

Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, May 17, 2019 at 2:30 p.m.
College 9/10 Multipurpose Room
ORDER OF BUSINESS

1. Approval of Draft Minutes
 - a. Draft Minutes of February 20, 2019 (AS/SCM/323)
2. Announcements
 - a. Chair Lau
 - b. Chancellor Blumenthal
 - c. Campus Provost/Executive Vice Chancellor Tromp
3. Report of the Representative to the Assembly (none)
4. CONSENT CALENDAR:
 - a. Committee on Faculty Research Lecture (AS/SCP/1942) p.1
5. Reports of Special Committees
6. Reports of Standing Committees
 - a. Committee on Academic Freedom and Committee on Committee on Affirmative Action and Diversity
 - i. Resolution on Canary Mission (AS/SCP/1934) p.3
 - ii. UCAF Memo to Academic Council, March 29, 2019 (AS/SCP/1935) p.5
 - b. Graduate Council
 - i. Growing and Sustaining Graduate Student Research at UCSC (AS/SCP/1936) p.7
 - c. Special Committee on Development and Fundraising
 - i. Amendment to Bylaw 13.XX – Legislation to Establish a Committee on Development and Fundraising (AS/SCP/1937) p.20
 - d. Committee on Educational Policy
 - i. Regulation Change - Student Program of Studies 6.2.2.1 (AS/SCP/1938) p. 21
 - ii. Letters to Departments, Colleges and Interdisciplinary Programs (AS/SCP/1939) p. 25
 - e. Committee on Committees
 - i. Senate Committee Roster 2019-20 (AS/SCP/1940) p. 44
7. Report of the Student Union Assembly Chair
8. Report of the Graduate Student Association President
9. Petitions of Students (none)
10. Unfinished Business (none)
11. University and Faculty Welfare (none)
12. New Business
 - a. Resolution on Houseless Students (AS/SCP/1941) p. 50

May 10, 2019

Academic Senate
Santa Cruz Division

Dear Colleagues,

I write to invite you to the upcoming Academic Senate meeting on Friday, May 17, 2:30 pm, at the College 9/10 Multipurpose Room. The agenda is available at: <https://senate.ucsc.edu/senate-meetings/agendas-minutes/2018-2019/2019-may-17-meeting/index.html>

A reception in honor of Chancellor Blumenthal's retirement and in celebration of the end of another academic year will follow.

As you will see from the agenda, both Chancellor Blumenthal and Campus Provost and Executive Vice Chancellor Tromp will offer comments and field questions. In addition, Distinguished Professor Robert May, Chair of the systemwide Academic Senate, will also be present to thank Chancellor Blumenthal for his dedication to shared governance and to celebrate his retirement.

There are also a couple of proposed amendment and regulation changes: the proposed amendment change would convert the Special Committee on Fundraising and Development to a standing committee and the regulation change would alter the minimum progress for students standard to conform with current practice. Although the Spring Senate meeting typically features CFW's faculty salary analysis, that presentation will occur at the fall meeting due to difficulties acquiring the pertinent data in the requested format.

You will also notice that there are two proposed resolutions for consideration. The first resolution—jointly sponsored by the Committee on Academic Freedom and the Committee on Affirmative Action and Diversity—asks the university and the campus to take action against Canary Mission's targeting of students and faculty (the text of the resolution is on page 3, under Reports of Standing Committees. The second resolution—sponsored by a number of faculty members from the Humanities and Social Sciences divisions—asks the campus to adopt a Safe Parking Initiative. The text of this resolution can be found on page 50 of the agenda, under New Business.

Thank you for your time. I hope to see you on May 17 for the final Senate meeting of the year and, of course, for the reception to celebrate Chancellor Blumenthal on his retirement.

Kim Lau, Chair



Academic Senate
Santa Cruz, Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
February 20, 2019 Senate Meeting

The draft minutes from the February 20, 2019 Senate meeting were distributed via email on May 6, 2019 and will be presented for approval at the Senate Meeting on May 17, 2019. 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, April 16, 2019**. They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to senate@ucsc.edu.

Roger Schoenman, Secretary
Academic Senate
Santa Cruz Division

May 6, 2019

COMMITTEE ON FACULTY RESEARCH LECTURE
Annual Report 2018-2019

To: Academic Senate, Santa Cruz Division

The Committee on the Faculty Research Lecture (CFRL) enthusiastically nominates Terrie Williams, Professor of Ecology and Evolutionary Biology, as the Faculty Research Lecturer for the 2019-2020 academic year.

Professor Williams' research is at the forefront of understanding the physiology of exercise and energetics in large mammals. Her interests both in the laboratory and in the field cover a broad range of issues, with recent projects focused on the comparative physiology of animals including African lions, wolves, polar bears and marine mammals. As examples, she has identified energetic vulnerabilities in these animals, studied resource limitations in apex predators, explored the effects of noise on diving seals and dolphins, and uncovered how changes in ice have impacted polar marine mammals such as narwhals.

Professor Williams was selected by the CFRL because her scientific work is compelling and has broad impact in her field. In addition, Professor Williams' findings have profound application to conservation, as she is examining the physiological tipping points for large animals in the wild. Specifically, she is determining the physiological costs, risks and safety factors associated with extreme physical performance of mammals when challenged to adapt to changes in their environment brought about by climate change. To accomplish this, her lab has been developing and employing innovative sensor technology to monitor the movements, behavior, and energetics of wild animals. An exciting and important emerging theme in this area has been understanding how behavioral reactions to anthropogenic impacts – particularly acute impacts such as loud sounds – may have long-term implications for energetic demand and the overall well-being of large mammals.

Professor Williams has published prolifically in high impact journals, with recent papers in top-rated physiology journals and broad-interest journals such as *Science*. She has written several award-winning books, including *The Hunter's Breath*, published in 2004 detailing her research of the Weddell seal in Antarctica, and *The Odyssey of KP2: An Orphan Seal, a Marine Biologist, and the Fight to Save a Species*, published in 2012 about her conservation work with the Hawaiian monk seal. Additionally, she is currently developing a new general interest book about narwhals. Her research program has achieved many awards and grants from the Office of Naval Research and the National Science Foundation.

Professor Williams' research accomplishments have been well recognized with awards, and she is in high demand as a lecturer. She received the prestigious August Krogh Award in Physiology given by the Comparative and Evolutionary Biology section of the American Physiological Society. This is one of the most prestigious awards presented by this society. Dr. Williams was also invited to give the Bidder Plenary Lecture by the Society of Experimental Biology, London UK. The Bidder Plenary lecture is given by a scientist prominent in the field of animal biology and is nominated by the Animal Biology section of the society. Dr. Williams has received many invitations for guest lectures, seminars and plenary talks across a broad range of institutions and

meetings. She was also a recent invited plenary speaker at the Society of Integrative and Comparative Biology and at the International Mammalogy Congress in Australia.

Dr. Williams has been extremely active in informal education and public outreach. Her lab continues to support grade school enrichment activities and social media outreach that engage far beyond her research activities. Specifically, Dr. Williams uses the broad appeal of marine mammals, and marine mammal research more generally, to engage with the public. Her research group gives over 100 tours annually where campus visitors tour the marine mammal facility and learn about the research done by UCSC researchers.

In summary, Dr. Terrie Williams is an extraordinary researcher and teacher who successfully engages the broader public. Her accomplishments bring luster to our university. She is highly deserving of the Faculty Research Lecture, and we are confident that she will present an outstanding lecture.

Respectfully submitted;
COMMITTEE ON FACULTY RESEARCH LECTURE
Sean Keilen
Daniel Kim
Barbara Rogoff
Susan Strome
Seth Rubin, Chair

**COMMITTEE ON ACADEMIC FREEDOM AND
COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
Resolution on Canary Mission, 2019**

To: Academic Senate, Santa Cruz Division

Background

Canary Mission (canarymission.org) is an anonymously hosted website that, in its own words, is devoted to identifying "people and groups that promote hatred of the USA, Israel and Jews on North American college campuses," principally by creating a searchable online database accessible to the public. Canary Mission's website features the slogan "because the world should know." Its own staff and funding are not listed. Its methods reportedly include contacting employers of people on its list, as well as tagging them on social media, and using search engine optimization so that its entries appear early on internet searches. The objective appears to be to adversely influence admissions, hiring, promotion, grant applications, and other decisions affecting the lives and careers of people listed on its site. Such an objective would be problematic under any circumstances, but it is compounded by the inclusion of numerous errors and falsehoods in the entries on individual people.

In 2016, the chair of AAUP's Committee A on Academic Freedom and Tenure, Hank Reichman, wrote that "Canary Mission is a blacklist, pure and simple. It echoes the long-discredited and horrific blacklists of the McCarthy era."

A number of UCSC faculty and students are listed on the Canary Mission website. We are concerned about the effect on members of our community, whose futures rest on their reputations, which are under assault. We are also concerned with Canary Mission's contribution to an atmosphere of suppression and anonymous accusations, which run counter to our principles of academic freedom, our right to freedom of expression, and the UC Santa Cruz Principles of Community.

The UC-wide Committee on Academic Freedom sent a memo dated March 29th for consideration by the Academic Council. The description of Canary Mission above draws from that memo. Its primary concern is with the evaluation of prospective and current students and the hiring and advancement of faculty. The present resolution focuses on specific actions that should be taken on our campus to address the effects of Canary Mission on our community.

Resolution:

Therefore, the UC Santa Cruz Division of the Academic Senate calls on Chancellor Blumenthal to initiate the following actions:

1. Formally affirm that Canary Mission and similar websites will not be used in any university procedures, including hiring, reviewing, grant-making, admissions, or any other selection procedures;
2. Issue a statement disavowing the activities of Canary Mission and similar websites in attacking academic freedom, seeking to stifle freedom of discussion, and--by virtue of its

“easily searchable format”--inviting attack on faculty, students, and other members of the university community;

3. Offer free legal assistance to any UC Santa Cruz affiliate who is listed on the Canary Mission website and who is being harmed by being so listed. Such assistance may include help with removal from the website, help in obtaining visas and other travel documentation for faculty and students whose research abroad (e.g., in Israel/Palestine) has been compromised, a university letter for the placement files of affected students condemning Canary Mission and affirming the students’ good standing at UC Santa Cruz, or other help required by those facing material consequences of their listing on the site;
4. Offer free psychological assistance to any UC Santa Cruz affiliate who is listed on the Canary Mission web site and who is being harmed by being so listed.
5. Provide free technical assistance to remove profiles from the site, if possible; and
6. Seek a statement from UC Office of the President and the Council of Chancellors condemning Canary Mission. We urge consideration of a joint Administration-Senate statement on this topic. To that end, we also ask that Chair Lau take this resolution to Academic Council for systemwide consideration.

Respectfully submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Mark Anderson
Shaowei Chen
Marcella Gomez
Vanita Seth
Elizabeth Abrams, Chair

COMMITTEE ON ACADEMIC FREEDOM

Michael Dine
Jessica Taft
Danny Scheie
Gail Hershtatter, Chair

Robin King, NSTF
Ingy Higazy (S), Graduate Representative

May 3, 2019



UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF)
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March 29, 2019

**ROBERT MAY, CHAIR
ACADEMIC SENATE**

RE: CANARY MISSION

Dear Robert,

In our meeting of March 21, members of the University Committee on Academic Freedom resolved to urge Academic Council to take notice of the activities of Canary Mission, an organization devoted, in its own words, to identifying "people and groups that promote hatred of the USA, Israel and Jews on North American college campuses," principally by creating a searchable online database (canarymission.org) accessible to the public. To the extent that any institution uses Canary Mission's characterizations to evaluate academics or discipline students, it would constitute a threat to academic freedom.

Canary Mission's definition of "hatred of the USA, Israel and Jews" appears to include not only support of the Boycott, Divestment, and Sanctions (BDS) movement, but also failure to advocate its suppression. By contrast, the American Association of University Professors opposes any academic boycott but also opposes interference with the scholarly activity of BDS supporters.¹ UCAF has not taken a position for or against the BDS movement. We do hold the view that support or opposition to BDS must not affect evaluation of academic work by faculty or students. The AAUP's stance is consistent with UCAF's position; the work of Canary Mission is not.

Canary Mission's website features the slogan "because the world should know." Its own staff and funding are not listed. Its methods reportedly include contacting employers of people on its list, as well as tagging them on social media, and using search engine optimization so that its entries appear early on internet searches. The objective appears to be to influence admissions, hiring, promotion, grant applications, and other decisions affecting the lives and careers of people listed on its site.

In 2016, the chair of AAUP's Committee A on Academic Freedom and Tenure, Hank Reichman, wrote that "Canary Mission is a blacklist, pure and simple. It echoes the long-discredited and horrific blacklists of the

¹ AAUP Statement On Anti-BDS Legislation and Universities, 8/8/18 < <https://www.aaup.org/news/statement-anti-bds-legislation-and-universities#.XJqk8qeZPUI>>.

