

Meeting Call for Regular Meeting of the Santa Cruz Division  
**FRIDAY, November 17, 2006 at 2:30 p.m.**  
**at the University Center**  
**Colleges Nine and Ten Multipurpose Room**  
**ORDER OF BUSINESS**

1. Approval of Draft Minutes
  - a. Draft Minutes of April 26, 2006 and May 19, 2006, previously distributed (AS/SCM/279 & AS/SCM/280) p.1
2. Announcements
  - a. Chair Crosby
  - b. Acting Chancellor Blumenthal
  - c. Campus Provost/Executive Vice Chancellor Klinger
3. Report of the Representative to the Assembly
  - a. October 11, 2006 Report (AS/SCP/1516) p.2
4. Special Orders: Annual Reports  
 CONSENT CALENDAR:
  - a. Committee on Academic Freedom (AS/SCP/1501) p.4
  - b. Committee on Academic Personnel (AS/SCP/1518) p.5
  - c. Committee on Admissions and Financial Aid (AS/SCP/1514) p.18
  - d. Committee on Affirmative Action & Diversity (AS/SCP/1504) p.23
  - e. Committee on Career Advising (AS/SCP/1512) p.25
  - f. Committee on Computing and Telecommunications (AS/SCP/1502) p.31
  - g. Committee on Education Abroad Program (AS/SCP/1503) p.33
  - h. Committee on Educational Policy (AS/SCP/1507) p.34
  - i. Committee on Emeriti Relations (AS/SCP/1500) p.45
  - j. Committee on Faculty Welfare (AS/SCP/1517) p.46
  - k. Graduate Council (AS/SCP/1499) p.58
  - l. Committee on Library (AS/SCP/1510) p.66
  - m. Committee on Planning and Budget (AS/SCP/1513) p.71
  - n. Committee on Preparatory Education (AS/SCP/1511) p. 86
  - o. Committee on Privilege and Tenure (AS/SCP/1506) p. 90
  - p. Committee on Research (AS/SCP/1505) p. 92
  - q. Committee on Rules, Jurisdiction & Elections (AS/SCP/1509) p. 96
  - r. Committee on Teaching (AS/SCP/1508) p. 100
5. Reports of Special Committees (none)
6. Reports of Standing Committees
  - a. Committee on Committees:  
 Additional Nominations 2006-07 (AS/SCP/1519) p. 108
  - b. Committee on Educational Policy:  
 Amendment to Regulation 10.2.2.3 on Transfer Credit (AS/SCP/1515) p.110  
 Oral Report on General Education Reform
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
12. New Business

November 8, 2006

MEMBERS OF THE ACADEMIC SENATE

Dear Colleagues,

We are in unusual times. My letter attempts to give you as complete a sense as possible of where we are as a Senate at UCSC and where we might be going. For those who are unclear about some aspects of Senate functioning, I provide some background, and I invite old hands to skim the discourse on background, picking out the bits of information relevant to our current situation.

I hope to see you on November 17 at our Senate meeting at 2:30 in the Multipurpose Room at Colleges 9 & 10 and also at the reception immediately following. View the agenda and supporting documentation at:

<http://senate.ucsc.edu/meetings/06nov/A06nov.html>

I welcome any comments.

**BACKGROUND: UCSC WITHIN UC**

The University of California (UC) is one of the largest universities in the world. With its ten campuses, five medical centers, three national laboratories, UC has an annual operating budget of about 17 billion dollars. It enrolls over 200,000 students and employs about 170,000 people of whom 53,000 are academics. See University of California Statistical Summary of Students and Staff, 2005, available at: <http://www.ucop.edu/ucophone/uwnews/stat/statsum/fall2005/statsumm2005.pdf>.

The University of California differs from other universities, even other public universities, in a number of ways. Four aspects of UC's distinctiveness have special relevance for the Academic Senate. The four aspects include: a) the role of UC within a larger educational grid; b) the 10-campus system; c) the step and rank system; and d) the system of shared governance.

The University of California is one part of a master plan for higher education in the state of California. Two other parts of the master plan are the California State University (CSU) system and the community college system. When UC goes to Sacramento for funds, it sometimes cooperates with and sometimes competes with the other two parts of the higher education grid. The relationship between UC and the community colleges has evolved in recent years, in part as a response to discovered inequities in the system of admissions. UC's exclusive right to grant doctoral degrees has recently been modified, and the CSUs now offer some clinical degrees. At UC Santa Cruz (UCSC), the Education Department has experimented with a joint graduate program with San Jose State University. Meanwhile, the connection to community colleges will play an

increasingly important role at UCSC as we grapple with issues of undergraduate enrollment management.

Just as UCSC is part of a larger articulated system of higher public education, so does UC operate as an articulated system. Of late, President Dynes has spoken often of what he calls “the power of ten.” He insists that all campuses are to be brought together as equal partners. As the smallest campus save Merced, UCSC must in some ways struggle to make sure its interests are well served in the larger system. Our geographic isolation poses some unique issues. UCSC, for example, is the only UC campus that is not included within the university-wide fiber optic system of electronic communication. In terms of academic plans, a system-wide task force is looking at how best to integrate the offerings of the various campuses. UCSC’s position within the larger UC system is ever evolving.

As every professor knows, promotions and pay increases at UC depend on periodic proofs of continued excellence. Cost of living increases to salary are less pronounced at UC than at most other schools, and merit increases play a larger role at UC than in most other schools. The reliance on peer review of professorial productivity after advancement to the rank of Professor operates at UC in a way unlike any other university. A system-wide study of promotion to Step VI identified uneven patterns of advancement on the different campuses, and showed that UCSC has a strikingly low number of faculty at Step VI. The language of the APM manual has been rewritten to change both perception and practice in relation to what is no longer to be called the “barrier” step. See CAP Annual Report, 2005-06 and the revised APM 220-18 currently under review, available at:

<http://www.universityofcalifornia.edu/senate/underreview/ucap.apm.220.18b.4.0806.pdf>

At UCSC and all other campuses, three problems with compensation are of great moment. First: we are falling further and further behind our comparison schools, especially in light of our return to the system of making contributions to the retirement plan and in light of rising health care costs. Second, the discrepancy between the compensation of faculty and the compensation of senior administrators may be growing, even as the proportion of university personnel in senior administration rises. Third, and perhaps of most concern in the long run: the rank and step system no longer operates. System wide, an ever larger proportion of faculty are paid off-scale salaries. Some campuses have coped with the problem through developing having a shadow system of salaries. In concert with the other campuses, UCSC must find ways to return to the rank and step system. See UCAP Report on Faculty Compensation, available at:

<http://www.universityofcalifornia.edu/senate/committees/ucap/reports.html>

The final distinctive aspect of UC is the system of shared governance. The Regents have delegated plenary authority to the Academic Senate for all matters concerning admission, curriculum, and graduation. At other institutions, the authority is often delegated to the faculty from the governors *via the administration*. Not so at UC. Collaborations between the Senate and the administration, system-wide and at each campus, are filled with frustrations as well as gratifications. At the present moment, UCSC enjoys an enviable

position, and the present cooperation between Senate and administration is perhaps stronger and more effective here than at any other UC.

### **UCSC SENATE PRIORITIES**

Partially in response to requests from Executive Vice Chancellor (EVC) Dave Klinger and partially as part of our own cyclic process, the Senate Executive Committee (SEC) has identified three issues as our top priority for the year.

1. Deciding how to grow the campus, with academic planning as the driver of all other planning
2. Increasing the percentage of graduate students in the student body
3. Designing ways to provide undergraduates with a more integrated education than is currently done (e.g., integrating curricular and co-curricular learning)

### **SPECIAL ISSUES FACING UCSC TODAY**

As the Senate strives to meet its goals in terms of growth and in terms of graduate and undergraduate education, we are influenced by recent events. Our campus has sustained an injury of no small proportion. The death of Chancellor Denice Denton in late June, 2006 stunned and shocked us. Sadness and anger came to many of us as individuals and as members of a larger community. We have struggled to make meaning of the events, and we are individually and collectively seeking lessons in the circumstances that surrounded Chancellor Denton's tenure at UCSC and her untimely death.

In the wake of the tragedy of our Chancellor's death, the UCSC community has shown some remarkable signs of strength. Diverse voices combined to press President Dynes to demonstrate responsiveness to our campus and its need for leadership. The Office of the President and the Regents of the University moved with uncharacteristic speed and decisiveness in selecting Professor George Blumenthal as our Acting Chancellor. Like other candidates in whom we have repositied trust, George Blumenthal knows and loves our campus. The Academic Senate at UCSC has expressed gratitude to the Office of the President for selecting George Blumenthal.

The Senate has already enjoyed a strong working relationship with Acting Chancellor Blumenthal. Acting Chancellor Blumenthal worked hard, for example, in making sure that the final draft of the Long Range Development Plan (LRDP) submitted by our campus to the Regents for approval in September met with the approval of SEC who, by a resolution in April 2006, had been given authority by the Senate to endorse or decide not to endorse submission of the plan. Acting Chancellor Blumenthal announced to his staff that he would not submit the LRDP unless the Senate endorsed submission.

When will a new Chancellor be selected and what will be the selection process? Such questions naturally arise. At the insistence of SEC, I have written to John Oakley, the Chair of Academic Assembly (the system-wide governing body of the Senate) asking him to communicate to President Dynes that we hope no search for a permanent chancellor

will be undertaken until aspects of the search process have been clarified. In January, 2007, in advance of the Winter Senate meeting, we will hold a forum on the topic of the search for a Chancellor.

In addition to the LRDP, Senate committees have been working on a range of topics related to growth. Graduate Council (GC), the Committee on Educational Policy (CEP), the Committee on Planning and Budget (CPB) and other committees have been working with the Vice Provost for Academic Affairs, Alison Galloway, to revise the academic plan, with critical attention being given to the relative sizes of the divisions. The same committees and others have collaborated with Vice Provost Carl Walsh as he carries forward planning for the possible development of a school of management. CPB has been reviewing the costs and benefits of University Extension (UNEX), which has massive operating deficits. Plans are in the early stages of development for a possible school of public policy. Thought has been given about how to nurture the concept of a school of public media. In all endeavors, including those linked to growth, UCSC's Senate has pledged to carry forward the commitment to diversity.

Of course, any growth of enrollments at UCSC should mean a growth in the number of professors and staff. The Senate has taken the position that faculty need to live indoors. Over the course of the 2005-2006 academic year, the Committee on Faculty Welfare (CFW) worked closely with the EVC and his staff to address housing problems. EVC Kliger responded to Senate pressure by setting up a one million dollar fund devoted to recruitment and retention and dedicated to helping faculty secure housing by offering supplemental mortgage assistance. To date, many faculty have initiated the process of obtaining the special loans. When construction of Ranch View Terrace begins, many faculty should be in a position to purchase the new homes.

In addition to setting up a special fund, EVC Kliger responded to the housing crisis by retaining the services of a consulting firm. The firm has produced a report, and Senate committees are commenting on the report. It seems possible that UCSC may, like UC Irvine, establish a 501c3 entity to deal with housing issues.

UCSC's ability to construct housing (among other things) has been compromised by legal challenges from some neighbors in the town. Hostility toward the university has been noted. The Senate seeks to collaborate with the present administration in finding ways to improve town-gown relations. The University is making strong efforts to return to the high levels of cooperation that were achieved during the tenure of Acting Chancellor Marty Chemers.

Like housing, childcare is an issue of great importance to the Senate. As with housing, any efforts to expand childcare on the UCSC campus may be most effective if they involve cooperation between the Senate and the administration and between the university and the town. The Senate strongly feels that childcare is a matter of great concern for all faculty who have dependent children and for all faculty who have colleagues with dependent children. Polling shows that faculty concern with childcare is not contingent on having children in one's household.

I would be remiss if I did not mention two other topics, both relating to the (re)building of community at UCSC. One of the topics may bring a smile. The other does not.

First: unpleasant news. The topic of student unrest has produced distress in some quarters. Student demonstrations during the visit of Regents to our campus on October 18 and 19, 2006, proceeded in an unsettling way. I was personally offended by what appeared to me to be an attack on the principles of community, and I was alarmed by the attack on the principle of freedom of speech. Freedom of speech is integral to academic freedom. Violence never assures freedom; violence impedes freedom.

Finding ways to disagree civilly is a matter of the utmost importance. Asking who is entitled to what in a public institution is a discussion that must and will happen. Already, partly in response to the Senate's report on Tent University, the administration has established a Demonstration Response Team. Working with the administration, the Graduate Student Association, and the Student Union Assembly, the Senate will seek to help curtail violence and promote effective and sane activism on our campus.

Data show that the violent students are few in number. I ask myself: should we tolerate unacceptable behaviors by the few? What happens to the peaceful many when we allow the disruptive few to behave badly? How can we channel the passions of students and others so that the entirely laudable meliorative impulses find appropriate expression?

More pleasant is my final topic. It seems that University Relations, and specifically the Development Office, is ready to work with the Senate. UR has a stated interest in building community through a culture of philanthropy. UCSC's aspirations require resources. Our ability to garner research funds has shot up in recent years. The future may also see us receiving enhanced financial support from our alumni, our parent groups, other friends of UCSC, and even ourselves. Giving back to the community is an activity that can bring enormous satisfaction.

## **SENATE MEETINGS IN GENERAL AND ON NOVEMBER 17**

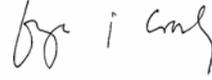
The Senate does most of its work in committees. Senate meetings are often rather scripted affairs. Last year we had one heated Senate meeting (April, 2006) and three very sedate ones. Last year we held a number of fora to allow for more lively exchanges than typically can occur on the floor of the Senate. This year we plan to continue to hold fora and also plan to continue the process of open electronic communications.

In a world of precious little time, why should you come to the November 17 Senate meeting? My answer is that your presence there, participating in the work of running the institution in the company of your colleagues, may help us sustain and build a sense of common purpose. The mere act of being in the room with your colleagues on November 17 may help build community. Certainly, coming to the reception following the meeting will do so.

I hope to see you at the Senate meeting and at the reception afterwards.

With best wishes and high hopes,

Sincerely,

A handwritten signature in black ink, appearing to read "Faye J. Crosby". The signature is written in a cursive, flowing style.

Faye J. Crosby, Chair  
Academic Senate  
Santa Cruz Division

PROPOSED CORRECTIONS TO THE MINUTES  
of the  
Spring Quarter 2006 Meetings

The draft minutes from the April 26, 2006 and the May 19, 2006 Senate meetings were distributed via email on October 9, 2006 and will be presented for approval at the next Senate Meeting on November 17, 2006. After being approved, these minutes will be posted on the Senate web site (<http://senate.ucsc.edu/meetings.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 distribution as a handout at the next meeting.

This approach gives Senators an opportunity to read and review changes before being asked to vote on them, gives the Senate staff and the Secretary 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. (Optional) The reason for the change if not obvious

Please submit all proposed changes to arrive in the Senate Office **no later than 12:00 noon on Wednesday, November 15, 2006**. They should be addressed to the Secretary, c/o Academic Senate Office, 125 Kerr Hall or via email to [senate@ucsc.edu](mailto:senate@ucsc.edu).

Deborah K. Letourneau  
Secretary, Academic Senate  
Santa Cruz Division

November 8, 2006

**Report of the Representative to the Assembly of the Academic Senate  
October 11, 2006**

TO: Academic Senate, Santa Cruz Division:

The meeting began with a consultation with the President, Bob Dynes. President Dynes had earlier circulated a written report outlining: 1. university efforts to build public support for UC in the general public and within the state and federal government; 2. the importance of health education for the state of California; 3. personnel issues including, primarily, benefits to faculty and staff; 4. long-range planning activities at the UC; and 5. recent developments at the National Labs. President Dynes elaborated on some of the issues in his oral remarks and responded to questions. He indicated that he sees the education of international students as of paramount importance and also closely linked to "distance education." In response to concerns raised by UCSC, Dynes differentiated between compensation and salaries, noted that the resumption of individual contributions to the retirement fund is intended to provide "a soft landing," and stated that he planned to have UC salaries be competitive with the "comparison eight institutions" by 2010-2011. President Dynes also promised to supply via e-mail more information about the division of state dollars into salary dollars and dollars for benefits, and information on how the salary dollars are divided into merit and other funds. Following President Dynes' remarks, Chair Oakley named six issues that will be pressing this year. They are: 1. salary scales; 2. non-resident tuition for graduate students; 3. the funding and solvency of the health care system; 4. the system of slotting the pay of campus administrators according to the size and complexity of the administered unit, a system proposed last year by a Regent and opposed by both the Senate and the UC Office of the President (UCOP); 5. the choice of continuing system-wide Senate leadership; and b. the functioning of the national labs.

The Assembly engaged in a lengthy discussion of a motion to endorse a statement crafted by the Academic Council concerning under what conditions research funding sources might be restricted by the Regents. The motion carried to endorse the following statement: "The Academic Council instructs the Chair of Council to advise the President that grave issues of academic freedom would be raised if The Regents were to deviate from the principle that no unit of the University, whether by faculty vote or administrative decision, has the authority to prevent a faculty member from accepting external research funding based solely on the source of the funds. Policies such as the faculty code of conduct are already in place on all campuses to uphold the highest standards and integrity of research. The Academic Council believes that Regental intervention of the basis of assumptions about the moral or political standing of the donor is unwarranted."

Assembly then turned to the issue of the national laboratories.. Discussion was devoted to how the Academic Senate/faculty of the University of California can be more engaged in the new Los Alamos Limited Liability Corporation. Specific topics included: (1) recommendations on review protocols for Senate oversight of the labs; (2) Advising on the dispersal of UC's share of fee monies from lab management; (3) establishment of a

joint Senate, administration and laboratory committee to promote faculty-lab interactions; (4) joint collaborations between the Senate and the labs on personnel review issues at the labs; and (5) mechanisms for input on major lab-related policy issues. A statement with a sequence of recommendations was unanimously approved by the Assembly for transmission to the President: the full statement can be found at: <http://www.universityofcalifornia.edu/senate/assembly/oct2006/faculty.lab.relations.10.06.pdf>

During the new business period, Assembly returned to the question of any restrictions on funding. Assembly passed two resolutions. The first decried funding arrangements that give an illusion of academic freedom but are, in fact, suppressing academic freedom. The second affirmed that Assembly was convinced by empirical evidence that the tobacco industry has engaged in funding arrangements that give the illusion of supporting academic freedom but that, in fact, suppress academic freedom.

Respectfully Submitted;

Quentin Williams, Vice Chair

**COMMITTEE ON ACADEMIC FREEDOM**  
**Annual Report, 2005-2006**

**To the Academic Senate, Santa Cruz Division**

**Issues brought before the Committee on Academic Freedom:**

The Committee on Academic Freedom (CAF) met five times during this academic year. Two issues were brought before the committee, which were judged not to fall within the scope of CAF's purview. The first was from several students requesting that CAF endorse a proposal for the UCSC Academic Senate to join the Forum for Academic & Institutional Rights (F.A.I.R.) an organization initiated by law schools contesting the Solomon Act that requires schools to allow military recruiters on campus. (A law suit was then pending before the United States Supreme Court that later resulted in a Court decision affirming the Solomon Act and also affirming First Amendment rights to protest the presence of military recruiters.) CAF judged this to be an interesting issue that might be brought before the Senate as a whole but did not see it as an academic freedom issue within the committee's purview. The second issue came from a committee member wishing to discuss the campus climate created as a result of the Teach-in on the War on Terror held on April 24, 2006. Specifically, our colleague was concerned about the political balance of the program, and the fiscal support provided by the Office of the Chancellor, as well as many other units on the campus. Again, CAF judged this not to be an issue of academic freedom and advised that if pursued it should be brought before the Senate by concerned faculty.

**Whistleblower Policies and Procedures (follow-up):**

Draft policies for reporting and investigating allegations of suspected improper government activities had been presented to CAF in the previous year and CAF had raised significant objections to some of the wording especially regarding the rights of the accused. These and other objections were taken into account and these revised policies and procedures have now been adopted by UC Santa Cruz. No further actions were taken by CAF.

**Student Freedom of Scholarly Inquiry Principles**

For the past several years UCAF has discussed the trend of increasing government intrusion related to academic freedom issues in colleges and universities, the most current of which was California SB 1412 introduced by Senator William Morrow (that was withdrawn from the Senate in May 2006). Partially in response to the Morrow Bill and like trends, and partially in response to request from the UC Student Council, UCAF undertook the drafting of a statement of *aspiration* (as distinguished from a statement of policy) on issues of student academic freedom. CAF discussed this draft at length, and the Chair participated in a UCAF conference call further revising the draft. Ultimately

this statement was adopted by UCAF, and subsequent endorsement by the UCSA and the UC Academic Council. (See attachment).

As part of its discussions on student freedoms, CAF was informed of a program of faculty surveillance initiated by a alum at UCLA, with the support of California State Senator William Morrow. The alum had established a web site advertising payment of \$100 to students per course to make unauthorized tape recordings of faculty lectures. Thirty so-called “suspect” faculty were listed in the web site who were known or alleged to have “radical” views. The story broke in the national media on January 19, 2006 and the UCLA administration issued a statement quickly thereafter that the proposed surveillance and monitoring of faculty lectures would be subject to claims of copyright infringement, and that students who engaged in such actions would be subject to disciplinary action. Senator Morrow withdrew his endorsement of the project and the web site was removed.

### **Influence of Corporate Funding on Research**

UCAF Vice Chair Jerold Theis drafted a long paper on “Academic Freedom: Its Privilege and Responsibility Within the University of California,” upon which CAF was asked to comment. CAF was critical of the historical range and inadequacy of the initial draft, but focused its discussion on the assertion that “Academic Freedom without fiscal independence is a hollow shell.” In both Theis’ draft and in UCAF there was ongoing discussion of corporate influence on research. While endorsing the *Strings Report* of 2004, UCAF urged UCORP to consider the issue of corporate funding more closely noting that it had “struggled to identify specific examples of corporate pressure of possible monitoring mechanisms, because the influences and their effects could be very subtle or hidden.” There was a lively, intense discussion in CAF, especially noting the pressures on scholars and researchers for *continued* funding of a project. No actions were taken; this is an issue of ongoing concern.

### **Institutional Review Boards (IRBs)**

Although this does not appear to be a significant issue at UCSC, it was discussed in CAF as it relates to apparent discrepancies in policies and procedures of the Institutional Review Boards on different campuses, and CAF was informed of the UCAF discussion. UCAF recommended to the Academic Council that the University consider establishing system-wide standards for Institutional Review Boards, and asked UCORP to take the lead in reviewing the issue. CAF was informed of UCAF’s endorsement of UCORP’s recommendations for more uniform standards across campuses and more timely IRB approvals; the development of a distinct model for social and behavioral science protocols based on the unique nature of those fields; and, increased resources, staff support and training for IRBs.

### **Senate Bylaw 185 Library**

CAF, at the request of UCAF, discussed a proposed change to Bylaw 185 to change the name of the system-wide committee from University Committee on Library, to University Committee on Library and Scholarly Communication. Both CAF and UCAF recommended endorsement of this change. However, CAF had an extended discussion on its implications, and these concerns were conveyed to UCAF. The proposed name change allows the Regents of the University of California the right to publish scholarly articles by faculty on-line, free of charge. Thus, the Regents wish to hold the copyright on scholarly articles. CAF discussed the implications for journal publishing at a time when university libraries, for example, are cutting back on journal subscriptions. and what happens if a journal refuses to allow Regents copyright? Are the faculty then obliged to publish elsewhere regardless of the prestige of the journal, and what implications for their own research will this impose? And what is the impact on UC Press in particular that publishes so many scholarly journals? CAF felt that the implications of this name change implies policy changes that require a much greater discussion and more careful consideration as it impacts faculty scholarship, publication, and ownership of intellectual property.

### **Forum on Academic Freedom**

In Spring 2005, CAF endorsed the idea for a forum or series of forum, on issues relating to academic freedom, its history, meaning, relationship to freedom of speech, intellectual property, and political liberties. CAF was unable to act on the proposal in this academic year, and suggests that it be pursued in the 2006-2007 academic year.

Respectfully submitted,  
COMMITTEE ON ACADEMIC FREEDOM  
Bruce Cooperstein  
Jody Greene  
Representative  
Aida Hurtado  
Leta Miller (F)  
Ira Pohl  
Bettina Aptheker, Chair & UCAF Representative

Evan Branigan, SUA Representative  
Tammi Rossman-Benjamin, NSTF

August 25, 2006

### Student Freedom of Scholarly Inquiry Principles

The University seeks to foster in its students a mature independence of mind, and this purpose cannot be achieved unless students are free to express a wide range of viewpoints in accord with the standards of scholarly inquiry for the competence of student work at each level of the educational process. The substance and nature of these standards properly lie within the expertise and authority of the faculty as a body.<sup>1</sup> As such, it is primarily the responsibility of the faculty as set forth in the Faculty Code of Conduct to insure that student freedom of scholarly inquiry is fostered and preserved in the University.<sup>2</sup>

While there is substantial variation in students' competence to engage in scholarly inquiry based on their level in the educational process, the faculty have the major responsibility to establish conditions that protect and encourage all students in their learning, teaching, and research activities. Such conditions include, for example: free inquiry and exchange of ideas; the right to critically examine, present, and discuss controversial material relevant to a course of instruction; enjoyment of constitutionally protected freedom of expression; and the right to be judged by faculty in accordance with fair procedures solely on the basis of the student's academic performance and conduct.

For students to develop a mature independence of mind, they must be free in the classroom to express a wide range of viewpoints in accord with standards of scholarly inquiry and relevance to the topic at hand. Students should be free to take civil and reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.<sup>3</sup> The faculty has authority for all aspects of the course, including content, structure, relevance of alternative points of view, and evaluations. All decisions affecting a student's academic standing, including assignment of grades, should be based upon academic considerations administered fairly and equitably under policies established by the Academic Senate.<sup>4</sup> In

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<sup>1</sup> See University of California Academic Freedom, Academic Personnel Manual 010.

<sup>2</sup> See University of California Faculty Code of Conduct, Academic Personnel Manual 015.

<sup>3</sup> An example of this responsibility from the American Association of University Professors statement on the Academic Bill of Rights follows:

If a professor of constitutional law reads the examination of a student who contends that terrorist violence should be protected by the First Amendment because of its symbolic message, the determination of whether the examination should receive a high or low grade must be made by reference to the scholarly standards of the law. The application of these standards properly distinguishes indoctrination from competent pedagogy. Similarly, if a professor of American literature reads the examination of a student that proposes a singular interpretation of *Moby Dick*, the determination of whether the examination should receive a high or low grade must be made by reference to the scholarly standards of literary criticism. The student has no "right" to be rewarded for an opinion of *Moby Dick* that is independent of these scholarly standards. If students possessed such rights, all knowledge would be reduced to opinion, and education would be rendered superfluous (<http://www/aaup.org/statements/SpchState/Statements/billofrights.htm>).

<sup>4</sup> See APM 015.

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professional curricula, such decisions may include consideration of performance according to accepted professional standards.<sup>5</sup>

Students may also serve as instructors under supervision of the faculty. The faculty retains authority over all aspects of the course, including, content, structure, evaluations, and delegation of authority for the course, and must base the guidance of student instructors on accepted scholarly and professional standards of competence in teaching. However, such student instructors share with faculty the freedom and responsibility to present concepts, lead discussion in class, and to insure the appropriate and civil treatment of other members of the academic community.

Faculty guidance and supervision of student research is desirable and appropriate. Students' freedom of inquiry while conducting research may not be abridged by decisions unrelated to accepted conduct<sup>6</sup> and scholarly and professional standards. Students are entitled to the protection of their intellectual property rights, including recognition of their participation in supervised research and their research with faculty, consistent with generally accepted standards of attribution and acknowledgement in collaborative settings.

These protections are in addition to, and distinct from, the full protections of the Constitution of the United States and of the Constitution of the State of California guaranteeing freedom of speech.

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<sup>5</sup> See University of California 170.00 Policy on University Obligations and Student Rights, section 171.09.

<sup>6</sup> See University of California Presidential Policy on Student Conduct and Discipline, Section 100.00.

## **COMMITTEE ON ACADEMIC PERSONNEL**

### **Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

#### **Duties**

The Committee on Academic Personnel (CAP) makes recommendations to the Chancellor, the Campus Provost and Executive Vice Chancellor (CP/EVC), and/or the Divisional Deans on appointments, promotions, merit increases, and mid-career appraisals for Senate faculty, adjunct faculty, and professional researchers. During the past year, CAP also was called upon to make recommendations on several Merit Equity/Career Review files. In addition, from time to time, the Committee advises the Academic Senate and the administration on other policy matters related to academic personnel issues. As always, CAP makes recommendations; it does not make the final decision.

In 2005-06 CAP had eight members each quarter—one from Arts, one from Engineering, and two each from Humanities, Physical and Biological Sciences, and Social Sciences. Nine faculty members served at least one quarter on CAP during 2005-06.

As in past years, as the Committee deliberated and made recommendations on specific cases, CAP members repeatedly were struck by the extraordinary number and quality of our colleagues' many accomplishments. The overwhelming majority of personnel files that we reviewed contained evidence of fascinating scholarship and cutting edge research, records of extensive and dedicated teaching, and evidence of energetic service to campus colleagues, to diverse scholarly communities, and to many important public constituencies. The Committee's heavy workload was made lighter by the exceptional talent and remarkable energy reflected in the files we reviewed. The accomplishments of the UCSC faculty are truly extraordinary; the Committee feels privileged to have you as our colleagues.

#### **Workload**

In 2005-06, CAP continued its established practice of meeting on Thursday afternoons. The Committee met 26 times during the academic year (4, 10, and 11 meetings, in fall, winter, and spring quarters, respectively), and once in the summer. As we noted in last year's Annual Report, the CAP caseload had increased consistently over the last decade. In recent years, the Committee routinely received between 75 to nearly 100 more cases per year than was typical in the mid-1990s.

In 2005-06, the Committee received 268 cases (just one more than the year before). We made recommendations in all 268 of the cases we received. There was one case held over to the next year, but this was not a case that actually came before CAP in 2005-06. Thus, with our colleagues' help, we were able not only to recommend Ad Hoc committee slates (in cases where we decided not to serve ourselves as the Ad Hoc) but also to have those committees meet, deliberate, and send their recommendations to CAP in time for us to consider them in our own recommendations.

## **Appointments and Retention**

CAP reviewed 57 appointment files overall, including 35 appointments to Assistant, 9 to Associate, 9 to Full Professor, 3 Research Professor/Recall Professor and one Senior Lecturer. CAP recommended appointment in all cases except two.

CAP continues to be aware of the difficulties that UCSC faces in recruitment and retention as a result of our budgetary situation and the local housing market. We have done our best not to contribute to or exacerbate these challenges. It has been our practice over the past year to grant great deference to departmental recommendations with respect to recruitment and retention, consistent with campus academic standards.

## **CAP's Recommendations, Administrative Decisions, and Consultation**

During 2005-06 there continued to be a reasonably high rate of agreement between CAP's recommendation and the final administrative decision on personnel cases. The two concurred in 79.5% of the time (213 out of 268 files). The final administrative decision did not agree with CAP's recommendation in 55 cases.

In the Committee's opinion, our relationships with the various campus administrative units remained very good overall. Just as in the previous year, however, changes in various parts of the administration posed special challenges. For part or all of the academic year, for example, all of the five Divisional Deans were serving on an "interim" or acting basis. Nonetheless, CAP felt that for the most part administrators did a very good job of maintaining communication with us and in ensuring the consistency of the personnel process. We thank them for their efforts.

As in previous years, the CAP chair and a member or two from the Committee were invited to attend meetings with the divisional chairs and respective deans to discuss general CAP policies and approaches to personnel files and related issues. We did so on several occasions and, at least from our perspective, the meetings were useful. There also were a few occasions in which the CP/EVC discussed broader personnel-related policy issues with CAP, and a few instances in which the CP/EVC discussed individual cases (although not as often as in past years). We regard the relative infrequency of meetings between CAP and the CP/EVC as an area of potential concern. In our opinion, the modest but consistent trend toward increasing numbers of disagreements between CAP and the administration on our campus—a percentage that is higher than on other UC campuses—may result in part from the relatively low number of consultations that have occurred over the last two years in cases where there are potential disagreements.

## **Case Flow**

In 2005-06, at the request of the CP/EVC, CAP again took the unusual step of having a summer meeting. However, unlike the year before (in which the meeting was necessitated in large part because not all necessary Ad Hoc reports were ready in time for the many cases that arrived in late May and early June), this year's summer meeting involved only one case, whose timing simply precluded it from being handled during the normal academic year. Thus, in this instance, the summer meeting was an anomaly, rather than the result of a larger structural problem or issue.

