Engineering (BSOE). The proposal included several components, including disestablishment of five departments (Applied Math and Statistics, Computer Engineering, Computer Science, Electrical Engineering, Technology Management), establishment of three new departments (Computer Science and Engineering, Electrical and Computer Engineering, Statistics), discontinuance of the Technology and Information Management M.S. and Ph.D. programs, and FTE transfers of faculty into new departments or, in two cases, into divisional appointments. Graduate Council focused on the disestablishment, establishment, and discontinuance proposals. GC decided to leave the review and consideration of the faculty FTE transfers to the Committee on Academic Personnel (CAP) and did not comment on the transfer requests of individual faculty.

Graduate Council acknowledged the vision and considerable work under the leadership of BSOE Dean Wolf towards the planned restructuring of the School. Graduate Council was supportive of the efforts that the new structure was designed to leverage—to create existing synergies, allow faculty and students to achieve success and prominence, and bring heightened visibility to BSOE and UCSC. GC also noted concerns raised by faculty about the process—that was, for some faculty, too short to meaningfully review the proposal. From Council’s perspective, the absence in the proposal of an account of the perspective of graduate students currently in the programs was also a barrier to evaluation and review. Though there had been some insistence that graduate programs are controlled by the program faculty and therefore would remain stable, Council expressed concern about the follow-on effects for students.

Graduate Council approved discontinuance of Technology Management’s graduate programs (Technology and Information Management M.S. and Ph.D.) TIM programs have in recent years been under Council review and monitoring over concerns about the ability to mount UC quality programs with available resources. The M.S. program at the time of the proposal was not admitting students, and the Ph.D. program had one new student starting this fall. Graduate Council found this aspect of the reshaping proposal unproblematic. A teach out plan is in place, and GC highlighted the importance of faculty commitment to advising students until they complete their degrees.

Dean Wolf’s proposal to establish departments of Electrical and Computer Engineering (ECE) and Computer Science and Engineering (CSE) was well supported by previous external review reports that have suggested consolidation of departments, though there was significant Council discussion of the legibility and distinguishability for potential students. Graduate Council raised concerns about ensuring that resources get down to the programs in their new configurations, and that any implications for graduate students are monitored carefully as the reshaping takes place. Graduate Council anticipates close consultation with BSOE, particularly as Dean Wolf launches the “curriculum refresh” process next academic year and charges a task force to evaluate TA assignment protocol.

The Council focused a great deal of discussion on the proposed plans for the Applied Mathematics and Statistics department. The department was proposed for disestablishment, with

the Applied Mathematics faculty proposed to be subsumed under the new Electrical and Computer Engineer (ECE) department and immediate establishment of a Statistics department. The Council did not support the differential treatment of the Stats and AM groups, given the success of the graduate programs controlled by each and the fact that each represents a recognized field formation. The Council further agreed that neither the AM nor Stats group was ready for department status at this time, and supported the Committee on Planning and Budget's recommendation that "subject matter units" might be one possible structure for the AM and Stats groups.

Ultimately, CP/EVC Tromp made the decision to form both AM and Stats departments, with internal reviews scheduled for 2020-21, and continuation of department status dependent on evidence of continued viability for each department. Graduate Council anticipates continued consultation with BSOE as the next phase of reshaping takes places in 2018-19.

### **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.

The Council reviewed its delegation document during winter 2018 and made no changes from the previous year. However, the Council, during spring 2018, agreed to delegate review of graduate courses of instruction (including new courses, changes in existing courses, and course discontinuations) to the Committee on Courses of Instruction (CCI) for the 2018-19 year. Graduate Council will review this delegation at the end of the 2018-19 year.

### **Graduate Dual Degree Guidelines**

Toward the end of the 2016-17 academic year, Graduate Council was made aware (via VPDGS Miller) of the need to clarify procedures for the establishment of a graduate dual degree pathway, which would result in the awarding of two graduate degrees from two different institutions. Given this came too late in the year to allow a full collaboration with the VPAA and VPDGS and to finalize guidelines, the issue was taken up by the 2017-18 Council.

The Council and administration agreed that the emergence of a number of opportunities to enhance education for UCSC students and to facilitate faculty collaborations, especially internationally, necessitates the development of guidelines that will assist existing programs in establishing these linkages while simultaneously guarding the integrity of UCSC degrees and protecting students and faculty who participate in this training. These dual degree pathways must also be rigorously distinguished from joint degree programs, where the process for approval is already established (joint degrees result in joint conferral of only one degree by the two institutions). Graduate Council worked with the VPAA and VPDGS Miller to develop a campus process that is aligned with WASC requirements and general campus procedures.

The Council and VPAA agreed that graduate degree proposals, as non-degree pathways linking two institutions, will be submitted to the VPAA, and after that level of review, will be forwarded for Graduate Council review for curricular approval. The VPAA will ensure that proposals conform to WASC guidelines<sup>2</sup>, and advise proposers on any need for WASC review (i.e., substantive change form) as part of VPAA review of the proposal.

In correspondence dated January 26, 2018, Graduate Council outlined some general principles for review of graduate dual degree proposals as well as a set of criteria that the Council will use to evaluate proposals that are forwarded for review. These will also be available on the Senate's Graduate Council website. The Council did not receive any proposals for formal review in 2017-18.

### **VPDGS Consultations**

There are a number of issues on which the Graduate Council and Graduate Division formally consult throughout the year. The Council continued the recently established practice of keeping a formal consultation calendar with the Vice Provost and Dean of Graduate Studies, intended to facilitate communication of and review of key issues. The calendar is produced annually during the summer. Consultation topics, anticipated to occur annually, focused on the following:

*“State of Graduate Education” Overview:* Included as part of an 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, and orientation into funding trends over the last five years. VPDGS Miller also discussed his work with programs on diversity goals.

*Review of Block Allocation Formula & Update on Academic Integrity Cases:* The Council formally consulted with Vice Provost and Dean of Graduate Studies Miller on the block allocation formula, an allotment of funding distributed by the Graduate Division to support new and continuing students in graduate programs across campus. VPDGS Miller provided data on projected enrollments and a list of actual block allocations that included data over the past three years. The consultation also included a general overview of the Master's Incentive Program (MIP).

GC requested in its pre-consultation memo, that VPGS Miller provide his annual report on graduate academic integrity cases for the previous year as an information item. VPDGS Miller provided a brief oral report.

*Dissertation Year, Dissertation Quarter, and Cota-Robles Fellowship Report:* The Council consulted with VPDGS Miller on process and outcomes from the 2016 Dissertation Year Fellowships (DYF) and Cota-Robles Fellowships selection process. The Council raised concerns (GC to VPDGS 11/21/16) during the consultation on the 2015 DYF review process around the consistency of the evaluation and selection process across divisions, and in one case, the thoroughness of review of the DYF. The Council requested the consultation to provide an update on the changes that had been made in response for the 2016 review process.

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<sup>2</sup> <https://www.wscuc.org/content/dual-degrees-policy>

VPDGS Miller noted that while there is some variation across divisions, the process itself is fairly representative. The Council and VPDGS Miller agreed that there were parts of the process where GC might be able to provide further input. VPDGS Miller agreed to provide the DYF call to GC for review, and data on overall yield across the divisions that was previously requested. On the Cota Robles fellowship process, the Council discussed it would be helpful to clarify the rubric for selection. VPDGS Miller agreed to provide the current rubric and mentoring criteria to GC for review. The Council will follow up on these data requests in the next year, in order for the Council to be able to provide advice before next year's selection process gets underway.