McCarthy era."² Reichman wrote to support the petition of faculty who serve, or might serve, on graduate admissions committees, who concluded that "the Canary Mission website should not be trusted as a resource to evaluate students' qualifications for admission."³

UCAF members hold that the University should take a similar position with respect to the evaluation not only of prospective and current students, but academics. UCAF members believe, in keeping with APM - 010, that "Academic freedom requires that teaching and scholarship be assessed by reference to the professional standards that sustain the University's pursuit and achievement of knowledge. The substance and nature of those standards properly lie within the expertise and authority of the faculty as a body." Those standards have led to the appointment and advancement of UC academics who appear on the Canary Mission site. Those standards, alone, should continue to inform the University's evaluation of scholarly work. Canary Mission's reports do not meet those standards.

Sincerely,



Eric Rauchway, Chair
UCAF

² Hank Reichman, "Another Blacklist Emerges," Academe Blog 8/1/16 < <https://academeblog.org/2016/08/01/another-blacklist-emerges/>>.

³ "University Faculty Condemn Canary Mission Blacklist."
<https://docs.google.com/forms/d/e/1FAIpQLSc_SsqroBqmKANYy1KsHobZ3DTdI9j4HjLNOk3PDx9TNzMXA/viewform>.

**Graduate Council Report:
Growing and Sustaining Graduate Student Research at UCSC**

To: Academic Senate, Santa Cruz Division:

Graduate Council continues to strongly support the longstanding UCSC goal of strengthening and growing UCSC graduate programs to achieve a proportion of graduate, specifically doctoral, enrollments commensurate with an aspiring AAU research university and our comparative sister campuses in the UC system. In 2018-19, Council established a subcommittee on graduate growth, with the goal of furthering the committee's previous work by clarifying the financial requirements of doctoral student support and communicating these to the Senate. Council hopes to 1) assist the faculty and campus in understanding the true costs of graduate education, 2) further efforts to plan strategically for graduate growth by modeling requisite financial obligations for supporting graduate research, and 3) make recommendations for funding graduate students that can translate this need for fundraising purposes. Previous Graduate Council reporting has raised some challenges to growing graduate programs linked to institutional culture, but the current Strategic Academic Planning effort has revealed a broad interest in enhancing the research profile of the campus through better campus coordination, articulation of related research foci, and the removal of barriers to fundraising. Graduate education is central to the UCSC research mission, and to fund it, we must be aware both of its actual costs and its important benefits. The enclosed report presents an analysis of the financial picture for graduate student research and education, attempting to correct for some common misapprehensions, and making recommendations for growth.

**Graduate Council Report:
Growing and Sustaining Graduate Student Research at UCSC
May 2017**

Executive Summary

- Research and Ph.D. graduate education are important parts of the UC/UCSC ecosystem, intrinsically valuable and high priorities for the campus. Research and Ph.D. graduate education provide many of benefits (economic, technical, cultural, etc.) to the campus, region, state, and the world, beyond benefits accruing to individual faculty, researchers, and students. Research and Ph.D. graduate education require resources, so growth towards 12% Ph.D. students (as has been encouraged) must be accompanied by funding to support this part of the campus and system mission.
- External grants, contracts, fellowships, and gifts can provide some of the funding needed to grow graduate programs. But there are additional costs of research that must be accounted for if growing Ph.D. graduate programs is to be sustainable.
- In particular, indirect cost recovery (ICR) that comes from extramural funding is not sufficient (on average) to cover research costs associated with Ph.D. research. Raising more funding as grants, contracts, fellowships, and gifts to support more Ph.D. research will, on average, lead to a larger ICR deficit. Based on publicly available data, Ph.D.-level research does not “pay for itself” within UCSC (or within UC overall). Other funding sources must be created and/or (re)directed to make up the gap.
- Graduate Council provides an example calculation, using real data for a faculty member in PBSCI, indicating that there is a deficit of ~40-55K/yr per Ph.D. student. This calculation is based on conditions for a specific program, but it points to a fundamental structural issue that must be addressed if UCSC is to expand Ph.D. student enrollment towards 12% of total student enrollment.
- In addition to addressing the deficit created by lack of ICR for Ph.D. research, raising external resources to support (in part) up to 12% Ph.D. students will require writing and submitting a large number of new grant proposals, about as many as were submitted in each of the last five years, for each 400 new Ph.D. students. Supporting these students will also require funds for TA positions. These are annual, ongoing needs, not addressable with one-time or short-term funding.
- The calculations presented in this report were based on a specific faculty member and program, and the calculations are readily adjusted for different expectations and conditions in different programs. We have supplied a spreadsheet that can be edited for this purpose.
- Although there are many variables and unknowns in these calculations, that should not prevent planning for growth of Ph.D. programs. UCSC frequently plans despite uncertainty. UCSC can bracket the range of potential costs for graduate growth, depending on how this growth is distributed among programs and divisions, and plan accordingly.
- Options for supporting Ph.D. growth towards 12% of enrollment may include: (a) matriculating more non-resident undergraduate students, (b) increasing undergraduate summer school enrollment, (c) developing and expanding student-paid professional/master's programs, and (d) general and focused fundraising highlighting UCSC's graduate mission in research and teaching.
- It is appropriate to address the issue of Ph.D. program growth and sustainability as UCSC considers development and implementation of a new Strategic Implementation Plan (SAP). Indeed, the SAP cannot succeed without addressing these aspirations.
- Going forward, planning for graduate growth and sustainability should be afforded the same care and commitment as is applied to consideration of faculty growth, with department and division-based assessments of needs, gaps, funding, capacity, and potential.

1. Introduction

Given the rebenching initiative that began in 2012-13, UC Santa Cruz was charged with establishing a goal of 12% doctoral-to-undergraduate enrollment percentage by 2018-19.¹ The rebenching initiative provided funds during the six rebenching years, as partial funding of aspirational doctoral growth, but did not provide long-term funding. As a result, rebenching established a need for UCSC to not simply grow doctoral programs but also to secure funding to maintain that expansion.

Although graduate growth is sometimes framed as a mandate for the campus to increase the number (and percentage) of students in a particular category, it is useful to remember what it truly means is to increase the campus's graduate population. Independent of the specific goals set by rebenching, Graduate Council believes that doctoral growth is an important need for the UCSC campus. UC is the premier research institution of the State of California, and research is a critical part of our mission.² A significant share of UC research is done by graduate students, and doctoral students in particular. But UCSC has a smaller fraction of Ph.D. students than do other UC campuses, which limits the research potential of the campus. Graduate growth is thus ultimately about extending and supporting UCSC's research capacity and mission.

In previous documents,³ Graduate Council has discussed the particular challenges of meeting the 12% Ph.D. student target. In particular, one finding of those reports was that while UCSC historically shows a linear relationship between undergraduate enrollments, in recent years, that relationship has become less predictive, as undergraduate growth has outpaced graduate growth. Graduate Council provided several specific suggestions to prioritize graduate growth, but one overall comment is worth quoting in full: "Graduate Council is concerned that without central campus leadership and a central administration-driven comprehensive strategic plan for establishing and reaching realistic doctoral and Master's growth targets, particularly given projected growth in undergraduate enrollments, the campus will continue to make insufficient progress towards achieving proportional growth in graduate enrollments." As UCSC is currently reviewing and planning for implementation of a new Strategic Academic Plan (SAP), this is a good opportunity for the campus to consider how it can construct the kind of strategic plan necessary to sustain a higher level of Ph.D. research and educational activity.

In this document, the Council comments on one specific component of a strategic plan: once this new tranche of doctoral students arrives on campus, *how will UCSC finance their activities and ensure their success?* Several avenues for raising revenue that might support doctoral programs have been suggested, some of which involve increasing undergraduate and Master's enrollments (e.g., increasing out-of-state tuition, particularly from internationalization of the campus, increasing the number of student-paid, professional Master's programs, and/or increasing online enrollments from outside UC). But the most

¹ The numerical benchmark for graduate enrollment in 2018-19 was 12% of the undergraduate enrollment in 2011-12. There is some confusion about whether the 12% goal includes various kinds of graduate students (MFA, terminal M.S. and/or M.A.). For purposes of this discussion, we assume 12% Ph.D. students, but numbers can be adjusted as needed if a different form of the 12% goal were to be applied.

² Research in this context includes all creative, knowledge-generating, and communication work outside the focused scope of teaching or service. Research occurs at UCSC across divisions, departments, and programs, from creation of new works of art, to testing of biological mechanisms, to building and critiquing theories of physical, mathematical, social, or philosophical concepts.

³ Graduate Council Statement on Strengthening and Growing Graduate Programs at UCSC, May 2017.

commonly-mentioned solution is that UCSC faculty and researchers will need to secure more extramural funding, which will support Ph.D. students as graduate student researchers (GSRs).

The implicit presumption of this strategy is that GSR support (stipend, fees, ±out-of-state tuition) “pays for” Ph.D. student costs. However, even if a grant or contract covers GSR expenses, Ph.D. students often incur additional costs associated with their research and education. As described in the rest of this report, there is a gap between extramural support⁴ and the costs of research, including research conducted by Ph.D. students.

Any practical plan for doctoral growth must address challenges of student funding, along with recruiting, admitting, and advising/mentoring Ph.D. students. Ph.D.-level research is accompanied by additional costs, so growing Ph.D. programs will require faculty and researchers (both existing and future) to write more successful proposals that will secure external funds. This much is self-evident if the research costs of doctoral students are borne primarily by external research grants, and it is responsible for the informal characterization of research grants as a source of revenue that will cover the costs of doctoral students. Correspondingly, there is sometimes the view that increasing the number and size of the campus’s research grants is akin to increasing revenue to the campus as whole.

However, for campus-wide strategic planning, it is important to be more precise. Research grants generally do *not* comprise a net benefit to UC general funds. Instead, grants are obligations associated with specific, defined activities, and generally operate on a cost-reimbursable basis. In this sense, grant funding is less a revenue stream and more accurately comparable to travel expense reimbursements. And, as traveling more does not make one wealthier because of increased cash flow (expenses, reimbursements), nor will increasing extramural funding. At best, grants are a break-even proposition. In fact, as detailed below, on average at UCSC and UC overall, grants and other external support for research require additional funding, principally because the university routinely fails to recoup sufficient indirect costs.

Ph.D. student researchers require support for many purposes, including: space, power, equipment, computers, technical assistance, travel, and materials. Much of the cost for research is billed to grants as *direct* expenses (justified, enumerated, and approved items in the budget, subject to specific grantor requirements). In addition, grants are generally accompanied by *indirect* costs, funding that supports activities and infrastructure not included in a direct research budget. The UC-negotiated indirect rate charged for on-campus federal grants is currently 54%. UC negotiates periodically with NSF, NIH, and other federal agencies and typically documents actual indirect costs on the order of 64-70%. Federal agencies acknowledge this gap, but they counter that state institutions derive benefits from research: if the state values this activity, the difference between actual indirect costs and the negotiated indirect cost rate (ICR) should be backfilled by the state.⁵ To make this situation more challenging, UCSC (and UC overall) recovers far less than 54% ICR on external grants, on average, for several reasons.⁶ The 2017-18 Office of

⁴ We refer to external funding in a generic way in terms of "grants," but it can include contracts, gifts, and other revenue sources.

⁵ Indeed, one consequence of this line of thinking is that private universities typically negotiate higher ICRs than state institutions, as they lack the state as a financier of their research activities.

⁶ These include, but are not limited to: ICR caps by various funding sources (e.g., ≤25% for state agencies, ≤10% for private sources, including foundations) and direct expenses that are excluded from indirect calculations (e.g., permanent equipment, GSR fees and tuition, subcontract expenses above 25K).

Sponsored Projects (OSP) Annual Report for UCSC notes that the campus received ~\$115 million in extramural grants and contracts, of which \$23 million was indirect, a *net ICR for UCSC of ~20%*⁷. As a consequence of the ICR deficit, \$115M in extramural grants and contracts (most of which is federal support), leaves unfunded costs of ~\$31M to \$41M (based on actual indirect costs of 54% to 65%).⁸

Thus, it is not possible to cover all of the costs associated with increasing the number of Ph.D. students with external grants alone. Each new student generates associated research expenses, and even with the support of external funds, on average these research expenses will create a budget gap. This gap must be filled by general funds or other sources that are not encumbered for other specific purposes. Few private foundations or donors will give funds that can be put into the general fund and distributed as needed to support Ph.D. graduate research or unrecovered overhead; the vast majority of such funds are targeted for specific purposes, often creating an additional ICR deficit. Nevertheless, given that Ph.D. students perform a significant share of research on campus, Graduate Council believes that there is real opportunity to make support of Ph.D. students compelling for donors. We return to this point in section 3.

One goal of this document is to try to provide a rough estimate, based on relatively simple and definable metrics, of the magnitude of the ICR deficit associated with increasing the number of Ph.D. students at UCSC. If their research is to be conducted, funds supporting this work will have to be identified and secured. Based on a better understanding of funding needs, the UCSC community can consider how the campus should prioritize doctoral growth, how that growth might be distributed among divisions, departments, and programs (each of which has its own funding requirements, some higher and some lower), and how to sustain targeted doctoral growth over the long term.