Indeed, although we experienced the usual unevenness to the distribution of cases, with many more arriving in the spring quarter, especially in June, we were able to manage the increased workload. We realize that some of the unevenness in the workload is inevitable, having to do with the normal pattern of processing personnel cases. Last year we urged departments and other decision-makers in the process to try to process cases in a timely manner, and we are grateful for the fact that they apparently heeded this call.

That said, we believe that the issue of a regular summer meeting is one that the Senate and administration might consider. CAP recognizes that it is not necessarily a desirable practice. Summer schedules have to be accommodated and CAP members have to be compensated separately for their time. On the other hand, we are informed that, at most if not all of the other UC campuses, CAPs do meet as a matter of course over the summer. It would insure that CAP's June meetings are not quite so onerous and stressful, that there would be little if any business shifted to the next year's agenda, and that we (both the Committee and the campus) would be more nimble in responding to pressing personnel matters that may come up between June and late September.

### **Ad Hoc Committees**

In 2005-06, the Committee recommended slates to the Executive Vice Chancellor for 47 Ad Hoc committees (exactly the same as the year before). However, CAP constituted itself as the Ad Hoc committee more often—20 times this year as compared to 13 times the year before. The cases in which we constituted ourselves as the Ad Hoc included 1 appointment, 1 promotion to tenure, 6 promotions to professor, 1 promotion to Senior Lecturer with SOE, 7 Professor Step VI actions, 3 merits to Above Scale, and 1 Career Review). This practice—constituting ourselves as the Ad Hoc committee in what appear to be straightforward and unproblematic cases—is one we continue to wholeheartedly endorse. In fact, we would encourage the Senate to consider liberalizing local policy to give CAP the discretion to implement this practice in any case, in accord with the internal rules we have been following.

In those cases where CAP is permitted to constitute itself as the Ad Hoc, the Committee follows a standard procedure in deciding whether to do so: In cases where there is substantial agreement in the department on the recommended action, and where there is agreement between the department and dean as to the basic recommendation, CAP votes on whether to constitute ourselves as the Ad Hoc. If we are unanimous that a separate Ad Hoc committee does not appear to be necessary, we constitute ourselves as the Ad Hoc and discuss the merits of the case at the following meeting of the Committee (giving members an additional week to review the file from the perspective of an Ad Hoc member).

We believe that the advantages of serving as our own Ad Hoc committee in unproblematic cases are significant. Ad Hoc committees are an essential part of the personnel process. However, because of the complexities involved in selecting Ad Hoc committees, and the practical difficulties encountered in arranging meetings and finalizing reports, we are convinced that they should be used only when absolutely necessary. The Ad Hoc committee component of the personnel process typically consumes the most time and is the one part of the process that is the most difficult (if not impossible) to expedite. In addition, Ad Hoc committee service consumes the valuable time of our colleagues (who, we have reason to believe, are pressed into service more often on our campus than on many others).

During 2005-06, 113 Senate members served as members of Ad Hoc committees. Three persons served 3 times, and 16 people served twice. We are deeply indebted to those persons who were willing to serve on Ad Hoc committees, and especially to those who served more than once. This is an essential part of the personnel process and we could not function without these contributions from our colleagues.

### **Assessment of Teaching**

In 2005-06, CAP continued to grapple with the evaluation of teaching performance. The suggestions we made in last year's Annual Report continue to be relevant:

1. In most cases, the return rate of student evaluations has been appropriate. Obviously, in cases where the return rate is low, CAP's ability to evaluate teaching performance is compromised. We hope all faculty, and all department chairs, will continue to ensure that the return rates on student evaluations remains high.
2. It is CAP's practice to have at least one member (and usually several) read every single student evaluation in a personnel file. At times—albeit rarely—there appears to be a discrepancy between the content of the student evaluations and the department's characterization of the faculty member's teaching. We believe that, in cases where significant problems have been identified in the evaluations, it is always more beneficial to candidates if departments provide a frank assessment of those problems and some discussion of what may have caused them. It is especially helpful to include a sense of whether and how the faculty member is addressing the problem(s) in question.
3. Departments that provide us with some numerical indexing of teaching performance greatly facilitate our reviews. A simple table that shows the percentage of "very good to excellent" responses on key dimensions of the student evaluations is often very helpful. CAP members continue to read the narrative portions of the individual student evaluations, but summaries of the numerical ratings are useful in their own right. Obviously, the clearer the evidence of teaching excellence, the easier it is for CAP to give it appropriate weight in our reviews.
4. If there is any evidence other than student evaluations, (e.g., from presentations at professional meetings, the department's view of the nature and quality of teaching materials such as syllabi used), such evidence should also be included in the department's letter.
5. CAP regards the distribution of teaching assignments (e.g., graduate versus undergraduate courses) to be a matter of departmental discretion. However, in cases where there is an unusual concentration of course assignments, it is helpful if the department's letter contextualizes this by providing a rationale.

### **Departmental Letters**

CAP has no interest in requesting (and certainly not requiring) a particular form or template for personnel letters. Most departments follow standard practices and we have found their analyses of cases extremely useful and informative. However, we have a few suggestions intended to both

simplify the review process and insure that the Committee is able to efficiently process all of the important information that is contained in the files.

1. Very long letters (e.g., 15 pages) are not especially helpful. Although we recognize that departments rightly wish to be thorough, thoroughness should be balanced against excessive length. Letters—especially in routine or straightforward cases—might include a “summary statement” for each of the three areas of research, teaching, and service in a letter of approximately 5 pages. More complex cases, of course, might require somewhat longer narratives.
2. In terms of the contents of the letters themselves, it is helpful to clearly state the period under review. It is generally not necessary to evaluate each publication, especially in cases where there are many of them. Articles might be grouped into particular areas of inquiry or concentration, with evaluations made of the nature of the contributions to each. Some explanation of the nature of the work, in terms that non-specialists can understand, is always appreciated. Biobibs should contain page numbers (i.e., starting and ending pages) for articles, book chapters, monographs and the like (especially if the items themselves are not included with the file).
3. In nearly all cases, no more than six outside letters are needed to provide the necessary perspective of how a candidate’s work is viewed in the wider community of scholars and/or artists. The additional value of still more letters is relatively slight. As always, it is important to seek a balance between letters suggested by the candidate and those requested by the department, and to try to avoid excessive overlap with dissertation advisors, post-doc supervisors, collaborators, co-authors and the like.
4. When possible, explaining divided or split votes is helpful. We realize that, given the secret balloting procedures followed in most departments, this is difficult to do. However, in those case where areas of disagreement or alternative points of view have surfaced in the discussion of the case that help to explain the divided vote, it is useful for us to know what they are.

### **Other File-Related Issues**

1. *Criteria for advancement:* CAP continues to read the APM as creating two classes of faculty advancements: (a) those where demonstrated excellence in *all three* areas research, teaching, and service is required, and (b) those in which there is *some* “substitutability” or “fungibility” among the three categories—that is, for example, if a candidate’s service record is weak, excellent research and/or teaching may compensate for that weakness.

Category (a) consists of: 1) promotion to tenure, 2) promotion to professor, 3) merit increases from Professor V to Professor VI, 4) all merit increases above Professor, Step VI, 5) promotion to Above Scale, 6) All salary increases of Further Above Scale.

Category (b) includes 1) all non-promotion merit increases for assistant professors, 2) all non-promotion merit increases for associate professors, and 3) all merit increases for professor below Step VI. This interpretation is based on our reading of the APM.

Department letters should reflect this.

[See e.g. <http://www2.ucsc.edu/ahr/policies/CAPPM/400220.htm>, H-4 (c)]

2. *Accelerations/Greater-Than-Normal*: Requests for accelerations and greater-than-normal salary increases have become more frequent on our campus. This is a development that the 2005-06 CAP regarded as entirely appropriate (even though we could not always agree with every request and recommendation). Nonetheless, in cases in which the department is requesting acceleration or a greater-than-normal increase, the department letter should explicitly justify such an action. In addition, we found that it was particularly helpful if departments included the publications from the period under review in cases in which accelerations or greater-than-normal salary increases were being requested.
3. *Personal statements*: Department chairs would do well to advise candidates to write succinct personal statements. Personal statements should clarify issues and provide a context for the faculty member's work. There is little point in such statements recapitulating what will be contained in the department's letter. In typical or routine cases, CAP believes that candidates should be able to do this in between 5-10 pages.

### **Merit Equity/Career Review Cases**

The academic year 2005-06 was the third year of the new Merit Equity/Career Review process. CAP considered one Career Review file this year. The Committee believes that this is an important component in the UC personnel process and we gladly assume the responsibility for making Merit Equity/Career Review recommendations. Yet, the issues posed in these kinds of cases present extremely difficult judgments for us to make, especially because they often involve disputes about factual issues that are long-standing and sometimes contentious. Our expertise is in evaluating the academic merit of the files we review; we are not especially well-positioned to serve as fact-finders (for example, deciding what did, or did not, happen many years ago) and certainly are not empowered to adjudicate disputes. Thus, we typically approach these cases by asking, "Given this faculty member's career accomplishments, what rank, step, and salary seem most appropriate?" We fully acknowledge that this question does not always yield a clear-cut answer.

### **Memoranda for Action**

Each year CAP is called upon to review and/or comment on (and sometimes to vote on approval of) various personnel-related actions and policies proposed or under consideration by the campus administration. In 2005-06, there were 23 of these "Memoranda for Action." They included:

Endowed, Presidential Chairs – 2

Bylaw 55 Augmentation – 4

Divisional CAP memberships – 2

Unit 18 Issues – 3

Miscellaneous – 3

Policies, procedures, proposals, Senate issues – 9

1. Review of UC Task Force on Faculty Diversity Meeting
2. Review of Active Services-Modified Duties: Proposed Revised Policy

3. Special Committee on Scholarly Communication (SCSC) Draft White Papers- Responding to the Challenges Facing Scholarly Communication
4. Proposed Policy Job Description, Vice Provost for Academic Affairs, Review and Comments
5. Formal Review of Revised Compensation for College Provosts (CAPM 306.240.C)
6. Senatwide Review: Proposed Private Funding for Salaries
7. Formal Review of Revised Compensation for Department Chairs (CAPM 314.245)
8. Job Description Review for Assistant Vice Chancellor for Academic Human Resources
9. Review of Final Report on Partner Employment Task Force

### **UCAP and General Personnel Policy Issues**

As always, the Santa Cruz Chapter of CAP was represented on the University Committee on Academic Personnel (UCAP). In 2005-06, especially able representation was provided by Professor Susan Gillman. UCAP considered a number of personnel policy issues. All of the major issues were considered in the context of comparative data on academic personnel practices on all the campuses that was gathered this year. The survey included items ranging from the number of Ad Hocs convened to the availability of CAPs over the summer. Two key issues emerged:

*Clarification of APM Language Pertaining to Professor Step VI and Above Scale Merit Increases:* In response to long standing concerns over the wording of portions of APM 220-18, UCAP continued its review of the language describing the special merit advances from Professor Step V to Step VI and from Step IX to Above Scale. In the previous year, the Santa Cruz Chapter had been instrumental in suggesting revisions that were designed to eliminate repetition and confusion. This year, UCAP responded to additional modifications in the language proposed by the Academic Council. The final version retained the basic high standards for advancement to each of these steps (for Step VI, distinguished scholarship, excellence in teaching and service; for Above Scale, sustained excellence including highest distinction in scholarship and teaching, and highly meritorious service), but simplified the wording by which those standards were expressed.

*Faculty compensation:* A system-wide survey of salaries and advancement gathered comparative data by campus. To summarize the key facts: UC salaries lag behind those of the "Comparison Eight" Institutions (a group of universities, including the Universities of Illinois, Michigan, Virginia, as well as Harvard, Stanford, and Yale), a measure that has been used since 1980 as part of a regular update in the adjustment of our salaries (See UCAP report 6/12/06). In response, several campuses have taken the initiative to address the problem. The efforts at UCI and UCB have been led by campus administrators. Individual campuses have compiled internal data by rank and step/department and division to assess where most serious salary gaps occur (for example, is the lag at the assistant and associate levels rather than full professor?).

Among the remaining discussion items: How to assess market forces (notoriously difficult) in producing salary variations among disciplines, and what is the viability of using multiple scales by discipline? How have different campuses elected to pay for increased salaries?

*CAP recommendation:* In the upcoming academic year, CAP recommends that the campus constitute a Joint Task Force of CAP and the Committee on Planning and Budget (CPB), present and former members, plus, if it is deemed desirable, several, relevant administrators, to address, substantively and strategically, the compensation issue. Specific campuses have different strategies/programs--see UCAP report, 6/12/06)--and we can adopt or adapt some or all of them.

### **CAP's Suggestions for Further Consideration**

There are several issues that the Committee would like to raise for Senate consideration. These are observations with potential action implications that the Committee has made and discussed over the past year.

We have noted above that this year's level of disagreement between CAP and the campus administration has continued a modestly but consistently increasing trend. In fact, the degree of disagreement on our campus appears to be somewhat greater than on others in the UC system. One mechanism for reducing unnecessary disagreements would be to establish a presumption that the CP/EVC (or his/her representative) will meet with CAP in cases where a substantially different recommendation is being contemplated. We would encourage the administration to consider implementing such a policy.

Because it has been the source of some confusion and concern, we think it would be useful to explain the pace at which CAP processes cases and to address the potential source of delays in case resolution. CAP policy is to review and make recommendations in cases as expeditiously as possible. This year, as in previous years, we virtually always decided every case on our agenda at the meeting the case was first brought to us. The only regular exceptions involved cases in which we voted to constitute ourselves as an Ad Hoc (wherein an additional week was provided for CAP members to review the case in the role of Ad Hoc members). In addition, in very rare instances of cases that we regarded as particularly sensitive or complex, the Committee tabled a final vote until the next meeting. Once a case has been decided, in those cases in which a CAP letter is to be written, the case file and letter are not forwarded to AHR until the next week, after all members have an opportunity to review, suggest modifications and/or approve the letter drafts. We do not believe that this process can proceed more rapidly without sacrificing the quality of the reviews in which CAP engages. To the extent that there are continuing concerns about the timeliness of decisions, we believe that additional data are needed to identify the actual sources of delay in the processing of personnel cases.

During 2005-06, as in past years, CAP proceeded mindful of the broad and legitimate concerns on campus with respect to faculty salaries, real and perceived inter- and intra-departmental inequities, and the like. With respect to equity, CAP members consider one of their primary functions to be ensuring equity among individuals, departments, and divisions by applying, as best we can, a campuswide and UC systemwide standard of merit and excellence to the cases we review. In addition, we have been receptive to requests and recommendations for accelerations and greater-than-normal salary increases (which we of course must evaluate within the larger framework of the APM). In addition, we have tried to contribute to the change in campus culture

and practice that now recognizes the merit advancement from Professor Step V to VI as less of a “barrier” and more of the threshold to the higher full professor steps. However, the existence of an overall pattern of depressed faculty salaries is not one that is easily addressed through a process of decision making that proceeds, as ours does, on a case-by-case basis. Indeed, because

of the nature of the reviews in which we engage, we have become acutely aware of the importance of addressing the issue of faculty salaries on a more systemic basis. We believe that it would be useful for the campus to consider establishing a committee to address this pressing issue in a broad and fundamental way. Other UC campuses have begun to do the same, and some have even begun to implement potential solutions to various interrelated salary issues. We believe that our campus should take steps to do the same.

### **Acknowledgment**

None of CAP’s work would be possible without the extraordinary contributions of the exceptionally competent staff of the Committee and of Academic Human Resources. We especially thank Pamela Edwards for her continuing good cheer and stability (even in times of crisis), and for her unfailingly swift responsiveness to any and all requests for information and assistance. We are also deeply indebted to Barbara Brogan, Breck Caloss, Leslie Clark, Elizabeth Dane, Nancy Degnan Jonni Dungan, Susan Fellows, Nancy Furber, Pamela Peterson, Monica Torres and Linda Tursi. Their support, wisdom, and detailed knowledge of the intricacies of the personnel process helped to ensure its integrity and certainly made our lives much easier.

Finally, we once again thank all of our colleagues who have contributed to the personnel process. The process works as well as it does only because of your hard work.

Respectfully submitted,

### **COMMITTEE ON ACADEMIC PERSONNEL**

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November 2, 2006

## **COMMITTEE ON ADMISSIONS AND FINANCIAL AID**

### **Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

Once again, this was a busy year for Committee on Admissions and Financial Aid (CAFA). The committee began the year with an admissions workshop to help bring the committee up to speed on the intricacies of the admissions process and acquaint them with a variety of relevant statistics. Throughout the year the committee worked closely with the Admissions and Financial Aid Offices and with the Committee on Educational Policy (CEP) and the Committee on Planning and Budget (CPB) on policy, initiatives, and outreach. We thank Executive and Associate Directors of Admissions, Kevin Browne and Michael McCawley; Acting Director and Advisers of Financial Aid Ann Draper, Cheryl Perazzo and Kori Calubaquib, Analyst Sue Grimes and Director Julian Fernald for their very valuable assistance and insight. We also wish to acknowledge the excellent service of our Board of Admissions and Relations with Schools (BOARS) representative, Trish Stoddart, who has been appointed the next Vice-Chair of BOARS for 2006-07, and to express our gratitude to Pamela Edwards for her administrative support.

#### **ADMISSIONS UNDER COMPREHENSIVE REVIEW**

This was the third year that admissions operated under comprehensive review, a process crafted by the previous CAFA for the campus in response to fourteen general criteria adopted by the UC Regents in 2001 and in anticipation of admissions selectivity. For details of UCSC criteria see <http://senate.ucsc.edu/cafa/cafa.scp1370.htm>, [http://admissions.ucsc.edu/apply/freshman\\_guide.cfm](http://admissions.ucsc.edu/apply/freshman_guide.cfm). The point assignments for the various criteria were the same for all three years, but for the 2007 admissions cycle CAFA has enacted two small changes described below. UCSC missed its enrollment target for Fall 2005, as did most UC campuses, creating a priority for meeting the targets in 2006, especially for new frosh. It appears that we will meet our enrollment target for frosh and come in a little low for transfer students. Official figures for this year, which are based on enrollments after the third week of classes, will be available later in the fall.

For the class of 2005 we received 23,015 frosh applications (down 1.5% from the previous year), admitted 17,352 (up 6.7%), and enrolled 3,001 (down 1.1%). The target was 3,100-3,150. For transfer students the corresponding numbers were 5,112 (down 2.1%), 3,559 (up 6.7%), and 894 (0.1% decrease), with a target of 1,000-1,050 (unreasonably high, in retrospect). For the class of 2006, as of September, we received 24,535 frosh applications (up 6.6% from 2005), admitted 19,693 (up 13.5%), and received 3,770 positive statements of intent to register (up 13.4%), with a target of 3,350-3400 enrolled (up 8.0%). For transfer students the numbers are 5,023 (down 1.8%), 3,476 (down 2.3%), and 991 positive Statements of Intent to Register (SIRs) (down 7%), with a target of 900-950 enrolled transfers (down 10%).

Because of the large increase in enrollment target for 2006, UCSC increased its frosh acceptance rate from 75.4 to 80.3%. Despite this decrease in selectivity, the GPA of admitted frosh and transfer students remained statistically unchanged: 3.69 and 3.27, respectively, this year compared to 3.67 and 3.26 last year. Test scores were also indistinguishable. Moreover, the incoming class appears to be more diverse, with increases in underrepresented and Asian students.

More work was done by the admissions staff this year than the previous year to determine the eligibility of applicants near the cut-off computer index score of Comprehensive Review. In addition, CAFA increased the Admission by Exception Program target and approved doubling enrollment in the Educational Opportunity Program (EOP) Bridge Program, which has been very successful in terms of academic performance and student retention, from 60 to 120 students. Thus the number of offers to low-income, first-generation students was significantly increased. The changes to Comprehensive Review for 2007 alluded to above are intended to help in that regard as well, decreasing the number of points awarded for eligibility in the local context (ELC) from 400 to 200 and increasing the number of points for low API schools (lower two quintiles) from 200 to 400.

Other CAFA admissions business this year included reaffirmation of the senior-status admission policy, of the Guaranteed Admission for Transfer Entry (GATE) Program criteria, of the existing conditions for admission and the consequences for not meeting them, and of the Admissions appeal policies. CAFA recommended that the campus continue to judiciously increase Admissions by Exception of both frosh and transfer students so as to move closer to the 6% limit set by the Regents, but to keep the other policies and procedures currently employed by Admissions. CAFA also adopted a minimum score on the new internet-based Test of English as a Foreign Language (TOEFL) proficiency exam.

#### **FACULTY INVOLVEMENT IN OUTREACH AND STUDENT RECRUITMENT**

CAFA believes that broader involvement of faculty in student recruitment can be very effective in increasing the number of applicants and the yield of students to our campus. Moreover, such efforts can build students' early commitment to UCSC, and thus also improve retention. Although we were successful in meeting the increased enrollment target this year with no decrease in academic qualifications of admitted students, we did so more by increasing the percentage of applicants that we accepted than by attracting more students to apply or a larger percentage of them to choose UCSC. Clearly, continued decreasing selectivity would not be a healthy long-term trend for UCSC.

A wide variety of modes of faculty involvement can be productive, from meeting high school students in outreach activities organized by the Offices of Admissions and Financial Aid, both on and off campus, to contacting and answering applicants' questions by email. For instance, CAFA members joined with other faculty and staff meeting students from low-API schools flown in to Santa Cruz. As another example, there is a program in place whereby individual departments can devise letters for the Admissions Office to target different subsets of the applicant pool, advertising their strengths, inviting students to contact them, offering mentorship, or whatever they choose. Last year less than half of the departments actually participated. In these and similar activities faculty can do a great deal with only a modest commitment of their time.

#### **REVERSING THE DECLINE IN REGENTS SCHOLARS AT UCSC**

The incoming class for Fall 2006 includes a 350% increase in the number of Regents Scholars. As reported in last year's Annual Report, CAFA documented a serious decline in percentage of Regents Scholars at UCSC over the past five years, from 1.7 to 0.7% of the undergraduate student body. Funding for the program was flat during this period while enrollment and costs to attend UC grew significantly. Last March in a meeting with CAFA, Campus Provost/Executive Vice Chancellor (CP/EVC) Klinger offered an augmentation of up to \$250,000 for these scholarships in one-time temporary funds as an experiment to see if the downward trend could be reversed.

A concerted effort mounted by the Financial Aid and Admissions Offices and CAFA proved very successful: 54 new frosh Regents Scholars chose to enroll at UCSC, compared to 15 last year. The yield rate also increased dramatically from 12 to 19.5%, the third highest in UC behind Berkeley and UCLA. Some of the gain (18 Scholars) can be attributed directly to the increase in number of offers (by a factor of 2.2), and some to the increase in honorarium offered to students with no demonstrated financial aid (\$6,000, still below the average honorarium of the other campuses). A major factor in our success, however, was increased participation by faculty, students and staff. Focused essay-reading sessions over a three-day period by faculty volunteers and intense effort by Financial Aid staff enabled the scholarship offers to go out to candidates weeks earlier than the previous year. We offered to put the candidates in contact with faculty in their fields of interest, and were able to do so for all who requested. The UCSC Regents Scholars Association, with financial and logistical support from the Admissions Office, invited the candidates for an overnight stay on campus, which included a dinner at the Kresge Provosts' House with faculty, staff, and current Regents Scholars. The results and feedback from the new Scholars show that these personal connections made a significant difference: 57% of the candidates who were put in contact with a faculty member and 73% of the students who participated in the overnight visit enrolled at UCSC.

In a follow-up memo of understanding to CP/EVC Kliger, CAFA underscored that UCSC is not only committed to continued funding for the greater number of scholarships for the new cohort of Scholars in subsequent years, but also that increased funding over the \$250,000 augmentation is required to sustain enrollment of this greater number of new Regents Scholars each year. The immediate goal is to increase the augmentation for Regents Scholarships to \$750,000 in the next 3 years, which would bring the total per year funding to \$1.4 million and achieve a steady-state Regents Scholar population of 180 students. In the meeting with CAFA, CP/EVC Kliger suggested that raising funds from donors could meet these increased scholarship needs. This requires making the Undergraduate Regents Scholarship Program an immediate development priority for University Relations in order to raise the money needed in 2007 and succeeding years. Over and above these yearly costs, the long-term intention should be to build an endowment to provide the funds in perpetuity.

### **RETENTION AND GRADUATION RATES**

In Spring 2005 the Academic Senate charged CEP, in consultation with CPB and CAFA, to monitor and evaluate student retention and graduate rates at UCSC and recommend actions to improve them. Toward this end, in February CAFA participated in a campus-wide open forum devoted to this topic, organized by CEP and the Dean of Undergraduate Education, and in the writing of CEP's Report on Undergraduate Graduation Rates (AS/SCP/1495-1) in May. Many factors contribute to students' dropping out before graduation. An important finding of particular relevance to CAFA is a strong correlation between selectivity in admissions and retention and graduation rates, which is evident in both national and UC statistics. It provides yet another cogent reason for faculty to participate in outreach and recruitment of students, both within state and beyond. It also underscores the importance of increasing the resources available to provide financial aid for all students with need.

## **FINANCIAL AID**

Financial aid is a complex operation, with aid in the form of scholarships, grants, loans and work study funds from UC, state, federal and other sources, which are allocated according to an intricate set of interlocking regulations and policies. Financial need is calculated according to federally mandated criteria (FAFSA data). The Financial Aid office distributes roughly \$100,000,000 in total aid yearly, a little more than half of which is for grants and scholarships (i.e., not loans), and almost all of which is allocated strictly according to need (merit-based aid is about 1% of the total). UCSC has been fortunate in being able to meet the full financial need of all students, but this will no longer be the case next year. Some cost components have been shifted from UCOP to the campuses, federal work-study allocations and many federal loan limits have not been increased, UC grant allocations no longer can cover student fees, and no allowance is made for differences in funding sources available to each campus. In coming years CAFA needs to examine these problems and seek ways to alleviate them.

## **THE AP/HONORS ADVANTAGE IN DETERMINING ELIGIBILITY**

Discussion continued of the 1-grade-point increase currently given by UC for Advanced Placement courses and certain other designated honors courses. CAFA affirmed its judgment of last year that this practice is not warranted because of the lack of correlation between number of such courses taken and academic success in college and because it is not fair to students with less opportunity to take them (see the 2004-05 CAFA Annual Report). BOARS, the systemwide equivalent of CAFA, seemed poised to take action this year to reduce or eliminate the AP/Honors advantage, but at the end of spring retreated from the issue. CAFA asked its representative to urge BOARS to undertake a comprehensive study of other ways to assess the academic rigor of a high school student's educational program for purposes of determining UC eligibility. Such an assessment should attempt to take into consideration what the student has accomplished relative to the educational opportunities offered at his or her high school.

## **OTHER**

CAFA consulted with VPDUE Ladusaw on the creation of a UCSC Honors Program. The committee's opinion is that an honors program will have a positive effect on selectivity, retention and graduation rate, but that the focus and intent should be to enhance the educational experience and promote academic excellence at Santa Cruz.

CAFA consulted with CEP on changes in policy for enrollment beyond 12 quarters. With proper supervision no significant impact on financial aid is expected.

CAFA was consulted with regard to the Memorial to the Regents to eliminate tuition for graduate students. Discussion was generally favorable.

CAFA discussed and affirmed the current configuration of the High School Scholars Program.

CAFA approved changes in computing the academic index for the Regents Scholarship competition. Besides GPA and test scores, three of the seven "other" categories will continue to be counted as before (Senior Year Total Courses, First Generation College Student, and Low API Schools), whereas the remaining four (Eligibility in the Local Context, Geographic Location, Educational Programs and Senior Year Honors) will not be counted.

The Council of Provosts has requested that UCSC discontinue its use of the word “freshman” in its publications, recommending use of alternative wording such as “frosh” or “freshperson.” CAFA agreed with their position but observed that this is a campus-wide issue that should be addressed by the UCSC Strategic Communications Committee. In the meantime, we comply with their recommendation insofar as is possible in this report.

Respectfully submitted,

**COMMITTEE ON ADMISSIONS AND FINANCIAL AID**

David Anthony	Holly Cordova, NSTF Rep
Chongying Dong	Liam Welcher (F,W), SUA Rep
David Harrington (F)	Christopher Chun, SUA Rep
David Kaun	Luis Gil, SUA Rep
Paul Nauert (F,S)	
Juan Poblete (W,S)	
Zack Schlesinger	
Trish Stoddart, BOARS Rep	
Jim Whitehead	
Rob Coe, Chair	

August 31, 2006

**COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY**  
**Annual Report, 2005 -06**

To the Academic Senate, Santa Cruz Division:

The Committee on Affirmative Action and Diversity (CAAD) is pleased to report on an extremely active year. The primary focus of our work was a year-long climate study of diversity on our campus, although we also accomplished a number of other affirmative action and diversity-related activities this year. The Committee worked with Chancellor Denice Denton, and continues to work closely with Director Patti Hiramoto (EEO/AA), Assistant Vice Chancellor Barbara Brogan (AHR), CP/EVC David Kliger, and various Academic Senate officers and committees.

### **Climate Study**

The largest parts of our efforts involved a year-long, multi-faceted study of the climate on campus with respect to diversity issues. This project was launched with the support of Chancellor Denton. The goal was to document the current environment for the whole UCSC community--including staff, faculty, graduate students, and undergraduates--and to explore how diversity is perceived and represented. It was noted that current diversity data and efforts are often produced in isolation from each other; it can be difficult to get a good look at the big picture, particularly with respect to questions involving intersectionality of multiple aspects of diversity.

Our work involved multiple components. The first phase involved an attempt to document the current sources of data on diversity that are already gathered on campus. Previously, there has been no central coordination of data, and it has sometimes been quite difficult to know whether relevant data was being collected and if so, by whom.

The second phase was promotion of thought and discussion and collection of qualitative data. In the fall, CAAD conducted five open forums on diversity. These events were well attended by all segments of our campus community, as well as by some members of the local community. It was particularly rewarding for people to be able to interact across the standard categorizations (faculty, staff, graduate and undergraduate students, community), as there are few places for meaningful discussion across these groups. These events provided information, fostered much discussion, and were also used to help formulate questions for the next phase of the survey. Individual interviews with volunteers from the campus community were also conducted.

The third phase was a campus-wide survey, with some common questions for all respondents, as well as questions tailored to the different population groups. We obtained approximately 5000 responses. The survey was primarily conducted online, but paper versions in both English and Spanish were provided for select groups of staff who do not typically have computer access on campus.

The final phase is the analysis of the data and the writing of the final report. This phase is still ongoing. A preliminary analysis of the data has been completed, but there is still much

information to be gleaned from the data. We hope that this process of analysis will continue. A draft of the final report has been written, and we expect the final version to be ready in the fall of 2006.

### **Diversity Fund Program**

We wish to commend CPEVC Kliger and Chancellor Denton for their ongoing support of the Diversity Fund Program, which offers departments up to \$2000 for proposals of projects or events that will contribute to their diversity goals or will address pipeline issues of diversity for the future pool of candidates at the graduate or faculty levels. CAAD reviewed the proposals and made recommendations for awards to CPEVC Kliger.

### **Consultation on TOE and Dean Appointments**

CAAD participated in the review of a Target of Excellence appointment proposal, providing recommendations to CPEVC Kliger. The CAAD chair also participated in the search process for the two open Dean positions in Humanities and Social Sciences, meeting with candidates and providing feedback to the search committees. CAAD is pleased that the search committees explicitly considered diversity implications as part of the hiring process.

### **Encouragement of Diversity on our Campus**

The committee was involved in many smaller projects that are all meant to help improve diversity on our campus. Examples include providing feedback on the proposed UCAAD Statement on Diversity, on the proposed VPAA job description, and on the Partner Employment Task Force report and recommendations, as well as participation in the UC Task Force on Faculty Diversity visit in the fall. CAAD appreciates that it has representation on the Senate Executive Committee and is able to help ensure that diversity is considered in the appropriate Senate discussions.

