

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 growth¹ 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.

¹ 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 guidelines², 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.

² <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;
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August 31, 2018