In addition, we estimate how increasing Ph.D. students impacts the number of proposals the campus will have to submit to secure needed funds. If external sources are a principal form of support for new Ph.D. students, more proposals will need to be written, and using recent rates of successful proposals, we estimate how many more proposals must be written. This can be used to calculate how many more proposals each writer (faculty or other researchers) must write, and/or how many new faculty or researchers must be hired (with additional associated costs) to achieve stated goals. Having existing faculty and researchers writing more proposals to support more students presupposes that those faculty/researchers also have capacity (personally or within each graduate group) to provide adequate mentoring, intellectual capital, editorial guidance, etc. Some growth in faculty and researchers is also expected in support of Ph.D. student growth.

Graduate Council notes that, although some of the numbers discussed below may be uncertain, the range of possible financial needs (based on each unit of Ph.D. graduate growth within each division/department/program) can be bracketed. Different groups and individual faculty members will have different funding requirements, including requirements for their Ph.D. students. One benefit of the framework shown below is that it can be applied in a consistent way to all programs and individuals, with suitable adjustments for research costs, typical time to degree, research group size, and other factors. Having

⁷ Reports documenting UCSC's external grant funding, including a breakdown of total and indirect costs, are available at the OSP website, e.g., <https://officeofresearch.ucsc.edu/osp/reports/ar2018pdf>.

⁸ Graduate Council recognizes that not all research requires this range of ICR: some research has lower indirect costs, but some has higher costs. One can quibble with the exact deficit as a percentage of each grant, but it is not 0%, and it must be millions of dollars/year based on the size of UCSC's research and grant enterprises.

a common and transparent framework for assessing potential benefits, costs, and impediments is essential for prioritizing Ph.D. graduate growth, and targeting it appropriately. This approach can be used (with modifications as needed) to develop one or more campus-wide funding models that can be prioritized, implemented, tracked, and assessed for performance. *No serious assertion that UCSC wishes to increase the percentage of Ph.D. students can be made without directly addressing these issues, setting specific goals, building a budget, and accounting for and tracking progress.*

2. The Indirect Cost Recovery Deficit

2.1 A Framework for Analysis

In this section, we present an example framework for estimating costs and impacts of growing the number of Ph.D. graduate students, including the associated ICR deficit, based on an example faculty member in the Division of Physical and Biological Sciences. After covering some of the direct costs of supporting Ph.D. graduate student research with external grants, some additional costs to UCSC come from two sources: the ICR deficit (discussed above), and other Ph.D. student expenses not covered by GSR support. The latter may include TAships for quarters when a student is not working as a GSR. We will return to TA funding in section 2.2.

The ICR deficit generated by a Ph.D. student is proportional to the direct expenses of the doctoral research. Those direct expenses include: equipment, supplies, technical support, participation in meetings/workshops, research-related travel, etc. Non-GSR direct expenses vary considerably (even between grants to a single PI), but we can estimate them in terms of the ratio of total direct costs for a set of grants to the grants' GSR expenses (the "grant-to-GSR-ratio"). This ratio can be calculated by individual, department, program, and/or division based on readily available OSP data. Based on this ratio, we can calculate the grant funding needed per new Ph.D. student as the product of doctoral GSR costs and the grant-to-GSR-ratio. The ICR deficit is the product of the total direct expenses and the ICR deficit percentage (eqn. 1):

$$\text{ICR deficit/student} = \text{ICR deficit percentage} \times \text{grant-to-GSR-ratio} \times \text{GSR expenses/student} \quad (1)$$

We calculate for demonstration purposes that supporting a typical doctoral student in one PBSCI department requires \$40K/yr in GSR expenses.⁹ This assumes two academic quarters of 50% GSR support, one quarter of TA support, and summer GSR support at 75%. For the example faculty member, the ratio of grant direct costs to GSR direct costs is ~3:1. Thus the direct costs that must be raised for each year of Ph.D. student support is \$120K. If we assume an ICR deficit rate of ~34% (i.e., assume that the federally-negotiated rate of 54% accurately reflects campus needs but that, on average, the campus still only recoups 20% across all external funding), each year of external Ph.D. student support is associated with an ICR deficit of ~\$40K. If we assume that the campus need is actually 65%, then the ICR deficit rate is ~44%, and the corresponding deficit rises to ~\$55K. In summary, for a grant that supports a single Ph.D. student for one year, charges \$120K in direct costs, and generates \$24K in ICR (based on the net recovery rate of

⁹ These costs vary by discipline, department, individual, year, etc. We should not be distracted by variability--once a common method is established, detail-correct values can be substituted as needed, from the level of individuals and single grants to divisions and multi-annual periods.

20%, based on UCSC OSP data), the campus incurs a deficit of \$40-55K. These calculations are detailed in the next section.

We note that some departments/individuals will have less expensive research requirements, but others will have higher requirements. The key message is this: *raising external funds to cover basic GSR expenses (stipend, fees±tuition) does not mean that this is all UCSC needs to support more Ph.D. students. Many (perhaps most) grants supporting a Ph.D. student incur additional, unfunded costs that must be supplied from other sources.*

2.2 Quantifying the Ph.D. Student Budget Deficit

This is an example of data used to calculate the grant-to-GSR ratio, using the grants recently secured by a current PBSCI faculty member. A similar analysis will need to be completed for other faculty, departments, and programs--this would not be difficult--and then we can calculate the total ICR deficit that UCSC will have to fill to raise Ph.D. student enrollment to 12% of students.¹⁰ We begin by estimating the average GSR fraction of direct expenses, based on five recent grants to the faculty member's lab (Table 1).

	Grant 1 (Private)	Grant 2 (Federal)	Grant 3 (Federal)	Grant 4 (State)	Grant 5 (Federal)
Direct costs	447,324	587,597	79,447	158,669	292,710
Student direct	57,041	70,481	14,115	48,522	75,470
Fringe	1,576	2,000	350	1,350	2,100
Fees/GSHIP	29,000	44,000	14,626	21,062	47,386
Subtotal student	87,617	116,481	29,091	70,934	124,956
grant-to-GSR ratio	510.5%	504.5%	273.1%	223.7%	234.3%

Table 1. Student-related expenses as a percentage of total direct costs

The final row in Table 1 is the ratio of total direct research costs to GSR expenses (stipend, fees, and fringe). The average across these five grants is 349%¹¹, which means that, for every \$1 in direct GSR support (stipend, fees±tuition) there is an additional \$2.5 in direct research costs.

Since the aim of extramurally supporting graduate growth is to fully account for actual costs, GSR support and research costs need to be supplied for each doctoral student over normative time to degree. We assume

¹⁰ Graduate Council acknowledges that some Ph.D. students require less research funding beyond GSR/fellowship, perhaps just funds to cover modest travel, publication, and computer expenses. Differences between programmatic and student needs can be accounted for in more complete divisional and campus analyses.

¹¹ This average ratio of direct costs/student support is not weighted by grant size, which would make the ratio even larger (the largest grants also have the largest ratio). Thus this calculation is conservative in terms of funds needed to support each new Ph.D. student, based on the example department and faculty member.

that doctoral students complete the Ph.D. in 5 years,¹² and they are supported yearly with two academic quarters of GSR, 1 academic quarter of TA, and a 75% GSR in the summer. Students take a QE at the end of their second year, and their GSRships are Step VI prior to qualification and Step VII after. The cost of Step VI and VII GSRships, as well as current TAs, are tabulated based on current rates and fees (Table 2).

	Acad	Acad	Summer	Summer
GSR Step	GSR VI	GSR VII	GSR VI	GSR VII
Effort	50%	50%	75%	75%
2019 rates	7,254	7,835	10,881	11,752
Fringe rate	3.0%	3.0%	2.5%	3.0%
Fringe amount	218	235	272	353
Subtotal	7,472	8,070	11,153	12,104
Fees	6,175	6,175		
Total	13,647	14,245	11,153	12,104

Table 2. Current GSR costs for Step VI and VII

Thus, a typical doctoral student in this program would require GSRships totaling \$38,446 in the first two years and \$40,593 in the remaining three, for a lifetime total of \$198,672 and a yearly average of \$39,734, or roughly \$40K a year, as noted above. The ICR deficit noted earlier is a cost to the campus *in addition to* these direct costs for student support, another ~\$40-55K per year for each Ph.D. student's research.

Two additional costs are excluded from the calculations above: (a) Non-Resident Tuition charged for the doctoral student (currently \$15,102 for three quarters; assuming this applies only in the first year, this amounts to a yearly average of \$3020), and (b) one TA quarter a year (currently, \$13,266 a quarter). With these two costs, the total that campus would need to provide increases to roughly \$55-70K annually per doctoral student.

3. Implications for External Proposals and Other Funding Sources

The \$40-55K per year Ph.D. student deficit arises mainly from (a) costs associated with Ph.D. research, beyond stipends and fees, and (b) the ICR deficit (actual costs of research compared to net ICR). Indirect costs serve a range of purposes, both at UCOP and UCSC: e.g., MRPI funding for the UC system, OSP activities on campus, etc. It may be that UCSC can operate effectively with less indirect cost support, so that a greater amount of ICR can be directed towards Ph.D. student support. For example, some ICR goes to the academic divisions and the Office of Research and is used for incentives, matching, and seed funding; perhaps this use will not need to grow in proportion to overall award growth (in association with Ph.D. student/research growth). On the other hand, OSP (which helps to prepare/submit proposals), financial management (which helps with accounting for grants and contracts), and other cost centers associated with

¹² Graduate Council notes that another way to increase Ph.D. graduate numbers, as a standing population, would be to lengthen the average Ph.D. program duration, but that is clearly not desirable for many reasons. We assume instead that the goal is to increase Ph.D. graduate degrees conferred/year, and that this is approximated by increasing the number of Ph.D. graduate students overall, with little change in normative time to completion. Different programs have different normative times to degree, so this analysis can be adjusted accordingly, program by program.

research are notoriously understaffed and underfunded. It seems unlikely that growing UCSC's research enterprise, as would be needed to add hundreds of Ph.D. students, is going to be accomplished without ramping up support for basic functions needed to support research, including seed funding, incentives, and operating costs. Stated another way, UCSC has survived for some time by deficit spending (or shifting support) for the research enterprise, and it is difficult to see how this can continue (or be expanded).

As a way of appreciating this, we consider how many new grant proposals will have to be written to support a significantly larger population of Ph.D. students. As noted above, a doctoral student in the example program requires \$40K/yr in GSRships, with a total direct budget of \$120K/yr. Assuming that a typical grant has a direct budget of \$150K/yr (consistent with the grant examples tabulated above), this means that a typical grant-year supports 1.25 Ph.D. students annually. This means that for every 10 new Ph.D. students, 8 additional grant-years of funding must be awarded annually.

Securing eight new grants requires more than eight proposals. Table 3 provides historical measures of the number and amount of proposals and awards from 2014-2015 to 2017-2018 (data at <https://officeofresearch.ucsc.edu/osp/reports/ar2018pdf>).

	2014-15	2015-16	2016-17	2017-18	Average	Success Ratio
Proposals	1008	967	1031	985	997.75	
Proposal Values (\$)	365,026,959	372,624,394	529,739,151	545,499,305	453,222,452	
Awards	732	774	687	774	741.75	74.34%
Awards Values (\$)	137,687,989	128,982,942	102885648	154,356,859	130,978,360	28.90%

Table 3. Four years of UCSC proposals and awards

The four-year average proposal yield rate is roughly 75%. Given that rate, to support 10 students (on 8 grants) requires approximately 10 new proposals. However, the four-year average *dollar yield rate* is substantially lower, roughly 30% of submissions. This means that 27 proposals must be written each year to generate 10 Ph.D. student-years of support.

At scale, these numbers become a bit more meaningful. UCSC seeks to achieve a 12% doctoral-to-undergraduate enrollment percentage. There are different ways to turn this percentage into numbers, but it seems likely that UCSC must add at least 400 new Ph.D. students to achieve the 12% goal (and some calculations that include ongoing and planned future growth would place the target at 800+ new Ph.D. students).

For each 400 new Ph.D. students, if their expenses were the same as the example discussed above, there would be a need for:¹³

¹³ There are additional costs from increasing numbers of Ph.D. students that are not accounted for in this initial analysis, including: non-research facilities, state-funded technical support, advising, health services, transportation,

- \$58M/yr in direct research costs raised with external grants
- 1300 new grant-yr proposals/yr (using current average dollar yield)
- \$25M/yr in unrecovered ICR needed to support associated research
- \$5M/yr for 400 TA positions/year @ 50%

Bringing in more than 400 new Ph.D. students would require commensurately greater resources. The funds and proposals listed above would be required *each year* to sustain the additional students. The deficit cannot be closed with a one-time or short-term infusion of resources. Once again, one can adjust these numbers based on different assumptions. This can and should be done, in a transparent way, to come up with better estimates of costs that will need to be covered to meet the 12% Ph.D. student target for the full campus. But however these numbers are adjusted, it is hard to imagine that extramural growth to support increasing the percentage of Ph.D. students in a significant way is achievable without large investments in the kinds of proposal-generation and proposal-support programs that indirect funding provides.