Respectfully submitted,

Committee on Affirmative Action and Diversity

Sue Carter  
Gina Dent (F, W), Chair (F, W)  
Hiroshi Fukurai (F, W)  
Herbert Lee  
Manuel Pastor  
Sriram Shastry (S)  
Neferti Tadiar (W, S), Chair (S)  
Patti Hiramoto, ex-officio

August 31, 2006

## **COMMITTEE ON CAREER ADVISING**

### **Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Career Advising (CCA) began its year by studying a report on women faculty in the physical and biological sciences on our campus. The report indicated many areas of job satisfaction—excellent and congenial departments, committed graduate students, and intellectual freedom, among several others. The areas of job dissatisfaction mentioned include lack of on-campus childcare, lack of affordable housing, challenge of getting research funds for labs and graduate students, and personnel processes that were unclear, conservative, and/or inconsistently employed. The faculty interviewed identified mentoring as valuable to their career development. With this understanding of the concerns of one segment of the campus, CCA wanted to assess the need for mentoring for a wider range of faculty. To that end, we devised a survey on mentoring that we submitted to a sample of junior faculty and to department chairs and managers.

#### **Faculty Mentoring Survey**

A report of the results of the survey on faculty mentoring is attached to our annual report and will be disseminated to departments. Junior faculty who responded to the survey indicated the need for help with administrative procedures, personnel actions, and partner hires. Responses of department Chairs and department managers show a variety of mentoring and orientation methods used on campus and generally reveal that the departments considered their methods to be successful. But our survey shows that where departments believed that they were offering effective services, junior faculty respondents felt they received few or no services. To improve mentoring on campus, CCA recommends that all departments check their mentoring and orientation methods against the CCA survey items and that junior faculty use the same list to familiarize themselves with what they can and should receive.

#### **Career Equity Review**

After consulting with the Chair of the Senate, CCA agreed to take over the job of advising faculty interested in applying for a Career Equity Review, which assess whether their current rank and step are appropriate for their accomplishments. This job will typically be done individually by the Chair. In advising potential applicants about a Career Equity Review, the Chair will 1) describe the process and options, 2) discuss whether or how career advancement was thrown off track, and 3) apprise the faculty of his/her right to a grievance procedure if discrimination or an infraction of procedure might have occurred in earlier personnel reviews.

#### **Childcare**

The cost of housing and the availability of convenient, affordable childcare are factors affecting recruitment and retention of faculty. CCA was happy to see some progress made on increasing childcare facilities for the children of faculty members, but we find that the plans are too little and, for many of us, too late.

Respectfully submitted,

**COMMITTEE ON CAREER ADVISING**

Olof Einarsson

Gabriel Elkaim

Patty Gallagher (F, S)

Paul Roth

Carolyn Martin-Shaw, Chair

August 31, 2006

**Survey of Faculty Mentoring Activities in Academic Departments**

The Academic Senate Committee on Career Advising (CCA) is charged with developing, implementing, and evaluating mentoring activities to enhance the likelihood of faculty promotion and retention. To better understand mentoring activities and needs throughout the university, we sent out two surveys: one to Chairs and academic department managers, and one to Assistant Professors Step II and III. The first survey sought to identify mentoring practices currently in use on campus and the second survey aimed to assess the effectiveness of those practices.

We received responses from 16 of the 41 departments and programs (about 40%): 3 in the Arts, 1 in Engineering, 5 in Humanities, 2 in Physical and Biological Sciences, and 5 in Social Sciences. Out of 77 faculty members contacted, 30 responded (about 40%): 7 in Arts, 6 in Engineering, 1 in Humanities, 2 in Physical and Biological Sciences, and 14 in Social Sciences. This report contains a summary of the results of the survey, a selection of respondents' comments, and the committee's recommendations for the future.

**I. Summary of Findings**

The survey covered questions regarding mentoring of junior faculty as well as orienting new faculty to their departments, to the campus, and to the UC system. Both departmental and junior faculty respondents point to a range of people who provide orientation for new faculty, including staff members, department Chair, other faculty, and Academic Human Resources (AHR). Overwhelmingly junior faculty respondents report that AHR was important in providing their orientation to the campus and the UC system. A number of junior faculty respondents identified a broad spectrum of issues on which they needed additional help. Among these were advice on Senate and campus service, help with personnel actions and partner hires, and assistance with administrative procedures. Some junior faculty respondents wanted to see more web-based materials and to have more inclusive printed materials.

A goal of faculty mentoring is to enhance the retention and promotion of faculty. We gauged the extent of the problem of retention and promotion by examining a study of promotion to tenure during the last ten years. We found that most people who came up for tenure within all the

divisions were granted tenure. Of a total of 227 Assistant Professors hired between 7/1/1995 and 7/1/2006, thirty-four have separated from the university. Seventy percent (70%) of those who left UCSC were untenured at the time of separation. Except for a few cases, we were unable to assess the reasons for the departure. A systemwide 2005 Faculty Recruitment and Retention Report (Ellen Switkes to the Council of Vice Chancellors) gives some indication of the kinds of general issues that might cause untenured faculty to leave: resignations were because of “low salary,” “family reasons,” and “spousal employment.”

What are we doing for faculty **mentoring** was our next question. After consulting widely, CCA developed the following list of best practices.

**Best Practices for Faculty Mentoring include mentoring in the following areas:**

1. **Research:** identify funding sources, seed money, start-up, creative off-site research, help with grant writing, and intellectual property rights
2. **Publication:** review of manuscripts, where to publish, when to publish, relative importance of chapters, journal articles, and book reviews
3. **Expectations for Tenure:** preparation of file, personnel review, rules, and procedures
4. **Teaching:** grading, course development, writing a syllabus, academic integrity policies, and classroom expectations and management
5. **Service:** participating on department, campus, and senate committees; service to the profession and the public
6. **Lab and Office Space:** what is appropriate, negotiation, and contraction and expansion of research space
7. **Supervision of Students and Post Docs:** expectations, hiring, training, and management
8. **Other Personnel Issues:** sexual harassment, diversity awareness, and hiring procedures
9. **Administrative Rules:** voting rights, purchasing, and reimbursements
10. **Consulting, Conflicts of Interest, and Extra-Curricular Activities:** writing textbooks, teaching summer session, and consulting—when and what to do
11. **Managing Workload:** day-to-day, long term, office hours, email, writing, grad students, committees, teaching, research, and publishing
12. **Life Balancing:** family, work, health, and community

What we found at UCSC surprised us. The most striking result of our survey was the “serious disconnect” between what departments reported that they offered and what junior faculty reported that they received. For instance,

- All departments responding to the survey reported that they mentor on expectations for tenure, but 65% of junior faculty respondents (19/29) answered that they were not mentored in this area.
- All responding departments reported that they mentor junior faculty on teaching: course development, grading, and classroom expectations; but two-thirds of responding junior faculty (67%, 18/27) reported that they received no such mentoring.
- Most departments, 14-15 out of 16 reported that they mentored faculty on research, publications, and service, but 60-80% of junior faculty respondents report not being mentored in those areas (research 68% [19/28], publications 78% [22/28], and service 60% [17/28]).
- Fewer than one-fifth of the junior faculty reported that they received mentoring on supervision of students (0/30), consultation (4/30), lab and office space (3/30), and management of workload (5/30). Yet responding departments felt that they had done good jobs in those areas.

How mentoring is dispensed on campus varied across and within the academic divisions and the School of Engineering, from junior faculty being assigned a single mentor, to Chair as mentor, to general openness and availability of senior faculty. On the whole, junior faculty respondents sought mentoring that engaged senior faculty in one-on-one conversations. Departments addressed one-on-one mentoring, but also included workshops and presentations as aspects of mentoring. As might be expected, the committee found that some responding junior faculty were happy with casual mentoring, but others wanted a formal system of assigned mentors. A couple of responding junior faculty expressed interest in working with mentors outside their departments.

We will address suggestions for improving **mentoring** in the final section of this report. The next four sections of this report summarize specific questions of the survey.

## **II. Campus and Department Orientation Practices**

Most departments do not have formal orientation programs for faculty, partly because so few faculty are hired each year in a single department and partly because the Chair of the department often takes responsibility for orienting the new faculty member to the campus. Most junior faculty respondents (17/30) identified AHR as providing orientation to the university, and a few department Chairs and managers also indicated that in addition to meeting with faculty one-on-one, they rely on AHR for campus orientation. One new faculty member mentioned that AHR was extremely helpful, while another suggested that “some information provided could have been effectively compiled in a packet to hand out to new faculty. This would have left room for other issues to be covered: including, but not limited to, the academic promotion system, benefits overview, e-mail orientation, how to order textbooks, how to navigate the narrative evaluation system and so on.”

## **III. Current Faculty and Peer Mentorship Practices**

Half of the responding departments reported that they assign a senior mentor to assist a new junior faculty member. One department assigned a senior faculty member to work with a cluster of junior faculty and two departments indicated that the Chair serves as mentor to new junior faculty. Junior faculty noted that their interaction with mentors included lunch once a year with the chair, monthly meetings with the chair, meetings with assigned senior mentor, and peer mentoring. Regarding peer mentoring, one respondent wrote: “It’s very much the blind leading the blind...it’s more a support network than mentoring.” Some responding junior faculty reported satisfaction with being able to consult a range of individuals including junior and senior faculty, the Chair, and staff and with having web-based material available. A clear trend in the comments of junior faculty is that they have been left to initiate contact with senior mentors rather than their senior colleagues reaching out to them. Two responding junior faculty summed up the range of effective mentoring on campus. One wrote, “Mentored” is too strong a word. “My fellow faculty always have an open door when I have a question though. Thus I just go ask when I’m particularly confused about something.” The other reported, “My mentor has done a great job of answering questions as they come up.”

Under additional mentoring activities, responding departments listed grant writing workshops, faculty exhibition space, advice on applications and nominations for career awards, and meetings before personnel reviews. Responding junior faculty mentioned informal check-in by the Chair and senior faculty, collaboration with senior faculty on organizing a panel for a professional

conference, aid in contacting professional colleagues, and the availability and geniality of the Chair and senior colleagues.

Underscoring the range in diversity of effective mentoring, two junior faculty reported very similar experiences but one called for more formal mentoring and the other did not. The first reported, “The Chair and one other senior member of the Department checked in informally a few times, particularly in my first year here, to see how things were going. Certainly they were very much available and open to answering questions that I had, large and small. However, I believe strongly that a more formal mentoring system would be very beneficial.” The second wrote, “Mentoring has been done informally and seems effective, though there is not solid data for this other than a lack of complaints and a seemingly happy community in the department.” Finally, one poignant response gave us pause. The respondent, a Chair or senior manager, asked how senior faculty can mentor in workload management and life balancing when they have not mastered these themselves.

#### **IV. Credit for Mentoring**

Three comments on the question of whether or not mentors gained credit in their personnel reviews for service as mentors netted responses that suggest that some departments recognize mentoring as a service responsibility, although it is not consistently mentioned in personnel reviews. Where the Chair is the primary mentor, mentoring is considered part of the Chair’s regular duties, and was not commented on in personnel reviews.

#### **V. What Should the Senate Do?**

Responding faculty and department Chairs and managers alike felt that circulating our template of mentoring activities and sharing the results of the survey would be beneficial in engaging members of the campus in thinking about and assessing their mentoring activities. In addition, department respondents thought the Senate could aid in providing advice on senate service, familiarizing junior faculty with campus procedures, such as IT, AIS, and CruzBuy, helping out with the problems of partner hires and faculty personnel reviews, and improving mentoring activities, such as peer support and consultation with senior faculty. Junior faculty respondents suggested that the Senate help in establishing and funding a formal mentoring system, understanding Senate and campus service, making contacts with potential mentors from outside their departments, working with multiple faculty mentors, and setting and managing research agendas.

#### **VI. Conclusions and Recommendations**

- Given that retention and promotion of our outstanding junior faculty is a shared goal of the campus, mentoring and orientation should be shared responsibilities at every level of the campus--central administration, the School of Engineering, Academic divisions, departments, and the Academic Senate.
- In addition to activities already undertaken in orientation, department Chairs and managers should pay attention to administrative procedures and provide orientation to the departmental grading systems. Recent changes in centralization of business processes and information technologies have prompted special orientation programs on CruzBuy and AIS. Such programs should be repeated on a regular basis and new faculty should be encouraged to attend.

- At the level of the division or the school, joint orientations could be undertaken for departments with few hires in any given year. Divisional orientations which highlight the personnel process and introduce junior faculty to senior colleagues in other departments would be most useful.
- The Senate's Committee on Career Advising will undertake a posting of web-based materials on mentoring that will be available to all faculty. The committee will also continue its efforts to provide services that will enhance the likelihood of retention and promotion of faculty.
- Because responding junior faculty seem to value one-on-one conversations with senior colleagues, we recommend that junior faculty be encouraged to work with a senior faculty mentor who has been chosen in consultation between the Chair and the junior faculty member. Chairs may serve as mentors.
- Junior faculty should be made aware of the list of best practices and encouraged to seek help in their department, division, school, the Academic Senate, and Academic Human Resources.

## **COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS**

### **Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Computing and Telecommunications (CCT) devoted a great deal of its time this year to tracking the Information Technology (IT) transformation project and ensuring that it went smoothly. We particularly focused on issues of interest to the faculty and students. These issues included:

- Providing faculty feedback to the IT organization on implementation issues. We often found it necessary to request additional details from Information Technology Services (ITS) to provide meaningful feedback. Topics included:
  - Purchasing and computing standards
  - Availability of computing support (help desk and request submission system)
  - Computer security issues
  - Software selection and standardization, including site licensing of software
  - Support for Web presence for departments, courses, and individual faculty
  - Instructional computing support
  - Wireless computing availability
  - Improving the online graduate application review system
- Provision of central services such as computing clusters, email, and virtual machines to allow flexible use by faculty.
- Ensuring that the new IT organization provided necessary services to all academic divisions, including those that might have “non-standard” needs.
- Providing guidance to ITS and the Committee on Planning and Budget on funding mechanisms and levels for ITS.
- Developing a mechanism by which ITS could get faculty input integrated into their planning process in a timely manner.
- Initiating planning for a study of a long-term plan for improving computer network connectivity both on-campus and to the off-campus Internet.

In addition to IT consolidation issues, CCT discussed several other topics during 2005-06.

CCT discussed the issue of “sunsetting” services that may be no longer necessary. This discussion was focused on the modem pool, but will be increasingly relevant in other areas as the need for some services declines due to obsolescence.

There were several ITS subcommittees formed to discuss specific IT issues such as security, customer service, and back-end servers. CCT will have a representative on each committee who can attend should there be a need for faculty feedback to those committees. CCT will continue to have a representative on the Information Technology Committee (ITC), and recommended (subsequently adopted) that both the Committee on Teaching and Committee on Research provide representatives to ITC as well (COT was already represented; COR was not).

We expect that IT consolidation will continue to be an issue for CCT in 2006-07, though we hope that the consolidation will be almost complete by the end of the academic year. As the consolidation project winds up, we expect that CCT will turn its focus to issues such as the tradeoff between security and academic freedom, better integration of computing technology into the teaching environment, and wider availability of computing support for all of the academic divisions.

Respectfully submitted,

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS

David Cope  
Luca deAlfaro  
Josh Deutsch  
Shelly Errington  
Claire Max  
Armin Mester  
Ethan Miller, Chair

Student Representative  
Nick Moran

September 1, 2006

**COMMITTEE ON THE EDUCATION ABROAD PROGRAM  
2005-2006 Annual Report**

*To the Academic Senate, Santa Cruz Division:*

The most significant accomplishment of Committee on the Education Abroad Program (CEAP) was to broaden its mission to encompass international education programs beyond the confines of the undergraduate Education Abroad Program (EAP). Expansion of our responsibilities was necessary as international education occurs through programs other than EAP at the undergraduate and graduate levels. Moreover, a range of international educational activities occur informally with both the undergraduate and graduate students. Comprehensive Academic Senate oversight of such UCSC activities is important, given the continuing globalization of our society and the necessity to prepare students to be world citizens. CEAP is now known as the “Committee on International Education”. The name and mission change required the consent of a broad range of other Academic Senate committees as well as the full Academic Senate. These Santa Cruz Division Bylaw 13.16 changes were approved at the May, 2006 Senate Meeting.

During the 2005-2006 academic year CEAP worked with the UCSC Office of International Education to better academically integrate classes taken by students abroad with their programs at UCSC. This activity required departmental documentation of classes recently taken by UCSC undergraduates abroad, and clarification of whether the classes were accepted for departmental major credit or general education (GE) credit. Specification of particular EAP classes that satisfy UCSC major or GE requirements greatly facilitates program planning for students abroad, e.g. <http://oie.ucsc.edu/eap/acadplan.shtml>. The academic integration process is ongoing and will be expanded to more departments during the 2006-2007 year.

CEAP spent several meetings dealing with budget issues at the level of the University Office of Education Program and Budget and budget restrictions and consequent staffing issues in the UCSC EAP office. CEAP provided advice to the UC International Education Committee on issues of contraction of certain EAP programs overseas and advocated with the Vice Provost and Dean of Undergraduate Education for enhanced support of the UCSC EAP Office. Finally CEAP provided input to the UC International Education Committee on review of EAP programs overseas and a system-wide review of international education.

CEAP thanks retiring OIE Faculty Director John Isbister for his years of service and advocacy for international education. We also greatly appreciate Director Rebecca Sweeley, and her staff, for their untiring efforts in running and proactively developing programs in the Office of International Education at UCSC despite severe staffing and budget shortfalls.

Respectfully submitted,

COMMITTEE ON THE EDUCATION ABROAD PROGRAM

Rebecca Braslau

Junko Ito

Danny Scheie

John Isbister, *ex officio*

Casey Moore, Chair & UCIE Committee Rep.

NSTF Rep: Angela Elsey

SUA Reps: Allyse Cope

Edris Rodriguez

September 18, 2006

**COMMITTEE ON EDUCATIONAL POLICY**  
**Annual Report 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy worked on a broad range of programmatic, general education, retention, policy, planning, course, and program review topics during the 2005-06 year, and also considered numerous petitions, course revisions, and catalog statements.

**Summary Issues for Faculty**

1. Consider ways in which your program may help undergraduate retention.  
<http://senate.ucsc.edu/cep/CEPretention1495.pdf>
2. Ensure all faculty members are aware of the undergraduate final examination policy, in particular closed week. <http://senate.ucsc.edu/cep/exampolicy.pdf>
3. If your program does not include any courses carrying the writing-intensive ('W') general education designation, consider whether or not a multi-course sequence does or could provide disciplinary writing instruction for your majors.
4. Consider CEP's program definition document as a basis for new or revised programs.  
<http://senate.ucsc.edu/cep/ugradprograms2.pdf>

**Programs**

Academic program development and continuous improvement are important responsibilities of the Academic Senate. The range of degree programs and concentrations available at UCSC are a critical component in student decisions to enter and remain at UCSC through graduation. Thus, it is an on-going task to the Senate, administration, departments, programs, and individual faculty to seek to develop new programs and variants, improve existing programs, and even retire outdated programs.

Computer Science: The Committee endorsed one new degree program, the B.S. in *Computer Science: Computer Game Design*. The new major is an interdisciplinary collaboration with many departments and divisions. The establishment brought considerable positive press to UCSC, and is the first new major since 2003-04.

Literature: The Committee approved two new literature concentrations, first discussed in 2004-05, *Literature (Literature and Film)*, and *Literature (Critical Theory)*. These also increase the level of choice for one of the larger majors, and provide our students with additional opportunities for interdisciplinary study.

Program Definitions: The Committee developed a summary of its recognized types of undergraduate academic programs, as well as the establishment and disestablishment processes. CEP hopes that the four-page document (<http://senate.ucsc.edu/cep/ugradprograms2.pdf>) will help faculty and programs consider new ways to configure their courses to serve the needs of our students. The document defines majors, combined majors, individual majors, double majors,

minors, honors majors or intensive majors, concentrations, bachelor/graduate programs, area studies, and honors in the major/college honors.

Consideration of the program definitions, and inquiries by Interim Dean of Humanities Gary Lease, led to the policy decision that new concentrations will not be printed on diplomas, though existing literature concentrations will continue to be included. Also, CEP adopted uniform standards and guidelines for the various “area studies” sections of the catalog.

(<http://senate.ucsc.edu/cep/areastudies.pdf>)

Honors: Writing the program definitions document highlighted one pending issue for the Committee. Divisional Regulation 11.3 indicates that colleges and programs electing to award Honors must provide criteria to CEP for review and approval. We are not presently aware of any such repository, and the 2005-06 and 2006-07 CEP Chairs recently wrote to departments, programs, divisions, and colleges requesting information on honors that they give. The 2006-07 CEP plans to review the responses as an aspect of campuswide Honors and Honors Program development.

Other: The Committee provided preliminary advice on a planned B.S. in Bioengineering, and the Chair provided informal advice to several possible programs. The Committee provided feedback to VPAA Galloway concerning the campus process for approving academic program variants that do not require changes in resource allocation. The Committee, based on discussion within the Senate Executive Committee, decided that the minors in Journalism and in Composition and Rhetoric should remain suspended, rather than be disestablished, pending completion of the search for a new Dean of Humanities. The Committee approved the Psychology Department’s change from a comprehensive examination to a senior seminar. The Committee endorsed formation of the Department of Applied Mathematics and Statistics. The Committee approved an exception to the 25-credit requirement for the Computer Technology minor.

## **General Education**

Quantitative course requirement: CEP completed the first comprehensive review of the quantitative (‘Q’) course requirement in over 20 years. With input from many programs, the Committee came to a consensus on approval of courses satisfying Regulation 10.2.2.1.C:

“Quantitative course. One five-credit hour course or the equivalent that entails use of advanced algebra, statistics, or calculus is required. The course may be offered by any unit but should teach, not just evaluate, mathematical skill.”

In evaluating each course, the Committee considered the level of mathematics used in the course (advanced algebra and above), whether or not there was individual assessment of the development of mathematical skill--such as by examination, and how consistency is maintained between offerings of the courses.

CEP would like to commend the efforts of the Department of Astronomy and Astrophysics, which delivers the largest non-major quantitative course curriculum. The department performed an internal review of all of its ‘Q’ courses, and created a departmental policy concerning these courses. Astronomy and Astrophysics adds, with CEP approval, geometric reasoning, spherical geometry,

and multi-step problem-solving as appropriate for ‘Q’ courses, with the presumption that all quantitative material stresses understanding rather than rote manipulation of formulae. With regards to assessment, Astronomy and Astrophysics has established that, for their courses, 25 percent of examination points must be quantitative. To ensure consistency, the department will maintain a file of quizzes and examinations so that the Chair may ensure that new instructors are aware of course expectations.

Ocean Sciences faculty used this opportunity to reconsider the pedagogy of their quantitative course, Ocean Sciences 1, which was redesigned for the ‘Q’ designation in 2001. The quantitative component was previously concentrated in the experimental sections and homework problems. The faculty decided to integrate the material in the lectures, and to have 25 percent of each midterm and final examination be quantitative, thus assuring individual assessment. The department and CEP expect that these changes will better serve the students and the campus.

Writing-Intensive course requirement: The Committee is increasingly concerned about capacity within writing-intensive (‘W’) courses. CEP began the year with a survey of programs concerning capacity within ‘W’ courses, and the ways in which majors received disciplinary writing instruction. Many majors incorporate ‘W’ courses into their requirements, and others have a relatively standard set of courses for which students may petition for ‘W’ satisfaction, usually with additional writing and one-on-one instruction. Most of the remaining majors do include considerable disciplinary writing instruction, but do not (or have ceased to) offer a ‘W’ course. The relevant Regulation is 10.2.2.E:

“Writing-intensive course. One five-credit course or the equivalent that provides instruction and substantial practice in writing within the context of any academic subject.”

The original intent, which CEP strongly endorses but does not currently enforce, was for students to receive writing instruction within an academic subject relevant to their academic objectives (such as in the major or a closely related major), rather than just any available subject within the Academy. To better enable programs to incorporate satisfaction of the ‘W’ within major requirements, CEP worked with one program (the Health Sciences B.S.) to define a sequence of two courses with an associated prerequisite for satisfying the ‘W’ requirement. Programs that wish to pursue this possibility are encouraged to discuss course design with the Chair of CEP, and to create a proposal that includes 1) a clear articulation of the writing instruction and practice that does or will take place in each course; 2) an explanation of how the combination provides appropriate disciplinary writing training; and 3) how consistency between offerings will be maintained. CEP has informally discussed such possibilities with two other programs, and encourages more majors to consider this option.

CEP hopes that divisions will take special account of the instructional needs of ‘W’ courses when allocating teaching assistant positions, especially in those divisions that do not offer many ‘W’ courses. A realignment of resources applied to general education instruction toward ‘W’ courses, even with their higher cost per enrollment, would greatly serve our curriculum and students.

Transfer students and General Education Requirements: One half of our transfer students complete the Intersegmental General Education Transfer Curriculum (IGETC) at a community college, and

thus receive a waiver of campus general education requirements. This percentage will grow with the implementation of SciGETC, which allows the deferment of 2 requirements for students pursuing course-intensive majors. For the remaining students, topical course requirements cannot be articulated to previous course work but are waived based on credit counts. Current policies and practices result in many petitions from individual students, both for waiver and for substitution. Also for students who do not satisfy IGETC, the writing-intensive requirement may not be satisfied by transfer work, which has also generated a number of petitions. Such petitions can be a barrier to good academic planning by students and generate workload for students, advising staff, and faculty (as well as for CEP).

CEP proposed to the Senate that the campus-only nature of these two requirements be removed, thus permitting it to articulate, for example, courses at other UC campuses as being appropriate for topical credit or disciplinary writing instruction. This was defeated in a close floor vote, though discussion endorsed the use of case-by-case petitions. Next year's CEP will need to consider this issue, most likely separating the issues of topical course treatment and writing-intensive course treatment.

Composition requirement: The Committee adopted guidelines for the articulation of courses satisfying the revised requirements in English composition (C1 and C2).

General education restructuring: A subcommittee worked with Professor John Isbister to re-examine the possibility of general education concentrations, a component of the (failed) 1999 reform proposal. The discussion led to the conclusion that a comprehensive review of general education may be appropriate for the coming year, and thus adopting a single component of the 1999 proposal may not be the best course for reforming our general education program. The topic is expected to be continued in 2006-07, and may also touch on the many issues surrounding Introduction to the Discipline, Arts, and Topical courses, including objectives, transfer, and differentiation.

## **Retention and Graduation**

The Committee studied the issue of undergraduate retention and graduation rates in collaboration with the Committee on Admissions and Financial Aid (CAFA), the Committee on Planning and Budget (CPB), Vice Provost and Dean of Undergraduate Education William Ladusaw, and Director of Institutional Research Julian Fernald. CEP's report on the matter was presented to the Division at the spring meeting (<http://senate.ucsc.edu/cep/CEPretention1495.pdf>).

UCSC's first-year and second-year retention rates have been steadily improving, with high correlation to increasing selectivity. For students entering in 2003, the two-year retention rate (the percentage of students to continue on to a third year) reached 79 percent. UCSC's six-year graduation rate should be positively affected by these changes because one of the most important factors in graduation rates is retention between the second and third year. UCSC's 1999 six-year graduation rate (the percentage of students who graduate before the fall of the seventh year) was 70 percent, while the systemwide graduation rate was 80 percent (well above the national average six-year graduation rate for public institutions).

The most important observations include that the lower retention rates in the first and second year are the primary difference between UCSC's graduation rates and the systemwide graduation rate; that UCSC does better than expected in retaining and graduating students with GPAs in the lower quintile of the UC-eligible (those ranked just above the 87.5 percentile of California high school students); and that UCSC does less than expected in retaining and graduating students with the highest high school GPAs.

The report makes three recommendations:

1. Adopt a campus goal of achieving a 6-year graduation rate of 80 percent by 2012.
2. Adopt a campus goal of achieving a 2-year retention rate of 86 percent by 2010.
3. Create a taskforce with representation across the campus to ensure continuing focus on retention, graduation, and their improvement.

The report also includes action items related to four areas: admissions and financial aid; academic program preparation and selection; student mentoring, advising and monitoring; and campus unit and program assessment. These action items, without supporting discussion, include:

1. Admissions and Financial Aid
  - Provide resources to strengthen admissions outreach and yield programs.
  - Increase resources available for financial aid.
  - Encourage the entire campus community to participate in attracting qualified students to UCSC.
2. Academic program preparation and selection
  - Consider strengthening the general education system to include a goal of major exploration and education.
  - Require programs to clearly articulate their degree objectives and ensure that students are aware of a variety of career opportunities after completion of the degree.
  - Encourage programs to examine their curricula to ensure that students can engage with material of interest and challenge in the first year, preferably in small groups.
  - Investigate how performance in major preparation and gateway courses, including writing, mathematics, languages, physics and chemistry, is related to retention and graduation.
  - Achieve awareness of developing trends in student major interest and ensure that UCSC has an appropriate and excellent portfolio of degree objectives.
  - Monitor curricular bottlenecks and ensure that first and second year students have priority in key lower-division courses (in progress).
  - Encourage programs to develop Honors Majors, Intensive Majors, BS/MS, and undergraduate research programs to ensure that top students have an outlet for their excellence. These programs should stretch down into the first and second year to have an effect on retention of top (and other) students.
3. Student mentoring, advising and monitoring
  - Colleges and Student Affairs should actively consider mechanisms for assisting the development of academically-focused communities surrounding degrees or clusters of related degrees.

- Programs should consider development of community-building activities and organizations among their majors, especially first-year and second-year students.
  - Maintain and expand the use of advising clusters to ensure that the advisers know a potential degree objective for every entering student (in progress).
  - Simplify the major declaration process and advance the major declaration deadline to ensure students receive the advising most appropriate to their goals (in progress).
  - Modify the minimum progress standards to catch potential problems early (complete).
  - Modify the maximum progress standards to remove administrative hurdles to pursuing credit-intensive majors and double majors (complete).
  - Reconsider the double counting rule for double major and major/minor combinations, as such restrict the opportunities for high-achieving students.
  - Reconsider the quarterly exception process for high course loads (complete).
4. Campus unit and program assessment
- Automate the collection and distribution of program-specific retention and degree statistics, including comparative benchmarks.
  - Incorporate retention and graduation rates as a major part of the external review process.
  - Develop tools for analyzing and reporting curricular and other bottlenecks, and engage programs in discovering ways to overcome them.
  - Focus annual reports and assessments on BA, BS, and BM degrees granted.

The Division indicated its strong support for continued Senate and Administrative focus on undergraduate retention and graduation rates by unanimously adopting a resolution calling for the incorporation of retention and graduation in academic and budgetary planning and evaluation; establishment of a task force on retention; and program-by-program review of ways to improve retention with particular attention to students seeking academic challenge in the lower division.  
<http://senate.ucsc.edu/resolutions/CEPretentionResol.pdf>

## **Policies**

The Committee revised a considerable number of policies related to undergraduate education and UCSC Extension.

Minimum progress: In winter, the Senate approved a change in Regulation 6.2.2 on minimum progress for undergraduates. The new Regulation uniformly expects students to complete 36 credits per academic year. Previously, expectations were lower for the initial years and higher for the later years. The new system is expected to enable better monitoring of at-risk students during the first and second years, positively affecting graduation rates.  
<http://senate.ucsc.edu/cep/CEPreg622SCP1478.pdf>

Progress beyond 180 credits: Regulation 6.2.4 indicates that, after the fourth year, students need college authorization to exceed 180 credits. Following previous CEP policy, approval in most cases is routine. Hence this Regulation provides needless bureaucracy to transfer students and students with course-intensive academic plans. CEP has requested that colleges provide automatic and automated approval for completing up to 225 credits within five years (135 credits within three years for junior transfer students), requiring petitions only for students wishing to complete higher-

credit academic plans within five years. Based on experience with this policy, a future CEP may wish to modify the Regulation. This is part of our effort to reduce hurdles for high-achieving students in an effort to improve graduation rates. <http://senate.ucsc.edu/cep/CEPunityyear.pdf>

Maximum credit load: Regulation 6.1.2 indicates that students need college authorization to carry 19 or more credits in a quarter. Colleges extend automatic approval for 19 credits after the first year. Authorization is routinely given, and CEP has requested that the Academic Information System extend fully automatic approval to students maintaining a 3.0 GPA to carry up to 22 credits after the first quarter at UCSC, and that colleges individually review requests to carry more than 22 credits and requests from students with lower GPAs. This is part of our effort to reduce hurdles for high-achieving students in an effort to improve graduation rates. <http://senate.ucsc.edu/cep/CEP19unit.pdf>

Minimum credit load: Regulation 6.1.2 also indicates that students need college authorization to carry fewer than 15 credits. Colleges routinely permit 12 credits (also the minimum for full-time status) for students with good academic standing and progress. The Committee has solicited comments from the colleges so that it may consider more rigorous standards for permitting students to carry fewer than 15 credits. Such a change may improve progress toward a degree.