*Graduate Admissions Report:* VPDGS Miller presented a graduate admissions report, including applications, admission, and acceptances for the coming year. He presented this data in context of data on trends in graduate applications over the previous three years.

The consultation calendar, now in its second year, has strengthened communication and sharing of information on several key issues between Graduate Council and the VPDGS, who serves as *ex-officio* member of the Council. The Council looks forward to continued collaboration with the new Vice Provost and Dean of Graduate Studies, Lori Kletzer, who officially began her term August 1, in the coming year.

### **Review of 2018-19 Divisional Faculty Recruitment Requests**

Graduate Council has participated in the review of divisional faculty recruitment requests since 2012-13, in the context of campus planning for graduate growth. This year, the FTE process was different from previous years. In order to allow the Strategic Academic Plan process currently underway to inform future faculty FTE hiring, divisional deans were asked to submit authorization requests using divisionally held open provisions. In addition, each division was asked to nominate up to three candidates as transformative Target of Excellence hires, with up to three of these Competitive Target of Excellence (CTOE) hires to be allocated from central resources.

Council Chair Dent attended the CPB consultations with the divisional deans after reviewing the Committee on Planning and Budget's (CPB) pre-consultation memos to the divisional deans and the divisions' written responses submitted to CPB in advance of these consultations (GC chair also presented informal comments to CPB based on consultations and GC discussion). Council made every effort to thoroughly review and discuss the relevant materials; however, our twice-monthly meeting schedule did not provide as much opportunity as we would have liked to discuss the requests.

Council considered the need to strengthen graduate programs along with the EVC's request to consider divisional priorities that would address immediate needs, contribute to diversity, and further existing multi-year hiring plans. This year's Council continued to be guided by principles that stressed why excellent graduate programs should be a high priority for the campus, given that they enhance our research profile, are tied to faculty satisfaction and productivity, and are key to the delivery of a high quality undergraduate education. Council recommendations were based on an assessment of the broader impact the requested FTE might have on stabilizing, 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 (the latter relevant here mostly to the CTOE process). 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. In this sense, graduate growth and support for graduate programs must factor in the variegated landscape of graduate education (in which healthy faculty:student ratios for thriving programs will vary).

Council will need to analyze the cost/benefits of participation in this process, which relies mainly on the Chair's coordination with CPB. Participation is time-consuming, and though FTE authorizations are extremely critical to the success of graduate programs, it is not entirely clear that GC's growing agenda can accommodate substantive discussion.

### **Curriculum Management Project Consultation**

The Curriculum Management Project (CMP) Manager Don Moonshine actively worked with Graduate Council to request review of program statement templates and to seek feedback on possibilities for the new catalog software to be implemented next year (SmartCatalog). Chair Dent met with Manager Moonshine and his team during the year, and the Council also reviewed program statement mockups. Overall, Graduate Council agreed that the biggest concern was flexibility. While standardization for program statements makes it easier to see those programs that don't have sufficient information, members expressed concern that the templates made the statements conform to an overly rigid standard. Chair Dent worked with CMP Manager Moonshine and his team to find areas that might allow flexibility, and which did not due to constraints from SmartCatalog.

### **Program Monitoring**

#### *Education Ph.D. Program*

The Council reviewed the fourth of four annual reports that Council had requested on the status of the Ph.D. program. The Council discussed the report in the context of the department's external review, which took place last year, and the recent changes to the MA/C program. Members decided to seek consultation with both the Social Sciences Dean and the Education Department Chair to further discuss the upcoming transition in governance structure of the department, as well as future vision and planning. During this consultation, the Council learned about the close work between the Department and Dean toward making improvements in faculty research and integration with graduate student training, graduate student mentoring, and the balance between the MA/C and Ph.D. focus.

With the report and consultation as context, the Council agreed that the annual reports that the Education Department has submitted over the past four years will no longer be required in their current form. The Council will continue to monitor the program as it transitions in governance structure and will request a new report to be submitted by May 2, 2019, with a revised set of questions to address. The Council praised the department on its progress addressing issues concerning the Ph.D. program, as well as the thoroughness of the reports prepared for GC to date.

### *Feminist Studies Ph.D. Program*

The Council continued monitoring of the Feminist Studies graduate program, which began in 2016-17 when the Council became aware of concerns voiced by the External Review Committee (ERC) over department climate and its impact on graduate students and the graduate program overall. Chair Gina Dent was recused from Council review of the program, which was instead led by Judith Habicht-Mauche as Chair *Pro-Tem*.

During fall 2017, the Council reviewed a report provided by the department on its progress to date addressing the Council's concerns. The Council commended the efforts of the department and the dean regarding the progress in reorganization and staff hiring, as well as the progress in revising the Graduate Handbook. The Council requested additional revisions to the handbook and made recommendations for handling inconsistencies in degree requirements as recorded in the Handbook and program statement. The Council also outlined requests for updates on succession planning for faculty leadership as well as reporting of graduate student feedback, which the Council requested by May 1, 2018. This second report was submitted by the department and reviewed by the Council during spring 2018. The Council commended the department for its comprehensive response and requested a follow up report on the status of the graduate program addressing GC concerns, to be submitted in winter 2019.

### **Regular Committee Business**

#### *New Degree Program Proposals*

Graduate Council reviewed and approved proposals for new graduate programs: a revised Environmental Art and Social Practice M.F.A. (June 2018), Natural Language Processing M.S. with PDST (April 2018), MCD Biology M.S. (intended to replace existing M.A.) (April 2018), and Science Communication M.S. (intended to replace Graduate Academic Certificate) (November 2017).

Graduate Council also reviewed a revised proposal from the Computational Media Department for a M.S. degree in Human Computer Interaction (PDST) (December, February). Graduate Council expects to review a further revised proposal in fall 2018.

#### *New Non-Degree Proposals*

Non-degree proposals include Designated Emphases (DE), Five-Year Contiguous Bachelor's/Master's paths, and non-SR 735 certificates. The Council reviewed and approved proposals for a Five-Year Contiguous Bachelor's/Master's path proposed by the Mathematics Department (March 2018).

#### *External Reviews*

The Council submitted questions for upcoming external reviews in Art, Chemistry and Biochemistry, and Linguistics. In addition, the Council prepared external review report responses for closure meeting discussion for Applied Mathematics and Statistics, Astronomy and Astrophysics, Earth and Planetary Sciences, History, and Music. The Council also reviewed mid-cycle reports and made recommendations on length of review cycle for Electrical Engineering, Mathematics, Ecology and Evolutionary Biology, MCD Biology, Microbiology and Environmental Toxicology, Economics, and Anthropology.

### *Three-Year (Interim) Reports*

The Council reviewed the three-year (interim) report for the Scientific Computing and Applied Mathematics (SciCAM) M.S.

### *Program Statement Changes*

GC reviewed 33 proposed graduate program statement changes for the 2018-19 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 nine GSI requests from the Applied Mathematics and Statistics, Astronomy and Astrophysics, Economics, Education, Feminist Studies, History of Consciousness, Literature, and Physics 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:

- Review of APU (Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change) (October 2017)
- Faculty FTE Transfer Request (October 2017)
- Proposed Fee Renewal for the M.S. in Applied Economics and Finance PDST (October 2017)
- IATC Proposed Intellectual Property Draft Policies (November 2017; February 2018)
- Proposed Campus Policy: Conflict of Interest Related to Consensual Relationships (November 2017)
- Computer Science Impaction Request (January 2018)
- Guidelines for Managing Curricular Capacity and Program Enrollment (January 2018)
- Systemwide Proposed Amendment to Senate Bylaw 128 (February 2018)
- Proposed Changes to Campus Policy Statement: Religious Observance and Exam Accommodations (March 2018)
- Systemwide Review of Proposed Policy on Open Access for Theses and Dissertations (March 2018)
- History Ph.D. Normative Time Request (May 2018)

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 2017-18. The Council guest policy is agreed to by Council members at the start of each academic year.