We have argued that the indirect deficit for each grant-supported doctoral student amounts to \$40-55K annually, based on each Ph.D. student requiring one TAship (50% rate) per year. We note that this amount is more than the cost of two TAships. It is thus worth asking whether doctoral students supported entirely via TAships are equally (or in some cases, more) costly to the campus, as is perhaps conventionally assumed. Frankly, we do not know. Students supported primarily (or entirely) on TAships are more common in the Arts, Humanities, and (to some extent) the Social Sciences. While we have attempted to estimate the indirect expenses of Ph.D. student research via external grant direct costs, all research done by graduate students leads to some costs, regardless of whether that research is supported by an external grant or not. Moreover, the costs of research vary by discipline, and there are also large variations within disciplines, and even for a single PI from project to project. Still, it may be argued that the expenses of some kinds of research are, on average, less costly than others, and a similar cost model should be developed for research that is not typically funded by external grants.

In the absence of such a model, we can ask what the research costs for such students would have to be for them to cost \$53-68K annually (the ICR deficit plus the \$13K for 1 TAship). Three TAships comes to ~\$40K, leaving \$13-28K for research costs. Some of this should be allocated to direct expenses (e.g., travel and supplies), some to summer support (recall that the PBSci calculation included a 75% summer GSR annually), and some to traditional indirect costs. Though travel and summer support vary considerably across campus, we will attempt to sketch the calculation for a typical student in the Humanities. We assume \$1K annually for travel (the rate in one Humanities department) and \$4K for summer support (the rate for THI's Summer Dissertation Fellowship, which is given out to approximately 5 students in Humanities annually). This leaves \$8-23K for indirect expenses, which is 12%-30% of the indirect expenses estimated for a PBSci student (\$65-78K). It is unclear if Humanities students have such reduced indirect expenses in practice, but if it can be shown that they do, then they may be, in fact, no more costly to the campus than a PBSci student whose support involves external funding.

ITS, and the library. We have also ignored costs of hiring more faculty and researchers to write proposals, run research projects, and advise Ph.D. students. Once again, these can also be estimated to derive a rough assessment of the marginal cost for bringing graduate Ph.D. numbers to 12% of the student population.

Thinking about graduate growth strategically, there are doubtless other (non-fiscal) reasons why it may be desirable to increase Ph.D. numbers in specific programs (demand, capacity, stature, competition with other UC or non-UC universities, social impact). Our focus in this document has been on fiscal impact, but we do not suggest that enrollment decisions be made on the basis of financial considerations alone. We hope that knowing the financial impacts will inform broader decision-making.

4. Conclusions

We have shown a template for quantifying some of the costs associated with increasing the percentage of Ph.D. students at UCSC. We hope that, in doing so, we can help the campus plan for a sustainable model of graduate (and campus) growth. Once a campus-wide analysis is completed, the whole community can understand the funding required to achieve the 12% Ph.D. student goal. The next step will be to develop a campus-wide funding model in support of planned Ph.D. growth, assigning targets to various funding sources. And specific goals should be developed for each division: how many new Ph.D. students over how much time, including a plan to provide necessary (additional) funding. Only then will UCSC have made a genuine commitment to achieving Ph.D. student growth goals that have been variously articulated in the past. The entire community can discuss this goal, including the associated funding model, and decide how best to proceed.

It may be that there are additional funding sources that can be directed towards supporting Ph.D. graduate growth, including:

- (a) matriculating more non-resident undergraduate students,
- (b) increasing undergraduate summer school enrollment,
- (c) developing and expanding *student-paid* professional/master's programs, and
- (d) general and focused fundraising highlighting UCSC's graduate mission in research and teaching.

We note that the first three of these options would comprise a transfer of expenses from UCSC's teaching mission to the research mission, and it is not clear how much "profit" can be gleaned from this approach without negatively impacting teaching goals. We suspect that much might be done with the fourth option--focused fundraising--in part because there has been little attempt to do so (at a major and sustained level) in the past. As noted at the outset of this document, research is a cornerstone of work at UC, and the graduate mission is fundamentally concerned with it.

These analyses are essential for providing standard, consistent, and transparent goals and metrics for progress as UCSC plans to move towards a greater fraction of graduate enrollment.¹⁴ Given the tremendous effort that has gone into developing the new Strategic Academic Plan, now is the perfect time to engage more directly with graduate growth goals, and to fold in these goals as the campus explores additional considerations and aspirations and sets new budget targets. It is worth considering that the campus regularly completes department-by-department and division-by-division faculty (FTE) hiring plans, looking at the

¹⁴ We have prepared a spreadsheet used to make the calculations used in this report, in the hope that more detailed assessments can be conducted. The spreadsheet can be found here: <https://docs.google.com/spreadsheets/d/1IrvSV0J7CIW-Yj1eiKU4X4vJraz74V5HEEZEI6JOvOQ/edit?usp=sharing> Please *make a copy* before editing to accommodate specific conditions in other departments, programs, and research groups.

next year and the next 5+ years. *UCSC needs to take a similarly quantitative and clear approach for planning for graduate growth.* Like increasing faculty FTE, increasing Ph.D. graduate numbers has important implications for the entire UCSC campus mission. It must be taken seriously and explored in a comprehensive way.

When we contemplate graduate growth, many times the focus is simply on the cost of the GSR/TA salary and fees. As we have attempted to show, given that Ph.D. graduate growth is inextricably linked with an increase in research, as a campus we must contemplate the real cost of dramatically increasing the number of Ph.D. student researchers. The aspirational 12% Ph.D. enrollment would qualitatively change and improve the campus research enterprise, and we must responsibly plan, both intellectually and fiscally, for that transformation. That must move us from the kind of narrow PI focus, writing individual grants to support GSRships, toward a meaningful discussion of how the campus as a whole will deal with the direct and indirect expenses that accrue with adding hundreds of bright, creative, and productive Ph.D. student researchers.

5. Recommendations

(1) Develop funding metrics for Ph.D. research, based on recent historical data, similar to that presented in this report. The process can begin with assessments by individual faculty, extended to departments/programs, and then to divisions. This should be done with a single spreadsheet template, with active links, that allows updating/editing/entry of relevant information. The spreadsheet should be kept as simple as possible, and avoid links to external sources or databases, so that entries can be seen and modified in a transparent way.

(2) State clear goals for Ph.D. enrollment for UCSC as a whole, and break down these goals by division and Department/Program. These goals should be expressed as numbers, and compared to current Ph.D. and overall student numbers, both of which can also be expressed as percentages of enrollment. This is important to avoid confusion about the meaning of goals expressed only as a percentage. In addition, when these goals are articulated, it should be stated if “12% graduate enrollment” includes MFA degrees, terminal M.S. degrees, or other graduate degrees other than a Ph.D.

(3) Results from steps (1) and (2) should be combined to calculate the approximate funding needs, division by division and campus wide, to achieve the 12% goal for graduate enrollment.

(4) Link this analysis to the development and implementation of the Strategic Academic Plan (SAP) that is currently being circulated and discussed. The SAP will require resources to be allocated for many purposes, and it is important that resources needed to achieve goals in Ph.D. graduate enrollment be included explicitly as part of these considerations.

(5) Make fundraising in support of graduate research and education a high priority in future campus development campaigns. UCSC needs to make the case that the Ph.D. graduate mission is important to our campus, the region, and the broader world. There is not likely to be a single solution for filling the funding gaps described in this report, but a robust portfolio of approaches can help to advance and sustain UCSC’s graduate research mission going forward.

(6) Having established clear goals for Ph.D. enrollment and support, set a schedule and track progress in meeting stated goals. As with consideration of faculty growth, graduate growth targets and metrics should be broken down by division and department/program. Given the many uncertainties involved in this assessment and planning process, Graduate Council expects that numbers will shift somewhat over time; this is fine. There needs to be transparency, accountability, and flexibility in achieving goals, recognizing that many factors influence applications, decisions, and enrollments in Ph.D. programs, in addition to securing funding that Ph.D. students need to be successful. A funding model is not a contract or a set of strict requirements - it presents aspirations and metrics for clarity.

Respectfully submitted:

GRADUATE COUNCIL

Pranav Anand

John Bowin

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Gina Dent, Chair

Katharin Peter, Library Representative

Roy Sfadia, Graduate Student Representative

May 7, 2019

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Legislation to Establish a Committee on Development and Fundraising, 2019

The Special Committee on Development and Fundraising (SCDF) was established September 1, 2014 and was approved to be convened through June 30, 2017. In May 2018 the Senate approved a motion to allow the Special Committee to continue through August 31, 2019 pending the presentation of this legislation to establish SCDF as a standing committee of the Santa Cruz division.

Preamble

The shift in the early 2000s to a UC budgetary model of “state assisted, rather than supported” has made each campus responsible for generating a greater portion of its revenue. Fundraising and philanthropy are thus intrinsic to UCSC’s ability to foster and maintain excellence in teaching and research. With a viable development infrastructure now in place to engage donors, foundations, industry and philanthropists, the campus needs a Senate structure to connect the faculty, who play an essential role in fundraising, to the central administration.

The SCDF is charged both with that advisory function and with strengthening faculty participation in campus fundraising, putting faculty-initiated research at the center and creating more productive partnerships between faculty and University Relations.

13.xx Committee on Development and Fundraising

13.xx.1 There are six Santa Cruz Division members. The Vice Chancellor of University Relations (VCUR) is invited to sit with the Committee.

13.xx.2 The Committee serves as a point of interface between the Academic Senate and the Administration to promote faculty engagement in campus fundraising and development as well as to collaborate with University Relations in those efforts. The Committee also consults regularly with the Vice Chancellor for Research.

13.xx.3 The Committee advises the Chancellor, Campus Provost & Executive Vice Chancellor, and VCUR on priorities, policies and strategies related to fundraising and development.

Respectfully submitted;

SPECIAL COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Sikina Jinnah, Politics

Soraya Murray, Film & Digital Media

Enrico Ramirez-Ruiz, Astronomy & Astrophysics

Susan Strome, MCD Biology

Daniele Venturi, Applied Mathematics

Alan Christy, Council of Provosts Representative

Kimberly Lau, Literature, ex officio as Academic Senate Chair

Keith Brant, Vice Chancellor of University Relations, sits with

Susan Gillman, Literature, Chair

May 3, 2019

COMMITTEE ON EDUCATIONAL POLICY
Amendment to Regulations for Chapter 6
Student Program of Studies, 2019

To: Academic Senate, Santa Cruz Division:

The Committee on Educational Policy (CEP) proposes the following changes to regulations about minimum progress for students:

- i. Allowing students to complete 35 credits in their first year instead of 36, as long as they complete 72 credits (36 per year) by the end of their second year. While 36 credits per year is the UC norm, at other campuses the standard load is 4 4-credit courses per term, so this translates to one course less than the standard load each term. By contrast, a student taking 3 5-credit courses per term could not be more than one course *per year* short of this standard.
- ii. Changing the minimum progress accounting thereafter to be on an annual basis rather than per academic term. This makes it easy to count credits completed during Summer Session as making up any shortfall in the preceding academic year, which is how Summer Session is supposed to function. It also matches our current practice.