Closed week/Final Exam Policy: The Committee regularly receives concerns about final examinations that have been surreptitiously moved to the last week of classes (“closed week”), moved to alternative times, or canceled. The Committee implemented new procedures for the movement of final examination times. Requests to move final examinations must come from the sponsoring department with Chair support by the fifth week of a quarter, address student needs, and receive CEP approval. The Committee revised the statement on final examinations in *The Navigator* and *The Schedule of Classes* to make clear student responsibility in being aware of the final examination schedule at the time of course selection. <http://senate.ucsc.edu/cep/exampolicy.pdf>

UCSC Extension: The Committee commented on the UCSC Extension Taskforce report during fall quarter. In spring, based on this report and working with VP/Dean Cathy Sandeen, the Committee approved new process flows for continuing education course approvals and instructor approvals, as well as continuing education certificates. Perhaps most importantly, the Committee and Dean agreed on the type and frequency of reports to CEP and to campus departments. UCSC Extension is one of our campus’ most visible educational programs. CEP is tasked with Senate oversight of all matters related to UCSC Extension (Bylaw 13.7.6), but for many years had not been asked for advice or requested information concerning these programs. It is hoped that these new processes will be the start of a much closer relationship between campus faculty and the continuing education programs, to the benefit of all. CEP and CPB have agreed to work closely in the coming years on issues concerning the budgetary aspects of UCSC Extension. <http://senate.ucsc.edu/cep/UNEXpacket.pdf>

Cross-listed courses: The Committee approved permanency in course cross-listing, removing the step of annual approval. The Committee determined that it would be appropriate for a future CEP to study the purposes and practices of cross listing, and also expressed concern about the anomalous treatment of enrollment workload for cross-listed courses (for Senate faculty, this accrues to the

faculty member's home department; for non-Senate faculty, this accrues according to a student's enrollment section). <http://senate.ucsc.edu/cep/Cross%20Listing.pdf>

Graduate student instructors: The University Committee on Educational Policy (UCEP) and the Coordinating Committee for Graduate Affairs (CCGA), with considerable campus consultation, created a joint statement on graduate student instruction. This may see systemwide distribution and adoption in 2006-07, with resulting changes in the process of appointing graduate student instructors.

Summer Session: UC, UCSC, and CEP all have significant work to do related to the normalization of summer quarter. UCEP provided the following recommendations to the Academic Planning Council, which endorsed and forwarded them to UC Provost Rory Hume.

- Campuses should begin reviewing and evaluating how their summer session models interact with their overall educational goals.
- The appropriate Senate committees should evaluate whether the 3-, 5-, and 6-week courses offered during summer session are "substantively equivalent" to the 10-week quarter or 15-week semester courses offered during the regular year.
- Campuses should review the services available to students on each campus to ensure that the cost and availability of housing, tutorial help, library hours, and health services are equivalent to the regular academic year.
- The University should engage in serious study, campus by campus, of strategies to develop summer enrollment and faculty participation in instruction.
- Consider integrating the Office or Division of Summer Session with the Office or Division of Undergraduate Studies.

<http://www.universityofcalifornia.edu/senate/committees/council/ac.summer.session.0706.pdf>

Academic integrity: The Committee has previously determined that instructors may override student Withdraw (W) grades as part of the academic sanctions associated with an academic integrity case. This year, the Committee determined that dropped courses can be reinstated on a student's transcript for similar purposes by petition to CEP from the instructor with comment from the Provost.

## **Planning**

Professional school pre-proposals: The Committee reviewed the several professional school pre-proposals submitted to the Senate. CEP was disappointed by the lack of integration of undergraduate, graduate, and professional education in the proposals. The Committee did not endorse any proposal for this reason.

Planning process: CEP Chair Hughey, CPB Chair Koch, Graduate Council Chair Schumm, and Division Chair Crosby worked together to better articulate a process for committee collaboration with respect to the 10-year plan updates. There has historically been less than optimal communication and consultation between the committees, most often the passing of memos rather than collaboration. This group attempted to define a process for the current planning efforts that would more fully implement the close collaboration specified in committee charges. Due to time

constraints, full implementation of the planned process was not possible, though CEP remains hopeful that this discussion will lead to a greater degree of collaboration between the various committees.

### **Divisional Plan Update Responses**

CEP responded to each of the academic divisional plan updates, and found several cross-cutting issues related to undergraduate education and research.

Objectives: Several plans do not clearly articulate the mission of the respective academic division, and how that mission integrates with campus goals. It is important for all units—programs, departments, divisions, and the campus—to be clear about their purpose and direction. This idea is being incorporated in the revised departmental external review process, but is also important for divisions and the campus.

Metrics: Many of the divisional plans include a focus on enrollments. At the undergraduate level, CEP is very interested in the level of degree production (degrees awarded rather than estimated number of majors), as well as the distinction among enrollment satisfying major requirements (the most critical to maintain), due to general education requirements, and elective credit. CEP would like to see, as a result of this planning process, a consistent and more articulated set of such measures for all programs and divisions.

Workload and Teaching Assistant Distribution: The Committee generally wondered how teaching assistant and instructional workload may be more efficiently allocated within divisions and among divisions. Also, CEP is interested in mechanisms that might encourage (rather than discourage, as at present) inter-departmental and inter-divisional teaching. These issues of workload and resource allocation are particularly important for the lower-division courses required of all students (e.g., writing), the majority of majors (e.g., mathematics and statistics), or many majors (e.g., basic science and languages).

Non-Senate Faculty and Graduate Student Instruction: Several divisions indicated plans to increase the use of non-Senate faculty and graduate student instructors in delivering the curriculum. CEP would like these divisions to articulate a philosophy of the use of non-research instructors. CEP does note that in many disciplines part-time faculty can bring additional expertise from the practicing world, and is not opposed to these proposals. However, CEP would like to know what impacts, positive or negative, these strategies may have on the curriculum, and how these impacts will be monitored.

Summer Session: Only one of the divisional plans included a strategy for state-supported summer session. That strategy was one of reserving resources in anticipation of campus development of a strategy.

### **Courses**

On-line courses: The Committee adopted a policy that on-line courses must include a mechanism for individual student assessment, such as, but not restricted to, an in-person or proctored final. The

Committee also approved several innovative teaching arrangements, such as two-room teaching and collaborative distance-learning teaching. The Committee encourages such experimentation, and also requested student feedback be gathered specifically concerning the experimental aspects of the delivery of instruction. Over time, these responses will be used to evaluate policies and publish best practices.

Enrollment: The current enrollment system provides priority based on class year, with seniors having the highest priority. Unfortunately, this means that the introductory courses for some majors are full before first- and second-year students interested in those majors may enroll. CEP and the Registrar provided programs the ability to reserve seats in such courses for first-year students beginning fall 2006. Over the coming year, based on these experiences, the Committee, Registrar, and interested departments will further explore these capabilities within the Academic Information System.

### **External Reviews**

The Committee responded to four external reviews (American studies, environmental studies, science communication, and physics). The Committee commented on charges for six external reviews (arts, electrical engineering, ecology and evolutionary biology, Latino and Latin American studies, molecular, cell & developmental biology, and the writing program). Also, the Committee commented on and strongly endorsed VPAA Galloway's proposal to modify the review process to ensure it is valuable for all parties concerned.

A continuing issue with respect to the external review process is the availability of comprehensible and complete data on programs and departments. Although more data is now provided centrally to units working on their self-studies, CEP found the current data and format to insufficiently support substantive data-driven program review by either the unit or the external reviewers.

### **Other Work**

The Committee met 33 times in 2005-06, including a half-day orientation at the start of the year. The Committee co-sponsored a campuswide forum on retention, with 75 attendees, primarily staff and students.

Subcommittees reviewed 209 new courses, 1,008 course revisions, 63 program statements, and 19 individual majors. The full Committee discussed many of the significant proposed degree changes, most of which were approved, but two of which were withdrawn for further consideration by the program faculty to address issues raised by the Committee. The Chair completed the first CEP review of the undergraduate parts of the "white pages" of the catalog. This section includes much academic information, and has largely evolved with minimal Senate supervision. Future revisions to these pages will involve CEP, as with other undergraduate sections of the catalog. Academic Editor Margie Claxton provided seamless coordination for these reviews, among her many other duties. The Committee expresses its great appreciation for her expertise and efforts.

The Chair reviewed 644 petitions. Major categories included:

- Writing-Intensive Course substitutions (158). The Committee especially thanks Sarah-Hope Parmeter of the Writing Program, who as the non-Senate teaching faculty representative in fall

reviewed these petitions. With great dedication, she continued during winter and spring, even after her term on CEP was complete.

- Other general education waivers and substitutions (130). Most often involving the Topical or Introduction to the Discipline courses.
- Modification of letter-grade option to meet the 75 percent requirement (11). These most often occurred for transfer students who took courses designated as P/NP only. Modification to AIS should provide better tracking of these cases. Students were required to fully change the most recent quarter(s) that would address this problem. Petitions to change letter-grade status for other reasons were routinely denied.
- Miscellaneous other requests to change the grade option (59).
- Late add and drop requests (220). Some categories of late add and other AIS issues are now delegated to the Registrar. Late drop requests without documentation of AIS errors were generally denied, unless there is other compelling evidence.
- Late instructor-initiated grade change requests are now delegated to the Registrar.
- Miscellaneous other petitions (66). Most were requests to waive <1 credit in order to graduate.

The Committee was tremendously well advised by its regularly-invited guests, Cher Bergeon of the Council of College Preceptors, Academic Editor Margie Claxton, Vice Provost and Dean of Undergraduate Education William Ladusaw, Articulation Officer Barbara Love, and Associate Director of Admissions Michael McCawley.

Roxanne Monnet joined the Committee in September as the new CEP analyst. With no time for training or orientation, Roxanne jumped into the rapids of CEP's daily and weekly torrent of business with aplomb and perseverance. It has been the Committee's and Chair's pleasure to work with Roxanne, and we hope she will continue to lend her expertise for many years to come.

Respectfully submitted,

#### **COMMITTEE ON EDUCATIONAL POLICY**

Heather Bullock

Jorge Hankamer (S)

Pamela Hunt-Carter, *ex-officio*

Tracy Larrabee

Anatole Leikin

Jaye Padgett (F, W)

John Tamkun

Richard Hughey, Chair

Floyd Amuchie, SUA representative

Pedro Castillo, Provosts' representative

Tim Fitzmaurice, NSTF representative (W, S)

Sarah-Hope Parmeter, NSTF representative (F)

August 31, 2006

**COMMITTEE ON EMERITI RELATIONS**  
**Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Emeriti Relations (CER) met infrequently during the academic year, instead conducting most of its business electronically.

The major issue for CER concerned the unanticipated enforcement in summer 2005 of a previously neglected regulation that requires emeriti faculty who are recalled to service to pay for campus parking during the period of recall. CER debated the matter at some length with Executive Vice Chancellor Klinger before it accepted his ruling in Winter quarter; CER reported the debate and its outcome to all emeriti.

CER took an interest in the discussions concerning the maintenance of dial-up modem service for off-campus users of the campus' Information Technology (IT) services, since not all emeriti have DSL service.

In collaboration with the Committee on Faculty Welfare (CFW), CER sponsored two successful Brown Bag Forums for Retiring Faculty and Faculty Contemplating Retirement; CER would like to thank Barbara Brogan, Bill Clark, Julie Putnam, Frank Trueba, and Elaine Wedegaertner for participating. CER plans to sponsor similar forums in February and April 2007.

CER conferred with CFW concerning strategies for securing access to future Medicare benefits for current faculty not enrolled in Social Security; CER agreed to support CFW in its negotiations.

The Chair of CER attended meetings of the Campus Welfare Committee and maintained contact with the officers of the UCSC Emeriti Group.

CER has only one item of outstanding business. At CER's request, the Dean of Undergraduate Education is developing procedures in accordance with which divisions would select candidates eligible for an annual Edward A. Dickson Emeriti Professorship. CER awaits the submission of those procedures for its approval.

CER would like to thank its staff member, Susanna Wrangell, for her helpfulness and efficiency throughout the year.

Respectfully submitted,

COMMITTEE ON EMERITI RELATIONS

William Friedland  
Susan Harding (W, S)  
Nathaniel Mackey (F)  
Michael Warren, Chair

August 25, 2006

**COMMITTEE ON FACULTY WELFARE**  
**Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Faculty Welfare (CFW) worked during the academic year as well as during the summer on issues of concern to the faculty and the entire campus community. Margaret A. Gibson served as chair of CFW in the fall, and Paul Ortiz served as chair in the winter and spring quarters. The committee was ably advised by Pamela Edwards who patiently and wisely guided CFW through transitions in chairs as well as committee members.

This year's committee benefited enormously from being able to draw on the expertise of prior CFW chairs as well as colleagues on other Senate committees. In addition, CFW maintained its longstanding practice of working and consulting with key administrative committees. CFW is especially grateful for the attention that Chancellor Denice Denton paid to our core concerns. Chancellor Denton met with us on several occasions during our tenure, and expressed a willingness to work with the Senate on an ongoing basis to address many of our core problems. We also acknowledge the work of Campus Provost/Executive Vice Chancellor David Kliger who met with CFW members on various occasions in order to strategize on ways to improve the quality of faculty life. In particular, CP/EVC Kliger's initiative providing \$1,000,000 in faculty recruitment and retention funds represents an innovative way of thinking about the challenges faculty face at UCSC.

In the upcoming year we hope to build on our modest successes and more effectively deal with the erosion in the quality of life that faculty at UCSC have been facing over the past several years. The housing crisis, anemic cost-of-living-increases, declining salaries vis-à-vis other universities, high parking fees, and the shortage of childcare facilities on campus have contributed to this erosion.

In addition, CFW is particularly concerned that the University of California Office of the President (UCOP) seems determined to reinstitute employee contributions to our retirement plans. It is likely that the reinstitution of employee contributions will wipe out any gains made by this year's COLA, which was already too low to begin with. While the unions that represent UC lecturers and other employees have taken strong stances about the resumption of employee contributions Senate faculty have yet to decide where they stand on this issue. CFW urges the Santa Cruz Division of the Academic Senate to take this matter into consideration.

In recent years, we have been reminded that the academic and public stature of UCSC has risen dramatically. The rise in our prestige is due in the main to the creativity and work of our faculty and staff. It's time that our salaries and benefits catch up with our stature.

## CHILDCARE

Two years ago, in our spring 2004 meeting, the Academic Senate voted in support of a resolution regarding campus childcare. The resolution was based on an extensive survey that demonstrated serious concern about this issue among all sectors of campus—even those individuals who did not have children. The overall finding of this survey was that lack of affordable childcare options on campus was a serious problem for our campus community.

The resolution "urged the UCSC administration to move forward with speed to provide for additional childcare for the campus community, and in particular for the families of faculty and staff." This resolution passed unanimously. Since that time, UCSC has not been able to make satisfactory progress on this issue. Childcare is not an issue. It is a necessity for our colleagues on this campus. It has an impact on recruitment, retention, and quality of life for our faculty and staff.

Princeton President and Microbiologist Shirley Tilghman made a highly publicized speech in March 2005 suggesting that the scarcity of women faculty in the sciences was partly explainable by family-unfriendly policies and the lack of "daycare that is both accessible and affordable." Her *New York Times*-worthy sound bite: "It's daycare, stupid!" More recently, President Tilghman has turned words into action by convening a working group to plan for a significant expansion and improvement of child care at her University.

Our campus lags behind the other UC campuses in child care services. Total demand for campus child care is over 300% of capacity, and the need is especially pronounced for infant and toddler spaces. Currently, there are only two (out of six) infant spaces available for faculty/staff. Furthermore, only four toddler spaces are allocated for faculty/staff, out of a total of twelve available.

In addition to supporting faculty outside the classroom, an expanded child care center at UCSC can provide significant research opportunities for faculty and students.

There is a plan for a proposed new center that would add space for 100 additional children, helping to alleviate this critical need. As reported in CFW's final report for 2000-01, Chancellor MRC Greenwood and Executive Vice Chancellor John Simpson made commitments, for a total of \$1.5 million, and UCOP agreed to provide matching funds of \$1 million for this new center. Still no substantial progress has been made. It's time to ask ourselves why this is the case, and it is up to the campus to explain to faculty and staff why additional childcare slots are not forthcoming in the near future.

There is some positive work to report on in this area. The members of the Child Care Advisory Committee (CCAC) are a dedicated group and are to be highly commended for their continuing work to raise awareness of the issues related to child care. It was an honor and a pleasure to work with this extraordinary group of individuals. After a lengthy effort and much revision, the CCAC's pending Child Care Access Policy brings much

needed clarity to the existing admissions practice at UCSC child care facilities. The policy, however, is only an intermediary step. At present, faculty and staff access is still limited by existing funding and administrative structures. Some initial steps were explored during the academic year (seeking off-campus facilities) but did not come to fruition.

For the 2005-06 academic year faculty access increased modestly as there was less student demand. However, this increase did little to alleviate the critical need on the part of faculty and staff. Difficulty in getting access to a clear budgetary picture, a confusing wait-list process, and the fact that faculty child care issues (just as with housing) are administratively managed by Student Affairs created some obstacles that should be addressed if the campus is going to move forward on the issue of child care.

Given that faculty and staff child care is such a critical campus issue perhaps it is time to reassess its administrative home (Student Affairs) and the way in which it is currently funded. At present, the perception is that current faculty and staff child care access is subsidized by student funding. In fact the budget is much more complex as it includes state subsidies for low-income families (for which students receive priority over faculty and staff), some 19900 funding, and faculty and staff parent funds in addition to the student fee funds. Thus, a crucial question for this committee is whether there is a need, as part of the planning process on child care, to centrally fund and administer the campus Child Care Service in a way that addresses faculty and staff needs and concerns equally with the needs and concerns of students?

CFW, in consultation with the Academic Senate Executive Committee (SEC) and CCAC, should take responsibility for the development of a structured faculty, lecturer, and post-doc wait list and procedures for selection; Staff Advisory Board should do the same for staff. Develop a plan whereby academic and administrative units are assigned "slots" which may be "sold" on a one-time basis to other units (it appears that the greatest need is among the "Sciences", followed by administrative staff, and then other academic units). This option would be especially useful for short duration post-doc situations.

A significant area of concern for academic and administrative families (i.e., faculty, post-docs, lecturers and staff) is that provisions should be made to financially support a family's access to seek off-campus child care facilities when campus facilities are at capacity (this could be a development project). Finally, the CCAC should re-assess current policy giving priority to students for governmental subsidies; we may want to expand opportunities for single parent household (faculty/staff/post doc etc) who fall into the "eligible" categories for governmental support (i.e., low-income housing, food and medical assistance, etc.) and thus may be eligible for child care grants.

Child Care should become a major campaign in the campus' academic fundraising efforts. When compared to the efforts of Cabrillo College, the University of California, Santa Cruz has failed extraordinarily its faculty and staff in this area. A move to joint Senate/Administrative oversight of both the Child Care unit and the Child Care Advisory Committee would be a welcome start in redressing the child care shortage on campus.

## **PARKING AND TRANSPORTATION**

CFW is allotted two representatives who sit on UCSC's Transportation Advisory Committee (TAC). From CFW's vantage point the structure of the parking system—as well as shared governance in this area—is broken. We are a campus with aging faculty and staff with steadily increasing mobility challenges and yet it appears that UCSC has decided to make core parking a thing of the distant past. We pay ever-increasing fees, now approaching \$800 per year, for fewer and fewer spaces. As one UCSC staff wit put it, "And for all that money, we don't get a parking permit, we get a hunting license -- the right to hunt for a space." We also absorbed an unannounced increase in bus pass fees this year.

TAPS staff are exceptionally professional, well prepared, and helpful, but they are burdened with solving problems that are essentially unsolvable. The issues over which the TAC has any democratic say are extremely limited, and the structure of TAC -- with undergraduate, graduate, staff, and faculty representatives voting --mitigates against faculty having any real influence over the parking issues that affect them.

This became clear in a series of TAC meetings this year during which the TAPS staff proposed issuing "B" permits at the same cost and offering the same access as the "A" permit. The CFW representative inquired as to what problem was being solved by this proposal. TAPS staff informed him that graduate students paid the same as faculty for parking permits but were not given the same access to parking lots. In response, the CFW rep made the following case.

UCSC faculty are usually fierce advocates for their graduate students' interests, and many if not most are also critical of hierarchical structures which privilege one group over others. That said, however, the most basic purpose of the university is to bring students into contact with faculty, and reducing faculty's ability to park conflicts with that purpose. The regents and taxpayers do not want their highest paid employees spending their time riding around looking for parking spaces. More importantly, faculty are on average twice as old as graduate students, with older bones, backs, and muscles. Faculty have far more infirmities and they teach more often than teaching assistants, which means they have a greater per capita need for parking. Therefore, the CFW rep moved, the ostensible unfairness created by charging graduate students the same high parking fees for a "B" permit as faculty and staff pay for an "A" permit should be solved by reducing the fees charged for a "B" permit rather than increasing grad student access to faculty/staff "A" lots. This argument was put in the form of a motion, graciously accepted by the graduate student representatives, and was voted for unanimously by the TAC.

In subsequent meetings, however, this decision came undone. It seems that TAPS staff informed the graduate representatives that they would only be able to reduce the price of a parking sticker by a small amount, so the grad reps rescinded their support for the CFW rep's motion. TAPS put the issue back on the TAC agenda and an alternate motion was

passed which allowed graduate students access to all "A" lots. In the end, then, what determined the fate of faculty parking was TAPS fiscal calculation of what *they* "needed" to charge for a "B" sticker -- not the merits of the case as argued by the CFW representative to TAPS. The extant policy for 2006-07 is to charge graduate students the same as faculty for parking, to allow them to park anywhere faculty can park, and to monitor the impact of this new policy. That the structure of the TAC and the apparently greater underlying power of TAPS led to this policy being passed over the initially persuasive arguments of the CFW representative was a source of deep frustration.

As the 2005-06 year ended, one CFW representative in a moment of frustration proposed that since we have no effective say over the parking policies that affect us, we should no longer participate in the TAC. CFW calls on the campus administration to explain to the Academic Senate why TAPS sets parking fees without broader, serious input (TAC doesn't seem to count). There seems to me to be an apparent conflict of interest insofar as TAPS in effect gets to set whatever fee structure it needs to fund its own budget. But if that budget consists of our fees, then we ought to know a great deal more about how TAPS spends that money -- e.g., salaries, travel, etc.

In addition, if there are UC systemwide policies or understandings that hamper our ability to achieve affordable parking fees at Santa Cruz then it is the responsibility of the administration and the Senate to examine such policies and to consider revisions if necessary in tandem with UCOP. It no longer suffices to blame old policies for current conundrums. Innovation in this area is a necessity.

## **SALARIES**

Overall, UC faculty salaries significantly lag those at other public and private institutions with which we compete; according to the Mercer report, submitted to the UC Regents in fall 2005, salaries lag our comparison institutions by 15%. In addition our housing costs are for the most part far higher than in other parts of the country. A report prepared for the Committee on Planning and Budget (CPB) and CFW by the administration also shows that faculty salaries at UC Santa Cruz are in many cases significantly lower than the salaries paid at our sister UC campuses to colleagues of comparable rank and step.

UCSC faculty successfully compete in the professional world with faculty from the most prestigious universities in the world. It is time that our salaries reflect this fact. The failure of the University of California to grant meaningful Cost of Living Adjustments (COLA's) to faculty over the past several years represents a *de facto* wage cut. CFW worked during the year to achieve a broad consensus that something significant must be done to bring the overall faculty salary scale into the twenty-first century. We heard from numerous departmental chairs as well as divisional deans that the current system of giving selected faculty off-scale salaries to offset our overall decline in earning power is costly and has damaged morale. The current dysfunctional salary system creates an incentive for faculty to "shop around" and solicit job offers from competing institutions. At the baseline, the administration as well as the Senate now appears to accept the proposition that faculty salaries need to be increased. However, UCSC must also consider

the impacts of the proposed changes in our retirement and health care plans that may erode salary increases.

## **HOUSING**

The crisis in faculty housing remains acute. Many colleagues are living in over-crowded conditions, and cannot afford to purchase homes. CFW is frustrated at the slow progress (and expense) of the Ranch View Terrace (RVT) development. UCSC is increasingly losing potential faculty hires to housing costs vis-à-vis our competitors. The days when a potential faculty recruit would choose Santa Cruz over a competing institution due to the beauty of the Central Coast are long gone. And yet, we are still only just now catching up to the reality that the median price of housing in this area is well over \$700,000 dollars.

CFW was able to work with the Senate and the administration to make some modest progress in this area. In the past year, CFW has continued to work towards creating a viable housing plan for the campus. The successes we have had are the following:

- 1) RVT will start construction soon and we have established a fair method for housing lot allocations.
- 2) A new million-dollar program has been established to help faculty financially afford the high cost of housing in Santa Cruz.
- 3) A schedule for a Master Housing Plan has been established and the first step is almost complete, a detailed report of the current problem and possible solutions.
- 4) CFW has worked with the SEC and the administration in response to the Senate resolution to rectify the deficiencies of the campus EIR with respect to employee housing.

The challenges for the next year will focus primarily on utilizing the new housing report to establish a Master Housing Plan for UCSC. This will entail extensive discussions with the administration to determine which recommendations in the report will be applied to UCSC. A detailed timeline has already been established with CP/EVC Kliger and now we will need to implement it. Of special concern is the way in which site preparation costs are budgeted. Under the current model, these costs are ultimately passed on to potential buyers. Given the stagnation of faculty salaries this model is untenable, and reforms are necessary.

## **LRDP and EIR**

CFW weighed in extensively over the year on issues surrounding the Environmental Impact Report (EIR) as well as the Long Range Development Plan (LRDP). We will attach here a copy of CFW's report on the EIR that was submitted in the winter quarter. (See Appendix One).

CFW looks forward to enhanced cooperation between the Academic Senate and the administration on quality of life issues, and we hope to work together to solve the many

challenges facing our campus. CFW calls on the administration and the Senate to place a special emphasis on examining and refining shared governance in all areas that impact our work lives particularly transportation and childcare. We also hope that the administration continues to move forward with improved plans to ensure that faculty and staff have access to affordable housing.

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

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November 2, 2006

**Appendix One: CFW Response to the EIR**

January 8, 2006

CFW Comments on the Draft Environmental Impact Report of 2005:

The members of the UC Santa Cruz Academic Senate Committee on Faculty Welfare (CFW) offer these comments on the Draft Environmental Impact Report (EIR) prepared for the 2005 Long Range Development Plan (LRDP) of the University of California, Santa Cruz (UCSC). The contact person for further consultation is Professor Paul Ortiz, CFW chair and member of the Community Studies Department, UCSC.

GENERAL OVERVIEW

The Committee on Faculty Welfare concurs with the concerns and analysis of the EIR offered by the UC Santa Cruz Academic Senate Committee on Planning and Budget in its December 2, 2005 report titled "Comments on the Draft Environmental Impact Report of 2005."

CFW wants to especially amplify one of CPB's concluding points: UCSC must "Acknowledge that on-campus housing is a mitigation for growth, and provide commitments to build a specified amount of housing, with information on how housing will be phased relative to growth, and with criteria to indicate when on-campus housing construction would be suspended because of surplus housing in the off-campus market."

In common with CPB, the Committee on Faculty Welfare has serious concerns (and doubts) over the administration's current analyses of future potential traffic flows on campus. We believe that Section 4 of the EIR does not provide a remotely realistic appraisal of what the traffic flows on this campus will be like with proposed growth.

In the past several years, issues that are germane to the EIR such as housing, childcare, and transportation have been the subject of intense communication between CFW and the administration of UCSC. Our continuing inability to formulate a viable faculty and staff housing plan—and deliver adequate childcare facilities for children of UCSC faculty and staff—is a serious impediment to the future prospect of growth at UCSC.

If history serves as even a partial guide, the growth levels proposed by the administration will do nothing to help our campus "grow out" of the current quality of life problems faced by UCSC faculty members—especially junior faculty members. Simply put, growth without adequate planning has not benefited faculty in the past; nor will it help faculty recruitment or the campus in the future. It is critical that the current administration reformulate its growth plan in a manner that makes adequate provision for housing, childcare as well as transportation infrastructure.

CFW's comments on the EIR pertain to three major issues:

## 1. HOUSING

### 1.1 Housing on campus

The LRDP calls for 21,000 students by 2020, which is approximately 7,000 more than today or a 50% increase over what we have today (not counting a roughly 5-fold increase in summer session students). As stated in the LRDP and EIR, 50% of these additional students, along with 25% of graduate students and 25% of faculty, are expected to be housed on campus. The housing analysis assumes that 125 new employee units will be built in addition to the 84 units already approved but not yet built in the Ranch View Terrace Development. However, the plan offers no guarantee that the houses will be built or that they will be offered to faculty at a price that faculty can afford. As noted in the University's November 23, 2005, Employee Housing Report, the housing market in Santa Cruz is one of the least affordable in the nation and as a result many employees, including almost all new faculty members, "face significant economic challenges to purchasing a home in this market." Hence, should the EIR plan for more than 125 additional employee units? If they are made available at an affordable price, faculty will

choose to live in them. If they are not affordable, then faculty will not live in them, and the campus will be unable to attract and retain new faculty, unless there is adequate off-campus housing available.

While the EIR proposes to house 25% of the faculty on campus it makes no firm commitment to build this housing or to provide this housing at a cost that new faculty members can afford on their salaries. If on-campus housing is viewed as an environmental mitigation, then it is imperative that the EIR include a commitment to provide on-campus housing for 25% of the faculty at a cost that faculty members can afford. According to the U.S. Department of Housing and Urban Development, "The generally accepted definition of affordability is for a household to pay no more than 30 percent of its annual income on housing. Families who pay more than 30 percent of their income for housing are considered cost burdened and may have difficulty affording necessities such as food, clothing, transportation and medical care" (U.S. Department of Housing and Urban Development <http://www.hud.gov/offices/hsg/omhar/index.cfm>). Since most of the new faculty will be hired at the Assistant Professor level, this means that for housing to be affordable, it should cost no more than 30% of an assistant professor's gross salary. The EIR needs to specify whether faculty housing will be built and will be affordable to new faculty hired at the assistant professor level. It also needs to specify when this housing will be available. What is the time schedule for building the new faculty housing? Will the new employee housing be dependent upon the building of the North Loop Road? When will this be built? Will new faculty housing be phased in, with some new units available each year, to accommodate the growth in faculty? If the University is not able to build affordable housing on campus that is available when new faculty members are recruited, then where will the new faculty live?

1.2 Housing off-campus. Even assuming that 25% of the new and replacement faculty will in fact be housed on campus, then 75% of the new and replacement will need to find housing off-campus, either in Santa Cruz County or elsewhere. What is the total number of new and replacement faculty who will need housing each year from now until 2020? How many of them are expected to live in the City of Santa Cruz? How many in the County? And how many will need to commute from outside of the county due to a lack of affordable housing within the County? Most importantly, given the lack of availability and affordability of housing in Santa Cruz County, is it realistic to assume that they will in fact find housing in Santa Cruz City or County? If not, where is it expected that they will live?

## 2. TRANSPORTATION AND TRAFFIC

To reiterate: The LRDP calls for 21,000 students by 2020, which is approximately 7,000 more than today or a 50% increase over what we have today (not counting a roughly 5-fold increase in summer session students). The LRDP calls for 21,000 students by 2020, which is approximately 7,000 more or nearly a 50% increase over what we have today (not counting a roughly 5-fold increase in summer session students). Fifty percent of these additional students, along with 25% of graduate students and 25% of faculty, are

expected to be housed on campus. While the LRDP proposes that this growth occur gradually over the years, there is no way around the fact that it will require constant construction and disruption that will fundamentally change the campus as we know it, and the community of Santa Cruz as well. Moreover, this will be on top of the growth we have already had in the past decade, which we are still far from catching up with in terms of housing, classrooms, faculty hiring, etc.

With specific regard to traffic issues, the EIR analyzes the new roads, stop lights, bike lanes, bus runs, and 3,100 net new parking spaces proposed to mitigate the impact of the increased traffic expected (p. 4-28). The EIR analysis of current traffic counts (2003-04 data) indicates that existing levels of service (LOS) on streets and at intersections on and around campus are already marked by unacceptable congestion and delays. More to the point, the EIR concludes that even with the LRDP accommodations, the proposed growth will cause significant impacts at roughly half the key intersections leading to and from campus (e.g., p. 4-24, 4-40). Indeed, even if all the proposed improvements by the City of Santa Cruz were to be completed on time, the EIR estimates that levels of service at the four most crucial intersections leading on and off campus would still be unacceptable (E or F on their A-F scale; p. 4-47). With reduced funding coming from Sacramento to local governments, there is reason to doubt that the City will be able to put in place the many improvements called for (p. 4-14 -- 4-19) in a timely manner.

