

Meeting Call for Regular Meeting of the Santa Cruz Division  
**FRIDAY, November 9, 2007 at 2:30 p.m.**  
**Colleges Nine and Ten Multipurpose Room**  
**ORDER OF BUSINESS**

1. Approval of Draft Minutes
  - a. Draft Minutes of May 30, 2007, previously distributed p. 1  
(AS/SCM/282)
2. Announcements
  - a. Chair Williams
  - b. Chancellor Blumenthal
  - c. Campus Provost/Executive Vice Chancellor Kliger (AS/SCP/1530) p. 22
3. Report of the Representative to the Assembly
  - a. None
4. Special Orders: Annual Reports  
 CONSENT CALENDAR:
  - a. Committee on Academic Freedom (AS/SCP/1542) p. 25
  - b. Committee on Academic Personnel (AS/SCP/1553) p. 28
  - c. Committee on Admissions and Financial Aid (AS/SCP/1554) p. 34
  - d. Committee on Career Advising (AS/SCP/1555) p. 39
  - e. Committee on Computing and Telecommunications (AS/SCP/1535) previously submitted May 30, 2007 p. 42
  - f. Committee on Educational Policy (AS/SCP/1547) p. 46
  - g. Committee on Emeriti Relations (AS/SCP/1541) p. 80
  - h. Committee on Faculty Welfare (AS/SCP/1556) p. 82
  - i. Graduate Council (AS/SCP/1546) p. 91
  - j. Committee on International Education (AS/SCP/1543) p. 94
  - k. Committee on Library (AS/SCP/1548) p. 102
  - l. Committee on Preparatory Education (AS/SCP/1549) p. 106
  - m. Committee on Privilege and Tenure (AS/SCP/1557) p. 111
  - n. Committee on Research (AS/SCP/1545) p. 113
  - o. Committee on Rules, Jurisdiction & Elections (AS/SCP/1550) p. 122
  - p. Committee on Teaching (AS/SCP/1551) p. 126
5. Reports of Special Committees (none)
6. Reports of Standing Committees
  - a. Committee on Committees:  
 Additional Nominations 2007-08 (AS/SCP/1559) p. 132
  - b. Committee on Educational Policy:  
 Oral Report – Update on General Education  
 Amendment to Regulation 11 on Honors Designations (AS/SCP/1552) p. 133
  - c. Committee on Planning and Budget:  
 Report on Returns on Research Funding (AS/SCP/1544) p. 139
  - d. Committee on Faculty Welfare:  
 Report on “Quality of Life” (AS/SCP/1558) p. 147
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 1, 2007

MEMBERS OF THE ACADEMIC SENATE

Dear Colleagues,

Welcome to what promises to be a productive and challenging year for the Senate! Our first Senate meeting of the academic year will occur on Friday, November 9, 2007 at 2:30 p.m. in Colleges 9 and 10 Multipurpose Room. [Click here to see Agenda](#). There are, as always, a number of reasons that you should attend. It will be the first time that George Blumenthal will address the Senate as our permanent Chancellor; new faculty will be introduced; annual reports from last year's hard-working Senate committees will be presented; and legislation which would produce campus-wide Dean's list and graduation Honors will be considered.

There are a lot of issues confronting the Senate and campus this year and down the line. In no particular order, these include the possibility of establishing one or more professional schools, a revision of our General Education requirements, consideration of an Honors Program by the campus, the litigated Long-Range Development Plan and the implications of its legal status, and the difficulties of University Extension -- for which a report, as requested by the Senate at its Spring 2007 meeting, is included in the CALL. And, the long-standing triumvirate of faculty welfare issues, Housing, Salaries and Child-Care, remain in their permanent place on the Senate's docket, with some progress to report on the first two fronts over the last year.

From a broader perspective, we are certainly in interesting times at UCSC. A distinguished senior colleague of mine always describes his feelings at the installation of a new Chancellor as "a time of irrational optimism." Such feelings have perhaps never been stronger than at the present. As you all know, our campus has undergone pervasive and recurrent administrative turnover over the last half-decade, and these changes in leadership have impacted the University's external face in areas that span from our interactions with our community, to our campus' sway with the UC Office of the President and the Regents, to our relations with alumni and donors. The internal manifestations of this turnover are (in some instances) more difficult to identify, but I do not think that we can pretend that these changes have not had a serious effect on the morale of the campus. On the positive side, although detailed administrative agendas have come and gone, some key themes have persisted throughout the turmoil. These include the critical importance of an excellent faculty, staff and student body, the value of a diverse campus environment, and the major role that UCSC plays in the region, the state, academia as a whole, and within our local community. Many of us hope that we have now reached a period of administrative stability, and with such stability comes the prospect of new campus initiatives and development. This brings me to a key point: with a proactive and stable administration, exciting times may be ahead—and, as the stewards of our academic mission, it is incumbent on the Senate to play a principal role in a more proactive UCSC, both as an initiator and facilitator of new academic enterprises, and as an ally, an advisor, or (when we think things are amiss) the loyal opposition to the Administration.