**Continuing Issues for GC in 2018-19:**

- Graduate program monitoring—Education Ph.D. program, Feminist Studies Ph.D. program.
- Strategic Academic Plan implementation
- Graduate Growth—the Council will continue to monitor and participate in campus planning for graduate growth
- BSOE Reshaping Implementation

Respectfully submitted;  
GRADUATE COUNCIL

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Gerald Casel (F&W)

Weixin Cheng (F&W)

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Alex Pang (S)

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Gina Dent, Chair

Katharin Peter, LAUC Representative

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Amani Liggett, Graduate Student Representative

August 31, 2018

## **Special Committee on Development and Fundraising Annual Report, 2017-18**

To: Academic Senate, Santa Cruz Division

The SCDF was formed by the Senate in fall 2014 to meet the need for a more active and diverse faculty voice in fundraising. The charge to the committee included two parts: 1) The Committee advises the Chancellor and Vice Chancellor for University Relations (VCUR) on priorities, policies and strategies related to fundraising and development. 2) The Committee serves as a resource for the VCUR to engage and enroll faculty in fundraising and development efforts. The SCDF focused this year on the second, faculty-oriented part along with a graduate component. We worked to make the UCSC culture of philanthropy reflect a coordinated faculty-University Relations (UR) collaboration, better suited to the intellectual interdisciplinarity of our research and teaching, less fragmented by departmental and divisional territoriality, and overall more responsive to campus needs and goals.

### **Faculty research cluster proposals**

The centerpiece of SCDF work is our experimental program identifying faculty clusters that represent current untapped opportunities for collaborative research at UCSC, and then working with those clusters and UR to prepare and give a presentation to potential community and industry partners. To expand our reach, this year SCDF issued two general CALLS for faculty cluster proposals. The first CALL in January 2017 produced a small response rate and only one viable cluster with which to work, a group in Human-Computer Interaction (HCI) and Well-Being, which is now working with SCDF and UR to develop a presentation to be held at the Silicon Valley Center, probably in Fall 2018 (pending approval of a proposed Master's program). The second CALL in November 2017 was more successful; of the eleven responses we received, SCDF passed one (UCSC Institute for the Biology of Stem Cells) directly to UR and chose three (Center for Cultural Studies; Center for Public Philosophy; Open Lab) for further possible development. We envision working closely with the Center for Cultural Studies to expand its campus collaborations and its institutional and fundraising base. The Center for Public Philosophy has begun to work with UR to develop the circulation of its animation videos and to extend its funding base beyond traditional small-scale Humanities donors, where it has already been successful. The Open Lab model provides successful local models of art-science collaboration that would benefit the campus as a whole with greater intra-campus visibility and better communication.

### **Graduate education**

The SCDF focus on fundraising and development for graduate education has been a continuing priority. We continued work on filling the need for professional development for graduate students and alumni that embraces careers both inside and outside of academia. To that end, we focused on the potential for graduate internships and small-grant funding in all our discussions with the faculty research clusters. We hope to collaborate with Graduate Council and Graduate Division on a potential funding proposal for central planning, coordinating and codifying of professional development programs across campus. We are also working on a "Distinguished Visiting Professionals" program to bring leading practitioners to campus, enhancing both graduate education and placement. The larger aim is to strengthen graduate career development

by more systematically involving alumni and Silicon Valley companies in graduate programs at UCSC.

### **Faculty Experts list**

In 2015-16, SCDF initiated the creation of an Experts List to enable the media, campus administrators, campus visitors, and others to contact faculty with appropriate areas of expertise for interviews, information, etc. The committee worked intensively with campus IT to produce what is a standard resource in most large universities. Our list<sup>1</sup> went online in December 2015 and is now in its second phase. We are currently gathering data on how and by whom the list is used, to assess its effectiveness. We may integrate the Strategic Academic Plan-themed workgroups into the areas of expertise as needed.

We end this report with a look ahead. While SCDF has worked extensively on faculty participation, the committee has not yet found a reliable way to provide the administration with consistent advice on development priorities and policies. Nor have we fully developed a communication strategy that would make development decisions more visible and transparent to the campus as a whole. Our aim is to evaluate the state of development efforts at UCSC and to offer systematic advice from the Senate faculty perspective on development policy for the campus. Finally, SCDF looks forward to the formal Senate approval of a new standing committee, Committee on Development and Fundraising (CDF), in 2018-19.

Respectfully submitted;

SPECIAL COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Ronnie Lipschutz

Susan Strome

Anna Tsing (F&W)

Daniele Venturi

Ólóf Einarsson, *ex officio*

Susan Gillman, Chair

Keith Brant, sits with

August 31, 2018

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<sup>1</sup> <http://campusdirectory.ucsc.edu/expertise>

**Committee on Committees**  
**Updates to 2018-19 Senate Committee Roster**

To: Academic Senate, Santa Cruz Division

The following are updates to the 2018-19 roster of Senate committees:

**Academic Freedom**

Removal: Edward Shanken, Digital Arts and New Media

**Academic Personnel**

Addition: Jorge Aladro Font, Literature (fall and winter)

**Courses of Instruction**

Addition: Pascale Garaud, Applied Mathematics

**Emeriti Relations**

Removal: Anatole Leikin, Music

**Graduate Council**

Addition: Marianne Weems, Theater Arts

**International Education**

Removal: Enrique Martinez-Leal, Art

Update: Nina Treadwell, Music (winter and spring)

Addition: Jimin Lee, Art (fall only)

**Library and Scholarly Communication**

Update: Justin Marion, Economics – (fall and spring)

Addition: Ben Read, Politics (winter only)

**Officers**

Addition: Secretary – Roger Schoenman, Politics (winter and spring)

**Planning and Budget**

Addition: Irene Gustafson, Film and Digital Media (winter and spring)

Addition: Lisbeth Haas, History

Addition: Pradip Mascharak, Chemistry and Biochemistry

**Privilege and Tenure**

Removal: Dee Hibbert-Jones, Art

**Rules, Jurisdiction, and Elections**

Addition: Kate Edmunds, Theater Arts

**Teaching**

Addition: Boreth Ly, History of Art and Visual Culture

**Committee on Educational Policy  
Amendment to Regulations for Chapter 6  
Student Program of Studies**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy is proposing an amendment to the procedure for students to add courses after the third week of instruction in any term. At present, students need permission from the course instructor and the course sponsoring unit after the third week of instruction. Beyond the sixth week of instruction, they also need permission from the Committee on Courses of Instruction (CCI). CCI does not anticipate any situation when they would deny permission when the instructor and course sponsoring unit approve the student’s request. It is more efficient to eliminate the unnecessary step.

Instructors are free to inform students at the beginning of the course if they have any restrictions on such late add requests, including if they will not approve any such request.