### 2.1. Commute time to campus.

The campus's ability to recruit and retain new faculty members depends not only on the availability of affordable and adequate housing but also on the time it will take faculty members to commute from their homes to campus. Although the EIR predicts that traffic will be slowed at many off-campus intersections, it offers no information on the overall increase in commute time for those living in the county, or the commute time for those who must live outside the county due to lack of affordable housing. For example, how much longer will it take to commute to and from campus at peak and off-peak hours as a result of the growth and increased congestion? The EIR could address this by providing overall commute times between two given points, for example, from (1) the intersection at Soquel and Ocean Street to the East Remote parking lot on campus and back, or from (2) Aptos Village to the East Remote parking lot and back, or (3) from downtown Watsonville to East Remote parking and back. Will a trip that now takes 30 minutes increase to 45 minutes? Or an hour?

### 2.2. Commute time on campus.

The LRDP calls for replacing close-in faculty and staff parking lots on campus with remote faculty and staff parking. Once faculty members reach campus, how much additional time will it take them to reach their offices from the remote parking lots? How frequently will there be shuttles? Will there be space on the shuttles in peak hours for faculty to reach their offices without delay? How much will parking fees increase to pay for the new parking lots and additional shuttles? In other words, will the on-campus parking be affordable? And will it be efficient in the sense that faculty members are not

greatly delayed in reaching their offices once they arrive on campus? Moreover, what provisions will be made for faculty to park close to their offices when they need to transport instructional and research materials to their offices, as many faculty members do on a regular (often daily) basis? Again, faculty well being is directly affected by these issues.

Using the most optimistic projections in the LRDP as evaluated by the EIR, it is difficult to avoid the conclusion that there will be substantially longer delays at most key intersections within two or more miles of campus for extended periods during both morning and afternoon peaks. Leaving aside the impact on neighbors, adding up the delays estimated by the EIR for the intersections along typical routes to campus indicates that commute times from within the City of Santa Cruz will increase dramatically and could easily double -- even with proposed mitigations.

Therefore, the Committee on Faculty Welfare is deeply concerned that the proposed growth will strain the community's carrying capacity to the breaking point, amplifying the resentments so many of UCSC's neighbors already feel. Faculty are members of the community as well as of the campus, and for all its very thoughtful and creative analyses, the EIR offers scant assurance that the impacts of the proposed growth will not be deeply deleterious.

### 3.3. CHILDCARE

The large majority of new and replacement faculty will be young and it is reasonable to assume that many if not most will have children. Yet the EIR makes no mention of expanded child care facilities on campus for faculty and staff. If faculty and staff members living on campus must leave campus to transport children to and from child care, this will increase the traffic congestion and needs to be calculated in the traffic models. More importantly, we view the availability of on-campus childcare facilities to be essential to the campus's ability to recruit and retain new faculty. The EIR needs to address what provisions will be made to provide adequate and affordable childcare facilities and services for faculty and staff, as well as students. Although the University has stated that childcare is a high campus priority, the EIR does not provide adequate details about the specific number of additional childcare spaces that will be provided through on-campus childcare to faculty and staff.

### HISTORY AS A GUIDEPOST

At the time the 1988 LRDP was adopted, the University committed to attempting to reach a goal of housing 70 percent of its students on campus. While the 1988 LRDP did not deal with faculty and/or staff housing, it was also widely recognized at that time that the campus was confronting a crisis in faculty housing since housing prices were already beginning to reach unaffordable levels for assistant and associate professors and that future recruitment of junior faculty would be jeopardized as a result.

Since that time, the campus has not only never approached the 70 percent promise; it has never achieved 50 percent. Faculty and staff housing on campus has languished and market-priced housing is currently accessible only to full professors or junior faculty members who have substantial private resources. Student enrollments under the draft LRDP and EIR provide no guarantee that the campus has begun to confront what is already a genuine crisis. Not only will the experience of the past -- throwing more housing into the community with a concomitant pressure for housing price increases -- not resolve the student problem, it will continue to exacerbate the cost of housing, rental or purchase, for potential faculty. If the problems that were acknowledged in the 1988 LRDP are not finally confronted, then the current EIR and LRDP under review is headed for failure.

## CONCLUSION

The Committee on Faculty Welfare looks forward to working with the administration in dealing candidly with these formidable issues. Our letter has raised serious concerns with the EIR. However, we believe that the current review process provides our community with an invaluable opportunity to address systemic problems that have hampered faculty and campus welfare in the past. The time to seriously address housing, childcare, and transportation is now. We would be remiss if we did not seize upon this opportunity to create a better campus for faculty, staff, and students as well as the larger Santa Cruz and Central Coast communities that we are all a part of.

## **GRADUATE COUNCIL 2005-2006 Annual Report**

*To the Academic Senate, Santa Cruz Division:*

The Council met bi-weekly during the academic year, with a total of 15 regularly scheduled meetings over the course of the year. An additional ad-hoc meeting was held in the winter term to follow through on an Appeal of Academic Judgment that was brought before the Council late in the fall quarter. The voting membership of the Council comprised: Ram Akella, Robert Boltje, Don Brenneis, David Brundage, Teresa DeLauretis (F), Donka Farkas (W,S), Donna Hunter (Vice-Chair), Norma Klahn, Ronnie Lipschutz, Pradip Mascharak, Bruce Schumm (Chair), with Vice Provost and Dean of Graduate Studies Lisa Sloan sitting *ex officio*. Meetings were also attended by Laurie Babka of the Academic Senate staff, Bob Hastings of the Graduate Division; Graduate Student Association Representatives Ian Dobbs-Dixon, Lisa Downward (F), Allison Luengen, and Foad Kosmood (S); Postdoctoral Scholars Association representatives Heather Epps (F,W) and Sina Farsiu (S), and LAUC representative Beth Remak-Honnef. In his capacity as chair, Schumm served as a representative to the systemwide Coordinating Council on Graduate Affairs (CCGA), the Senate Executive Committee, the Chancellor's Advisory Board, the Academic Advisory Committee, and the Vice Chancellor for University Relations Search Committee. Guests to the Graduate Council in 2005-2006 included Provost and Executive Vice Chancellor David Klinger, Vice Provost for Academic Affairs Alison Galloway, University Librarian Virginia Steel, Vice Chancellor for University Relations Donna Murphy, Associate Vice Chancellor for Communications Elizabeth Irwin, Principal Analyst Betsy Moses, VP and Dean of the University Extension Cathy Sandeen, and Director of the University Extension Science Writing Program Ann Caudle.

### **1. Graduate Council Organization**

The 11-member Graduate Council designated several subcommittees that met separately throughout the year. The Council continued to have a standing subcommittee on courses (Klahn, Lipschutz, Boltje), and empanelled a new subcommittee on Graduate Student Welfare (Lipschutz, Brundage, Boltje, Hunter; see below). In addition, ad hoc subcommittees were formed for the selection of Cota Robles (Brenneis, Boltje, Hunter, Schumm) and Dissertation Year (Brundage, Farkas) Fellowships and the Outstanding TA Award (Klahn, Mascharak) recipients, and program external reviews (see below). The Council as a whole reviewed new program proposals as well as all other academic and policy issues that arose that were related to graduate education.

The Council depends critically on the Senate staff for its efficient functioning and for providing vital institutional memory; as always, it is deeply indebted to Laurie Babka for her knowledgeable, patient, and good-humored support throughout the year. The Council is similarly indebted to the broad-ranging expertise and precision of Graduate Division staff member Bob Hastings.

### **2. The Coordinating Committee on Graduate Affairs (CCGA)**

The systemwide Coordinating Committee on Graduate Affairs (CCGA) is charged with assessing new graduate programs and recommending for or against their approval. It examines each program proposal rigorously, making use of expert reviews from referees both within and without

the UC system. Additionally, the advice of the CCGA is solicited for all systemwide policies related to graduate and post-doctoral education. During the 2005-2006 academic year, UCSC's proposal for a Ph.D. in Music was reviewed and approved. Specific topics of policy discussed at CCGA during the 2005-2006 academic year included:

- Competitiveness of graduate student financial support
- The environment for international graduate students
- The abolition of non-resident tuition
- Sunset on CCGA approval of graduate programs that are slow in implementation
- The evolution of guidelines for scholarly communication and its evaluation
- The use of graduate students and postdoctoral fellows in state-sponsored University instruction (see item below)
- Senate Regulation 694 on residency requirements (see item "Remote Learning and Online Classes" below)

Of these items, Chair Schumm played a lead role in the development of policy for the use of students in University instruction, as well as in drafting new systemwide Senate Regulations on remote and online learning. Both of these are currently under review by the Academic Council. Chair Schumm also served as the lead reviewer for a proposal for a joint Ph.D. program between Cal State Fresno and UC Davis in Forensic and Behavioral Sciences.

### **3. Oversight of the Mathematics Ph.D. Program**

In 2002-2003, Graduate Council exercised its plenary authority by suspending admissions to the Mathematics Program, beginning with the 2003-2004 academic year. In re-authorizing admissions to the program for 2004-2005, the Council stipulated that the PB&S Division provide the Council with annual reports on Mathematics graduate curriculum, enrollments, hiring and personnel actions, and student quality and welfare. The 2005-2006 report was made available by Dean of Physical and Biological Sciences Thorsett at the beginning of the academic year. In addition to this report, which was reviewed by the full Council, a Council member (Mascharak) reviewed the course evaluations for all Graduate courses taught in 2004-2005. The Council continued to be satisfied that the Mathematics Graduate Program was operating at a level warranting continued admissions to the Ph.D. program, although concerns were raised about the overall graduation rate, as well a lack of information from Math graduate students on their mentoring/advising experiences. The Council will continue to review the program in this way on a yearly basis, until the Council deems by formal vote that the reviews are no longer necessary.

### **4. New Program Proposals**

The Council reviewed proposals for three new graduate programs, incorporating comments and concerns from the parallel reviews done by the Committee on Planning and Budget: an M.S. and Ph.D. in Statistics and Stochastic Modeling (School of Engineering), an M.A. and Ph.D. in Feminist Studies (Humanities, with participation from Arts and Social Sciences), and a Ph.D. in Film and Digital Media (Arts).

The Council reviewed the Statistics and Stochastic Modeling proposal, and provided feedback to the proponents in October 2005. Concerns included the limited emphasis on frequentist methods, placement of the program in the larger context of the UC system, coverage of the curriculum, inclusion in the proposal of faculty that had not expressed a willingness to participate, the lack of a clear governance structure, and the nature of the Master's capstone. The proponents worked during the fall and winter quarters to address the Council's concerns, and the proposal received approval from the Council in April. The proposal is currently under review by CCGA.

The Council reviewed the proposal for an M.A. and Ph.D. in Feminist Studies in May 2006. The Council was favorably disposed towards the general thrust of the proposal, and the strong credentials of the proponents. However, several issues arose in the Council's review of the proposal. The Council found the language presenting the proposed fields of emphasis to be somewhat limited and vague, and had questions about the nature and appropriateness of the Master's capstone requirement and Ph.D. qualifying exam. The Council also noted that all members of the proposed core and affiliated faculty are female, and wondered if this group would represent an optimally diverse set of viewpoints. CPB had several concerns about the adequacy of faculty resources, including the commitment of faculty outside the Feminist Studies Department, as well as the size of the core faculty within Feminist Studies. CPB's analysis suggested that another (8<sup>th</sup>) core faculty member needs to be appointed to make the program viable, and the Council has asked the proponents to assess CPB's analysis. The Council has also requested that outside departments offering essential curriculum provide explicit letters of commitment to providing those classes. The proponents are in the process of addressing these comments; however, in the meantime, it has come to the attention of the Council that a number of members of the core faculty are considering offers from other institutions. Thus, the status of the Feminist Studies proposal is a bit unclear as of summer 2006.

Finally, the Council reviewed the proposal for an M.A. and Ph.D. in Film and Digital Media, also in May 2006. Again, the Council was generally supportive of the proposal, but had specific comments for the proponents to consider. The program would be unique in its incorporation of practice into the advanced study of the theory of visual media, but the Council felt the proposal should be more expansive about how the content and structure of the program would allow this to play out. The Council raised a concern about the adequacy of graduate student support, particularly in comparison with UC norms, and also requested a curriculum staffing plan for the first several years of operation, making explicit the roles that would need to be filled by new hires. Upon CPB's recommendation, the Council also requested that the proponents provide a detailed operating budget, and provide evidence that this budget can be met as the program begins. The Council is looking forward to reviewing a revised proposal in the fall of 2006.

### **5. Graduate Program Review**

During the 2005-2006 academic year, the results of the following programs' periodic reviews came to the attention of the Graduate Council: Environmental Studies, Science Communication, Physics, and American Studies. Reports from the Graduate Council were generated under the lead of members Brenneis, Boltje, Mascharak, and Brundage, respectively. The Council provided feedback to the office of the VPAA regarding the status and future plans of these programs.

In addition, the Graduate Council consulted with Vice Provost of Academic Affairs Alison Galloway on the proposed revision of procedures for the review of academic programs. Several suggestions were provided to VPAA Galloway, based on its recent experience, as well as its careful consideration of the existing policies as they were developed in close consultation with the Council by former VPAA George Brown during the 2003-2004 and 2004-2005 academic years.

### **6. Individual Program Degree Requirements**

The Council has plenary authority over titles of and degree requirements for graduate programs. During the 2005-2006 academic year, this responsibility played itself out in several ways. A

number of programs requested, and were granted, permission to alter degree requirements, including those for the DANM (Digital Arts and New Media) MFA, and the Education, Psychology, and Politics Ph.D.s.

Several years ago, the Council became concerned that some programs may have changed their degree requirements without Council approval. The Council undertook a systematic review of changes to program requirements, requesting that all graduate programs submit a list of degree requirement changes since 1993, the last time that a comprehensive review of degree requirements was undertaken. This review was completed this year, with the final remaining programs submitting and gaining approval for their current requirements.

In 2003-2004, the Council established a formal policy for the approval of parenthetical degree titles for students with a “minor” concentration in allied fields. Under this policy, the Philosophy Department requested, and was granted, approval for a set of degree requirements that would lead to a parenthetical notation in Philosophy. Subsequently, the Sociology Department requested, and was granted, approval to award the parenthetical notation in Philosophy to its Ph.D. for students completing the Philosophy Department’s parenthetical requirements. The Council noted that its 2003-2004 parenthetical notations policy would benefit from language clearly specifying that both departments – the department providing the parenthetical curriculum as well as the department permitting the parenthetical designation – need to join in the request to allow the parenthetical designation.

### **7. Systemwide Academic Senate Policy**

As a member of CCGA, Council Chair Schumm led the drafting of two revisions to systemwide Academic Senate policy. Both of these are currently under review by the Academic Council.

Prompted by increasing requests for approval of online and remote delivery of instruction (including an online Master’s degree in Engineering at UCLA), CCGA felt the need to update the UC Academic Senate’s residency requirements, and to set basic standards for online delivery of instruction. Schumm led a revision of Senate Regulation 694, which defines residency and contains minimum residency requirements, as well as the drafting of a new regulation, SR695, that sets standards for online instruction.

The question of the prevalence and degree of independence of instruction provided by graduate students lies just beneath the surface of the University’s – and indeed, the nation’s as a whole – educational enterprise. UC Administrators have become increasingly concerned that current policies, and their inconsistency from campus to campus, are not serving the University as well as they may, and raised this issue with the Academic Senate in early fall of 2005. With Denise Segura of Santa Barbara (2005-2006 Chair of the University-wide Committee on Educational Policy), Schumm led the drafting of a comprehensive new policy that would regularize the delivery of instruction by graduate students and postdoctoral fellows across the entire UC system, re-defining graduate student instructional titles, establishing minimum qualifications for those titles, and establishing the associated modes of faculty oversight. This new policy would apply for all state-supported instruction, including summer session.

### **8. Graduate Student Welfare**

New to Graduate Council for 2005-2006 was the formation of a subcommittee on Graduate Student Welfare, including members Lipschutz (chair), Brundage, Hunter, Boltje, Dobbs-Dixon

(GSA), and Luengen (GSA). This subcommittee was quite active in the latter half of the year. The committee identified numerous issues that it could lead the Council in addressing, and chose for this year to narrow its focus to several areas: the process for negotiating health care coverage and premiums, working with the GSA to develop mentoring guidelines, and night-time parking fees. A draft set of mentoring guidelines awaits final revision by the GSA and will be distributed to departments and academic administrators when completed. A request to excuse graduate students from night-time parking fees has been formulated and sent to Transportation and Parking Services.

### **9. Plans and Minimum Requirements for Academic Master's Degree**

In researching systemwide Senate policy on academic Master's degrees, Chair Schumm discovered that the definition of Plan I (thesis) and Plan II (comprehensive examination) Master's plans, and the establishment of minimum requirements, falls to the individual campuses. Of all ten UC campuses (including Merced), UCSC alone had no language defining the two Master's plans and establishing minimum requirements. A subcommittee consisting of Schumm (chair), Brenneis, and Mascharak researched language from other campuses, and did a comprehensive review of the requirements of existing UCSC Master's programs. The subcommittee then recommended language defining Plan I and Plan II Master's, and setting minimum unit requirements, to the Council. The Council adopted this language in spring 2006. Chair Schumm is working with the few programs whose requirements may fall short of the newly-established minimums.

### **10. Appeal of Academic Judgment**

The Council considered an appeal of academic judgments in a special meeting on January 4, 2006. The appeal was resolved in a memo from the Council on January 9, 2006.

The Council considered a proposal to significantly rework the appeals procedure put forth by the Council's GSA representatives, with significant input from Dean Sloan and Chair Schumm. Goals of the new procedures would be to increase the involvement of students in evaluating the merits of the appeal, and to lessen the impact of the appeals process on the Council's agenda. Although much progress was made on the draft proposal, several comments remained to be incorporated by GSA at the end of the 2006 academic year. This revised draft should be brought before the full 2006-2007 Council for review, and then circulated for comment to department chairs, graduate directors, and deans before final approval is given.

### **11. Block Allocation Policy**

The Graduate Council establishes policy for the awarding of the Division of Graduate Studies "block allocation" funds to graduate programs. Existing Council policy allocated the funds based on program enrollments, with a weighting of 1.5 to 1.0 for Ph.D. students relative to Master's students. Certificate programs were not awarded block allocation funding.

With the recent introduction of non-Ph.D. doctoral programs (Ed.D. and DMA) and terminal Master's programs (MFA), the Council found it necessary to reconsider the principles under which it awards block allocation funding. After considering the possibility of establishing overarching principles that would guide allocation to non-Ph.D. doctorates and non-academic Master's, it was decided instead to consider new programs on a case-by-case basis. It was decided that the DMA program would receive funding at the Ph.D. (1.5) level, while the MFA in Digital

Arts and New Media would receive funding at the academic Master's (1.0) level. No funding was awarded to the Ed.D. program, as similar funding is already built into the support provided by UCOP.

In addition, citing the inability of students to obtain Teaching Assistantships, as well as its service to a needed and underrepresented field, the Science Communication Certificate program was awarded funding at the Master's (1.0) level. While clear majorities arose for these decisions, the vote was not unanimous in all cases.

## **12. Other Divisional Policy**

The Council also reviewed a number of proposed changes to the policies of the Santa Cruz Division of the Academic Senate. The Council reviewed and approved a proposal to change the name of the Committee on Education Abroad Programs to the Committee on International Education, with a somewhat expanded charge. The Council also joined with the Committee on Educational Policy in reviews of final examination requirements and policy relating to the permanent cross-listing of courses.

## **13. Review of Proposals for New or Modified Graduate Courses**

As in previous years, the Subcommittee on Courses reviewed all new course proposals, as well as any course change requests that were not deemed to be pro-forma according to previously established course review policy.

## **14. Statements of Position**

A number of issues came before the Council that required the generation of memos presenting the stance of the Council. These included a review of the 10-year Divisional Plans generated by the Deans in Winter 2006, a review of pre-proposals for professional schools generated as a result of the call put forward by the Senate Executive Committee in 2004-2005, a review of proposed systemwide guidelines on Student Freedom of Scholarly Inquiry, a review of the report of the Task Force on University Extension, a consideration of the role of language in campus academic programs, and a review of the draft white paper from the systemwide Special Committee on Scholarly Communication. Copies of the Council's statements of position are available from the Academic Senate Office upon request.

## **15. Library Funding for Graduate Programs**

Based on input from a number of sources, the Council developed a deep concern about the state of library funding for graduate programs. As a result, Chair Schumm and Committee on Research chair Judith Aissen had a series of meetings with University Librarian Steel to discuss how to build the case to increase Library funding, and if appropriate, argue before the Executive Vice Chancellor that increased budgetary priority should be given to the Library. In a subsequent meeting between Librarian Steel and EVC Klinger, the EVC expressed his own concern about the state of Library funding, and agreed to look into it. Thus, the GC/COR effort was put on hold pending the outcome of the EVC's decisions about Library funding. It is recommended that the Council explore this issue with Librarian Steel early in the 2006-2007 academic year.

## **16. Graduate Catalog Rights**

In 2004-2005, the Council voted to extend “catalog rights” – the right to be held to the requirements published in the catalog at the time of matriculation – to graduate students, beginning with the 2006 entering class. Until this time, only undergraduate students could refer to the general catalog as the document of record. Recognizing the legal import of this change, the 2005-2006 Council required and received a letter from all graduate programs acknowledging cognizance of the change. The Chair worked with the Registrar’s office to develop language for the general catalog stating informing readers that it stands as the document of record for graduate degree requirements.

## **17. Graduate College**

The notion of a Graduate College was discussed in several meetings, with Schumm, Sloan, and Brenneis, along with GSA representative Kelly Feinstein, forming subcommittee to discuss its formation in a more focused manner. The formation of a Graduate College must be carefully thought through, as to become designated as such, the entity will need approval from the Regents. The idea that emerged would be to have initial activities and curriculum “prototyped” under the auspices of two sponsoring, and diverse, divisions, such as Engineering and Humanities. Academic content would focus in two areas: professional development (pedagogy and career preparation, including professional ethics), and interdisciplinary forums. Social aspects of the college would also revolve around fostering interdisciplinary exchanges. It was generally felt that lack of meetings rooms and eating facilities make the current Graduate Commons somewhat undesirable as an initial locus for the Graduate College. Space being created in the McHenry Library expansion may serve better. To move forward with developing the Graduate College, it is felt that a list of roughly one dozen “Founding Fellows” from the faculty would need to be invited to take part in working out and implementing a prototype proposal.

## **18. Science Illustration**

The 2004-2005 Council oversaw the transfer of the successful Science Illustration certificate program from campus to UCSC Extension. In 2005-2006, the Council invited Extension Dean Cathy Sandeen and Certificate Program Director Ann Caudle to report on the health of the program in its new home. Although with a somewhat larger student-to-teacher ratio to allow the program to be self-supporting, the Science Illustration Program appears to be flourishing.

## **19. Issues Carrying Forward to 2006-2007**

The following issues remain unresolved going into the 2006-2007 academic year:

- Continue exploring the reworking of the procedure for hearing appeals of academic judgment;
- Follow through with editing changes to mentoring guidelines, and distribute to departments and programs;
- Amend the 2003-2004 parenthetical notations policy with language clearly specifying that both departments – the department providing the parenthetical curriculum as well as the department permitting the parenthetical designation – need to join in the request;

- Numerous items relating to the overall welfare of graduate students, including the process of negotiating health insurance packages and premiums, housing, night-time parking, and Student Health Center practices, including billing;
- Continue to examine the crisis in Library funding for graduate programs;
- Ensure that all Master's programs meet the minimum unit requirements established by the 2005-2006 Council;
- Continued probationary oversight of the Mathematics Department;
- Continued review of the Feminist Studies and Film and Digital Media proposals, as the revisions become available;
- Continue to work with the Division of Graduate Studies in developing a structure and plan for a prototype Graduate College

Respectfully submitted,

GRADUATE COUNCIL

Ram Akella

Robert Boltje

Don Brenneis

David Brundage

Teresa DeLauretis (F)

Donka Farkas (W, S)

Donna Hunter

Norma Klahn

Ronnie Lipschutz

Pradip Mascharak

Lisa Sloan, *ex officio*

Bruce Schumm, Chair

GSA Representatives: Ian Dobbs-Dixon Lisa  
Lisa Downward (F)  
Allison Luengen  
Foaad Khosmood (S)

PSA Representatives: Heather Van Epps (W,S)  
Sina Farsiu (S)

LAUC Representative: Beth Remak-Honnef

August 28, 2006

## **COMMITTEE ON THE LIBRARY Annual Report, 2005-2006**

To the Academic Senate, Santa Cruz Division:

The Committee on the Library (COL) addressed a number of issues that impact the library as well as the entire campus. A summary of these issues and the COL response is provided below:

### **1. Senate Resolutions on Scholarly Publishing**

In the spring of 2005 the Santa Cruz Division of the UC Academic Senate passed four resolutions addressing key issues in scholarly communication. COL was charged with their implementation. Recently the systemwide Special Committee on Scholarly Communication (SCSC) submitted a series of five draft white papers and a policy proposal regarding scholarly communication (<http://www.universityofcalifornia.edu/senate/committees/scsc/reports.html> ). These papers touch on many of the issues in the Santa Cruz resolutions and we are pleased that this important subject is receiving attention at the systemwide level.

COL reported to the Academic Senate on its progress in implementing the Senate Resolutions in May 2006. An outline of this progress follows.

At its May 2005 meeting, the UCSC Division Academic Senate resolved:

- 1. To propose the following principle be conveyed to UC negotiators to use in their negotiations with journal publishers. Where publishers submit systemwide contracts for access to online content with prices which exceed the consumer price index by more than 1.5% in any one year then that contract should be referred to the Committee on the Library of the UC Academic Senate (UCOL) for comment.*

Toward this goal, the Committee informed the systemwide Library committee (UCOL) of our resolution. We also conveyed that this was a particularly urgent issue at UCSC and that we were forced to cancel 152 journal subscriptions last year. We should point out that communication with UCOL has been greatly facilitated by the fact that Ben Crow, former chair of the COL at Santa Cruz, is the current chair of UCOL. Ben played a significant role in drafting the 2004 UCSC Senate Resolutions. In addition the current COL chair, Bill Sullivan, is a member of UCOL and has directly communicated the views of the UCSC Senate on this issue to UCOL.

One of the draft white papers produced by SCSC is titled “The Case of Journal Publishing” and calls for journal publishers to follow a number of ideal journal publishing practices. These include: seeking only copyrights necessary for first publication, avoiding monopolistic pricing, providing transparent financial information, and enabling the maintenance of a persistent scholarly record. The Committee supports the steps outlined in this white paper.

COL is of the opinion that the issue of pricing is especially critical. Therefore both in a written statement and verbally at the UCOL meeting, we made it clear that most of our combined efforts should focus on journal subscription rates.

- 2. To propose that the UCSC Senate establish a task force including former chairs of CAP to explore ways to meet the challenge of academic evaluation in an era when publication and performance possibilities are changing.*

At the request of COL, the Senate Executive Committee passed COL's draft charge to the Committee on Committees to staff a task force for the 2006-07 academic year.

- 3. To propose that the UCSC Academic Senate, in collaboration with the UC Academic Senate and the UC Administration, take urgent steps to explore the restructuring of the University's copyright policy to assert a collective right, under the direction of individual faculty, to distribute faculty work for research and teaching.*

We found this to be an extremely difficult and troublesome issue. The legal issues surrounding copyright are beyond the expertise of the Committee. The Committee has encouraged exploration of this issue at the systemwide level.

SCSC produced a draft white paper titled "The Case of Scholars' Management of Their Copyright" which was carefully read and discussed at length by COL. That paper suggests that publishers seek only copyrights necessary for first publication of the work, and that faculty retain or share other rights, including the right for classroom use, non-profit distribution following first publication, and the right for archival preservation by a University entity. To add value and make an economic return, publishers do not need full transfer of copyright ownership, as is current practice. Most business needs can be met by securing an exclusive right of first commercial publication, with requests for other rights such as foreign distribution and reprinting, made when and as necessary. Authors and their institutions then retain and take advantage of other copyrights as needed for research, teaching, content management, and continued influence.

Although COL agrees with the spirit of SCSC's white paper on copyright, we have some reservations about the accompanying proposed Scholarly Work Copyright Rights Policy. That policy has the faculty granting the Regents a "limited, irrevocable, perpetual, worldwide, non-exclusive license to place the faculty member's work in a non-commercial open-access on-line repository." Although there is an opt-out clause, COL is concerned that faculty may be placed in untenable positions with respect to conflicting publisher and UC copyright policies. No one on our Committee has experience or training in this area, and we have forwarded this concern in writing to the UCOL. We suggested soliciting expert legal advice before a formal policy is put forth. We also expressed this concern in a conference call with UCOL. At the conclusion of the call, the consensus was that UCOL will obtain expert advice from copyright lawyers and the white paper and proposed policy will be appropriately modified.

Currently UCSC and UC Merced are the only UC campuses that are not members of the Association of Research Libraries. Among the many advantages of membership is access to legal advice concerning copyright issues. While recognizing that membership in the Association

of Research Libraries requires a financial obligation from UCSC in a period where the Library's budget is under increasing pressure, we recommend that the University evaluate the many benefits of joining the association and consider allocating the necessary funds to the Library.

4. *That the UCSC administration explore the establishment of an Office of Scholarly Communication or similar administrative unit to take responsibility for the persistent stewardship of all forms of scholarly communication.*

To accomplish this, COL proposes the establishment of liaisons between each department and the library. The liaisons would communicate the existence and relevance of open access venues as well as advising librarians on collections relevant to their discipline. We estimate that these appointments would incur a modest commitment (~ 2 hours/quarter). COL proposes that each department appoint a faculty member as their library liaison. In February, COL sent a letter to every department chair requesting that they appoint a faculty member by April 15, 2006.

The appointment of liaisons is just the first step toward meeting the spirit of this resolution. COL will also encourage the UC libraries to purchase the smaller name journals in order to support them for fields where the journals are not as available electronically as for others.

In addition, we are exploring the possibility of altering the charge of COL so that it explicitly includes scholarly communication. As suggested by UCOL, this may involve changing the name of COL to "The Committee on Libraries and Scholarly Communication." This is still under discussion as it would entail a significant increase in workload for the Committee and it would significantly change the mission and scope of the Committee from focusing specifically on Library issues to considering a broad set of topics related to research, tenure, instruction, and public relations, among others.

## **2. Symposium and reception for the new librarian**

A symposium was held on Thursday, March 9, to welcome the new librarian, Virginia Steel. Guest speaker Architect Geoffrey Freeman accepted our invitation with a lecture titled "Academic Libraries for the 21<sup>st</sup> Century: Challenges and Opportunities." The lecture was followed by a reception and a fund-raising dinner at the University Center. One of the participants at that dinner donated funds to cover the cost of hiring Geoffrey Freeman as a consultant on the McHenry library remodel. The event was well attended and helped raise the profile of the library on the campus. COL is indebted to Margaret Gordon of the Library Development Office for organizing the event. Because of this success, COL is considering initiating an annual library lecture series.

## **3. Library Remodel and Renovation**

At our first meeting in the fall of 2005, it was clear that the library addition had reached a stage that was beyond further input from COL. However, the working drawings for the McHenry renovation had not been completed and input from the COL was warranted. An area of particular concern to COL was placement of offices for library staff and others around the perimeter of the main floor of the library. This design would severely limit the views and natural

light to the patrons. COL made our views clear to the librarian and the architects. We suggested that these perimeter offices be moved up one floor. Geoffrey Freeman, the invited speaker and a leading figure in library architecture reiterated this concern at the symposium. An unexpected positive outcome of this symposium is that Geoffrey Freeman will work as a consultant with contractors and architects. Focus groups met with the architects in January and expressed concerns about security lighting and interior design. These concerns are also being addressed in the redesign.

Currently there is a \$6M shortfall for the McHenry Library remodel project, of which \$2M is required for a loading dock that was not originally in the plan for the remodel. All options for how to respond to this shortfall are fairly extreme. The Library may be asked to cover the cost for the architects and contractors to redraw the plans to accommodate possible ways of reducing the cost. This is an added cost of up to \$130K.

These significant shortfalls prompted the COL to raise this issue directly with Chancellor Denton. COL gave the Chancellor an overview of issues associated with the library remodel. Chancellor Denton indicated that she thinks that the library remodel should be a high priority in the capital campaign. She explained that the process for fund-raising priorities typically starts from departments moving through the deans and, eventually, to the Chancellor. A central advisory committee will be formed to give input during the campaign. The University Librarian will be invited to be on that committee.