Existing Regulations

Proposed Regulations

Existing Regulations	Proposed Regulations
6.2 Class Levels; Minimum Progress; and Denial of Enrollment.	6.2 No changes.
6.2.1 Determination of undergraduate class level is made at the end of each quarter. A student advances from freshman to sophomore standing after passing 44.9 credit hours, from sophomore to junior standing after passing 89.9 credit hours, from junior to senior standing after passing 134.9 credit hours.	6.2.1 No changes.
6.2.2.1 For undergraduate students entering UCSC fall 2001 and after: Undergraduate students are required to make Minimum Progress toward their degree by maintaining total earned credits equal to or greater than the cumulative total of (a) 36 credits for each academic year of full-time enrollment, (b) 12 credits for each additional quarter of full-time enrollment, and (c) four-fifths of the credits attempted in part-time enrollment. Credit transferred from	6.2.2.1 For undergraduate students entering UCSC fall 2001 and after: Undergraduate students are required to make Minimum Progress toward their degree by maintaining total earned credits equal to or greater than the cumulative total of (a) 36 credits 35 credits for the first academic year of full-time enrollment, (b) 72 credits for the first two academic years of full-time enrollment (c) 12

<p>other institutions upon enrollment at the University of California, Santa Cruz, is not included in Minimum Progress calculations. Satisfaction of Minimum Progress is assessed at least once each year. Continued registration of a student who does not satisfy the Minimum Progress requirement is at the discretion of the faculty of the student's college or their agents and is subject to such conditions as they may impose.</p>	<p>credits for each additional quarter 36 credits for each additional year of full-time enrollment, and (d) four-fifths of the credits attempted in part-time enrollment. Credit transferred from other institutions upon enrollment at the University of California, Santa Cruz, is not included in Minimum Progress calculations. Satisfaction of Minimum Progress is assessed at least once each year. Continued registration of a student who does not satisfy the Minimum Progress requirement is at the discretion of the faculty of the student's college or their agents and is subject to such conditions as they may impose.</p>
<p>6.2.2.2 For undergraduate students who entered UCSC before fall 2001: A full-time undergraduate student is considered to be making minimum progress toward a degree if they are progressing toward a degree as indicated in the chart below and has passed with grade P, A, B, or C at least 30 credit hours in the three most recent quarters, or if an exception has been approved in writing by the Faculty of the student's college. (EC 31 Aug 16)</p> <p>Part-time students are held accountable to the same standard of minimum progress as are full-time students, except that each 15 credit hours they attempt constitute one full-time quarter.¹</p> <p>For purposes of computing minimum progress, credit for work transferred from another institution upon admission to the University of California, Santa Cruz, will not be included. Therefore, all students entering the University of</p>	<p>6.2.2.2 No changes.</p>

<p>California, Santa Cruz, for the first time will begin the determination of minimum progress from Quarter 1. Credit for work transferred from another institution upon admission will be used, however, to determine the total number of quarters allowed for completion of the degree.</p> <p>Minimum Number of UCSC Credit Hours Completed</p> <p>Quarter (includes post-admission transfer credit)</p> <p>1 5</p> <p>2 15</p> <p>3 30</p> <p>4 40</p> <p>5 50</p> <p>6 65</p> <p>7 75</p> <p>8 85</p> <p>9 100</p> <p>10 110</p> <p>11 125</p> <p>12 140</p> <p>13 150</p> <p>14 165</p> <p>15 180</p>	
<p>6.2.3 A full-time undergraduate student will be expected to complete all requirements for a degree in no more than 15 quarters of enrollment. A part-time student will have the equivalent of 15 full-time quarters of enrollment to complete all requirements for a degree, with each 15 credit hours attempted</p>	<p>6.2.3 No changes.</p>

	<p>counting as one full-time quarter. A student who enters the University of California, Santa Cruz, with transfer credit from another institution or who transfers credit to the University of California, Santa Cruz, after entrance will be allowed an equivalent period of time for completion of all degree requirements based upon the total number of credit hours of transfer credit, with each 15 credit hours counting as one quarter.</p>
<p>6.2.4 Undergraduate students who have both passed 180 or more credit hours and accumulated 12 or more quarters toward completion of their degrees may be denied permission to enroll again at the University of California, Santa Cruz, by the provost of their college or the provost’s designee. Upon the recommendation of the college Faculty or a department’s Faculty, the provost or the provost’s designee may make exceptions for transfer students or for students pursuing programs which require them to complete more than 180 credit hours.</p>	<p>6.2.4 No changes.</p>

Respectfully submitted;
 COMMITTEE ON EDUCATIONAL POLICY
 Noriko Aso, CCI Chair, *ex officio*
 Needhi Bhalla
 Elisabeth Cameron
 Bruce Cooperstein
 Noah Finnegan
 Dongwook Lee
 Micah Perks
 Tchad Sanger
 Megan Thomas
 Onuttom Narayan, Chair

April 24, 2019

COMMITTEE ON EDUCATIONAL POLICY
Letters to Departments, Colleges and Interdisciplinary Programs, 2019

To: Academic Senate, Santa Cruz Division

This year, the Committee on Educational Policy (CEP) has been reviewing various aspects of how undergraduate programs function. As part of this exercise, the committee is sending several letters to departments, colleges, and interdisciplinary programs, with the request that they be discussed by their faculties and, in some cases, responses provided to CEP. These letters are being reported here to the Academic Senate.

Respectfully submitted;
COMMITTEE ON EDUCATIONAL POLICY

Noriko Aso, CCI Chair, *ex-officio*

Needhi Bhalla

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Joy Hagen, NSTF Representative

Lily Moser, Student Representative (SUA) (S)

Lauren Woo, Student Representative (SUA)

Manel Camps, Provost Representative

May 3, 2019

Department Chairs
Undergraduate Interdisciplinary Program Directors
College Provosts

Re: Curricular Governance

Dear Colleagues,

The Committee on Educational Policy (CEP) would like to remind faculty of the distinct responsibilities of the Academic Senate and the administration in the University of California. In particular, curricular decisions about an academic program are the province of the program faculty (corresponding to the faculty of the department that sponsors the program, except in the case of interdisciplinary programs and college programs) in their role as committees of the Academic Senate and of Senate standing committees. The faculty may delegate some of these rights to committees or to their chair. CEP usually communicates with chairs about proposed changes to their curricula on the assumption that the changes have been reviewed by the process approved by their faculty.

By contrast, decisions about resources, e.g. which courses are offered and who will teach them (the Curriculum and Leave Plan) are made by the administration and academic units with resources, typically departments and colleges. This is in consultation with the faculty and Senate where appropriate, in accordance with the principles of shared governance and the provisions of CAPM 312.245.

CEP is requesting all department, interdisciplinary program and college faculties to discuss which parts of their role in undergraduate curricular governance they wish to delegate, and **inform CEP when they submit their program statements for 2020-21**. The faculty may choose to categorize the aspects of curricular governance as they wish. Possible categories are not limited to but include i) changing the prerequisites for a course, ii) changing the content of a course, iii) sponsoring a new course, iv) changing the requirements for degrees and minors, and v) waiving degree or major qualification requirements for individual students who appeal. For each category, the faculty can decide whether to delegate authority to a committee, delegate authority to the chair, or (the default) retain authority themselves. If questions emerge about what matters are in the purview of program/department faculty and which are of administration, please contact CEP for clarification.

As part of this discussion, it would be useful for the faculty to consider the appropriate role for online courses in their undergraduate curriculum. Such decisions are often made on a course by course basis, yet the more significant considerations may not be those having to do with an individual course, but rather the overall role of online courses in a program. Faculty are encouraged to discuss whether there are types of courses in their curriculum that could be likely enhanced with online components or might be most successfully taught online, versus whether there are types of courses in which face-to-face instruction is particularly important, and what the balance between face-to-face and online courses offered in a given year should be. Faculty may choose whether or not to adopt any department policy regarding such questions, and if so what the policy would be. We simply wish to ensure that faculty have the opportunity to consider such questions and reach deliberate decisions. As background, it may be useful to know that the systemwide Senate is discussing when and under what conditions fully online undergraduate programs would be appropriate, and that on our own campus this year, after seeking feedback from the Senate, CEP approved a policy where — with exceptions allowed

— courses that are **required** for academic programs must have **no more than 50% of the seats offered during the academic year be fully online.**

In sum, we encourage faculty to collectively take a moment to reflect on their curriculum, and ask them to agree upon and articulate the program policies regarding it, including whether and how decisions regarding it might be delegated.

Respectfully submitted;
COMMITTEE ON EDUCATIONAL POLICY
Needhi Bhalla
Elisabeth Cameron
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Onuttom Narayan, Chair

May 3, 2019

COMMITTEE ON EDUCATIONAL POLICY
Facilitating Student Mobility and Increasing Enrollment

To: Department Chairs, Undergraduate Interdisciplinary Program Directors

Dear Colleagues,

This year, the Committee on Educational Policy (CEP) and the Committee on Planning and Budget (CPB), with assistance from the administration and Institutional Research and Planning Services (IRAPS), are trying to identify academic programs that have inadequate resources for the number of students they educate, even if they have not been formally designated as ‘impacted’.

The other side of the equation is that some departments would be able to teach more students than they currently do, and may be eager to attract more students. As shown in the appendix to this letter, the enrollment and number of majors in various divisions has changed dramatically over the years. Within each division, there is further non-uniformity.

Aside from the departmental and faculty perspective, there is an advantage for students if they have the scope to explore majors they may not have considered at first. Many students migrate from one major to another, because they discover that they are more interested in or better at a major that was not their original choice. It is in the students’ best interests if they can try out these options sooner rather than later. As mentioned in our letter about major declaration and timely graduation, we will try to construct major planners (for groups of majors where possible) with a reasonable number of vacant slots in the first year.

Some of the suggestions in our letter about career opportunities and the Career Center (and the College Scholars Program) can draw more students to a major. **For departments that wish to attract greater enrollment**, we offer the following ideas, none of which are intended to lay down new mandates, but which may be worth considering:

- a. (For programs that are not associated with courses students take in high school, and which would therefore be unfamiliar for them.) Consider providing written materials for college advisors to guide students. The college core courses can also serve as a vehicle to familiarize students with such programs.
- b. Work with the top feeder community colleges for UCSC to see how to get their students to apply in larger numbers.
- c. Articulate courses better, and recommend what courses a prospective student should take to do well at UCSC (even if they are not articulated), so that they can be confident about where they stand before applying.
- d. Team-teach general interest courses, with faculty from STEM disciplines partnering with other divisions. (Issues about the sharing of resources and accounting will have to be worked out by the administration before this can be successful.)

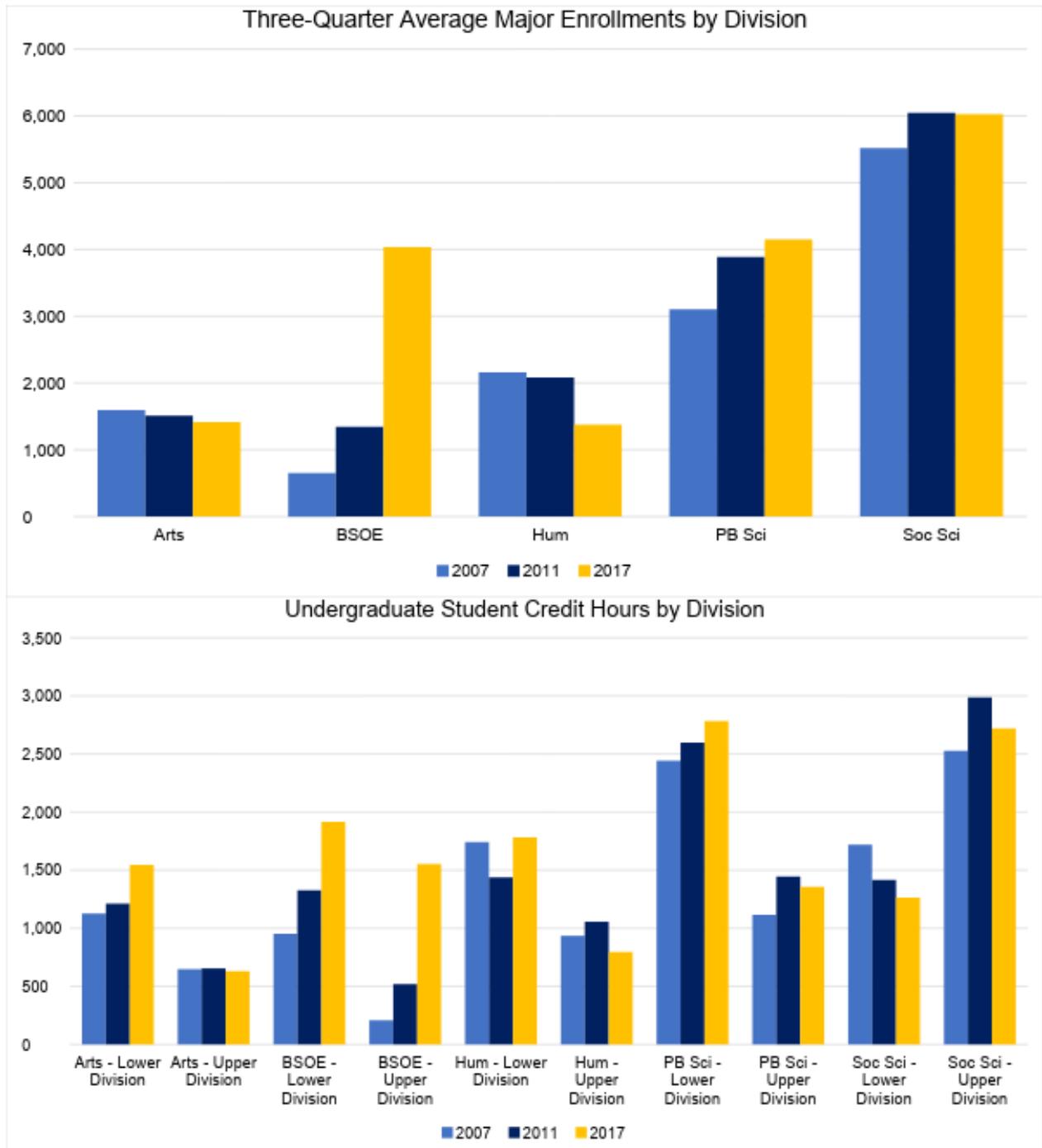
- e. Collaborate with impacted programs to see if some courses — e.g. in ethics or disciplinary communication — could be taught by other academic units, or if combined majors could be developed.
- f. Create minors (and advertise existing minors) that, in combination with our existing majors, could enhance a student’s career prospects substantially.