**Existing Regulation**

**Proposed Regulation**

<b>Existing Regulation</b>	<b>Proposed Regulation</b>
<b>6.1</b> Number of Courses.	<b>6.1</b> No changes.
<b>6.1.1</b> During a regular quarter of enrollment, an undergraduate student is considered to be in full-time status when registered and enrolled in at least 12 credit hours. Between quarters, a student is considered to be pursuing a full-time course of instruction if they were enrolled as a regular student in the previous regular quarter and has fulfilled the provisions of SCR 6.2.2 defining minimum progress toward a degree.	<b>6.1.1</b> No changes.
<b>6.1.2</b> An undergraduate student is permitted to carry less than 15 credit hours only after obtaining approval from the college provost or the provost’s designee. Such approval does not confer full-time status on the student who does not meet the requirements of SCR 6.1.1. The privilege of carrying more than 19 credit hours is in general reserved for the superior student and requires approval from the provost of the college or the provost’s designee.	<b>6.1.2</b> No changes.

<p><b>6.1.3</b> A student is permitted to drop any course not later than the date specified in the academic calendar.</p>	<p><b>6.1.3</b> <b>No changes.</b></p>
<p><b>6.1.4</b> A student who is making minimum progress is permitted to withdraw from any course by the end of the sixth week of instruction.</p>	<p><b>6.1.4</b> <b>No changes.</b></p>
<p><b>6.1.5</b> Students may not add courses after the end of the third week of instruction. [However, see SCR 6.7.]</p>	<p><b>6.1.5</b> Students may not add courses after the end of the third week of instruction <b>except by a petition approved by the instructor and the course sponsoring unit until the end of the ninth week of instruction. Approval of the provost of the college or the provost’s designee must be obtained if required by SCR 6.1.2. [However, see SCR 6.7.] [See also SCR 6.7.]</b></p>

Respectfully submitted;  
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 Noriko Aso, *ex-officio*  
 Tchad Sanger, *ex-officio*  
 Onuttom Narayan, Chair

October 17, 2018

**Committee on Educational Policy  
Amendment to Regulations for Chapter 10  
Senior Residency Requirement**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy (CEP) proposes the following changes to the regulations governing the Senior Residency Requirement:

- i. To state that petitions requesting variations to the requirement are decided by the Committee on Courses of Instruction (CCI) following approval from the student’s college, consistent with the changes proposed for Santa Cruz Bylaw 10.1 and 13.16.5 and systemwide Bylaw 312.A.3.
- ii. To replace the enumerated lists of off-campus study programs with “an off-campus study program approved by the Academic Senate or the Division”, simplifying the regulations and allowing programs approved by UCSC to be included.
- iii. To allow students in such an approved off-campus study program to complete their final 10 credits in residence at UCSC instead of 12 credits. At other campuses, 12 credits corresponds to one standard course less than the normal load for one quarter, but because of UCSC’s 5-credit courses, this is effectively a full quarter’s worth of work. We believe that changing this to 10 credits makes the *effect* of the regulation the same as for other UC campuses.

If this legislation is approved by the Division, it will need an Assembly-approved variance to come into effect.

**Existing Regulation**

**Proposed Regulation**

<p><b>10.1.3 A</b> Except as otherwise provided in this section and SR 614, candidates for the Bachelor’s degree must have been registered students at the University of California, Santa Cruz, for at least three quarters. Of the final 45 credit hours completed by a candidate for the Bachelor’s degree, 35 credit hours must be regular courses of instruction offered by the University of California (including during the summer session) and taken as a registered student at the University of California, Santa Cruz. The right to waive the provisions of this requirement is vested with the provost of the student’s college or the provost’s designee.</p>	<p><b>10.1.3. A</b> Except as otherwise provided in this section and SR 614, candidates for the Bachelor’s degree must have been registered students at the University of California, Santa Cruz, for at least three quarters. Of the final 45 credit hours completed by a candidate for the Bachelor’s degree, 35 credit hours must be regular courses of instruction offered by the University of California (including during the summer session) and taken as a registered student at the University of California, Santa Cruz. The right to waive the provisions of this requirement is vested with the <del>provost of the</del></p>
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	<p><del>student's college or the provost's designee</del> <b>the Committee on Courses of Instruction, as per SCB 10.1 and SCB 13.16.5</b></p>
<p><b>10.1.3 B</b> When two or more campuses of the University of California have approved a joint program of study, a student enrolled in such a program may meet the Requirement stated in Paragraph A by completing the requisite number of units in courses offered at any or all of the participating campuses. The student's program of study must be approved by the Provost, Dean, or equivalent officer of the School of College in which the degree is to be awarded.</p>	<p><b>10.1.3 B</b> <b>No changes.</b></p>
<p><b>10.1.3 C</b> A further exception to the rule stated in paragraph (A) above is made in the case of students who meet the residence requirement as provided in SR 614</p>	<p><b>10.1.3 C</b> <b>No changes.</b></p>
<p><b>10.1.3 D</b> Except when Divisional Regulations provide otherwise, a student in the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or courses offered by the UC Natural Reserve System (NRS) California Ecology and Conservation Field program may meet the residence requirement in accordance with the following provisions:</p>	<p><del>Except when Divisional Regulations provide otherwise, A student in the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or courses offered by the UC Natural Reserve System (NRS) California Ecology and Conservation Field program</del>  <b>one or more off-campus study programs approved by the Division or the Academic Senate (listed on the website of the Committee on Educational Policy)</b> may meet the residence requirement in accordance with the following provisions:</p>

<p><b>1.</b> A student who completes the graduation requirements while in the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System (NRS) California Ecology and Conservation Field program, may satisfy the requirements stated in paragraph (A) in the final 45 (or 30 semester) units preceding the student's entrance into the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System (NRS) California Ecology and Conservation Field program.</p>	<p><b>1.</b> A student who completes the graduation requirements while in <del>the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System (NRS) California Ecology and Conservation Field</del> <b>one or more approved off-campus study</b> programs, may satisfy the requirements stated in paragraph (A) in the final 45 <del>(or 30 semester)</del> units preceding the student's entrance into the <del>Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System (NRS) California Ecology and Conservation Field</del> <b>approved off-campus study</b> program(s).</p>
<p><b>2.</b> Subject to the prior approval of the department concerned, a student who is enrolled in the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System(NRS) California Ecology and Conservation Field program, may satisfy the residence requirement by earning 35 (or 24 semester) of the final 90 (or 60 semester) units, including the final 12 (or 8 semester) units, in residence in the college or school of the University of California in which the degree is taken.</p>	<p><b>2.</b> Subject to the prior approval of the department concerned, a student who is enrolled in <del>the Education Abroad Program; the UC Washington, D.C. Program; the UC Center in Sacramento Program; or the UC Natural Reserve System(NRS) California Ecology and Conservation Field</del> <b>one or more approved off-campus study</b> programs, may satisfy the residence requirement by earning 35 (or 24 semester) of the final 90 (or 60 semester) units, including the final <b>10 credits</b> <del>12 (or 8 semester) units,</del> in residence <del>in the college or school of the University of California in which the degree is taken.</del> <b>at UC Santa Cruz.</b></p>

Respectfully submitted;  
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Onuttom Narayan, Chair

November 14, 2018

**Committee on Educational Policy  
Amendment to Regulations for Chapter 10  
General Education Requirements Fall 2010 or Later**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy (CEP) proposes the following changes to the regulations governing general education requirements:

- i) state that the Committee on Courses of Instruction (CCI) can hear petitions to extend the deadlines to satisfy Entry Level Writing Requirement (ELWR) and Composition requirements.
- ii) changes the deadline to complete the Composition requirement to the point when the student starts classes in their seventh regular (i.e. excluding the summer) quarter, instead of when they enroll in classes; this is the point when there would be an academic impact due to not having completed the requirement.
- iii) allow students to petition CCI directly for General Education (GE) substitutions, without going through their College Provost, which is the current practice. The question of whether a course has the necessary content to satisfy a GE requirement is something that CCI routinely decides on its own when reviewing course proposals, so the extra step seems unnecessary.