#### **4. Library Budget**

*Acquisitions:* The outlook for the both acquisitions budget is bleak. Head of Special Collections and Acting Head of Collection Planning, and Christy Hightower, Biology and Biomolecular Engineering Librarian, explained the process of acquisitions at UCSC. Key points of their presentation:

1. Of UCSC's \$3.4M on-going acquisitions budget, 80 percent goes toward purchases that are serial in nature such as journals and electronic books. The remaining 20 percent is used for one-time purchases such as monographs.
2. UCSC purchases ~34K books annually. The amount spent with the vendors each year is ~\$650K.
3. The Consumer Price Index has gone up 73 percent since 1986-2004. The cost of monograph expenditures has gone up 63 percent during this time. **Also during these years, the cost of serial expenditures went up 273 percent.**

The bottom line is that maintaining up-to-date and comprehensive monograph and journal collections for existing programs is increasingly difficult and the resources available in the library budget for developing collections for new programs are not realistic. University Librarian Ginny Steel met with EVC/CP Klinger regarding these and COL's concern over how to fund the needs of new graduate programs. Without additional funding, cuts in other aspects of the budget are necessary. One possibility is suspending the campus subscription to the Institute for Science Information (ISI) reference index and citations database. The cost to UCSC for Web of Science is \$70K per year. The Committee discussed ways to determine the need versus cost

of ISI. This topic will be continued at a future meeting. Funding lost to UCSC due to under enrollment of students may preclude the Library from receiving a necessary augmentation. It must be pointed out that UCSC is by far the lowest in per capita expenditures with \$250 per student versus a national average of \$718. Excluding UCSC, the low is \$335 and the highest is \$2,453. Within UC, the average is \$411 per student. Excluding UCSC, the low in UC is \$281 and the high is \$549. The UCSC collection size is 900K smaller than the next smallest in the UC system. However, the circulation number is higher than two other campuses. Given the size of UCSC's collection, its ratio of use ("intensity of use") is the highest in the UC system.

*Staffing:* University Librarian Virginia Steel explained for the Committee the staffing and organizational structure in the Library. Growth in library staffing numbers has been flat for several years, and there have been no line assistant/associate university librarians (AULs). Typically the position of University Librarian is devoted to external focuses and expectations, leaving insufficient time for the internal management needs. UCSC currently has two assistant university librarians. One of these positions will be open in June with the retirement of Bob White. This provides the opportunity to hire one AUL who will have responsibility for overseeing collections and technical services. Funding has been made available to hire a second as well who will oversee the library's public service operations. January is the goal by which it is hoped that the two AUL positions will be filled. University Librarian Steel will provide COL with a URL to the website that provides information about the Library's new organizational structure.

Respectfully submitted,

**COMMITTEE ON THE LIBRARY**

Melissa Caldwell

David Helmbold

Nicole Paiement

Forrest Robinson

Anna Tsing

Virginia Steel, University Librarian

William Sullivan, Chair

Christy Caldwell, LAUC rep (chair elect)

Lucia Orlando, LAUC rep (chair)

August 31, 2006

## **COMMITTEE ON PLANNING AND BUDGET**

### **Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

#### **Introduction**

For the third consecutive year, the Committee on Planning and Budget (CPB) conducted business in the face of turnover and uncertainty in senior campus administration, as well as highly publicized tumult in both the Office of the President and in system-wide Senate leadership. Here at UCSC, at the end of Academic Year 2004-05, several interim appointments were made permanent, including David Klinger as Campus Provost/Executive Vice Chancellor and Bill Ladusaw as Vice Provost and Dean of Undergraduate Education, and Lisa Sloan's position was upgraded to Vice Provost and Dean of Graduate Studies. During the year, searches begun in 2004-05 yielded Donna Murphy as Vice Chancellor of University Relations, Jennifer Svihus as Associate Vice Chancellor of Development, and Virginia Steel as University Librarian. In 2005-06, every academic division was represented either by an interim Dean or, for at least part of the year, by an acting Dean, and we had an interim Vice Provost of Academic Affairs. In the late spring or summer, searches begun in 2005-06 yielded Bruce Margon as Vice Chancellor of Research, Georges Van Den Abbeele as Dean of Humanities, Steve Thorsett as Dean of Physical and Biological Sciences, Sheldon Kamieniecki as Dean of Social Sciences, and Alison Galloway as Vice Provost of Academic Affairs. Yet just as this leadership team came together, UCSC was dealt another blow with the sudden death of Chancellor Denice Denton. Over the entire academic year, but especially in the difficult days after Chancellor Denton's death, the campus benefited greatly from the steady and unflinching leadership of CPEVC Klinger.

CPB had a full plate with regular committee business that included a large number of external reviews, reviews of proposals for new graduate and undergraduate programs and a new department, off-cycle FTE requests, and recommendations on capital planning and FTE and budget requests. Academic planning for ~17,250 students by 2010-2015 continued; CPB reviewed the revised academic plans offered by divisions as well as a draft of the final campus-wide plan from VPAA Galloway. After analyzing comparative data on the distribution of faculty and workload at other UC campuses, CPB recommended a change in the allocation of FTE to the academic divisions. The committee evaluated pre-proposals for professional schools submitted in response to a joint call from the administration and Senate, and kept abreast of continued planning for a management school at the Silicon Valley Center. After monitoring the substantial debts for University Extension (UNEX) that have accumulated year after year, CPB concluded that the prognosis for a turnaround was grim and recommended to the CPEVC that UNEX be immediately and dramatically downsized to just a few essential and/or profitable programs. CPB examined the financial and planning issues associated with the proposed program in Technology and Information Management within the School of Engineering, and offered the CPEVC a set of recommendations. A great deal of committee time and energy was spent on issues related to the LRDP/EIR, including many rounds of negotiation with the administration and analysis of data that continued until late August 2006. Finally, in consultation with the Committee on Faculty Welfare (CFW), CPB requested comparative information on faculty salaries among divisions at UCSC and across the UC campuses, and conducted a preliminary analysis to frame the discussion on faculty compensation in 2006-07.

### **How CPB Functions**

CPB consists of ten regular members (one of whom serves as Chair), including two *ex-officio* members: the Chair and Vice-Chair of the Senate. All members are selected by the Committee on Committees (COC) and are subject to Senate approval. CPB brings a balance of perspectives to campus issues by including members from each academic division. In 2005-06, CPB also had a graduate student representative and an undergraduate representative. For the fifth year, CPB extended an open invitation to Vice Chancellor for Planning and Budget Meredith Michaels to attend its meetings, which she did regularly. Senate staff members also attended meetings.

CPB meets weekly on Thursdays during the academic year. Information packets and agendas are circulated to members in advance of meetings, and consultations are scheduled well in advance. Meetings include a combination of in-person consultation, oral reports from CPB members, and discussion. In 2005-06, our primary dialogue with the administration was with CPEVC Klinger.

Communication among CPB members outside the normal meetings is conducted primarily via email. Members represent CPB on other academic and administrative committees and share the tasks of writing and editing documents. The roles of the Chair include setting meeting agendas, facilitating meetings, assigning tasks to members for preparing reports and written responses, meeting commitments in terms of timely response to consultation, and signing CPB documents. CPB letters and reports, unless otherwise noted, represent the consensus opinion of the committee.

Below we present key aspects of CPB's deliberations, reports, and recommendations to the Senate and campus administration in 2005-06.

#### **1. Regular Committee Business:**

CPB reviewed and made recommendations on the following proposals: a Ph.D. in Feminist Studies, a M.S. and Ph.D. in Statistics and Stochastic Modeling, a Ph.D. in Film & Digital Media, and a B.S. in Computer Game Design. CPB commented on the charges for external reviews of the following departments or programs: Art, Ecology & Evolutionary Biology, Electrical Engineering, Latin American and Latino Studies, Molecular, Cellular & Developmental Biology, and the Writing Program. CPB commented on the External Review reports and other documents, and members attended the closure meetings, for the following departments: American Studies, Environmental Studies, Physics, and the Science Communication Program.

CPB consulted on off-cycle or TOE requests in History, Math, Ecology & Evolutionary Biology, and Literature. CPB commented on the following campuswide issues: Professional School Pre-proposals, the role of Language Instruction, and the establishment and disestablishment of concentrations.

**2. Academic Planning for 2010-2015:** The Academic Senate received revised academic plans from divisions in winter 2006. CPB reviewed the plans, received and exchanged comments on

the plans from the Committee on Educational Policy (CEP) and Graduate Council (GC), and consulted with the Deans. We discussed the plans with CPEVC Kliger and VPAA Galloway, and then offered a written response (<http://senate.ucsc.edu/cpb/CPBAcadPlanRevFinal.pdf>). Our response noted overarching issues and offered division-by-division comments and recommendations that should be addressed before submission of the final unified campus plan. In two cases, the Humanities Division and the School of Engineering, we argued that the issues were of sufficient magnitude to warrant submission of revised plans. In late spring, CPB reviewed an outline and rough draft for the final campus plan prepared by VPAA Galloway and offered comments. CPEVC Kliger has stated that a draft of the campuswide academic plan should be sent to the Senate in October.

This round of planning has been conducted using FTE targets for the divisions that were set by CPEVC Kliger in summer 2005. These targets were similar to those arrived at by CPEVC Simpson in 2002, though they included slightly lower allocations to the Arts and Humanities, and slightly higher allocations to Social Sciences and Physical and Biological Sciences. Throughout the fall of 2005 and winter of 2006, CPB consulted with CPEVC Kliger and VPAA Galloway about the planning process and the target figures. CPB sought quantitative, comparative information on resources available to support and launch programs and on workload distributions at comparable institutions. In winter and spring 2006, the Office of Institutional Research conducted a comparative study of FTE distributions and workload at UCSC and our sister campuses, and the Office of Planning and Budget worked with CPB members on comparisons among divisions on financial factors (both income and expenses). In light of these studies, CPB wrote an addendum to its comments on the academic plans that focused on the question of the size of the divisions (<http://senate.ucsc.edu/cpb/Addendum10yrPlans.pdf>). We recommended slightly higher FTE allocation to the Arts and Humanities, and a slightly lower allocation to the School of Engineering. We also sought further data to consider whether the level of instructional support to Social Sciences and Physical and Biological Sciences is appropriate. CPEVC Kliger responded to CPB and stated that the final academic plan would contain revised FTE allocations to the divisions, though he did not state that our specific recommendations would be followed. This issue should be resolved with the release of the final academic plan in October.

**3. Planning for Professional Schools:** Planning for professional schools continued on two fronts. In response to a joint call from the administration and Senate, five pre-proposals were submitted for professional programs that would largely be based in Santa Cruz, either on the main campus or at Long Marine Laboratory. CPB participated in the Senate review of the pre-proposals. Two pre-proposals received support from VPAA Galloway - the School of Public Policy (two terms of course release to foster further proposal development) and the School of Public Media (seed funds to catalyze cluster development). The pre-proposal for a professional program in Coastal and Marine Policy was reviewed favorably, but considered virtually complete and therefore not in need of funding for development.

In addition to these "bottom-up", faculty-initiated proposals, work continued on a "top-down", administratively-initiated proposal for a School of Management (SOM) in Silicon Valley. Work on the proposal was led by Carl Walsh, Vice Provost for Silicon Valley Initiatives. A steering committee was appointed to investigate the potential for a SOM in March 2006; a CPB member

attended steering committee meetings and reported back to the committee. The steering committee produced a report in July 2006 that examined academic vision, the market for students, costs, potential for generating external funding, and issues of implementation. As the report appeared after the last CPB meeting, the committee did not review the document; the 2006-07 committee should do so promptly, as the report envisions submission of a proposal for a SOM for formal review in winter 2007.

Funding for professional schools will be a critical issue. Beginning in 2001, the CPEVC began to hold centrally FTE that had been allocated by UCOP in order to "bank" FTE to support new initiatives, such as professional schools. Yet these FTE have been (and will continue to be) allocated in response to actual growth in student numbers at UCSC. An obvious, unavoidable consequence of this strategy of "banking" FTE has been to raise the ratio of students to ladder-rank faculty. This rise has presumably been accommodated through a variety of strategies (larger class sizes, hiring lecturers, etc.). Any new professional program must serve a sizable population of students and have substantial external support to cover its higher per-student costs, otherwise student-to-faculty ratios and other types of support will erode further elsewhere on campus. The campus may decide these costs are worth the benefit of a new professional school. But what these benefits are, especially for a school outside the main campus, should be clearly explained, and such a path should be taken as a conscious decision, not an unintended consequence.

**4. University Extension:** In May 2004, in the face of mounting debts for UCSC's University Extension (UNEX) program, CPB issued a report that recommended convening a task force to address management, financial, and curricular objectives for UNEX. In winter 2005, former CPEVC Peggy Delaney formed a faculty/administrative task force on UNEX charged with examining solely the curricular objectives and governance of UNEX. A draft report from the task force was reviewed by Senate committees in fall 2005. CPB found the proposed new mission statement for UNEX overly narrow and restrictive and was troubled by aspects of the governance structure. CPB met with Cathy Sandeen, Dean of UNEX and Summer Sessions, several times in 2005-06 to receive updates on the financial status of UNEX. Despite substantial incremental cost-cutting over the past five years, deficits continue to mount, in part because of high costs for leased space, but also because projected revenues fail to materialize. Following our meeting with Dean Sandeen in June 2006, CPB concluded that if UNEX continues to function with its existing model, there is a high probability of incurring additional large deficits for the foreseeable future. CPB recommended a radical restructuring and downsizing of UNEX. Core functions of UNEX that are important to the campus should be retained. Units with a proven record of generating a net profit should be retained as well, based on calculations that include overhead expenditures required for such a shrunken enterprise, not just direct instructional costs. Our view is that restructuring of UNEX should be directed by the Office of Planning and Budget and supervised by the CPEVC, as continued restructuring delegated to UNEX administration would likely result in further incremental change.

CPEVC Kliger viewed CPB as recommending complete shutdown of UNEX and offered two objections to this action that were sound, but not relevant to our actual recommendation for restructuring. He indicated that UNEX administration is conducting another business assessment this fall to explore the viability of its different subunits, and that he would like to see the results

of this analysis and consult with CPB before moving towards radical restructuring. If the assessment is not rapidly followed by action, we believe that large debts will continue to accumulate. We encourage CPB 2006-07 to follow up on our recommendation for major restructuring as they examine the results of the business assessment.

### **5. Technology and Information Management Program**

In November 2004, the School of Engineering (SOE) was provided \$1.35 million in special funds by EVC Peggy Delaney to launch the Technology and Information Management (TIM) program at the Silicon Valley Center (SVC). CPB was provided accounts for expenditures from these funds. After reviewing the accounts, CPB concluded that a substantial fraction of these funds may have been spent on expenses not directly or indirectly related to SVC, and some of the money may even have been spent on other departments in SOE. CPB recommended that a proper accounting be conducted, followed by suitable penalties if any inappropriate expenditures were found. We do not know if a formal accounting has been conducted, or if reimbursements and penalties have been put in place.

CPB also reviewed the academic accomplishments of TIM in SVC and found that they were minimal. CPB recommended that the program at SVC be suspended until a comprehensive plan was drawn up and reviewed. CPB further recommended that the TIM program at UCSC be immediately placed under external leadership (i.e. from outside SOE), and that a final decision about its future be made after a graduate proposal and a departmental proposal were submitted. CPB recommended that faculty hiring for TIM should be suspended until these proposals were submitted and approved. The CPEVC did not follow our recommendation in seeking external leadership, but he did request graduate proposal and a business plan for TIM at SVC (which were received in late August), and two authorized TIM faculty recruitments have been put on hold. We reiterate our recommendation that no additional hires be made for TIM until a departmental proposal has been submitted and approved. We believe it unwise to hire additional divisional appointees (like the four current TIM faculty), who are outside of any existing department, before UCSC is confident about the future of the program.

**6. Information Technology Services and GARP:** CPB had a consultation about various aspects of the functioning of Information Technology Services (ITS) with Vice Provost Larry Merkley. CPB criticized the repeated failure of the Graduate Admissions Review Portal (GARP) and recommended that a clear line of IT staff accountability be established to ensure that GARP works in 2006-07, and to consider alternate mechanisms for a stable online system. In response, a team of ITS, AIS and Graduate Division personnel, led by the Graduate Division, was established. CPB also recommended that UCSC faculty with appropriate expertise be asked by the CPEVC to examine whether the recent large applications systems projects have performed as well as one could reasonably expect, and if the substantial upgrades (and associated budget) sought for infrastructure – partly responsible for the steep increases in recharge fees projected for the next few years – are essential. In response, the CPEVC expressed the view that the Committee on Computing and Telecommunications (CCT) could carry out this role. However, recently CPB's recommendation has been endorsed by CCT. We have not been informed of any subsequent action by the CPEVC.

**7. Silicon Valley Initiatives:** CPB met with Carl Walsh, Vice Provost for Silicon Valley Initiatives, on two occasions. We discussed the management of the University Affiliated Research Center (UARC), including how the substantial revenues it generates via recharge and management fees support activities in Silicon Valley and on the main campus. VP Walsh described the state of planning for the Bio-Info-Nano Research and Development Institute (BINRIDI), which is still in the earliest phases. Finally, we discussed space issues for academic programs, such as TIM. We encouraged greater interaction between VP Walsh and Dean Sandeen to coordinate UCSC's presence in Silicon Valley, and to brainstorm on ways that UCSC's other activities in Silicon Valley might be used to alleviate the financial crisis for UNEX.

**8. Draft LRDP/EIR:** CPB spent a considerable amount of time in the 2005-06 academic year on issues associated with the draft campus LRDP/EIR. The plan defines an upper limit for possible growth of the Santa Cruz campus through 2020, and CPB's analyses were oriented towards ensuring that the implications of prospective campus growth are as accurately documented and evaluated as possible. CPB principally focused on housing-related issues and traffic analyses, and their associated financial implications and mitigations. A description of these concerns can be found at <http://senate.ucsc.edu/cpb/EIRfinalON.pdf>. This work followed on the previous year's preparation of a sequence of open queries from CPB on the LRDP that were forwarded to the Senate (<http://senate.ucsc.edu/cpb/CPBLRDPPrpt1451.pdf>). CPB was informed that the medium for receiving a formal response to our comments from the administration was to post them in the public comments on the draft LRDP/EIR, which was done by CPB as members of the public prior to the close of public comments on January 11, 2006. Ultimately, a Senate Resolution was prepared by CPB to ensure that its comments and concerns were dealt with by the administration. (<http://senate.ucsc.edu/cpb/CPB0506RDPAS1488.pdf>) The resolution focused on having the administration: (1) correct or explain possible errors found by CPB in the draft LRDP/EIR; (2) provide expanded/ improved analyses of internal traffic on the University and cumulative traffic delays; and (3) provide financial analyses of prospective parking fees and housing costs. The resolution was endorsed by the Committee on Faculty Welfare (CFW) and the Senate Executive Committee (SEC), and was passed by the Senate at its April 26<sup>th</sup>, 2006 meeting by a vote of 69-26. The Resolution requested that the administration not submit the final LRDP/EIR to the Regents until November unless the SEC, which was charged with determining compliance with the Resolution, endorsed an earlier submission.

**9. Faculty Salary Study:** Recent studies have suggested that UC salaries lag those of comparison institutions by as much as 15%. Furthermore, there has been a perception that faculty salaries at UCSC are low relative to other UCs, despite a cost of living that is higher than at most other campuses. CPB and CFW began a preliminary study of these issues, requesting information on faculty salaries here and across our sister campuses. We appreciate the work by staff in the Office of Academic Human Resources, who compiled these data.

**STUDY OF FACULTY SALARIES**

**PART I: REGULAR ACADEMIC YEAR FACULTY SALARIES**

Salary data from October 2005 for regular academics were provided by UCSC Academic Human Resources (AHR) for eight UC campuses. AHR data were presented by rank and step in the format below and analyzed to produce the numbered tables in the body of the report. In the analyses, we have not included comparative data for ranks/steps that are not currently filled at UCSC, such as Regular Assistant Professor Step 1, or Associate Professor 6.

Sort Title	Step	Campus	On		Count	Pcent		Max Sal	Av Sal	Scale
			Median Salary	Scale		Offscale	Off scale			
Assistant Prof. 1	1	UCI	56400	47200	8	6	0.75	83900	62975	Regular Ranks Academic Year
Assistant Prof. 1	1	UCLA	61300	47200	1	1	1	61300	61300	Regular Ranks Academic Year
Assistant Prof. 1	1	UCSD	63200	47200	9	8	0.89	91800	69422	Regular Ranks Academic Year
Assistant Prof. 2	2	UCB	69900	49900	7	7	1	96000	73628	Regular Ranks Academic Year
Assistant Prof. 2	2	UCD	56779	49900	18	15	0.83	81600	59345	Regular Ranks Academic Year
Assistant Prof. 2	2	UCI	56000	49900	38	28	0.74	86600	59502	Regular Ranks Academic Year
Assistant Prof. 2	2	UCLA	70800	49900	14	14	1	110200	74685	Regular Ranks Academic Year
Assistant Prof. 2	2	UCR	55100	49900	23	16	0.7	76500	57691	Regular Ranks Academic Year

...etc. through all campuses/ranks/steps.

**TABLE 1: AVERAGE SALARIES BY RANK**

**TABLE 2: AVERAGE SALARIES BY RANK AS A MULTIPLE OF UCSC SALARIES.**

UCSC average salaries fall at or near the bottom of the UC campus averages for all ranks except Professor Steps 5-9. Differentials across the eight-campus averages between the lowest average salaries and the highest average salaries (UCLA) are ca. 20% for Assistant Professors, ca. 20% for Associate Professors, ca. 18% for Professors Step 1-5, and ca. 8% for Professors Step 5-9. Average salaries at UCR and UCSC lag the other smaller campuses by 6-7% for Assistant Professors, by 2-6% for Associate Professors, and by 2-4% for Professors Step 1-5. Average salaries for Professors Step 5-9 are unusual in the smaller differential between lowest and highest average salaries and in the fact that UCD is at the bottom.

**Table 1: Average salaries by rank**

Campus	Assist.	Assoc.	Prof. 1-5	Prof. 6-9
UCB	67625	78083	99678	127544
UCD	59758	68692	88598	120852
UCI	61530	72160	92364	125364
UCLA	70092	81206	104654	134338
UCR	58381	67868	88834	121456
UCSB	62445	69394	90922	125395
UCSC	58218	67867	89022	123952
UCSD	63363	70117	94424	127313
<b>UC avg</b>	<b>63186</b>	<b>73278</b>	<b>95235</b>	<b>127304</b>

**Table 2: Average salaries by rank/UCSC salaries by rank**

Campus	Assist.	Assoc.	Prof. 1-5	Prof. 6-9
UCB	1.16	1.15	1.12	1.03
UCD	1.03	1.01	1	0.97
UCI	1.06	1.06	1.04	1.01
UCLA	1.2	1.2	1.18	1.08
UCR	1	1	1	0.98
UCSB	1.07	1.02	1.02	1.01
UCSC	1	1	1	1
UCSD	1.09	1.03	1.06	1.03
<b>UC avg</b>	<b>1.09</b>	<b>1.08</b>	<b>1.07</b>	<b>1.03</b>

**TABLE 3: AVERAGE SALARIES AS A MULTIPLE OF UCSC AVERAGE SALARIES (BY RANK AND STEP).** Entry-level (Assistant Professor) salaries at UCSC are the lowest across the eight campuses except at Step 5. Some campuses rarely or never use transitional steps (5 and 6). UCSC salaries are 1-2% above lowest average salaries for Associate Steps 1-3 and 3-4% above lowest for Associate Steps 4 and 5. UCSC average salaries at Professor Step 5 and above are more comparable to the other campuses (except UCLA). UCLA salaries are the highest of the eight campuses at most ranks/steps.

**Table 3: Average salaries by step/Average UCSC salaries by step**

Campus	Assistant				Associate					Professor								
	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9
UCB	1.29	1.16	1.15	1.06	1.58	1.17	1.09	1.05	1.05	1.47	1.13	1.07	1.07	1.05	1.06	1.01	1.02	1.03
UCD	1.04	1.01	1.05	0.96	0.99	1	1.06	0.96	1.08	1.07	1.03	1.01	1.02	0.97	1.01	1	1	1
UCI	1.05	1.04	1.09	0.98	1.03	1.08	1.08	0.99	1.02	1.04	1.08	1.08	1.07	1	1.04	1.03	1	1
UCLA	1.31	1.17	1.22		1.31	1.18	1.23	1.21	1.04	1.3	1.27	1.15	1.21	1.11	1.08	1.13	1.09	1.07
UCR	1.01	1	1.01	0.95	0.98	0.98	1.02	0.96	0.97	1.13	0.99	1	0.99	0.97	0.99	0.98	1.03	1.02
UCSB	1.05	1.07	1.09	1.05	1.03	1.02	1.05	0.96	1.02	1.06	1.06	0.97	1.03	1	1.02	1.02	1	1
UCSC	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
UCSD	1.14	1.06	1.09	1	0.99	1.02	1.06	0.97	1.04	1.17	1.15	1.09	1.06	1.01	1.04	1	1.01	1.01

**TABLE 4: MAXIMUM SALARIES AS A MULTIPLE OF UCSC MAXIMUM SALARIES.** Aside from transitional steps, UCSC's maximum salaries at all ranks and steps are at the bottom or second from the bottom of maximum salaries at all UC campuses (except at Professor Step 8). UCB and UCLA maximum salaries approach or exceed *double* the corresponding UCSC maximum salaries for some steps of Associate and Full Professor.

**Table 4: Maximum salaries by step/ Maximum UCSC salaries by step**

Campus	Assistant				Associate					Professor								
	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9
UCB	1.19	1.32	1.58	1.25	2.36	2.07	1.35	1.44	1.5	2.06	1.48	1.27	1.87	1.43	1.3	1.69	1.07	1.27
UCD	1.01	1.23	1.29	1.01	1.07	1.24	1.32	0.96	1.18	1.4	1.46	1.4	1.29	1.12	1.15	1.14	0.95	1.07
UCI	1.07	1.23	1.27	0.89	1.07	1.41	1.22	0.95	1.11	1.08	1.15	1.09	1.41	1.11	1.17	1.19	0.98	1.11
UCLA	1.36	1.53	1.99		1.94	1.32	2.59	0.93	1.04	2.21	2.1	1.32	1.99	2.05	1.23	1.33	1.2	1.42
UCR	0.94	0.94	1.06	0.82	1.05	1.08	1.1	1.1	0.97	1.56	1.13	1.09	0.95	1.18	1.17	0.95	0.9	1.1
UCSB	1.09	1.16	1.26	1	1.14	1.11	1.22	0.85	1.02	1.55	1.25	0.87	1.22	1.16	1.27	1.19	0.83	0.99
UCSC	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
UCSD	1.55	1.08	1.79	0.84	1.03	0.94	1.75	1.01	1.4	1.95	1.67	1.45	1.58	1.29	1.68	1.07	1.08	1.28

**TABLE 5: AVERAGE SALARIES AS A MULTIPLE OF ON-SCALE SALARIES.** Average salaries at some ranks/steps at UCB (Assistant 2, Associate 1, Professor 1) and at UCLA (Assistant 2, Associate 1, Professor 1) are above the ceilings set in APM 620-16 *Limitations on off-scale salaries.*

**Table 5: Average salaries/On-scale salaries**

Campus	Assistant				Associate					Professor								
	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9
APM	1.3	1.3	1.33	1.27	1.27	1.3	1.34	1.37	1.38	1.37	1.38	1.39	1.38					
UCB	1.48	1.26	1.19	1.16	1.71	1.25	1.13	1.13	1.08	1.56	1.19	1.15	1.12	1.11	1.12	1.06	1.08	1.07
UCD	1.19	1.1	1.09	1.05	1.07	1.07	1.1	1.04	1.11	1.14	1.09	1.08	1.07	1.02	1.07	1.05	1.06	1.04
UCI	1.19	1.14	1.14	1.07	1.12	1.16	1.12	1.07	1.05	1.11	1.14	1.16	1.12	1.06	1.11	1.08	1.06	1.04
UCLA	1.5	1.28	1.27		1.42	1.26	1.27	1.31	1.07	1.38	1.34	1.24	1.28	1.17	1.14	1.19	1.15	1.11
UCR	1.16	1.09	1.04	1.03	1.06	1.05	1.06	1.04	1	1.2	1.04	1.08	1.04	1.03	1.05	1.03	1.09	1.05
UCSB	1.19	1.17	1.13	1.15	1.12	1.09	1.09	1.04	1.05	1.13	1.11	1.04	1.09	1.06	1.09	1.07	1.06	1.03
UCSC	1.14	1.09	1.04	1.09	1.08	1.07	1.04	1.08	1.03	1.06	1.06	1.08	1.05	1.06	1.06	1.05	1.06	1.04
UCSD	1.3	1.16	1.13	1.07	1.07	1.09	1.1	1.06	1.07	1.24	1.21	1.17	1.11	1.07	1.11	1.05	1.07	1.05

**TABLE 6: MAXIMUM SALARIES AS A MULTIPLE OF ON-SCALE SALARIES.**

Maximum salaries paid by UCB, UCLA, and UCSD at several steps approach and exceed double the allowable maximum salary allowed for those steps by the APM.

**Table 6: Maximum salaries/On-scale salaries**

Campus	Assistant				Associate					Professor								
	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9
APM	1.3	1.3	1.33	1.27	1.27	1.3	1.34	1.37	1.38	1.37	1.38	1.39	1.38					
UCB	1.92	1.92	1.82	1.73	2.87	2.87	1.56	2.04	1.54	2.34	1.84	1.84	2.32	1.69	1.65	2	1.51	1.47
UCD	1.64	1.8	1.48	1.4	1.3	1.72	1.52	1.36	1.21	1.6	1.82	2.03	1.6	1.33	1.47	1.35	1.34	1.24
UCI	1.74	1.79	1.46	1.23	1.3	1.95	1.41	1.34	1.14	1.23	1.44	1.58	1.74	1.32	1.48	1.41	1.39	1.28
UCLA	2.21	2.23	2.3		2.35	1.83	2.99	1.31	1.07	2.52	2.61	1.92	2.46	2.43	1.56	1.58	1.69	1.64
UCR	1.53	1.37	1.22	1.14	1.28	1.5	1.27	1.55	1	1.78	1.4	1.59	1.18	1.4	1.49	1.12	1.28	1.28
UCSB	1.77	1.69	1.45	1.38	1.38	1.54	1.4	1.21	1.05	1.76	1.55	1.27	1.51	1.37	1.61	1.41	1.18	1.15
UCSC	1.62	1.46	1.15	1.38	1.22	1.39	1.15	1.42	1.03	1.14	1.25	1.45	1.24	1.18	1.27	1.18	1.42	1.16
UCSD	2.52	1.58	2.07	1.16	1.25	1.31	2.02	1.43	1.44	2.22	2.08	2.11	1.95	1.53	2.14	1.26	1.52	1.48

The differences between average salaries at campuses with the highest salaries as opposed to those with the lowest may reflect differing interpretations of policy stipulated in the APM. While APM 620-16 *Limitations on off-scale salaries* sets specific limitations for salary within each rank and step through Professor IV, APM 620-24 *Authority* allows the possibility of exceptions at all ranks: “In unusual circumstances, the Chancellor or the appropriate Vice President is further authorized to make exceptions in individual cases, including an exception for faculty below Step VI, whose salary requirements are greater than the top of the salary scale...” It appears that most faculty at UCB and UCLA are found to be in “unusual circumstances” and thus eligible for this exception whereas most faculty at the other six campuses are not.

**Part II: REGULAR ACADEMIC YEAR BUSINESS AND ENGINEERING SALARIES**

Data for regular academic year business and engineering (B&E) salaries were received from AHR in a format similar to the data for regular faculty. However, two types of data provided for

regular faculty were not provided for B&E salaries: maximum salaries for each step, and number/percentage of faculty off-scale. In contrast to data previously provided by AHR, no information was provided for October 2005 regarding faculty at Associate Step 0 or Professor Step 0.

Sort Title	Step	count	Campus	On scale salary	Median Salary	Average Salary	Scale
Assistant Professor	1	2		62800	70200	70200	B&E Academic Year
Assistant Professor	2	10	Davis	66000	72750	71560	B&E Academic Year
Assistant Professor	2	8	Irvine	66000	75350	75787	B&E Academic Year
Assistant Professor	2	3	Los Angeles	66000	76500	75767	B&E Academic Year
Assistant Professor	2	6	Riverside	66000	66000	68433	B&E Academic Year
Assistant Professor	2	7	San Diego	66000	77500	75386	B&E Academic Year
Assistant Professor	2	1	Santa Barbara	66000	82300	82300	B&E Academic Year
Assistant Professor	2	5	Santa Cruz	66000	76300	76680	B&E Academic Year
Assistant Professor	3	9	Berkeley	69300	83400	81678	B&E Academic Year

...etc. through all campuses/ranks/steps.