We welcome feedback and other suggestions from interested departments. The published version of this letter, on our website, will be updated if we get feedback with important new ideas.

Respectfully submitted;
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May 03, 2019

APPENDIX



COMMITTEE ON EDUCATIONAL POLICY
Student Progress Toward Degree

To: Department Chairs, Undergraduate Interdisciplinary Program Directors

Dear Colleagues,

The Committee on Educational Policy (CEP) would like to thank departments, especially departmental staff, for their patience during the transition to the new catalog system. Although far from apparent from the catalog editor, we believe that the published catalog will be much more convenient for students, advisors, and all other users. For next year, we will ask the Curriculum Management Group in the Registrar's Office to try and implement various changes to make the editor easier to use.

This year, CEP has been looking into issues related to students' progress to degree, which is an area that the state legislature is interested in. UC Santa Cruz has considerable room for improvement, and has drawn the attention of the Office of the President in this regard. CEP can take some modest steps, but ultimately the most useful steps can only be taken by academic programs.

We request your **undergraduate curriculum committee** or equivalent examine your curriculum for bottlenecks, such as courses with a high failure rate that may be possible to teach differently, or a Fall-Winter-Spring (and Summer) set of course offerings that could be optimized better. Institutional Research and Policy Studies (IRAPS) can provide the names of students in your programs who have graduated late or (if the major has a qualification policy) had difficulty with declaring a major, so that you can examine some of their transcripts individually and identify the most common patterns.

In particular, we request:

- all programs for which major declaration rates by the fall of the junior year are less than 67% (see Appendix 1 to this letter)¹
- all programs for which the percentage of students not graduating with *any* degree in four years for [frosh](#) or two years for [transfer](#) students is more than 1.15 times their divisional average.¹
- to **inform us during program statement review for 2020-21** about the steps they are taking to improve the situation. Other programs are welcome to carry out a similar analysis if they wish to do so.

We wish to be clear that we are not suggesting that major requirements be reduced unnecessarily; our degree programs must meet disciplinary standards.

In addition, we are requesting **all departments with programs that have major qualification policies** to:

¹ Except when there are 10 students or less in the program, since the percentages have large uncertainties.

- work with their divisional curricular analysts² to try to develop reports that find students who are proposed in their majors and who have completed their major qualification courses but are not eligible to declare³. The report can be run every term, and students who are not eligible can be informed by the department that they have to appeal to get into their major. If they do not appeal or if the appeal is rejected, their status may be changed to Undeclared. This will discourage students from pursuing a major that they have very little chance of succeeding in for too long.
- collect data for each quarter, fall 2019 through spring 2020, about appeals received:
 - i) what aspect of the MQ requirements did the student not satisfy?
 - ii) when was the appeal received, and when was it responded to?
 - iii) was the appeal accepted, denied, or conditionally accepted?
 - iv) if it was conditionally accepted, what conditions were placed on the student?

1. Major Declaration

Major declaration data for every major is provided in Appendix 1 to this letter. Of the students who entered UCSC as frosh in Fall 2015, proposed in various majors, it shows the number of students who were declared in *some* major⁴ by the end of Fall 2017 (this captures students who are allowed to complete their major qualification courses in their sixth term), the number of students who were still undeclared, and the number of students who had left the university.

Apart from the School of Engineering, where it is possible that the first-year gating policy introduced in Fall 2017 will improve the statistics at the end of Fall 2019, and excluding the Humanities Division which does well, the other three divisions all show **approximately 28% of students are either undeclared or have left the university**. Improving this statistic would be highly desirable.

In addition to the program-specific analysis that we have requested some programs to conduct earlier in this letter, CEP will take the following steps:

- Try to align major planners in related programs with each other, so that students who are undecided about their exact major will not be pulled in various directions.
- Try to ensure that there are at least a few free slots for the first year in major planners, so that students have a chance to explore other majors and see what suits them the most.
- Ask departments to streamline the major qualification process. **The draft policy is provided in Appendix 2 to this letter, including actions requested of departments, and we invite comments.**

CEP has decided about the kind of data it will request from IRAPS to review major qualification policies, and will start doing so in 2019-20.

² The Division of Undergraduate Education will provide assistance if needed.

³ Departments may also include students who have not completed major qualification courses but are already ineligible to declare in the report, and advise them what they would have to do in order to be accepted into the major by appeal.

⁴ A student who entered UCSC as proposed in Major X and changed to proposed/declared in Major Y is counted against Major X. Thus programs into which students migrate from other majors in their sophomore or junior year do not look bad as a consequence of the migrants.

2. Time to degree

A related issue is our four-year graduation rates. The Office of the President compared our four-year graduation rate with what would be expected for a similar group of students at the other UC campuses, based on data from all campuses. On this measure, UCSC is below expectations. Examining the data for students by their proposed major at the time of matriculation at UCSC, with majors grouped into categories, we see in Appendix 3 that the physical sciences are the only group where we are below expectations. **A much bigger problem is with students who are not proposed in any major at the time of matriculation,** and we are in discussions with the Vice Provost and Dean of Undergraduate Education about this.

As mentioned earlier in this letter, data for each major are available from IRAPS. These show that not all majors within a group are uniform. Hence, our request for action by program faculty is major-specific. CEP will also consider next year if any changes are needed to its policies and to campus practices, or if the Division of Student Success can help to identify students facing difficulties.

Respectfully submitted;
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May 03, 2019

APPENDIX 1

“Retained and declared” counts all the students who declared *some* major by the end of Fall 2017, regardless of whether it was their original proposed major; “Retained and not declared” counts students who did not declare any major by the end of Fall 2017 but were still at UCSC; “Not retained” counts students who left UCSC by the end of Fall 2017. This ensures that majors into which students migrate are not counted as having a large number of undeclared students.

FROSH ENTERING FALL 2015							
Program at Admissions vs Declaration Status at end of Fall Quarter 2017							
Report: Frosh Fall 2015 Declaration Rates by end of Fall 2017							
- Major Declaration Status at End of Fall Quarter 2017 -							
PROGRAM AT ADMISSIONS	Overall Count	Retained & Declared		Retained & Not Declared		Not Retained	
		Count	%	Count	%	Count	%
Arts Division	146	104	71.2%	6	4.1%	36	24.7%
Art	18	13	72.2%	1	5.6%	4	22.2%
Film & Digital Media	86	64	74.4%	4	4.7%	18	20.9%
Hist. of Art & Visual Culture	8	7	87.5%		0.0%	1	12.5%
Music	13	6	46.2%		0.0%	7	53.8%
Theater Arts	21	14	66.7%	1	4.8%	6	28.6%
School of Engineering	841	554	65.9%	127	15.1%	160	19.0%
Bioengineering	118	69	58.5%	23	19.5%	26	22.0%
Bioinformatics	9	8	88.9%	1	11.1%		0.0%
Comp Sci: Comp Game Design(BS)	123	78	63.4%	23	18.7%	22	17.9%
Computer Engineering	145	85	58.6%	32	22.1%	28	19.3%
Computer Science (BS)	314	226	72.0%	26	8.3%	62	19.7%
Electrical Engineering	57	36	63.2%	8	14.0%	13	22.8%
Network and Digital Technology	2		0.0%	2	100.0%		0.0%
Robotics Engineering	57	39	68.4%	10	17.5%	8	14.0%
Technology & Info Management	16	13	81.3%	2	12.5%	1	6.3%
Humanities Division	131	103	78.6%	9	6.9%	19	14.5%
Critical Race & Ethnic Studies	2	2	100.0%		0.0%		0.0%
Feminist Studies	10	7	70.0%		0.0%	3	30.0%
German Studies	1	1	100.0%		0.0%		0.0%
History	29	23	79.3%	1	3.4%	5	17.2%
Language Studies	9	7	77.8%		0.0%	2	22.2%
Linguistics	16	15	93.8%		0.0%	1	6.3%
Literature	52	38	73.1%	7	13.5%	7	13.5%
Philosophy	10	9	90.0%	1	10.0%		0.0%
Spanish Studies	2	1	50.0%		0.0%	1	50.0%
Physical and Biological Sciences Division	987	714	72.3%	95	9.6%	178	18.0%
Applied Physics	4	3	75.0%		0.0%	1	25.0%
Biochem & Molecular Biology	88	58	65.9%	11	12.5%	19	21.6%
Biology (BA)	25	17	68.0%	3	12.0%	5	20.0%
Biology (BS)	257	191	74.3%	23	8.9%	43	16.7%
Chemistry	70	54	77.1%	7	10.0%	9	12.9%
Earth Sciences	22	14	63.6%	2	9.1%	6	27.3%

Earth Sciences/Anthropology	3	2	66.7%		0.0%	1	33.3%
Ecology and Evolution	21	16	76.2%		0.0%	5	23.8%
Human Biology	150	115	76.7%	14	9.3%	21	14.0%
Marine Biology	104	74	71.2%	12	11.5%	18	17.3%
Mathematics	59	44	74.6%	4	6.8%	11	18.6%
Molecular, Cellular & Devl Bio	30	22	73.3%	3	10.0%	5	16.7%
Neuroscience	65	38	58.5%	7	10.8%	20	30.8%
Physics	27	18	66.7%	3	11.1%	6	22.2%
Physics (Astrophysics)	55	41	74.5%	6	10.9%	8	14.5%
Physics Education	1	1	100.0%		0.0%		0.0%
Plant Sciences	6	6	100.0%		0.0%		0.0%
Social Sciences Division	774	556	71.8%	61	7.9%	157	20.3%
Anthropology	32	23	71.9%	3	9.4%	6	18.8%
Business Management Economics	185	115	62.2%	16	8.6%	54	29.2%
Cognitive Science	34	29	85.3%	1	2.9%	4	11.8%
Community Studies	6	4	66.7%		0.0%	2	33.3%
Economics	56	40	71.4%	6	10.7%	10	17.9%
Economics / Mathematics	16	9	56.3%	3	18.8%	4	25.0%
Environmental Studies	51	39	76.5%	4	7.8%	8	15.7%
Environmental Studies/Biology	23	19	82.6%	2	8.7%	2	8.7%
Environmental Study/Earth Sci	14	9	64.3%	2	14.3%	3	21.4%
Environmental Studies/Economics	8	5	62.5%	1	12.5%	2	25.0%
Global Economics	11	8	72.7%	1	9.1%	2	18.2%
Latin Amer Studies/Politics	2	1	50.0%		0.0%	1	50.0%
Latin Amer Studies/Sociology	1	1	100.0%		0.0%		0.0%
Latin American & Latino Study	4	4	100.0%		0.0%		0.0%
Legal Studies	22	18	81.8%		0.0%	4	18.2%
Politics	68	53	77.9%	6	8.8%	9	13.2%
Psychology	166	130	78.3%	6	3.6%	30	18.1%
Sociology	75	49	65.3%	10	13.3%	16	21.3%
Undeclared	748	508	67.9%	91	12.2%	149	19.9%
Grand Total	3,627	2,539	70.0%	389	10.7%	699	19.3%

APPENDIX 2

Proposed CEP Policy to Simplify Major Declaration and Improve Declaration Statistics

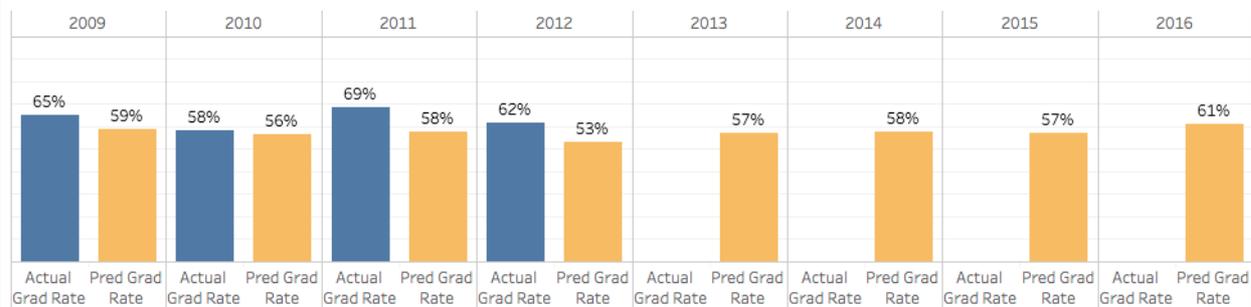
1. a) If a student in a proposed major tries to declare when the campus declaration deadline is imminent (i.e. in their sixth quarter, for students admitted as frosh), programs have to either allow them into the major, deny them admission, or set conditions (e.g. completion of some courses with certain grades) that will be resolved within at most one more enrolled quarter, even if they have not completed major qualification (MQ) courses.
- b) If a student completes major qualification courses but does not meet the major qualification criteria, and appeals, the department may accept or reject the appeal or place conditions on the student that will be resolved within at most one more enrolled quarter.
2. Conditions placed on students appealing MQ ineligibility must be based on courses that fulfill requirements for the major. Conditions must present a feasible enrollment plan for the quarter.
3. Departments may require students to complete non-course requirements (e.g. meet with a faculty member, or attend a workshop) before they can declare the major. They may also require that students complete the *course requirements* to declare the major by the campus declaration deadline. If some of the non-course requirements remain incomplete by the deadline, the student must be allowed to declare the major in the next academic term (excluding summer), without appeal.