**Existing Regulations**

**Proposed Regulations**

<b>Existing Regulations</b>	<b>Proposed Regulations</b>
<b>10.2.3</b> General Education Requirements for Students Entering Fall Quarter 2010 or Later	<b>10.2.3</b> No changes.
<b>10.2.3.1</b> 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.	<b>10.2.3.1</b> No changes.

<p><b>10.2.3.1.a</b> Composition courses. Students are required, in addition to satisfying the ELWR requirement, to complete one five-credit hour course or the equivalent in composition and rhetoric. This course shall usually be taken in a student’s first year and must be completed before the student enrolls in the 7th quarter.</p>	<p><b>10.2.3.1.a</b> Composition courses. Students are required, in addition to satisfying the ELWR requirement, to complete one five-credit hour course or the equivalent in composition and rhetoric. This course shall usually be taken in a student’s first year and must be completed before the <del>student enrolls in</del> <b>beginning of the student’s 7th regular</b> quarter. <b>Extensions to this deadline and to the deadline to satisfy the ELWR requirement may be granted by the Committee on Courses of Instruction.</b></p>
<p><b>10.2.3.1.b</b> Disciplinary communication (DC) requirement. Students must have instruction and substantial practice in modes of communication appropriate to their major. The largest component of the DC curriculum must involve writing. The requirement must be satisfied either within one five-credit upper-division course or within a combination of up to three upper-division courses totaling at least five credits. Major program requirements must include disciplinary communication curricula that are approved and regularly assessed by the Committee on Educational Policy.</p>	<p><b>10.2.3.1.b</b> <b>No changes.</b></p>
<p><b>10.2.3.1.c</b> Cross-cultural analysis. One five-credit course or equivalent is required that emphasizes understanding of one or more cultures and societies outside the United States.</p>	<p><b>10.2.3.1.c</b> <b>No changes.</b></p>
<p><b>10.2.3.1.d</b> Ethnicity and race. One five-credit course or equivalent is required that focuses on issues of ethnicity and/or race.</p>	<p><b>10.2.3.1.d</b> <b>No changes.</b></p>
<p><b>10.2.3.1.e</b> General Education requirements <b>thru k</b></p>	<p><b>10.2.3.1.e</b> <b>No changes.</b> <b>thru k</b></p>

<p><b>10.2.3.2</b> Transfer or advanced standing credit may apply toward all of the requirements in SCR 10.2.3.1 except the disciplinary communication courses, which must be taken at UCSC. An eligible transferred course of 4.0 quarter credits or 3.0 semester credits may be considered one course with respect to campus general education requirements. Responsibility for assessment of work completed at other campuses of the University of California or at other institutions is delegated to the Director of Admissions. In making such assessments, the Director consults with the Faculty when appropriate.</p>	<p><b>10.2.3.2</b> <b>No changes.</b></p>
<p><b>10.2.3.3</b> Petitions for the granting of an exception to the general education requirements must be recommended by the student's provost and reviewed for approval by the Committee on Courses of Instruction</p>	<p><b>10.2.3.3</b> <del>Petitions for the granting of an</del> <b>Exceptions</b> to the general education requirements <del>must be recommended by the student's provost and reviewed for approval</del> may be granted by the Committee on Courses of Instruction.</p>

Respectfully submitted;  
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 Tchad Sanger, *ex-officio*  
 Onuttom Narayan, Chair

June 6, 2018

**Committee on Educational Policy  
Amendment to Regulations for Chapter 10  
Major Field**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy (CEP) proposes the following regulation change to allow the deadline in Santa Cruz Regulation 10.4.1 to be extended, in accordance with current practice.

**Existing Regulations****Proposed Regulations**

<b>10.4</b>	<b>Major Field</b>	<b>10.4</b>	<b>No changes.</b>
<b>10.4.1</b>	Students must formally declare their major field before enrolling for their third year (or equivalent). Students admitted to the University of California with upper-division standing must formally declare their major field during their second term of residency, if they have not done so earlier.	<b>10.4.1</b>	Students must formally declare their major field before enrolling for their <b>seventh regular quarter</b> <del>third-year</del> (or equivalent). Students admitted to the University of California with upper-division standing must formally declare their major field during their second <b>regular quarter</b> <del>term</del> of residency, if they have not done so earlier. <b>The provost of the student's college or their designee may allow a student to continue enrolling in courses after this deadline, with or without conditions, subject to the policies of the Committee on Educational Policy.</b>
<b>10.4.2</b>	Upper division students once formally enrolled in a major may change their major field at any time, provided that they have the consent of the new department.	<b>10.4.2</b>	<b>No changes.</b>
<b>10.4.3</b>	Major. A student becomes eligible for a major by fulfilling the requirements for the major established by the sponsoring agency. The major will involve substantial work in the discipline, and require no fewer than 40 upper-division or graduate credits, unless an exception is granted by the Committee on Educational Policy	<b>10.4.3</b>	<b>No changes.</b>
<b>10.4.4</b>	Minor. A student becomes eligible for	<b>10.4.4</b>	<b>No changes.</b>

	<p>a minor by fulfilling the requirements for the minor established by the sponsoring agency. The minor will involve substantial work in the discipline, and require no fewer than 25 upper-division or graduate credits, unless an exception is granted by the Committee on Educational Policy. A minor may be offered in a subject not offered as a major.</p>
<p><b>10.4.5</b> Individual major. Students may undertake an individual major by presenting a proposal and a petition for declaration of individual major to the appropriate agency of their college. The proposal must be supported and the petition signed by the student's adviser and all members of a three-person faculty committee that will supervise the individual major. The committee must have at least one member with special competence relevant to the major who will serve as chair of the committee. All of the committee members must be continuing faculty members in fields related to the proposed major. This committee shall supervise the major program and administer the appropriate comprehensive examination or senior thesis. An individual major may not serve as part of a combined major. The name and content of the individual major must be distinct from those of any approved major program or of any possible double or combined major made up of approved major programs. The Registrar shall periodically report to the Committee on Educational Policy on the nature of the individual majors program.</p>	<p><b>10.4.5 No changes.</b></p>
<p><b>10.4.6</b> Combined major. Students may undertake a combined major by fulfilling the course requirements for the combined major established by any two existing majors. A combined major</p>	<p><b>10.4.6 No changes.</b></p>

<p>option must be established by the sponsoring agencies and approved by the Committee on Educational Policy before it can be chosen by the student. The combinations of programs, requirements for the major, etc., are agreed upon by both sponsoring agencies and must be approved by the Committee on Educational Policy before that particular combination major exists as an option for students. Both agencies must agree on how honors are to be awarded to students. Student diplomas will be annotated so as to make clear the difference between combined majors and double majors. A combined major will be indicated by the form "with a single combined major in A. and B." A double major will be indicated by the form "with a major in A. and a major in B."</p>	
<p><b>10.4.7</b> Additional major or minors. A student becomes eligible for additional majors or minors by fulfilling the requirements of the declared majors or minors. Courses used to satisfy the requirements for each major must include a minimum of 40 upper-division credits (as per 10.4.3) not used to satisfy the minimum credits of any other major or minor. Courses used to satisfy the requirements for each minor must include a minimum of 25 upper-division credits (as per 10.4.4) not used to satisfy minimum credits of any other major or minor. Courses taken beyond these minimums to satisfy upper-division requirements for a major or minor may be applied toward another major or minor. Departments may approve substitution of appropriate upper-division courses to satisfy the requirements of this section. Lower-division courses may always simultaneously satisfy the requirements of different majors and/or minors.</p>	<p><b>10.4.7</b> No changes.</p>