**TABLES 7, 8, 9:** B&E Assistant Professor salaries at UCSC are at the eight-campus UC average. B&E Associate Professors and Professors lag the eight-campus UC average by 4%. Salaries for UCSC Associate Professors are, along with UCD and UCR, the lowest in the system with UCLA 14% higher and UCB 9% higher. Average salaries for Professors vary within a narrower range than salaries for Assistants or Associates.

**Table 7: Average salaries by rank**

Campus	Assistant	Associate	Professor
<b>UCB</b>	80831	92764	117417
<b>UCD</b>	75712	85162	110064
<b>UCI</b>	77081	86197	108696
<b>UCLA</b>	77759	97306	116111
<b>UCR</b>	76648	84964	109342
<b>UCSB</b>	80079	85924	116021
<b>UCSC</b>	77780	85080	109967
<b>UCSD</b>	78835	87550	116986

**Table 8: Average salaries by rank/UCSC salaries by rank**

Campus	Assistant	Associate	Professor
<b>UCB</b>	1.04	1.09	1.07
<b>UCD</b>	0.97	1	1
<b>UCI</b>	0.99	1.01	0.99
<b>UCLA</b>	1	1.14	1.06
<b>UCR</b>	0.99	1	0.99
<b>UCSB</b>	1.03	1.01	1.06
<b>UCSC</b>	1	1	1
<b>UCSD</b>	1.01	1.03	1.06
<b>UC avg</b>	<b>1</b>	<b>1.04</b>	<b>1.04</b>

**Table 9: Average salaries/Average UCSC salaries**

Campus	Assistant				Associate				Professor								
	2	3	4	5	1	2	3	4	1	2	3	4	5	6	7	8	9
UCB		1.05	0.98	1.01		1.33	0.99	1.07	1	1.01	1.06	1.03	0.97	1.07	0.94	0.98	1.02
UCD	0.93	0.97	1.02	0.97	1	1.04	0.98	1	1.03	1.06	1.09	1.08	1.06	1.09	0.97	1.03	0.49
UCI	0.99	0.98	1	1.03	1	1.95	0.95	1.03	1	1.02	0.96	0.97	0.89	0.94	0.88	1.11	1.05
UCLA	0.99	0.97	1.07		1.16	1.33	1.05		1.11	1.19	1.1	1.07	1.04	1.03	1.34	0.98	1.04
UCR	0.89	1.02	1.03	0.98		1.04	0.95	1.11	1.01	1.08	1.09	1.05	0.97	1.01		1.05	
UCSB	1.07	1.01	1.06	0.95	1	1.07	0.99	1.05	1.04	0.98	1	1.02	0.98	1.06	0.89	0.98	1.04
UCSC	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
UCSD	0.98	1.02	1.04		1	1.07	1.03	1	1.04	1.04	1.03	1.11	1.03	1.06	0.92	0.97	1.03

**TABLE 10: AVERAGE SALARIES AS A MULTIPLE OF ON-SCALE SALARIES.** In contrast to average salaries for regular faculty, which routinely exceed APM guidelines, engineering salaries fall largely within the constraints of the APM. There is one exception at UCB (Associate 2), one at UCI (Associate 2), and two at UCLA (Associate 1 and 2).

**Table 10: Average salaries/On-scale salaries**

Campus	Assistant				Associate				Professor								
	2	3	4	5	1	2	3	4	1	2	3	4	5	6	7	8	9
APM	1.24	1.22	1.19	1.14	1.14	1.17	1.21	1.26	1.26	1.32	1.33						
UCB		1.18	1.05	1.06		1.35	1.07	1.08	1.03	1.04	1.1	1.05	1.06	1.11	1.07	1.04	1.29
UCD	1.08	1.09	1.09	1.02	1.08	1.05	1.06	1.01	1.03	1.03	1.06	1.02	1.06	1.06	1.02	1.27	1.12
UCI	1.15	1.09	1.07	1.08	1.08	1.27	1.07	1.07	1	1.08	1.06	1.06	1.04	1.05	1.08	1.27	1.14
UCLA	1.15	1.09	1.14		1.26	1.35	1.14		1.14	1.22	1.15	1.09	1.13	1.06	1.53	1.04	1.31
UCR	1.04	1.14	1.1	1.04		1.06	1.03	1.12	1.04	1.11	1.14	1.07	1.05	1.04		1.12	
UCSB	1.25	1.13	1.13	1	1.08	1.09	1.07	1.06	1.08	1.01	1.05	1.04	1.06	1.1	1.01	1.05	1.32
UCSC	1.16	1.12	1.07	1.05	1.08	1.02	1.08	1.01	1.03	1.03	1.04	1.02	1.08	1.03	1.14	1.06	1.26
UCSD	1.14	1.14	1.11		1.09	1.09	1.12	1.01	1.07	1.07	1.07	1.13	1.11	1.09	1.05	1.03	1.29

B&E faculty salaries vary within narrower ranges among the eight campuses than do regular faculty salaries. As noted, B&E faculty salaries at UCSC lag the eight-campus average by about 4% at Associate and Professor ranks. In the absence of data for maximum salaries across the eight campuses and in the absence of information about Associate Step 0 and Professor Step 0 (apparently present at other campuses but not at UCSC), more detailed and complete comparisons cannot be made.

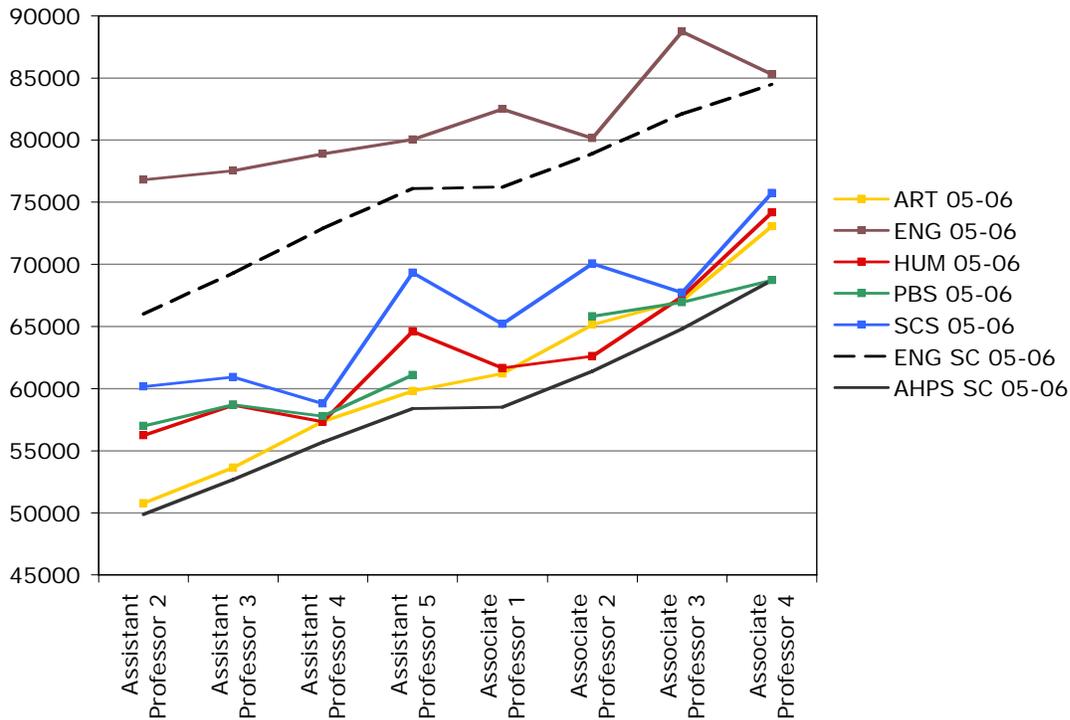
**Part III: INTERDIVISIONAL COMPARISONS AT UCSC**

The last analysis CPB conducted was internal to UCSC. We compared the average salaries per rank and step among the five divisions. The results are plotted in Figures 1 and 2. In addition to the actual average salary at each rank/step, we have included two lines showing the on-scale salaries for regular rank faculty (AHPS SC) and engineering faculty (ENG SC). For almost every rank/step, the actual salary is greater than the on-scale salary, indicating the size of the

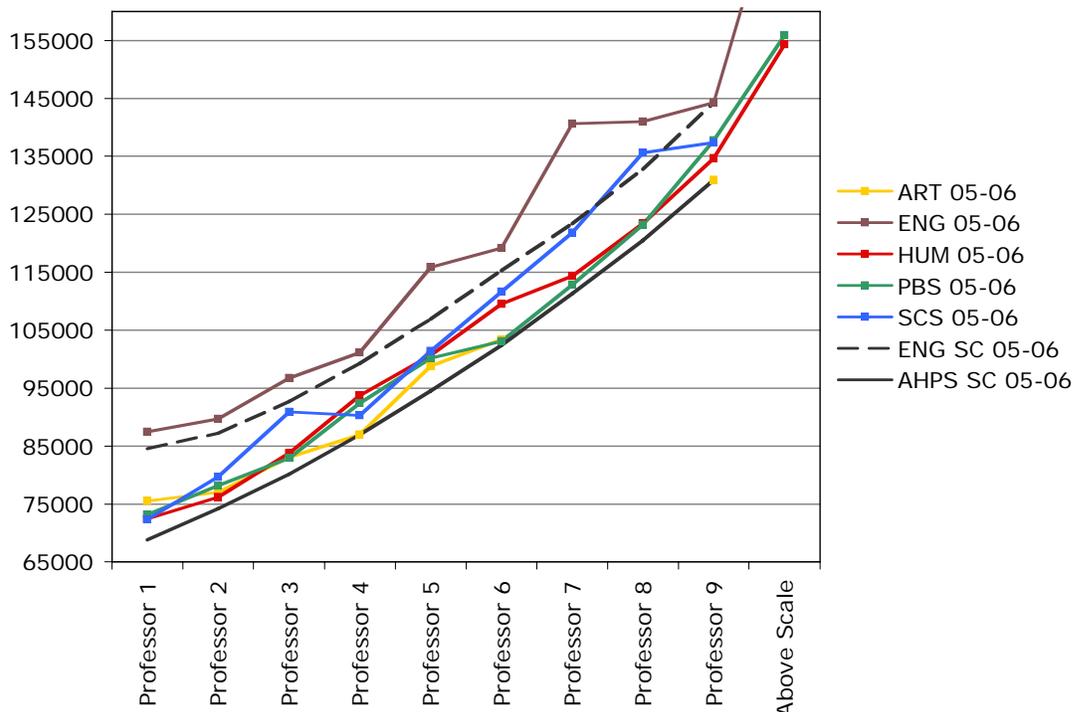
average off-scale salary increment. For Assistant Professors in regular rank positions, Arts faculty tend to have the smallest off-scale increment, Social Science faculty consistently have the highest salaries, and Humanities and PBSci faculty have similar salaries. At the Associate rank, Arts, Humanities, and PBSci faculty are roughly equivalent, but Social Sciences faculty have higher salaries. The high salaries for the Social Science Division probably reflects the very large off-scale increments required to recruit and retain faculty in Economics, whom we compete for with business schools. At the Professor rank, Social Science faculty again have much higher off-scale increments, in some cases approaching or overlapping the Engineering scale. Salaries are similar for Arts, Humanities, and PBSci faculty. Off-scale increments for Engineering faculty are not substantially larger than those for regular rank faculty at most ranks/steps.

We reached the following conclusions from these comparative data. First, the perception that UCSC faculty are not paid as well as faculty on most other campuses is correct. Second, when compared to faculty at the larger campuses (UCB, UCLA, UCSD), the disparity is very large.

**Figure 1: Assistant & Associate Prof. Salaries 05-06**



**Figure 2: Professor Salaries 05-06**



We do not have data by division for other campuses, and so do not know how differences in divisional composition might affect these conclusions. At UCSC, however, there is rough equity in salaries across the divisions, although we suspect our data are skewed somewhat because we did not separate Economics from the other Social Science departments.

The conclusions for the campus are troubling, especially at a time when we are considering growth in the number of students, staff, and faculty under a new LRDP. Potential remedies could include a systematic increase in off-scale increments over the next several years, as faculty rotate through the normal merit process, to bring UCSC salaries more in line with the norm throughout the system. An alternative approach would be to increase the rate at which faculty move up in rank/step. As reported in previous studies, UCSC has a large "bulge" of faculty at Professor Step 5, from 20% in the Arts, to 13-14% in the Humanities and PBSci, to 11% in Social Sciences, to a low of 5% in the still growing School of Engineering. Addressing this bulge, and the general rate of promotion, will require concerted efforts by the Senate and Administration.

**9. Comments on Senate Reports:** In spring 2005, CEP, CPB, and CAFA were charged by the Senate to investigate the low rates of retention and graduation for UCSC undergraduates. CEP took the lead on this project, and worked closely with VPDUE Ladusaw to study patterns in graduation rates and retention across a number of variables. The final report, (<http://senate.ucsc.edu/cep/CEPretention1495.pdf>), included input from CPB and CAFA. As might be expected, the many factors influencing retention are complicated and resist easy summary, but several results are clear. UCSC performs as expected at retaining men and

women, and better than expected at retaining students from ethnic subpopulations. As stated in the report "while all of these graduation rates are below the campus six-year graduation rate for these cohorts [i.e., ethnic subpopulations], it appears that our many excellent support programs are significantly helping students in the subpopulations, and hence our overall six-year graduation rate". The most conspicuous anomaly is that UCSC disproportionately fails to retain better-prepared students (as measured by performance on standardized tests). There are also differences in retention and graduation rates by major and division. The report recommends targets for retention, as well as the establishment of a task force to help reach these goals, but offers few recommendations on how to achieve these goals.

CPB commented on the Proposal for Increased Curricular Support for University - Level Writing (AS/SCP/1498) submitted by the Committee on Preparatory Education. CPB admired the clarity of the report and supported some, but not all, of the recommendations of the proposal. CPB supported the proposal written by CAFA arguing for an increase the rate of funding for the scholarships based on academic merit (Regents and Chancellors Scholarships). CPEVC Klinger followed the recommendation of both committees and increased funding for these scholarships, but requested that CAFA and VPDUE Ladusaw follow up to ensure that programs were in place so that Regents Scholars are retained by UCSC.

**10. System-wide Business:** In November 2005, the Academic Assembly adopted a resolution opposing RE-61, Recommendation C, a proposal under consideration by the Board of Regents to augment funding of salaries for some senior leadership positions with private funds. The discussion of RE-61 prompted an extensive Senate discussion of the appropriate use of private funds in supporting UC salaries. The greatest discussion revolved around the use of private funds to support salaries of deans. The University Committee on Planning and Budget (UCPB) explored these issues further (including information requests regarding past and current policies at each campus) and drafted a statement of principle on private fundraising for academic and administrative salaries. CPB approved the statement drafted by UCPB, which was ultimately endorsed by the Academic Assembly.

#### **11. Continuing Issues for CPB 2006-2007**

**a. UNEX:** The Administration must develop a convincing plan for a UNEX that is financially solvent. CPB should study the business assessment in the fall term carefully. Based on the information we have received to date from the Administration and VPD Sandeen we stand by our recommendation for major restructuring and downsizing.

**b. Growth:** CPB must work with the Administration to come to an agreement about a clear set of conditions under which additional growth would be favorable, and conditions under which growth would be disadvantageous to the campus. If the latter conditions are met, the Senate and Administration should agree that they would, together, forcefully argue against additional growth to UCOP.

**c. Academic Plans:** Assuming a final academic plan is submitted in October 2006, CPB should work with the Administration and other Senate committees (CEP, GC, COR, CAAD) to set criteria for measuring progress toward increasing the excellence of education and research at UCSC, as well as its commitment to serve a diverse community of students, staff and scholars.

**d. Professional Schools:** Planning for professional schools, particularly a School of Management, will engage CPB in 2006-07. We urge CPB to pay close attention to the business model and financial planning for these schools to ensure that their growth does not erode support for the educational mission of the rest of the campus, or to at least make these trade-offs explicit.

**e. Faculty Salaries:** Our preliminary study of faculty salaries should help frame the discussion of solutions to the serious problem of lagging salaries. In addition, partly in response to the compensation scandals rocking the Office of the President, the UC Regents approved a step system for administrative salaries that formalizes paying different salaries at each campus based on their size, complexity (i.e., size), and stature (which correlates to size). The Regents may attempt something similar this year with faculty salaries, perhaps formally setting different scales at different campuses. We suspect they would largely reinforce the status quo, locking UCSC and other small campuses into second tier status. The Senate and Administration should be prepared to vigorously oppose such actions.

**f. Faculty Housing:** Faculty housing will continue to be an item of critical importance for CPB. The Employee Housing Administrative Plan (incorporating recommendations relevant to employee housing) is expected from the consulting firm of Brailsford and Dunlavy on Oct. 1, 2006, and the translation of the Administrative Plan into a Master Plan (incorporating action items relevant to employee housing) is a topic on which the Senate and Administration are expected to consult extensively during the coming year. This topic is vital for both recruiting and retaining high quality faculty and staff, and prospectively has significant budgetary implications for the campus.

**g. Campus/Off-Campus Integration:** Issues remain concerning the relationship of faculty to UCSC-related educational efforts off campus. These include the Silicon Valley Center, MBEST, and 2300 Delaware. CPB should also closely monitor nascent initiatives in Silicon Valley such as BINRIDI.

Respectfully submitted:

COMMITTEE ON PLANNING AND BUDGET

Faye Crosby, *ex-officio*

Ray Gibbs

Emily Honig

David Evan Jones

Wentai Liu

Onuttom Narayan

Ravi Rajan

Don Rothman

Quentin Williams, *ex-officio*

Paul Koch, Chair

Marina Sarran, GSA Representative

Saurabh Mishra, SUA Representative

November 1, 2006

**COMMITTEE ON PREPARATORY EDUCATION**  
**Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

The Committee on Preparatory Education (CPE) met approximately twice per quarter throughout the academic year to deal with specific issues related to its charge. The work and accomplishments of the Committee during the 2006-07 year are summarized below.

**Review and Changes to Charge and Bylaw SCR 10.5.2:**

The CPE reviewed its charge and submitted a request to the Committee on Rules, Jurisdiction, and Elections for a conforming language change to bring the charge into conformance with current terminology at the Campus and University levels. CRJE agreed to change “Subject A Requirement” to “Entry Level Writing Requirement (ELWR)” and “Subject A Exam” to “Analytical Writing Placement Exam (AWPE)” in our Committee’s charge and throughout the UCSC campus bylaws as a conforming language change.

CPE also examined the language and implications of enforcing SCR 10.5.2, the bylaw that defines the Entry Level Writing Requirement and its implementation on campus. The Committee found the language of this bylaw to be outdated and out of compliance with current UC and Campus practices. The Committee Chair wrote to CRJE to request conforming language changes to SCR 10.5.2. “Subject A” needs to be replaced with “ELWR.” UC defined tests and scores also need to be updated. The regulation also needs to clarify that although students held for the ELWR may enroll in C1 sections of the college core courses, passing the ELWR is prerequisite for receiving credit for the C1 General Education Requirement and for enrollment in every university-level undergraduate course in English composition beyond the Freshman Core Course, and for the bachelor’s degree. This is a conforming change in that it will bring the bylaw into compliance with existing UC and Campus practices. This request was sent to CRJE in late June. CRJE recently confirmed that the recommended changes are conforming language changes.

SCR 10.5.2 requires students held for the ELWR to remain enrolled in ELWR-related writing courses until they meet the requirement. This aspect of the bylaw has not been systematically enforced in recent years. Failure to enforce this requirement may be contributing to the rising number of students who are in jeopardy of being barred after their fourth quarter for not satisfying the ELWR. CPE strongly supports the immediate enforcement of this bylaw. However, doing so will have some budgetary impact for the Writing Program, which will need to offer more sections of the ELWR preparatory courses each quarter. Next year, we will work collaboratively with the VPDUE, the College Preceptors, the Committee on Educational Policy (CEP), the Chair of the Writing Program, and the Dean of Humanities to see that this bylaw is properly implemented and enforced.

## **Proposal to Increase Curricular Support for Students Under-Prepared for University Writing:**

CPE is concerned with the steady increase in the percent of newly admitted freshpersons who have not satisfied the Entry Level Writing Requirement (ELWR). The reasons for this upward trend in ELWR enrollments have not been fully charted, but the fact is that increasing numbers of students arrive on campus challenged by university-level English. An increasing percentage of those held for the ELWR are English language learners (ELL), reflecting the changing demographics of our state. Non-passing exams with the ELL designation coming to UCSC have increased from 11 percent in 2001 to 20 percent in 2004 and 19 percent in 2005. In addition to ELL writers, ELWR students include monolingual native English speakers and bilingual “Generation 1.5” students who have received all or most of their schooling in the U.S. but who nonetheless struggle with the demands of written English. Many come from under-resourced high schools in California that have not adequately prepared them for university-level challenges in reading and writing. Given documented shifts in the demographics of California, it is likely that this population will continue to swell and represent an increasingly larger segment of the UC eligible cohort each year. This year our committee spent significant effort exploring and documenting these trends and developing a series of curricular proposals that we feel could significantly mitigate the impacts of these trends at UCSC. We circulated a draft proposal to CEP Chair Hughey, CPB Chair Koch, VPDUE Ladusaw, Interim Humanities Dean Lease, VPAA Galloway, Learning Support Services Director Gritsch de Cordova, and Provost Spafford (UCOPE representative) and received useful and informative feedback. Our final proposal was submitted as a report to the Academic Senate in May and was presented at the last meeting of the Senate in the spring (AS/SCP/1498). Our proposal outlined the following curricular changes:

1. Require that all first-year students who fail to satisfy the ELWR at the end of their first quarter enroll in at least one additional writing course (Writing 20) during their first year, as per Divisional regulation 10.5.2, which requires enrollment in “Subject A” (now ELWR) classes for students who don’t satisfy the ELWR in their first quarter until they satisfy it. Enrollment in such classes has been treated as a strong recommendation, not a requirement, in recent years
2. Enhance language instruction for ELL students.
3. Restore, with 2 units of workload credit, Writing 10A, 10B, 10C—enrolled tutorials, for students concurrently in ELWR classes, that were cancelled when the Writing Program’s funding for tutoring was cut in 2003.
4. Sponsor seed funds for a longitudinal study of student writing.

Our analysis estimates that these changes could be achieved with a modest campus investment of roughly **\$40,000 per year**.

A revised ELWR curriculum that more directly meets the needs of the most at-risk population of students will likely have several salutary effects. The proposed changes will:

- Decrease the number of students barred for not satisfying the ELWR, thus improving the campus's first- and second-year retention rates;
- Speed the progress of students needing more than one quarter to satisfy the ELWR;
- Better equip under-prepared students to meet the challenges of university-level writing and increase their chances for success in courses across the curriculum.

CPE plans to work next year with the appropriate Senate committees and campus administrators to see that these curricular changes are implemented and that we can effectively track and assess the impacts of these changes through time.

### **Math Preparation and Possible UC-Wide Math Competency Requirement:**

A survey was conducted by UCOPE last year (2005-06) that drew only four campus responses. UCSC was not one that responded. The survey asked if the campuses would support a system wide entry level Math competency requirement and placement exam for admission, equivalent to the Entry Level Writing Requirement.

Some questions that arose in the Committee's discussion of this issue were:

- What standard would be used for a systemwide requirement?
- How would such an entrance requirement compare with or effect the UCSC Q requirement?
- Would there be something akin to an SAT cut-off score allowing some students to not be required to take the UC placement exam?
- Would having such a requirement improve K-12 math education and better prepare students for university level work?
- Would having such a requirement better prepare students for their life after academia?
- Have they considered the need for retesting to ensure students meet the bar after taking coursework?
- Could the current Q designated courses be restructured to help students to satisfy this requirement?
- Who would pay for implementing this requirement? Campuses? UCOP?

In order to discuss some of these issues and to gauge campus support for such an initiative, CPE extended an invitation to CEP Chair Hughey, Math Department Chair Montgomery, VPDUE Ladusaw, Applied Math and Statistics Program Chair Draper, Professor of Education Moschkovich, and Learning Services Director Gritsch de Cordova to meet with the Committee. This meeting took place on Monday, April 17, 1 p.m. in Kerr Hall 307.

While there was some general interest in the idea of a UC-wide math competency requirement, there was also some concern over a lack of clarity regarding the proposed purpose or goal of such a requirement and how it would be implemented and funded. Meeting participants noted that an infrastructure, similar to that already in place to support ELWR, would need to be created to make sure that under-prepared students were able to meet this requirement. This would

require the addition of numerous small sections with associated tutorials in order to support basic math instruction. How would such courses be staffed and funded? How would such a structure impact the other curricular programs and resources in Math and Applied Math?

The Chair of CPE reported the results of this meeting to UCOPE at the spring meeting in Oakland. Given a general lack of positive responses for this idea from other UC campuses this proposal appears to have been dropped. However, the math skills and preparation of entering students and the impact of that preparation on students' abilities to pursue majors in the Physical and Biological Sciences, Engineering, and even some of the Social Sciences is an area of continuing concern to CPE.

**Acknowledgements:**

The Committee is grateful to Committee Analyst/Advisor Roxanne Monnet from the Academic Senate Office for her expert staffing and support. We would also like to thank VPDUE Ladusaw, Acting Dean Lease, CEP Chair Hughey, CPB Chair Koch, and Learning Support Services Director Gritsch de Cordova for their comments on our draft proposal for ELWR curricular reforms. VPDUE Ladusaw, AMS Program Chair Draper, Math Chair Montgomery, and Learning Support Services Director Gritsch de Cordova also contributed significantly to the Committee's discussions of Math preparation at UCSC.

Respectfully submitted,

**COMMITTEE ON PREPARATORY EDUCATION**

Elizabeth Abrams

Maria Cecilia Freeman, NSTF Representative

Judith Scott

Judith Habicht Mauche, Chair

August 31, 2006

**COMMITTEE ON PRIVILEGE AND TENURE**  
**Annual Report 2005-2006**

To the Academic Senate, Santa Cruz Division:

The Committee on Privilege and Tenure met regularly during the academic year and the Chair was also a member of the systemwide UCP&T committee. Sub-committees worked to investigate and report on particular cases. We held no formal hearings.

**Policy and Procedures:**

The committee was asked to evaluate several proposed changes to the academic personnel manual. We approved of the changes in APM220 covering criteria for advancement to Professor Step VI and above salaries, drafts of which we had commented on in previous years. We commented on the Partner Employment Task Force draft report and suggested some minor changes. We carefully reviewed UCOP's proposed changes to three sections in the academic personnel manual. Changes to APM 700 dealt with a new proposed termination policy for unauthorized leaves of absence. We objected to these changes as they are redundant with current policy for dealing with faculty who do not perform their jobs, and they would take away the right of a faculty member facing termination to first have a hearing in front of the P&T committee. Proposed changes to APM710 dealt with paid sick leave for faculty employees who do not accrue sick leave. This new policy would codify current practices regarding sick leave for faculty; 6 months of paid medical leave for faculty with less than 10 years of service and one year for those with more than 10 years of service. We felt that it was good that the university codified these practices. We also urge faculty members to carry supplemental disability insurance for when these periods of medical leave are used up. Proposed changes to APM080 deal with medical separation for faculty when, even with reasonable accommodation, a disabled faculty member is no longer able to perform his/her faculty duties. We voiced concerns about these proposed changes because there was no mechanism in place for review by the P&T committee prior to termination. Again we feel that every faculty member must have a right to a hearing in front of P&T whenever a termination is proposed by the administration.

**Grievances and Disciplinary Hearings:**

Five grievances were filed with the committee this year. One is in the process of informal resolution and as such is continuing to next year. In three cases the committee found that no violation of a faculty member's rights and privileges were evident. In another case the committee found some irregularities in a merit review case and proceeded with an informal resolution. The Campus Provost/EVC delivered two notices of proposed disciplinary actions to faculty members. Of those, one faculty member activated his/her right to a hearing and the case is continuing, and another faculty member reached a settlement with the university after the pre-hearing stage.

**P&T Advisors:**

P&T advisors are faculty members who can give advice and assistance to colleagues who believe that their rights and privileges may have been violated. In the help that they give

to faculty in analyzing, preparing, and filing their cases, P&T advisors are crucial to the committee's process. A list of P&T Advisors is available at:

[http://senate.ucsc.edu/p\\_t/P&T%20Advisors0607.htm](http://senate.ucsc.edu/p_t/P&T%20Advisors0607.htm)

Respectfully Submitted,

COMMITTEE ON PRIVILEGE AND TENURE

Lisbeth Haas

Ken Kletzer

Lourdes Martínez-Echazábal

Olga Nájera-Ramírez

Richard Otte

Ken Pedrotti

Alan Zahler, Chair

October 4, 2006

## COMMITTEE ON RESEARCH Annual Report 2005-2006

*To the Academic Senate, Santa Cruz Division:*

The following describes the activities of the 2005-2006 UCSC Committee on Research (COR).

### **I. COR Activities**

#### **COR Budget**

COR funding was increased by a permanent \$23,950 allocation in 05-06 resulting from an increase in campus indirect cost recovery funds. Coupled with a small decrease in the number of Senate members, this yielded an increase in funding available per faculty member (\$863 up from \$811).<sup>1</sup> Taking inflation into account, funding available still falls sharply below the 1989-1990 level (see the COR Annual Report for 04-05 for a historical perspective, <http://senate.ucsc.edu/cor/index.html> ).

#### **COR Grants Program**

COR voted to increase funding available in 05-06 under the COR grants programs. The 'basic' award for Faculty Research Grants was increased from \$1500 to \$2000 for untenured faculty and from \$1000 to \$1500 for tenured faculty. The maxima for awards remained the same (\$2500/\$2000). Travel funds available for dissemination of research were increased from \$500/year to \$650/year.

COR worked with ITS to develop an on-line grants application and tracking process available in time for this year's round of research grants. Submission, review, notification, and follow-up business functions were all conducted on-line. Feedback from faculty, COR members, and Senate staff indicate that the new system represents a significant improvement over the previous paper-based system. COR will continue to work with ITS on improvements.

The SRG application includes an abstract of the proposed research project. Abstracts of grants awarded in 2004-5 and 2005-6 are now posted on the COR website. COR requests that faculty write abstracts in language understandable to lay colleagues, as abstracts are read by faculty from a variety of disciplines.

#### **Review of Organized Research Units**

The five-year review of the Santa Cruz Institute for Particle Physics (SCIPP) was scheduled for Spring 2006. COR provided input on the composition of the review committee. The review committee visited the campus in May 2006. For reasons of miscommunication, Senate committees were not informed of the visit and were not represented at the exit meeting. The committee's final report and the response from SCIPP Director Seiden were submitted in late Spring. The 06-07 COR will respond to the report.

Since 2000, authority for Organized Research Unit (ORU) reviews has devolved to the campuses, with each campus expected to put in place an ORU review policy. In 04-05, COR worked with the Office of Research (OR) to draft policy. COR feels there are still problems with the policy

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<sup>1</sup> These amounts are based on the number of active (non-emeritus) faculty.

distributed as part of the SCIPP review and has suggested to OR (6/16/06) that a committee including representatives from OR, COR, and the PBS Division be appointed to review and finalize ORU Guidelines for the campus.

### **Other Activities**

#### **Export Control and Compliance**

The committee met several times with Caitlin Deck, Compliance Officer, and once with Brittany Whiting, Export Shipping Specialist, on issues related to export control, training for new PI's, and education of faculty regarding shipping regulations.

#### **UARC and Silicon Valley Initiative**

Vice Provost Carl Walsh briefed the committee on activities at the University Affiliated Research Center (UARC). He informed the committee that the original overhead rate of 24% has been reduced to 17.8% effective 7/1/06. Meredith Michaels, Vice Chancellor for Budget and Planning, informed the COR Chair that the reduction reflects the fact that many of the costs usually considered as indirects are covered through a management task order and charged directly to NASA.

The Aligned Research Program (ARP), administered through the Office of Research (OR), continues to provide funding for faculty and graduate student research (900K through 6/30/05). COR asked OR to make sure that all relevant faculty are aware of the ARP, to provide further guidelines concerning the applications and review process, and to provide feedback to faculty when applications are not funded.