APPENDIX 3

Four-year graduation rates for UCSC frosh by proposed major at the time of matriculation. The actual graduation rate is compared to a prediction for the student body in each discipline, based on the graduation rates for similar students at other UC campuses.

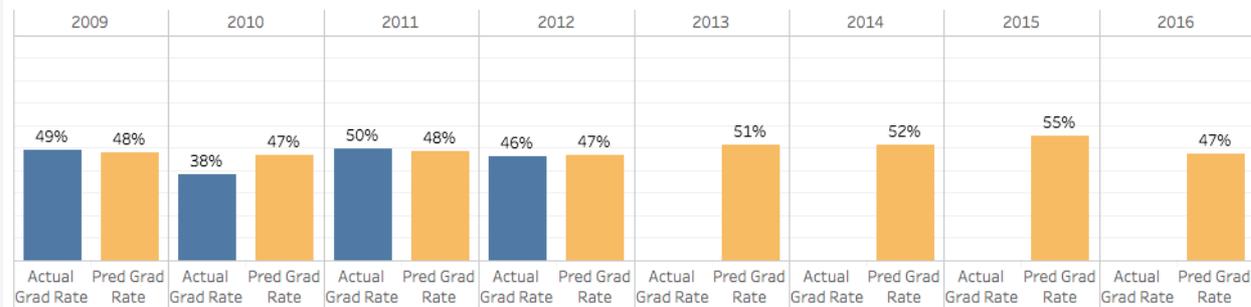
Arts

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



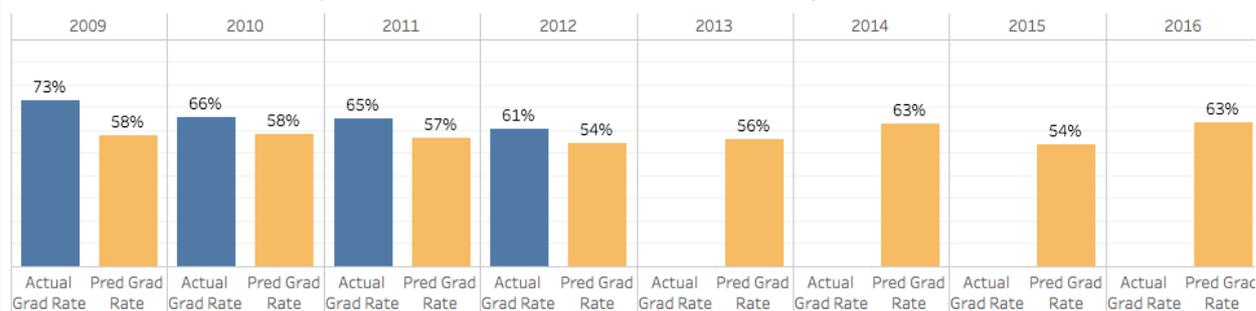
Engineering

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



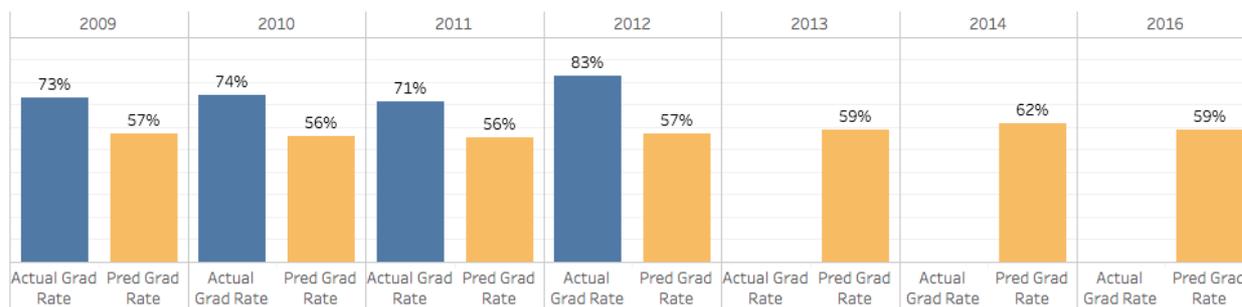
Humanities

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



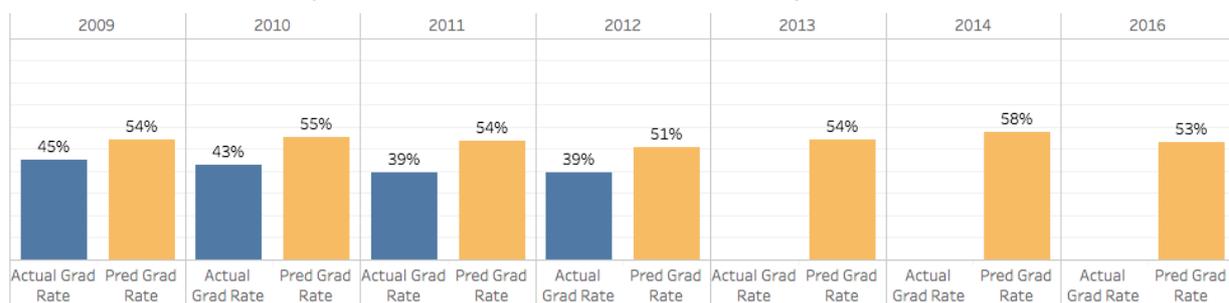
Life Sciences

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



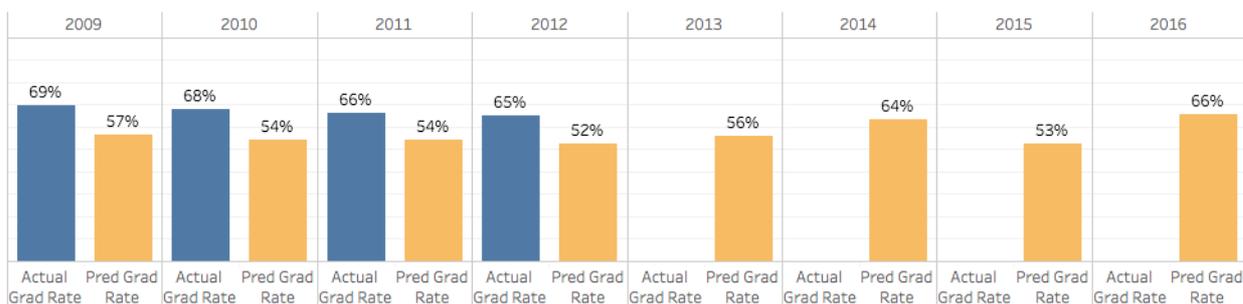
Physical Sciences

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



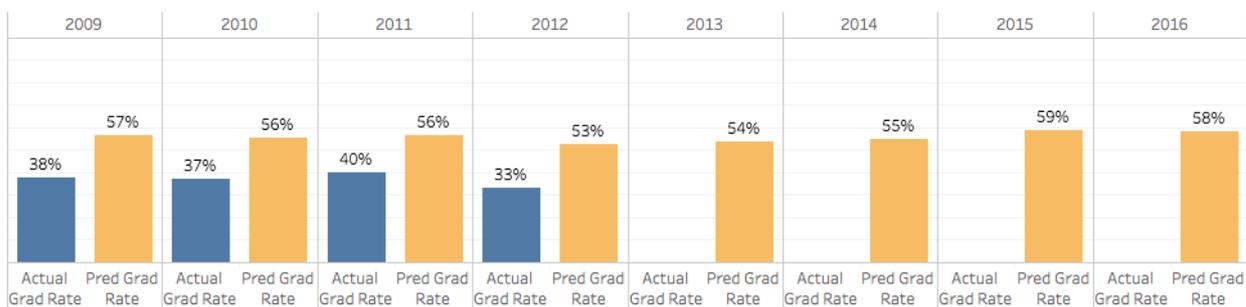
Social Sciences

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



Undeclared

4 Year Graduation Rates (excluding intercampus transfer degrees): Actual vs. Predicted*



COMMITTEE ON EDUCATIONAL POLICY
Proposed and New CEP Policies, May 2019

To: Department Chairs, Undergraduate Interdisciplinary Program Directors, and College Provosts

Dear Colleagues,

The Committee on Educational Policy (CEP) has been updating the policies published on its website. This is an ongoing process, because old policies were not always organized systematically (or even published), and new policies are being approved. We invite faculty to check our [website](#) for policies that are relevant to them. This is being circulated to provide the faculty with information and an opportunity to comment on the draft W policy (see next paragraph), but **no response is required**.

CEP is proposing to amend the policy regarding Withdrawal (W) grades. At present, students can only withdraw from courses until the end of the sixth week of instruction in a term, unless they present proof of emergency circumstances. This results in considerable workload for college advisors and for Counseling and Psychological Services (CAPS) near the end of each term. In its meeting of February 20, 2019, the Academic Senate approved that students would be able to change the grading basis for their courses (P/NP or letter grade) until the end of the ninth week of instruction. Keeping this in mind, CEP proposes to **allow students to choose a NP grade in a course after the sixth week⁵ and until the end of the ninth week of instruction**. We invite comments from departments about this proposal by the end of Spring 2019. (See Appendix 1 to this letter.)

Although not yet published, we would like to draw attention to the approved policy regarding grading and the use of entry quizzes, which states that the **grading policy for any course should be provided to students in the syllabus that is distributed at the beginning of the term**, and that entry quizzes to disqualify students from a course — which are effectively late prerequisites — can only be used with permission from the Committee on Courses of Instruction (CCI) and must be included in the course description in the General Catalog. This policy is provided in Appendix 2 to this letter, and will be published during the summer.

An update to the **Closed Week Policy** that clarifies the special conditions on the final week of instruction has been published. (See Appendix 3; modified section highlighted.) Many faculty are not aware that there are constraints on what examinations and related tasks can be assigned for this week. Please consider distributing the policy to faculty or announcing at a faculty meeting.

Other steps we have taken are not directly relevant for departments and are therefore not being put to you for comments, but will reduce petitions and make them more efficient for students and advisors. These are

- A more flexible interpretation of the systemwide Senior Residency policy. Along with this change, if a variance to systemwide regulations that has been requested by the

⁵ Students would continue to be able to obtain W grades in courses through the end of the sixth week, and this would not require consultation with college advisors. Advisors will monitor and counsel students who make excessive use of W grades.

Division is approved by the Assembly of the Academic Senate, petitions for waivers of the senior residency policy should be rarely sought and will not be granted except in unanticipated circumstances.

- Repeal by the Senate of the regulation allowing students to petition to graduate with 178 credits.
- Abolition of the IP (In Progress) grade for courses.
- Requesting Information and Technology Services (ITS) to change the default grading basis for undergraduates in graduate courses from P/NP to letter grade, to comply with Senate regulations. Together with automatic processing by the registrar's office when students request a retroactive change to the grading basis in certain specific situations, we expect that petitions to change the grading basis for a course will no longer have to be entertained.
- Stating explicitly in Senate regulations that CCI can consider petitions to extend the deadline to complete the Entry Level Writing Requirement and the Composition (C) requirement, and that petitions for general education substitutions go directly to CCI instead of through the colleges.

A draft policy regarding the major declaration process (for programs with a major qualification policy) is being sent to you in a separate letter.

Respectfully submitted;
COMMITTEE ON EDUCATIONAL POLICY
Needhi Bhalla
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Onuttom Narayan, Chair

May 3, 2019

APPENDIX 1

DRAFT: CEP Policy regarding W grades

1. W grades will be available to students until the end of the sixth week of instruction without any action on the part of college advisors. If feasible, this will be implemented by allowing students to ‘drop’ a course in the Academic Information System (AIS), but when the drop happens after the third week of instruction, it will be recorded on the student’s transcript as a W.
2. After the end of the sixth week and until the end of the ninth week, students will still have the option to ‘drop’ a course, but this will be recorded as a NP grade. Thereby, there will be no consequence to the student’s GPA but the impact on major qualification policies will be the same as with a standard non-passing grade. As per Senate Regulation 782 and its local counterpart, this option has to be limited to students in good academic standing.
3. Emergency W grades will continue unchanged: requiring documentation (which will be from doctors in case of a medical emergency) and approved by colleges.

APPENDIX 2

CEP & CCI Policy Regarding Grading Scheme and Use of Entry Quizzes

CEP and CCI have conferred on the use of an entry assignment or exam of baseline knowledge during the first week to bar or disqualify a student from taking the rest of the course. This kind of entry exam or assignment essentially functions as a prerequisite; therefore, placement exams and initial assignments that do not bar a student from a course are distinct from the above. The committees have agreed that such practice is generally not advisable, and is not acceptable if the exercise is not specified in the syllabus as part of a clearly structured grading scheme.