<b>10.4.8</b> Passing Work in Major. Students must complete all requirements for the major or minor with grade P, C (2.0) or better	<b>10.4.8</b> No changes.
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Onuttom Narayan, Chair

November 14, 2018

**Committee on Educational Policy**  
**Policy Changes for Major Requirements, Prerequisites for Summer Session,**  
**Fully Online Courses, and Senior Residency**

To: Academic Senate, Santa Cruz Division

**Major Requirements**

Program requirements are proposed by program faculty and approved by the Senate. Curricular resources, on the other hand, are an administrative responsibility that are managed by academic units. When additions are proposed by the program faculty to the required or elective courses in a program, stakeholder comments from the chair of the course sponsoring unit must accompany the proposal, unless the chair of the course sponsoring unit is the person submitting the proposal to the Senate (most commonly, when the program faculty for a program are the same as the faculty in the course sponsoring unit). If the stakeholder chair opposes the proposal, they should provide reasons. When the program faculty wish to remove a required or elective course from a program, the chair of the course sponsoring unit must be notified.

**Prerequisites for Undergraduate Courses Offered in Summer Session**

*Course prerequisites for UCSC students:*

Course prerequisites remain in force for UC Santa Cruz students during Summer Session in the same manner as during the regular academic quarters unless an exception has been approved by the Committee on Courses of Instruction (CCI). This policy applies to prerequisites including required courses or other indicators of a level of expertise such as placement examination scores. In order to allow Summer Session to convey this information to students in a timely manner, departments or other course sponsoring units must submit a request for an exception<sup>1</sup> to CCI by the published date for that year<sup>2</sup> for Summer Session courses to be submitted to CCI. If approved, the course description in the General Catalog will subsequently be updated to state that prerequisites are lifted when the course is offered in Summer Session.

*Course prerequisites for non-UCSC students:*

At the time of curriculum planning, departments and programs will be asked by Summer Session if prerequisites should be strictly verified or should rely on student self-placement for non-UC Santa Cruz students in their courses. At this point, Summer Session will remind departments and programs that this decision is the prerogative of the responsible instructor for the course, as per Senate Regulation 542. If a department or program informs Summer Session on behalf of the instructor that prerequisites must be strictly verified, they will remain in force, and Summer Session will put interested students in contact with the instructor for case-by-case review.

*Other enrollment restrictions:*

Enrollment restrictions, such as limiting enrollment (or first pass enrollment) to students based on class level, college, major or minor will be removed by default for Summer Session courses. Course sponsors may request Summer Session that enrollment restrictions be maintained for pedagogical reasons or if there is sufficient evidence the course will oversubscribed.

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<sup>1</sup> As a Major Course Revision, with stakeholder comments.

<sup>2</sup> January 9, 2019 for Summer of 2019.

*Responsible Instructor Authority:*

This policy does not affect the right of the responsible instructor of a Summer Session course to waive prerequisites for individual students using permission codes.

*This policy represents an update of Committee on Educational Policy's 2007 policy*

**UCSC Undergraduate Fully Online Course Policy****Introduction**

Online instruction is rapidly being integrated into the national undergraduate experience. Many instructors at UCSC have already developed innovative ways of using technologies in online courses that provide high quality learning experiences. As with any new approach to teaching at UCSC, it is important to monitor the quality of the educational experience being offered. This oversight is the remit of CCI (for individual courses) and CEP (for overall policy)

Departments and other course offering academic units should consider where and how they think online courses are best used in their curricula. Departments and programs that have already had such conversations and developed policies around them will be well placed to help individual instructors develop successful proposals for online courses with minimal additional steps. CEP will work with departments that have not already developed such policies in doing so.

For the purposes of this policy, a *fully online* course is defined as a course section that uses online contact hours (e.g. online lectures or discussion sections, without the option for classroom attendance) and offers less than one hour of pedagogically significant face-to-face contact each week.<sup>3</sup> A face-to-face contact hour is defined as a lecture or discussion session taught by the primary instructor that a student can attend in a setting where the instructor is physically present, even if the session is simultaneously presented online. Face-to-face hours do not include office hours, or time spent in exams, or contact hours with secondary instructors (such as teaching assistants).

Fully online classes with no or very limited face-to-face student/instructor contact represent a distinct approach from hybrid courses that combine online technology with lecture time or discussion sessions, or from telecast courses. Every UCSC course is expected to meet the same high standards, whether in-person, hybrid, or fully online. Common characteristics of high-quality classes include: active engagement of a qualified instructor who has significant expertise in the subject of the course; regular and pedagogically significant interactions between instructor and students; and a means for students to periodically assess their progress towards achievement of course learning outcomes. As with in-person classes, fully online classes will provide appropriate accommodations for students with disabilities.

A successful fully online course presents educational experiences that differ from those associated with in-person courses, but provides students with an equivalent educational outcome to that of an in-person class. This equivalency should therefore apply to other aspects of

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<sup>3</sup> UCR & UCB define an online course as one in which fewer than one-third of the total hours required are face-to-face; UCI defines it as zero face-to-face meeting hours; UCLA uses the same definition as UCSC.

educational policy. This guiding principle is relevant to the credit that students receive for taking the class and means that the approval pathway for an online class should (after the initial monitoring period) be the same as an in-person class.

CEP and CCI wish to encourage, not discourage, the creative use of technologies in fully online courses with the aim of improving student learning. Supplemental information from online instructors is requested in order to study the crucial aspects of a successful online offering.

### **Course Approval Pathway**

The course approval process is as follows:

1. Instructors first consult their department's policy about online courses in their curriculum, if one exists, and develop a course consistent with it.
2. Instructors work to obtain approval from the department for their course proposal.
3. Instructors may then contact Academic Affairs for consultation regarding development or support.
4. Instructors must then apply for approval from CCI, which requires an online supplemental form, and a report after the first and third years.

#### **A. POLICIES FOR APPROVAL OF FULLY ONLINE INSTRUCTION COURSES**

1. Fully online courses will be approved initially for up to three offerings of the course or for three years after the initial offering of the course, whichever is shorter.<sup>4</sup> Renewal will be based on CCI's assessment of the third-offering or third-year report. Guidelines for assessment are given in Section C below. The Innovative Learning Technology Initiative (ILTI) supported courses are subject to this approval process, but can fulfill their initial five-year contract regardless of the outcome of the three-year assessment.

2. Required courses for majors and minors cannot be offered exclusively in a fully online format. When a fully online version of a gateway or required course exists, students must also be given the option to take the course in person during the same academic year. Over the academic year, the fully online version of the required course can only offer up to one-half of the total seats in the course.<sup>5</sup> Exceptions to this policy must be approved by CCI, and must be based on clear pedagogical advantages or on student demand.