#### **Other**

Vice Chancellor of Research (VCR) Miller met regularly with the committee. At COR's invitation, EVC Klinger met with the committee to discuss research-related issues of concern to the central administration. COR met with Chair Thorsett and members of the VCR search committee as a concerned stakeholder. COR Chair Aissen joined GC Chair Schumm in a meeting with Librarian Steele to discuss the library budget.

COR provided input on the external review of the Art Department. It responded to requests from the Divisional Senate for review of Pre-proposals for Professional Schools at UCSC, for response to Principles for Growth, and for comment on a set of draft white papers from the UC Special Committee on Scholarly Communication. With assistance from Compliance Officer Deck, the Committee responded to a request from UCORP for information on the workings of the campus Institutional Review Board.

## **II. Allocation of COR Grant Funding**

A major activity of COR is to evaluate proposals for scholarly travel, research and other scholarly activity. This year, COR maintained the level of funding available under the Special Research Grants (SRG) program at \$15,000 for individual proposals and \$20,000 for collaborative projects. During the year, COR awarded a total of \$493,890.

#### Special Research Grants

Applications received/funded: 44/23

Total awarded: \$209,028

Breakdown: number awarded/amount

Arts	5/\$40,714
Eng	3/\$25,000
Hum	3/\$13,845
PBS	4/49,469
SS	8/80,000

Faculty Research Grants

Applications funded: 107  
Total awarded: \$172,207

Breakdown: number awarded/amount

Arts	32/\$60,501
Eng	1/\$2500
Hum	32/\$44,788
PBS	10/\$13,930
SS	32/\$50,488

Scholarly Meeting Travel

Applications funded: 166  
Total awarded: \$112,655

Breakdown: number/amount

Arts	23/\$15,796
Eng	5/\$3,000
Hum	47/\$33,674
PBS	20/\$15,300
SS	71/\$44,885

### **III. University Committee on Research Policy (UCORP) Activities**

COR chair Judith Aissen served as the UCSC representative to UCORP. In addition to its usual workload reviewing multi-campus research units, UCORP continued its discussions with the Office of Research concerning the Senate's formal recommendations on restructuring the MRU review process. A joint Senate/administrative task force was appointed to develop policies for a new review process that would recycle UCOP funds in support of new research initiatives. A review process for the California Institutes for Science and Innovation (the CAL ISIs) was approved by UCOP and Academic Council. Reviews are expected to begin in 2006-7. UCORP spent considerable time this year studying IRB activities on the campuses and is finalizing a report to Academic Council.

More details on UCORP activities will be found in the UCORP annual report when it appears (<http://www.universityofcalifornia.edu/senate/committees/ucorp/reports.html>).

### **IV. COR Representation**

In addition to representation on UCORP, COR was represented through its chair on the Senate Executive Committee. That committee also met several times with the Chancellor's Advisory Board. Two COR members, J. Aissen and A. Thorne, served on the VCR search committee.

Chair Aissen represented the committee at the 5/15 meeting of the Instructional Technology Guidance Committee.

In Spring 2005, the Campus Provost/EVC approved addition of a COR representative to the administrative Information Technology Committee (ITC). However, for reasons of scheduling it was not possible to appoint a member this year.

COR is again indebted to Laurie Babka, Senate Committee Advisor, for the support she provided to the committee during the 05-06 year. Laurie played a particularly central role this year as the chief interface between COR and ITS in the development of the electronic grants process.

Respectfully submitted,  
COMMITTEE ON RESEARCH

E.G. Crichton (W,S)  
Andrew Fisher  
Dan Friedman  
Darrell Long  
Jerry Neu  
Abe Seiden (F)  
Ali Shakouri (W,S)  
Avril Thorne  
Jin Zhang  
Judith Aissen, Chair

September 29, 2006

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**  
**Annual Report, 2005-06**

To the Academic Senate, Santa Cruz Division:

During 2005-06, the Committee on Rules, Jurisdiction, and Elections (CRJE) evaluated legislation and resolutions submitted for inclusion in the agenda of Regular Meetings of the Santa Cruz Division, providing editorial advice to the proposers of these items, and advice about legislative implications of the items to be considered by the Division. Formal and informal advice was given to various Senators and Divisional committees and officers who requested it. Advice given, as well as other comments, is summarized below on the various items discussed by CRJE.

At the request of various Senate committees and Senators, CRJE provided opinions on the following items.

**Bylaw 55 – Voting Privacy:** The issue of voting privacy was brought before the previous CRJE and, although some discussion took place, the issue was considered in detail by the 2005-06 CRJE. The letter from a Senator included a request for advice regarding whether explanations for abstentions in voting were appropriate in Bylaw 55 personnel action letters. CRJE confirmed that faculties of departments are Senate committees subject to UC and UCSC Bylaws and Regulations when discussing UC Bylaw 55 issues. CRJE found no authority within UC or UCSC Bylaws for requiring explanation for voting abstentions. Neither “Roberts Rules of Order” nor “The Standard Code of Parliamentary Procedures” by Alice Sturgis offer clear guidance on this issue. The UCSC Bylaw SCB 13.4.3 explicitly forbids requiring explanations in the case of a recusal, but does not address abstentions for other reasons. CRJE was concerned that it would be difficult in practice to discern the reason for an abstention, if not volunteered in open meetings by the abstainer, without running the risk of violating SCB 13.4.3. CRJE concluded that inquiries into reasons for abstentions should therefore not be made. CRJE proposed SCB 13.4.4, which expressly forbids inquiries regarding motivations for all abstentions and this was considered and approved at the March 8, 2006, Regular Meeting of the Santa Cruz Division.

CRJE found no reason for concern regarding discussions in personnel action letters of explanations given publicly by the person abstaining, for example at department meetings. CRJE is, however, concerned that such disclosures be truly voluntary and intentional. A question was also raised in the original inquiry to CRJE whether it is proper to include the number of abstentions in personnel action letters. Since the number of abstentions can be readily obtained from the known number of eligible voters and the number of affirmative and negative votes, the first issue seems moot to CRJE. CRJE also found no basis for concerns regarding recording of reasons for waivers.

During the consideration of this issue, it became clear to CRJE that there has been significant confusion regarding the issue of what constitutes an “abstention” versus a “waiver” with regard

to UC Bylaw 55 actions. A “waiver” is a formal process of relinquishing the right to vote on Bylaw 55 actions for a specified period. During that period, the senator cannot vote on any issue regarding Bylaw 55 actions. If a senator chooses to retain the right to vote on some and not other Bylaw 55 issues during a specific period, the non-votes are “abstentions”. CRJE requested that the Committee on Academic Personnel (CAP) specify wording regarding the definition of the word “waive” to be included in the CAPP.

**Lines of Authority in Graduate Appeals:** A request was made to CRJE by the Chair of the Senate for advice regarding the lines of authority in graduate appeals. It is the opinion of CRJE that University of California Academic Senate Bylaw 330 is quite explicit that the Graduate Council has jurisdiction over all policies regarding graduate programs. Section C of Bylaw 330 allows for this authority to be re-delegated only by Divisional Bylaws, but current UCSC Bylaws provide no such re-delegation. The Dean of Graduate Studies or departments may implement the policies of the Graduate Council, but the Graduate Council retains ultimate authority over the entire appeals process.

While deliberating on this issue, it became apparent to CRJE that the Graduate Handbook is not sufficiently clear regarding lines of authority. CRJE requested that the Graduate Council revise the wording of that procedure so that it will be more transparent regarding the ultimate authority of the Graduate Council. CRJE also requested that the Graduate Council submit all Regulations they pass to CRJE so that they can be reviewed for consistency with UC and UCSC Bylaws. Furthermore, it was requested that the Graduate Council ensure that the Graduate Handbook is consistent with Appendix D of the UCSC Senate Manual. The Graduate Council agreed to work towards these goals.

**SCB 13.28.1:** The number of members of CRJE, specified to be four in SCB 13.28.1, posed a challenge to the committee. With one recusal, the necessity of quorum required that all three other members be present to move forward on the issue. This proved difficult with member travel and illnesses. Recognizing this impediment to the most timely response on the issue and wishing to avoid such problems in the future, CRJE requested to the Committee on Committees (COC) that CRJE membership be increased by one. COC proposed the change to SCB 13.28.1, CRJE found it to be clear and consistent with other Bylaws, and it was considered and approved at the April 26, 2006, Regular Meeting of the Santa Cruz Division.

**Change from Roberts Rules of Order to the Standard Code of Parliamentary Procedures, SCB 7.4:** CRJE reviewed the proposal by Senate Executive Committee to revise Bylaw 7.4 in order to adopt “The Standard Code of Parliamentary Procedure” by Alice Sturgis as the reference for questions of order not covered by legislation, replacing “Robert’s Rules of Order”. After initial feedback from CRJE, the final proposed legislation was found to be clear and not in conflict with existing Bylaws or Regulations. The change was considered and adopted at the March 8, 2006, Regular Meeting of the Santa Cruz Division.

**Security of Employment (SOE) Lecturers:** CRJE responded to an inquiry regarding voting procedures for and by SOE lecturers in UC Bylaw 55 actions. CRJE recommended that

procedures for SOE lecturers parallel those of ladder-rank faculty, taking into account that SOE lecturers cannot vote on personnel actions for ladder-rank faculty.

**SCR 6.2.2:** CRJE reviewed changes to Santa Cruz Regulation 6.2.2, proposed by the Committee on Educational Policy (CEP), regarding minimum progress expectations. After initial feedback, CRJE found the final proposed text to be clear and not in conflict with existing Bylaws and Regulations.

**Legislative Rulings:** CRJE considered whether it has the right to issue Legislative Rulings. Such power to issue Legislative Rulings is not automatically given to a Divisional CRJE. For a Divisional CRJE to have the power to issue such a ruling, which has the status of Legislation after Divisional Approval, specific language to that effect must be provided by the Divisional Bylaws, according to Legislative Rulings 12.93A issued by the University Committee on Rules and Jurisdiction (UCRJ). CRJE does not believe that such specific language exists in the UCSC Bylaws and believes that such Legislative Rulings by CRJE are not proper or valid. Rather, they are interpretations and opinions that are to be considered authoritative, as explained in the Legislative Ruling 12.93B issued by UCRJ. In reviewing the Division Manual, conforming changes included changing all occurrences of the word “ruling” to “interpretation”.

**SCB 13.16:** CRJE reviewed proposed changes by the Committee on the Education Abroad Program (CEAP) to Bylaw 13.16 regarding their name and charge. CRJE found no conflict with existing Bylaws and Regulations.

**SCB 13.25.2:** CRJE reviewed wording changes to Bylaw 13.25.2 regarding undergraduate preparatory and remedial education that were proposed by CEP, interpreted them to be conforming changes, and implemented them.

**SCB 3.4:** CRJE reviewed a COC request to revise the text of Bylaw 3.4 regarding the use of the term “student representative”. Elimination of this phrase was determined to be a conforming change.

**The Committee on Planning and Budget (CPB) resolution on the LRDP and the EIR:** CRJE reviewed this resolution and made minor suggestions to the CPB to improve clarity.

**SCB 13.22:** CRJE reviewed a proposal by COC to eliminate SCB 13.22 relating to the Committee on Land and Building Development and found no conflicts with existing Bylaws and Regulations.

**SCR 10.2.2.3:** CRJE reviewed the proposal by the CEP to change to Regulation 10.2.2.3 regarding transfer and advanced standing credit to be clear and not in conflict with existing Bylaws and Regulations.

**SCB 13.16:** CRJE reviewed a proposal by the CEAP and COC to change 13.16 regarding the charge of the CEAP and found it to be clear and not in conflict with existing Bylaws and Regulations.

**SC Division Manual Appendix D:** CRJE reviewed Graduate Council changes to Appendix D concerning the Master's degree programs. It made an inquiry to clarify the status of "Master's papers", but otherwise found the changes to be clear and not in conflict with existing Bylaws and Regulations.

**Santa Cruz Division Manual Updates:** CRJE reviewed the Bylaws section of the Division Manual. Several conforming changes were made in addition to those mentioned previously. The word "calendar" was added just before "days" in SCB 6.3, "instructional" just before "days" in SCB 6.6, and "calendar" just before "days" in SCB 9.1. CRJE determined that the replacement of "Committee of Study" with "Program of Study" and the elimination of "Committee of Study" when "Program" is already stated in a paragraph are conforming changes. In Appendix A, CRJE determined that "improper ruling" should be dropped since the UCSC CRJE cannot make rulings and the references using this language are not relevant. CRJE has determined that the Bylaws of the colleges should be included in the Senate Manual. Therefore, it requested the Bylaws from each college to be reviewed for consistency with existing Bylaws and Regulations so that they can be posted in an appendix to the manual. Other conforming changes were made for consistency with UC style standards and to reflect such things as the proper number of UC campuses and current names of campus units and committees.

No outstanding issues were carried forward to 2006-07.

CRJE would like to express appreciation to Roxanne Monnet for her excellent assistance throughout the year.

Respectfully Submitted,

**COMMITTEE ON RULES, JURISDICTION AND ELECTIONS**

Erik Asphaug  
Melanie DuPuis  
David Hoy  
David Belanger, Chair

August 31, 2006

## COMMITTEE ON TEACHING Annual Report, 2005-06

To the Academic Senate, Santa Cruz Division:

The Committee on Teaching (COT) met regularly every other week throughout the academic year to deal with an extensive agenda related to its charge to foster and promote good teaching, to recommend and evaluate methods for assessing teaching performance, and to oversee instructional support services on campus. The work and accomplishments of the Committee during the 2005-06 year are summarized below.

### Instructional Improvement Program Grants

The Instructional Improvement Program (IIP) provides seed money in the form of grants to encourage experimentation with new ideas in teaching and learning at the undergraduate level. One of the regular charges of COT is to adjudicate applications for Instructional Improvement Program (IIP) Grants. Adjudication of IIP grant proposals is a responsibility that COT takes very seriously and on which it spends a great deal of its time throughout the year.

COT awarded a total of \$107,236 out of requests totaling \$275,624. Twenty-four grants were funded out of 45 proposals. The total number of proposals submitted for funding was the same as last year. Awarded funding was approximately 39 percent of the total requested. IIP grants fell into the following categories:

- **Mini-grants** are available throughout the year when COT is in session. They support small-scale projects designed to improve undergraduate instruction. Mini-grants have a maximum budget of \$2000. In the year-long competition for Mini-grants, there were 20 submissions requesting \$34,459. Of these, 12 were funded for a total of \$17,850.
- **Course Development Fellowships** provide \$6463-\$8100 (depending on division) to cover one course release for the fellowship recipient. Course Development Fellows use the course release to develop a new undergraduate course or program in their departments or to make significant revisions in an older course. Fourteen faculty submitted applications for Course Development Fellowships, with a cumulative budget of \$88,963. Six were funded for a total of \$41,611.
- **Major Grants** are for major projects aimed at improving undergraduate education. These involve incorporating instructional technology, creating new course materials, or designing interactive or collaborative learning activities. Of the 13 proposals received for a total of \$152,202 requested, COT funded 6 for a total of \$47,775.

**Increased demand for IIP funds:** Total funds requested this year reached a 4-year high. Unfortunately, further cuts to the IIP fund meant that total monies awarded are at the lowest point since 1994-95 (when the maximum allowable grant amount was \$3,500). Only one Major Grant was awarded this year near the upper limit of \$15,000; other Major Grants awarded had their amounts cut from what was requested, receiving between \$5,000 and \$7,500 each.

## **2<sup>nd</sup> Annual Teaching and Learning Symposium**

This year's symposium was titled "Setting the Stage for Learning: Building Student Confidence, Control, and Competence." As a mini-conference, it included short concurrent presentations by UCSC faculty, an exhibit area, and a keynote address entitled "Psychological Factors in Student Success" by UCSC Professor of Psychology, Martin Chemers. The event was held at University Center on February 16, 2006, from 1-5 p.m. and was attended by 83 members of the UCSC community.

Feedback from attendees was highly positive, particularly praising the practical nature of the presentations and the opportunity for informal exchange of ideas about teaching strategies.

### **Excellence in Teaching Awards**

In selecting recipients for this award, COT considered nomination letters from students, endorsement letters from department chairs, and statements on teaching from the nominees themselves. Nominees who had already received an Excellence in Teaching Award within the last five years were excluded from consideration. Only nominees who were up to date in submitting narrative performance evaluations, as reported by the Registrar, were considered for an award.

From a pool of 17 eligible nominees, COT selected six faculty to receive the 2005-06 Excellence in Teaching Award. Chancellor Denton and COT Chair Charlie McDowell presented the awards at a reception held at University Center on May 24, 2006. The recipients were: Martin Berger, Associate Professor of History of Art and Visual Culture, Ruth Hoffman, Lecturer in College Nine, John Isbister, Professor of Economics, Dean Mathiowetz, Assistant Professor of Politics, Ken Pedrotti, Associate Professor of Electrical Engineering, and Ana Maria Seara, Lecturer in Portuguese.

In addition, this year, for the second time, the COT was asked to also make the selection for the Ron Ruby Award for Teaching Excellence in the Division of Physical and Biological Sciences. The award was established as a memorial to physics Professor Ronald Ruby who died in November 2003. This year's recipient was Earth Sciences Lecturer Hilde Schwartz.

### **U.S. Professor of the Year Nomination**

COT nominated two faculty for the U.S. Professor of the Year program. They were Professor Manuel Ares of Molecular, Cell & Developmental Biology, and Associate Professor Paul Ortiz from Community Studies.

### **Course/Instructor Evaluations**

One of the major goals COT gave itself this year was to make some progress towards an online system for collecting, storing, and analyzing course/instructor evaluations. The result of that effort was a report recommending the campus phase out the Scantron system, replacing it with an online collection system. The report was sent to Senate Chair Faye Crosby on May 19, 2006, and an oral report was given at the Senate meeting that day. The complete report is attached.

## **Best Practices Regarding Non-Senate Teaching Faculty**

COT felt it would be appropriate to ascertain to what extent departments have been able to implement the “best practices” recommendations from the “Report of the Special Committee on Non-Senate Teaching Faculty” (<http://senate.ucsc.edu/scol/nstfres.1425.pdf>). As you probably recall, a resolution endorsing that report and asking departments to “actively seek to implement the best practices outlined in the report” was passed at the May 2004 Senate Meeting.

The report is not long (less than three pages) and is an excellent reminder of some things we can do to improve the quality of teaching at UCSC and improve the quality of the professional life of our highly valued non-Senate teaching colleagues.

COT solicited responses from all academic departments and programs to a short series of questions related to the best practices recommendations. We received responses from 15 of 40 departments and programs as well as from 20 non-Senate teaching faculty (NSTF) via the NSTF Committee on Committees. It is difficult to summarize the responses, which varied considerably, however, the overall sense of the department responses was considerably more positive than the responses from the NSTF.

On a positive note, with one exception, all departments reported that Senate and NSTF mailboxes were intermingled. This was supported by the NSTF, but also dismissed as “window dressing for a caste system” by one faculty member. There were a wide variety of responses to most of the other questions, which asked about the extent of NSTF involvement in the review process for other teaching faculty, attendance at department meetings, support for professional development, equivalencies for non-course work, and percentage of full-time NSTF. Most of the responding departments had very few NSTF, the Writing Program being the notable exception. There were positive signs in that most departments reported at least sometimes being able to provide equivalencies for non-course work.

Seven of 18 NSTF responses indicated at least some participation in personnel reviews. Eleven have at least some participation in department meetings and eight indicated high or appropriate levels of involvement.

Half of the 16 NSTF responded to the “unnecessary distinctions” question in such a way as to indicate less than desirable levels of inclusion and acceptance as “faculty.” These negative responses ranged from “I do not feel integrated into the department, though I have not been aggressive in pursuing this” to “I still feel it is haves and the have-nots and it is not at all a good feeling,” “it just smacks of window dressing for a caste system,” and “there is a priest class/servant class feel to functions of the department”.

In conclusion, although some departments have made improvements in response to the best practices report, it is clear that more effort is needed to eliminate unnecessary distinctions between Senate and NSTF, and to more fully integrate NSTF into all teaching functions of departments.

## **Acknowledgements**

The Committee would like to thank Ruth Harris-Barnett, Director of the Center for Teaching Excellence, and Henry Burnett, Director of Media Services, for their invaluable contributions to

COT 2005-06 Annual Report

the Committee. The Committee on Teaching was expertly staffed by Roxanne Monnet from the Academic Senate Office.

Respectfully submitted,

COMMITTEE ON TEACHING

Murray Baumgarten (W)

Amy Beal (W, S)

John Borrego

rep

Lindsay Hinck

Cynthia Polecritti (S)

Elizabeth Stephens (F)

Charlie McDowell, Chair

Frank Bauerle, NSTF rep

Christy Emigh (S) grad student rep

Patrick Ferree (F, W) grad student

August 31, 2006

May 19, 2006

Faye Crosby, Chair  
Academic Senate  
Santa Cruz Division

Dear Faye:

The COT would like your feedback and/or endorsement of the following report. If you support the report we request that you forward it to the administration for consideration. On May 15<sup>th</sup> COT met with the Chancellor and discussed the content of this report although she has not yet seen the actual text. At that time she indicated that she was favorably disposed towards supporting such a move.

COT recommends that ITS implement an online system for collecting instructor/course evaluations, with stewardship of the system residing with the VPDUE. As with the existing Scantron form, the use of this system would be at the discretion of the divisions and departments. In this report, we will provide some background on the current use of instructor/course evaluations on this campus, reasons for recommending going to an online system, and recommendations about some details with regard to the proposed system.

## ***Background***

Currently the CTE provides a standard Scantron form to departments that elect to use it. The direct cost of this service, currently approximately \$10,000 per year, is provided as part of CTE's budget. (This figure includes cost of paper forms, maintenance of equipment, and CTE staff time. It does not include staff time in departments to administer the program.) It is difficult to estimate the staff time related to tabulating non-Scantron forms or even transferring the electronic Scantron summary files into some other electronic form for review and analysis.

Over the past two years, COT, with the help of CTE Director Ruth Harris-Barnett, has reviewed a number of reports and existing systems on the use of online systems to collect student feedback on courses and instructors. In April of this year COT invited Dr. D. Gallow, Director of the Instructional Resources Center at UCI to visit UCSC and meet with interested individuals to discuss UCI's online system. Two formal meetings took place during her visit. One was a special meeting of COT with invited guests from CEP, CAP, Graduate Council, AHR, ITS, and the administration. A second meeting in the afternoon was open to all faculty (both senate and non-senate members).

The discussions at those meetings were generally very supportive of moving forward with an online system. In addition, those discussions helped us clarify some of the features we would like to see in a system at UCSC.

## ***Why go online now?***

The current Scantron system generates at least 15,000 sheets of paper each quarter. This paper must be stored for many years. Often additional copies are made in order to provide individuals (e.g. the reviewed faculty member or personnel committees) access to the evaluations without risking loss of data.

The Scantron form has limited room for department specific questions. An online system could provide much greater flexibility for departments to ask the questions they are most interested in, while retaining some common questions across a broad segment of the campus.

COT (as well as CAP and CEP) would like to see more wide spread use of at least a small set of common questions (e.g. How would you rate the instructor's overall effectiveness as a teacher?). In addition, the current Scantron process does not facilitate any comparisons from one course to the next, be it for an instructor, for a course, for a department, for a division, or for any combinations (e.g. all 80s courses in the School of Engineering, or all introductory courses with enrollments over 100). COT believes that some such comparisons are valuable and could result in better teaching on this campus. Furthermore, we believe that an online system can be created that makes such comparisons relatively easy. We also recognize that not all possible comparisons are advisable and recommend below that care be taken to limit the types of comparisons that are made.

The use of online systems to collect student feedback on courses and instructors has been widely debated and is being adopted by more and more campuses. One of the major concerns raised has been the possible impact on response rate. Although there are no truly definitive conclusions, in most cases response rates have remained roughly the same, with some institutions reporting better response rates and others reporting somewhat worse response rates. We urge the implementers of the system at UCSC to make every effort to provide a system that will maximize the response rate. The system in use at UCI provides a mechanism for determining which students actually submitted a response in order to allow for small incentives if desired. As discussed below, the system includes protections for cases when the class or response size is very small.

Another concern has been the quality of the responses to open ended questions. From what we have been able to determine at least the length of the student responses is not diminished when going online. In fact, at UCI it appears that students actually write more. It is worth noting that an online system provides greater anonymity to students, especially in small classes where instructor recognition of student handwriting might easily occur in some cases.

## ***Proposed system***

The recommendations for the new system recognize the following uses for such a system:

- Current practice at UCSC is for instructor/course evaluations to play a major role in the personnel review process. Although COT would like to see a more comprehensive review process of teaching, we recognize that at least for the next few years, this practice will not change appreciably.

- The current forms are the primary source of formative feedback to instructors. We believe that the new system could, in some cases, enhance the quality and applicability of the formative feedback that the students provide instructors.
- The system will not only provide formative feedback to instructors, but it will also provide formative feedback to departments, the divisions, and CEP about specific courses.
- The system will allow for some calibration of student responses in various courses or collections of courses (e.g. 80s courses in a particular department or division).

In light of the above uses, we recommend that a system be established with the following goals/properties.

- The new system would eventually replace the CTE funded and operated Scantron system. Departments could of course continue to use the Scantron forms using departmental staff and funds.
- The new system would consist of 4 sections
  - free-form questions,
  - standard questions (2-4),
  - department selected questions, and
  - instructor selected question.
- Students should be given a window of time (for example 1 week) during which they can complete the online evaluation.
- Only students enrolled in the class will be able to submit the evaluation and they will only be able to submit it once. Access will be controlled using their ucsc login and password.
- Students will be notified via email when the window opens, and reminded periodically until they complete it or the window closes.
- When the evaluation period is closed, the instructor will be provided a list of the names of which students completed the evaluation. However, if fewer than 5 evaluations were submitted, no list will be provided.
- Instructors may offer students small incentives (e.g. homework bonus) for completing the evaluation.
- The same system used for end of quarter evaluations will be available for soliciting mid-quarter feedback. In this case, the results will go only to the instructor.
- The system must ensure that the privacy of individual faculty members is not compromised by any reporting of aggregated data. Guidelines will need to be established for what types of reporting can be done. Two extreme examples are:
  - public release of evaluations for a single course offering by a single instructor, even in summary form will not be permitted, and
  - public release of summaries for collections of all 80s courses offered by each division for a particular year will be permitted.

## ***Conclusion***

COT believes that the technology exists to economically move to electronic collection of student feedback. We believe it is time to phase out the antiquated Scantron system and the huge amount

of paper it generates. We also believe it is appropriate for UCSC to move towards limited use of student feedback for comparative purposes. An online system would greatly facilitate such comparisons.

Sincerely,

A handwritten signature in black ink, appearing to read "C McDowell". The signature is fluid and cursive, with the first letter of each name being capitalized and prominent.

Charlie McDowell, Chair  
Committee on Teaching

**COMMITTEE ON COMMITTEES**  
**Additional Nominations 2006-07**

To: Academic Senate, Santa Cruz Division:

The following nominations are changes and additions to those confirmed at the May 19, 2006 meeting of the Division. A full list of Senate Committee membership can be viewed at: <http://senate.ucsc.edu/cmmtes/StCom0607.html>

**Officers**

Add: Bruce Bridgeman    Parliamentarian    Psychology

**Executive Committee**

Add: Kathy Foley    Assembly Rep    Theater Arts

Delete: George Blumenthal    Astronomy and Astrophysics

**Academic Personnel**

Add: Shelly Errington    Anthropology

Add: Michael Isaacson    Electrical Engineering

**Admissions & Financial Aid**

Add: Ronnie Lipschutz    Politics

Delete: Trish Stoddart    Education

**Affirmative Action & Diversity**

Add: Sue Carter (F)    Physics

**Committee on Committees – For Information Only (By Election)**

Add: Carolyn Martin Shaw (F)    Anthropology

Add: Pat Zavella (W&S)    LALS

**Computing and Telecommunications**

Delete: David Cope    Music

Delete: Shelly Errington    Anthropology

**Academic Assessment Grievance Hearing Committee**

Add: Deanna Shemek, Chair    Literature

Delete: Dan Wirls, Chair    Politics

**Faculty Welfare**

Add: Karen Bassi    Literature

Delete: John Lynch    Literature

**Graduate Council**

Delete: David Brundage    Community Studies

**Planning and Budget**

Add: Grant Pogson EE Biology

Add: Gabriela Sandoval, Senate Scholar Sociology (for information only)

For Information Only

**P&T Advisors**

Jonathan Beecher History

Catherine Cooper Psychology

Glenn Millhauser Chemistry

Helene Moglen Literature

Respectfully Submitted:

COMMITTEE ON COMMITTEES

Joel Ferguson

Joe Konopelski

Carolyn Martin-Shaw

Mark Traugott

Carol Freeman, Chair

November 1, 2006

**COMMITTEE ON EDUCATIONAL POLICY  
Amendment to Regulation 10.2.2.3 on Transfer Credit**

To the Academic Senate, Santa Cruz Division:

CEP is proposing an amendment to current regulation SCR 10.2.2.3 on transfer credit. This change would allow students to satisfy the Topical general education requirements at other institutions.

As a campus of the University of California, we are part of a multi-tiered system that has a special emphasis on providing a relatively smooth transition from community college to UCSC. Based on a review of courses currently articulated with community colleges, as well as petitions for general education substitution frequently received by the Committee, CEP proposes the modification of this regulation.

One half of our transfer students have completed the Intersegmental General Education Transfer Curriculum (IGETC). In this program, students complete 11 courses: English composition (similar to C1), critical thinking (C2), mathematical concepts and quantitative reasoning, three courses in the arts and humanities, three courses in the social and behavioral sciences, and two courses in the physical and biological sciences (at least one with laboratory). Students who have completed IGETC receive a waiver of all lower-division general education requirements at any UC or CSU campus. The proposed change in regulation would affect the remaining transfer students (roughly 500 students per year).

Current regulation assumes that topical courses are by nature difficult to articulate. Topicals are therefore the only category of general education course besides the Writing requirement that students are not allowed to fulfill through transfer of credit. However, the regulation allows for up to all three topical course requirements being *waived* (depending on the amount of credit transferred). The effect is that the Topicals are the only category of general education course (including Writing) from which transfer students are exempted. Whatever the case may have been twenty years ago, neither CEP nor the Campus Articulation Officer believes that Topical GE designated courses should be unusually challenging to articulate today. Amending this aspect of the regulation will also allow matriculated students to fulfill the Topical requirement through other institutions during summer. CEP will work with Admissions and the Campus Articulation Officer to ensure that topical designations are appropriately applied to transfer courses. That is, topical courses “shall present issues of broad social importance at a level appropriate to non-majors from either a multidisciplinary or disciplinary perspective.”

The Committee also proposes a simplifying wording change to more clearly state that four-unit quarter courses taken at other institutions may be used to satisfy the various "five credit hour course" general education requirements (10.2.2.1), but do not provide five units toward the 180-unit requirement.

**Current wording**

**Proposed wording**

<p><b>10.2.2.3</b> Transfer or advanced standing credit may apply toward all of the requirements in SCR 10.2.2.1 except the Topical and Writing-intensive courses. Writing-intensive courses must be taken at UCSC. Because it is difficult to judge whether courses passed elsewhere meet the spirit of the topical course requirement, transfer students shall be exempted from up to three of these courses</p>	<p><b>10.2.2.3</b> Transfer or advanced standing credit may apply toward all of the requirements in SCR 10.2.2.1 except the Writing-intensive courses. Writing-intensive courses must be taken at UCSC. An eligible transferred course with a minimum of 4.0 quarter units or 3.0 semester units may be considered one course with respect to campus general education requirements. Responsibility for assessment of</p>
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<p>depending on the amount of credit transferred at the time of entrance. In partial satisfaction of the University of California, Santa Cruz campus general education requirements (as distinct from courses required for graduation), a transfer student is permitted to count an eligible course of 4.0 quarter units (or three semester units) in advanced standing as equivalent to a five-credit hour course at the University of California, Santa Cruz. Responsibility for assessment of work completed at other campuses of the University of California or at other institutions is delegated to the Director of Admissions. In making such assessments, the Director consults with the faculty when appropriate.</p>	<p>work completed at other campuses of the University of California or at other institutions is delegated to the Director of Admissions. In making such assessments, the Director consults with the faculty when appropriate.</p>
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Respectfully submitted,

**COMMITTEE ON EDUCATIONAL POLICY**

Heather Bullock

Russ Flegal

David Helmbold

Pamela Hunt-Carter, *ex officio*

Anatole Leiken

Louisa Nygaard

Jaye Padgett, Chair

Joel Ferguson, Provosts' Representative

Flori Lima, Undergraduate student Representative

Sarah-Hope Parmeter, NSTF Representative

October 25, 2006