The grading scheme in a course should be clearly specified in the syllabus that is distributed at the beginning of the course.

If there are unusual circumstances that make such practice necessary for effective instruction of the course, the case should be explicitly made during the initial course approval process. If the practice has been introduced after initial course approval, application for approval of this major change should be made. CCI is generally not inclined to accept this practice if used to determine students’ right to stay in a course in which they have already enrolled, having satisfied any prerequisites. If CCI approves this practice for a particular course, then the information must be included in the course catalog.

Revised Winter 2019

APPENDIX 3

CEP Policy Regarding Final Examinations and Closed Week

Final Examination Policies

Final examinations are required in all undergraduate courses unless the department or other agency sponsoring the course has obtained permission from the Committee on Educational Policy to evaluate students in another manner. Final examinations are only given during the examination-week period at the time announced in the Schedule of Classes, usually in the same room used for class meetings during the quarter. No change in the time or date of a final examination may occur unless the course sponsoring agency has obtained the approval of the Committee on Courses of Instruction (CCI). Requests must be received by CCI not later than the first week of the quarter in which the course is occurring. Completion or submission of final examinations or papers for undergraduate courses is not allowed during the regular term’s period of instruction, including the closed week before final examinations. When finals are administered (not during week 10), they must be completed at the scheduled examination time and may not require more than the scheduled three-hour time block. If a take-home examination is not assigned until the week designated for final examinations, it cannot require more than three hours to complete.

To avoid three final examinations on the same day, students may want to consider the final exam schedule when enrolling in courses.

Instructors may bar students from taking the examination if they arrive late. If a student misses an examination due to an unavoidable emergency, the instructor may agree to give an Incomplete and schedule a makeup examination provided that the student's work is passing up to that point. When a final examination is one of the regular requirements in a course, no one taking the course may be individually exempted from it. Travel plans for vacation are not an emergency, and should not be made without checking the final examination schedule.

Closed Week

No examinations, tests, assignments, papers, final projects or final performances that result in more than 12.5 % of the final grade (other than individual makeup exams) may be given during the last week of instruction. This does not include the collection of materials produced throughout the quarter, such as final portfolios.

Examination Retention

An instructor may release to individual students the original final examinations (or copies). Otherwise, the instructor will retain final examination materials at least until the end of the next regular term. During that time students will be allowed to review their examinations.

Religious Observance for Tests and Examinations

Given the diversity of religious practice within the campus community, academic and administrative units are encouraged to make reasonable accommodation when the schedule of a required campus event conflicts with an individual's religious creed. It is the official policy of the University of California, Santa Cruz, to accommodate, without penalty, requests for alternate test or examination times in cases where the scheduled time for the test or examination violates a student's religious creed, unless the request cannot be reasonably accommodated.

Requests to accommodate a student's religious creed by scheduling tests or examinations at alternative times should be submitted directly to the instructor in charge of the course as soon as possible after the test or examination is announced. Students who are unable to reach a satisfactory arrangement with the instructor should consult the head of the unit sponsoring the course. If the unit head feels that the request cannot be reasonably accommodated, the unit head should consult with the Dean of Graduate Studies or the Dean of Undergraduate Education as appropriate.

Accommodations for Disability

Students with documented disabilities that require examination modifications will be accommodated in compliance with state and federal laws. Reasonable accommodations will be made based on recommendations from the Disability Resource Center

In response to recent inquiries from faculty, CEP would also like to clarify the policies regarding the scheduling of final examinations. The final exam schedule is determined by the Registrar in consultation with course-sponsoring units. The final exam for each course is scheduled for a specific three-hour block, with only thirty minutes to one hour between exams. Students frequently have two or more final exams in a single day.

Three hours represents the maximum duration of an exam given to students without testing accommodations approved by the DRC (see below). However, faculty are permitted to give a shorter final examination if they wish to do so, as long as the starting time and length of the exam is clearly stated in the course syllabus distributed at the beginning of the quarter. By choosing to give shorter examinations, instructors can reduce the burdens placed on students who have multiple exams in one day.

It should also be noted that, in some cases, students with documented disabilities are given extra time to complete exams by the Disability Resource Center. CEP understands the necessity of these accommodations: these students have documented disabilities that are independently diagnosed. Nonetheless, scheduling final exams for students who require extra time to complete an exam poses clear logistical challenges. Departments and divisions must find rooms and proctors for these exams, and, depending on the nature of the DRC accommodations, the students taking these exams may spend a great deal of time taking final examinations. This problem, too, could be made somewhat less severe by scheduling shorter exams.

If an instructor were to decide to give a shorter exam he or she must be explicit about the length of the exam in writing and enforce it when given; if an exam is to be two hours, for example, then students should be informed

of this on the syllabus, and any students who do not require an accommodation must have their exams collected after two hours. If a student is allowed to take twice the amount of time to complete an exam due to a disability, this would be twice the time relative to the amount of time allotted to a student without an accommodation. Thus, if a student is allowed to take twice as long to complete a test, and the exam is announced as a two-hour exam, then he or she could be given four hours (rather than six) to complete the final examination.

Revised March 2019

COMMITTEE ON COMMITTEES
Committee Nominations for 2019-20

To: Academic Senate, Santa Cruz Division

Santa Cruz Division of the Academic Senate

2019-20 Committee Membership

OFFICERS

Kimberly	Lau	Chair
David	Brundage	Vice Chair
Amanda	Smith	Secretary
Don	Potts	Parliamentarian

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Janette	Dinishak	Assembly Rep.
David	Brundage	Assembly Rep.

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David	Brundage	Vice Chair
Amanda	Smith	Secretary
Janette	Dinishak	Assembly Rep.
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Rita	Mehta	(CAFA)
Onuttom	Narayan	(CEP)
Elizabeth	Abrams	(CAAD)
Julie	Guthman	(P&T)
Paul	Roth	(COR)
Lynn	Westerkamp	(CAP)
Don	Smith	(GC)
Bruce	Schumm	(CPB)
Hourigan	Jeremy	(CIE)

ACADEMIC FREEDOM (CAF)

Jessica	Taft	Chair
Tania	Merchant	
Christopher	Connery (W&S)	
Michael	Dine	
Robin	King	
Nathan	Altice	

ACADEMIC PERSONNEL (CAP)

Lynn	Westerkamp	Chair/UCAP Rep
Junko	Ito (W&S)	
Amy	Beal	
Dan	Selden	
Dan	Wirls	

Scott	Oliver
Stefano	Profumo
John	Musacchio
Eileen	Zurbriggen
Laurie	Palmer

ADMISSIONS & FINANCIAL AID (CAFA)

David	Smith	Chair
Poblete	Juan	BOARS Rep
Dobkin	Carlos	
Taylor	Jennifer	
Laura	Giulian	
Shaowei	Chen	
Wang	Hongyun (W)	

AFFIRMATIVE ACTION & DIVERSITY (CAAD)

Elizabeth	Abrams	Chair
Nicholas	Davidenko	
Marcella	Gomez	
Dee	Hibbert-Jones	
William	Sullivan	
Ryan	Bennett (F&W)	
Kristy	Kroeker (S)	

CAREER ADVISING (CCA)

Judy	Scott	Chair
Anna	Friz (F&S)	
Carrie	Partch	
Michael	Wehner (F&W)	

COMMITTEE ON COMMITTEES (COC)

Rick	Prelinger
Micah	Perks
Matt	McCarthy
Judith	Habicht Mauche
Luca	De Alfaro

COURSES OF INSTRUCTION (CCI)

Lindsay	Hinck	Chair
Narges	Norouzi	
Kevin	Karplus (W&S)	
Albert	Narath	
Yat	Li	
Cecilia	Rivas	
Juned	Shaikh	
Amanda	Rysling (F)	

EDUCATIONAL POLICY (CEP)

Onuttom	Narayan	Chair
Matt	Wagers	
Pradip	Mascharak	
Ronnie	Lipschutz	
Dongwook	Lee	
Richard	Montgomery	
Kate	Edmunds	
Elisabeth	Cameron	
Tonya	Ritola	

EMERITI RELATIONS (CER)

Chair

FACULTY RESEARCH LECTURE (CFRL)

Seth	Rubin	Chair
Barbara	Rogoff	
Lise	Getoor	
Ronaldo	Wilson	
Kathy	Foley	

FACULTY WELFARE (CFW)

Grant	McGuire	Chair
Su-hua	Wang	
Tesla	Jeltema (W&S)	
Nico	Orlandi	
Gabrielle	Elkaim (W&S)	
Thorne	Lay	
Vilashini	Cooppan	
Jennifer	Parker (F&S)	
Yishu	Chen (W&S)	

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John	Bowin	
Edward	Shanken (F&W)	
Andy	Fisher	
Suresh	Lodha (F&S)	
Alex	Pang (F&S)	
Danny	Scheie	
Nameera	Aktar (F&W)	
Banu	Bargu	
Athanasios	Kottas (W)	
Longzhi	Lin (W)	
Sharon	Daniels (S)	

INFORMATION TECHNOLOGY (CIT)

Hamid	Sadjadpour (F&W)	Chair
Leila	Takayama	
Josh	Stuart	
Zac	Zimmer	
Jerome	Fiechter	
Chris	Edwards	
Hiroshi	Fukurai	
Benedict	Paten	

INTERNATIONAL EDUCATION (CIE)

Hourigan	Jeremy	Chair
Rebecca	Braslau	
Matt	Sparke	
Camillo	Gomez-Rivas	
Nina	Treadwell	
Lars	Fehren-Schmitz	

LIBRARY AND SCHOLARLY COMMUNICATION (COLASC)

Jin	Zhang	Chair
Justin	Marion	
Chris	Chen	
Brent	Haddad	
Abe	Stone	
Junecue	Suh	

PLANNING & BUDGET (CPB)

Bruce	Schumm	Chair/UCPB Rep
Minghui	Hu	
Dave	Helmbold	
Nirvakar	Singh	
Matthew	Clapham	
Fitnat	Yildiz	
Deborah	Gould	
Anjali	Arondekar (F&S)	
Dard	Neuman	

PRIVILEGE & TENURE (P&T)

Julie	Guthman	Chair
Muriam	Davis (W&S)	
Roberto	Manduchi	
Jennifer	Gonzalez	
Emily	Brodsky (F)	
Sean	Keilen	
David	Cuthbert	
Melanie	Springer	

RESEARCH (COR)

Paul	Roth	Chair
Jarmilla	Pitterman	
Slawek	Tulaczyk	
Hunter	Bivens	
Ben	Storm	
Peter	Limbrick	
Adam	Millard-Ball	
Boreth	Ly	
Abhishek	Halder (F&W)	
Heiner	Litz (S)	

TEACHING (COT)

Maureen	Callanan	Chair
Nic	Brummell	
Slyvanna	Falcon	
Robin	Duncan	

RULES, JURISDICTION & ELECTIONS (RJ&E)

Ken	Pedrotti (F&W)	Chair
Martha	Zuniga	
Jenny	Horne	
Dave	Belanger	
K.C.	Fung (W&S)	

SPECIAL COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Susan	Gillman	Chair
Karen	Holl	
Steve	Whitaker	

Respectfully Submitted;

COMMITTEE ON COMMITTEES

Judith Habicht Mauche

Kate Jones

Matt McCarthy

Luca De Alfaro

Patty Gallagher, Chair

May 3, 2019

Resolution on Houseless Students, 2019

To: Academic Senate, Santa Cruz Division

Whereas UCSC has a substantial population of houseless students (undergraduate and graduate), the great majority of whom can afford neither campus housing rents nor rents in the community, and

whereas a significant number of those houseless students choose to sleep in their cars (estimates range from 20-50 and more), most commonly in places where there are threats to students' safety, and

whereas our students' unsafe living conditions heavily impact their studies and our pedagogy, the Senate directs the University administration to institute a Safe Parking program for houseless students, granting overnight parking access for the purpose of sleeping in the student's vehicle overnight, and to extend this opportunity to any currently enrolled student in need thereof. There is a great variety of Safe Parking programs around the country, and these should be consulted in designing a pilot program for UCSC. Most provide restroom access; many have proctors (full-time or periodic); some are free, and some charge fees. We leave the details of implementation to be worked out by a joint committee of staff and houseless students. Assembly Bill 302, introduced by Bay Area Assemblyman Marc Berman and intended to require Community Colleges to provide safe overnight parking to students in need, now under consideration by the whole State Assembly, could be a model for UCSC.

It is a reasonable expectation that for the foreseeable future, regardless of how much dormitory space is constructed, we will have a population of houseless students. For the sake of their academic success it is our responsibility to ameliorate their living conditions to the greatest extent we can.

Respectfully submitted;

Christopher Connery, Literature
Miriam Greenberg, Sociology
Steve McKay, Sociology
Vilashini Cooppan, Literature
Megan Thomas, Politics
Zac Zimmer, Literature
Muriam Davis, History
Nathaniel Deutsch, History
Sharon Kinoshita, Literature
Guriqbal Sahota, Literature
Gail Hershatter, History
Amanda Smith, Literature