3. All online courses will be clearly identified in the schedule of classes and included in the course catalog.

4. All campus policies and regulations for courses and instruction (registration deadlines, academic integrity, grading, instructor availability, etc.) that apply to non-online courses also apply to fully online courses. Classes must conform to the standard 10-week (academic year) and summer session schedules.<sup>6</sup>

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<sup>4</sup> UCSB requires re-review after 2 offerings, UCSD after 3, UCLA after 3 years or 3 offerings, UCB after 4 years.

<sup>5</sup> This is the same as UCLA's policy.

<sup>6</sup> UCR makes the same statement regarding scheduling.

5. The initial approval process of a fully online course will follow the standard CCI procedure. However, proposed fully online classes must respond to additional questions as part of the CCI approval process (listed below, but subject to revision by CCI).

#### B. SUPPLEMENTARY INFORMATION FOR INITIAL FULLY ONLINE COURSE PROPOSALS

Instructors requesting to teach a fully online course will respond to the following questions for the initial approval (three offerings or three years). If this course has been proposed as part of a competitive course award call, such as through ILTI, attaching the full application or proposal will suffice for answering any duplicative questions. If any of these questions are directly addressed in the department's online course policy, attaching the policy and referring to it, will suffice for addressing that question.

1. Why is this course being proposed as an online course?
2. What is the place of the course in the department or program's curriculum? If the course is a major or degree requirement and has an in-person counterpart, please discuss how the two types are scheduled in relation to each other, what kinds of enrollments are expected, whether both will be treated as exactly the same when determining if students have satisfied the requirement, and similar logistical points. If it is not a requirement and has an in-person counterpart, will the latter continue to be taught? Whether or not it is a requirement, if it has an in-person counterpart, will both carry the same number of credits? Does the course fulfill the "Disciplinary Communication" requirement, and if so, is there any difference in the way that the online course does so versus its in-person counterpart?
3. What specific pedagogical advantages and disadvantages will the technologically-mediated format offer?
4. What is the nature of instructor involvement in the proposed alternative mode of instruction? How much contact time will each student have with the instructor or instructor designees during virtual office hours, blog or discussion groups? What technology will be used for interactions with remote students?
5. How will student progress be monitored, and feedback provided to the students? Describe graded activities mediated through technology and how materials will be handled to verify student identities and to ensure that students only receive credit for their own work.
6. State how midterms and final exams will be administered and explain what steps will be taken to maintain academic integrity. If the course has proctored exams, there must also be an in-person option available.
7. How will the course design ensure accessibility for all students? Faculty Instructional Technology Center<sup>7</sup> (FITC) has some initial suggestions.
8. Is any specific technical or pedagogical expertise (on the part of the student or TA or instructor) necessary for this course? If there is, what training is available, and what plans are there for malfunction, disruption, or unavailability of technical support? Are there special subscriptions and/or software required for a student to complete the course?

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<sup>7</sup> <https://its.ucsc.edu/fitc/tutorials/fitc-accessibility.html>

9. How will course material that is archival in nature (e.g., recorded webcasts, voiceover slides) be updated for future offerings? Can it be easily moved to other platforms or adopted by other instructors?
10. Please provide a department letter confirming that the anticipated TA workload will remain within contract limits.
11. In the case of online courses offered collaboratively between campuses, please consult with Academic Affairs regarding such questions as: how will coordination be maintained between campuses, and who will be responsible on this campus for consultation with students? Will students on different campuses earn the same number of credits? Please explain if any distinctive arrangements are required.

### C. PROCEDURE FOR ONLINE COURSES SEEKING PERMANENT APPROVAL

After three years or offerings, a report is required for permanent approval of an online course. This can take the form of updating responses to questions 1-11 above, in addition to responding to question 12 below. The report is not confined to these questions and can adopt a different form if seen by the reporter as more appropriate. However, CCI can follow up with questions that include 1-12.

12. Please include a letter of evaluation from the department. This letter should include the ways in which the course addresses departmental curricular needs as well as an overall evaluation of the course. If any of these points are addressed by the department's online course policy, the policy may be attached and referred to as appropriate.
  - a. The overall evaluation should be based on work by instructors in collaboration with their departments and, if possible, with the Institutional Research, Assessment, and Policy Studies (IRAPS) to provide data from assessments of student learning and from student evaluations that gauge how online instruction is meeting the outcomes of the course. For comparison, representative data from in-person offerings of the same course should be provided, from the same time period if possible. Specific questions should be added to student evaluations that address unique online instruction issues such as technical problems students may have, course format and learning, and quality of feedback.
  - b. Describe changes, if any, to the methods of fully online course instruction used that were made as a result of assessment and course evaluations. Discuss the "lessons learned" from delivering this fully online course. If the course was previously offered in-person, describe advantages and disadvantages of fully online instruction.

### **Senior Residency Requirement (SCR 10.1.3)**

A student who takes courses outside UCSC, e.g. at community college, may choose at the time of graduation to have only some of the credits completed outside counted toward the 180-credit graduation requirement in order to meet the residency requirement. Subject credit will still be given for lower division courses and courses at other campuses of the University of California that are not counted toward the graduation requirement. This will not require a petition, and the

credit will be reduced by the Registrar's Office, in consultation with department or college advisors, or the Admissions Office, as needed.

With this policy, it is expected that waivers of the Senior Residency Requirement will not be granted except when a student covered by SCR 10.1.3.D.2 has completed only 10 credits in residence after returning from the programs enumerated there (unless a variance to this regulation is granted by the Assembly), or in compelling and documented situations that are not anticipated in this policy.

Example: A student completes 170 credits at UCSC, and then completes 30 credits at community college for courses articulated to UCSC courses with GE designations. If all 30 credits were to be counted, the student would not satisfy the Senior Residency Requirement. The student can choose to have only 10 credits counted and graduate with 180 credits, even though the GE requirements fulfilled by all the courses taken outside will be counted.

Example: A student completes 150 credits at UCSC, and then completes 30 credits at community college. They can choose to have only 10 credits counted toward graduation, but they have to then complete another 20 credits at UCSC to graduate.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

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November 14, 2018

**Committee on Educational Policy  
 Committee on Courses of Instruction  
 Amendment to Bylaw 10.1 and 13.16.5  
 General Authority to Waive Regulations**

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy (CEP) proposes to amend Santa Cruz Bylaws 10.1 and 13.16.5. SCB 13.16.5 seems to give CCI the authority to override all divisional and systemwide regulations for individual students. Such broad authority i) is not permitted for systemwide regulations except at the time of graduation through systemwide bylaw 312.A.3 ii), and was not discussed and justified when the Senate enacted this bylaw. On the other hand, the objective here seems to be to make CCI the final approving agency for the Senate when petitions are admissible. The wording of SCB 10.1, which does not specify whether approval of the faculty is sufficient or merely necessary, is the other half of this process. The two bylaws should both be complete, and reference each other to avoid future mistaken amendments.

We provide the following justification for changes in each section.

**Existing Bylaw**

**Proposed Bylaw**

<b>Chapter 10. Degrees</b>	
<p><b>10.1</b> Bachelor of Arts and Bachelor of Science Degrees. The Santa Cruz Division delegates to the Faculties of the colleges the authority to recommend to the Chancellor of Santa Cruz, for transmission to the President of the University of California, the award of the degrees of Bachelor of Arts and Bachelor of Science. Those candidates so recommended must have prior certification of satisfaction of: (a) the major requirements by the appropriate agencies [SCR Chapters 2, 4, 10]; (b) the college requirements by the appropriate colleges; and (c) the University of California requirements by the Registrar. Records of fulfillment of requirements of colleges and departments are forwarded to and maintained by the Registrar. Petitions of students for graduation under suspension of the Santa Cruz Regulations, in individual cases of minor curricular adjustments, must</p>	<p><b>10.1</b> Bachelor of Arts and Bachelor of Science Degrees. The Santa Cruz Division delegates to the Faculties of the colleges the authority to recommend to the Chancellor of Santa Cruz, for transmission to the President of the University of California, the award of the degrees of Bachelor of Arts and Bachelor of Science. Those candidates so recommended must have prior certification of satisfaction of: (a) the major requirements by the appropriate agencies [SCR Chapters 2, 4, 10]; (b) the college requirements by the appropriate colleges; and (c) the University of California requirements by the Registrar. Records of fulfillment of requirements of colleges and <del>departments</del> <b>programs</b> are forwarded to and maintained by the Registrar. Petitions of students for graduation under suspension of the Santa Cruz <b>Division or systemwide</b> Regulations <b>(see SB 312.A.3 and SCB 13.16.5)</b>, in</p>

<p>have the approval of the college Faculty concerned. If exceptions to major requirements are involved, the approval of the departments of the students' major subjects (or of the equivalent agencies in the cases of double, minor, combined, or individual majors) is also required.</p>	<p>individual cases of minor curricular adjustments, must have the approval of the college <b>overseeing</b> Faculty <del>concerned</del>, <b>followed by the approval of the Committee on Courses of Instruction</b>. <del>If exceptions to major requirements are involved, the approval of the departments of the students' major subjects (or of the equivalent agencies in the cases of double, minor, combined, or individual majors) is also required.</del></p>
<p><b>10.2</b> Higher Degrees. The Santa Cruz Division delegates to the Graduate Council, in collaboration with the schools, academic divisions, and the appropriate departments, the authority to recommend to the Chancellor of Santa Cruz for transmission to the President of the University of California, the award of higher degrees.</p>	<p><b>10.2</b> <b>No change.</b></p>

<p><b>Chapter 13. Committees</b></p>	
<p><b>13.16</b> Committee on Courses of Instruction</p>	<p><b>13.16</b> <b>No changes.</b></p>
<p><b>13.16.1</b> There are six Senate members, one from each academic division and one from the School of Engineering. In addition, there is one undergraduate student representative, and the Associate Registrar, ex officio non-voting.</p>	<p><b>13.16.1</b> There are six <b>to eight</b> Senate members, <b>including</b> one from each academic division and one from the School of Engineering. In addition, there is one undergraduate student representative, and the Associate Registrar, ex officio non-voting.</p>

<p><b>13.16.2</b> Reviews, coordinates and takes final action on all matters relating to courses of instruction, including approval of new courses, modifications, withdrawal, conduct, content, credit valuation, classification of existing courses, prerequisites, the numbering and catalog description of courses. Reviews requests for exceptions to Division Regulations governing courses of instruction. The Committee shall, after consultation with the department(s) concerned, have the authority to delete from the catalog any course that has not been offered for six consecutive years. Consults, and advises faculties of colleges, departments, and individual members of the Division when matters relating to their courses of instruction are before the Committee.</p>	<p><b>13.16.2 No change.</b></p>
<p><b>13.16.3</b> Reviews, coordinates and takes final action on all matters relating to courses of instruction, including approval of new courses, modifications, withdrawal, conduct, content, credit valuation, classification of existing courses, prerequisites, the numbering and catalog description of courses. Reviews requests for exceptions to Division Regulations governing courses of instruction. The Committee shall, after consultation with the department(s) concerned, have the authority to delete from the catalog any course that has not been offered for six consecutive years. Consults, and advises faculties of colleges, departments, and individual members of the Division when matters relating to their courses of instruction are before the Committee.</p>	<p><b>13.16.3 No change.</b></p>
<p><b>13.16.4</b> Approves Graduate Student Instructors and Undergraduate Teaching Assistants for undergraduate courses based on CEP criteria.</p>	<p><b>13.16.4 No changes.</b></p>

<p><b>13.16.5</b> Reviews and acts on all petitions from students for exception to the Regulations of the Academic Senate including those found in the Santa Cruz Division. Considers grade appeals as allowed under Appendix C of the Santa Cruz Division Manual.</p>	<p><b>13.16.5</b> <b>Reviews petitions for graduation under suspension of Santa Cruz or systemwide regulations, in accordance with SCB 10.1 and SB 312.A.3.</b> Reviews and acts on all <b>other</b> petitions from students for exception to the Regulations of the Academic Senate including those found in the Santa Cruz Division-, <b>where permitted in the regulations.</b> Considers grade appeals as allowed under Appendix C of the Santa Cruz Division Manual.</p>
<p><b>13.16.6</b> Consistent with Senate Bylaws 20 and 310A.4, CCI may delegate routine administrative decisions related to academic policies and regulations of the Division to the University Registrar and College Provosts</p>	<p><b>No changes.</b></p>
<p><b>13.16.7</b> CCI will monitor and review on an annual basis all delegated decisions.</p>	<p><b>No changes.</b></p>

Respectfully submitted;  
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June 6, 2018

**Committee on Library and Scholarly Communication**  
**Report on Journal Negotiations, November 2018**

To: Academic Senate, Santa Cruz Division

UC is regularly negotiating for journal licenses with publishers. Many of these licenses are negotiated through the UC-wide unit called California Digital Library (CDL), taking advantage of the power of the 10 UC campuses. Several UC-wide groups have stated a strong position to promote open access (OA), and to frame licenses in this light. CDL is currently approaching negotiations with this stance. Below we summarize these actions and UCSC Committee on Library and Scholarly Communication's (COLASC) position with regard to these licensing goals.

1. UC's belief in OA is rooted in the idea that the work of UC faculty and staff should be accessible to everyone, not just those who subscribe. COLASC is fully behind OA publishing, believing it to be an important goal to work towards.
2. The current journal subscription system is unsustainable, with ever-increasing subscription fees that have exceeded inflation. Cost containment is critical. Without it, authors will be required to subscribe to journals from their own pockets given a fixed library budget. Libraries cannot continue to accede to publisher demands, and so need to negotiate for lower costs. COLASC agrees with this vision.
3. The CDL is negotiating with a principle of "off-setting", agreeing to a subscription — ideally with lower costs — combined with lower OA author processing charges (APCs). COLASC supports this general idea.
4. If lower subscription charges are obtained, one idea is to redirect savings toward helping authors pay the OA APCs. COLASC supports this model.
5. COLASC expresses concerns about any models that shift journal subscription expenses on to authors. In the current strategy, the CDL is negotiating lower OA APCs, which is a good outcome. Authors are not required to choose the OA option or to pay OA APCs. In other words, it's optional for authors to choose OA, and so there is not a required increase in the author's cost. Indeed, if the current negotiations are successful, the OA APC will be lessened, and thus authors that choose the OA option will pay a lower fee. However, COLASC strongly advises that there be continued faculty engagement and input around this issue to ensure that costs do not fall unfairly on authors.
6. During negotiations, there may be short-term inconveniences if licenses lapse. Typically, CDL licenses include perpetual access to old content, but in the case of a lapse new content may require researchers to use interlibrary loan, direct author request, tools such as Unpaywall, author-deposited copies, or other options to view new content. COLASC encourages the library to be very active in developing and supporting a variety of options.

Respectfully submitted;

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November 20, 2018