We look forward to seeing you at the Senate meeting, and the following **reception in the Bhojwani Dining Room**, at the University Center, to welcome your new colleagues and Chancellor, and to participate in the discussion of both the opportunities and issues presented by this new academic year and – perhaps- a new era at UCSC.

Sincerely,



Quentin Williams, Chair  
Academic Senate  
Santa Cruz Division

**PROPOSED CORRECTIONS TO THE MINUTES  
of the  
Spring Quarter 2007 Meeting**

The draft minutes from the May 30, 2007 Senate meeting were distributed via email on October 26, 2007 and will be presented for approval at the next Senate Meeting on November 9, 2007. 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 7, 2007**. 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).

Judith Habicht - Mauche  
Secretary, Academic Senate  
Santa Cruz Division

November 2, 2007

**DRAFT MINUTES**

Regular Meeting of the Santa Cruz Division  
May 30, 2007

**Meeting**

A regular meeting of the Santa Cruz Division of the Academic Senate was held Friday, May 30, 2007 at the Colleges Nine & Ten Multipurpose Room. With Parliamentarian Bruce Bridgeman and Secretary Deborah Letourneau present, Chair Faye Crosby called the meeting to order at 2:30 pm.

**1. Approval of Draft Minutes**

Chair Crosby asked if there were any additional changes, other than those submitted in writing, to the minutes of March 9, 2007. As there were none, the minutes were approved.

**2. Announcements****a. Chair Faye Crosby**

Chair Crosby began by providing an update on a number of system-wide issues. At the system-wide level there may be a desire to reform the way admissions are conducted at UC. UCSC's Committee on Admissions and Financial Aid (CAFA) is monitoring this closely. There is a reorganization of the Office of the President taking place and the hope is there may be some financial savings. Should this happen the money will be used towards faculty salaries and graduate education. The final system-wide issue is the Los Alamos National Laboratory contract that UC entered into with Bechtel and other corporations. Recently it was discovered by a faculty representative that the terms of the actual contract are different than what had been represented to the faculty. The faculty understood the contract to be for seven years. However, each year UC performs well another year is added to the back of the contract. In the end the contract is for 20 years.

Local issues include the Chancellor search. The advisory committee is proceeding as expected. Everything is on schedule. In late summer there will be a presentation to the Regents with recommendations.

The campus may have an extra 300-400 frosh next year. This may be the start of the campus being highly selective. The Senate and administration are working together to ensure that resources are going where they needed.

Finally six faculty members have been awarded the Excellence in Teaching Awards: George Brown from Physics, David Draper from Applied Math and Statistics, Bruce Lyon from Ecology and Evolutionary Biology, Mara Mather from Psychology, Brad Olsen from Education, Adrianna Steineker from Astronomy and Astrophysics and Andrew Szasz from Sociology. In addition Gary Griggs has been nominated for a national award of teacher of the year. Professor Griggs won the Alumni Award of Teaching Excellence this year.

At the conclusion of Chair Crosby's remarks Senate member Ted Holman, Chemistry, made a motion to move the following resolution:

**BE IT RESOLVED that the Santa Cruz Division of the Academic Senate would like to express its deep gratitude to Faye Crosby for your leadership of the Division during the past uniquely challenging two years. As the Chair of the Division, you have worked tirelessly on all aspects of our mission to improve our campus, and prepare us for the future. For this invaluable service, we thank you.**

The resolution passed by acclamation.

**b. Acting Chancellor George Blumenthal**

Acting Chancellor Blumenthal began with an update on the state budget. The Governor released his revised budget, which is almost identical to the January budget; notable was the absence of academic preparation money, but both houses of the Legislature have now added \$19 million in academic preparation money to the budget. However, neither house included money that would go to this campus for the California Institutes for Science and Innovation. There is hope that this will be settled in subsequent negotiations with the Governor, who is a strong advocate for the California Institutes for Science and Innovation. Two of the four California institutes have branches on the Santa Cruz campus.

Capital projects have been approved by the Legislature. The Legislature has also approved language which suggests that contributions to the UC retirement system will begin again next year, likely in July of 2008. This year the pension system did well in terms of making money.

Next, Acting Chancellor Blumenthal provided an update on faculty salaries. Two years ago, the Regents announced a ten-year plan to bring salaries up to market. Two years have passed; salaries have gone up about one half of a percent, relative to our comparison institutions. UC will announce a plan starting in July to increase faculty salaries by 26 percent over the next four years. This will provide a significant catch-up to our comparison institutions. The CSU system also reached a collective bargaining agreement of 26 percent salary increases over the next four years. Wages have also been increased here at UCSC for the lowest wage workers, which has been a concern on our campus.

Acting Chancellor Blumenthal also said childcare continues to be a priority for the campus. There is a plan to reconfigure childcare space so that in the short-run the campus can create additional spaces. By next fall the campus will be able to create about a dozen new spaces with our existing facilities. The campus really needs a permanent facility though. There have been cost analyses and every year the cost goes up.

The campus will conduct a sustainability assessment; both to benchmark what we are currently doing in terms of sustainability, and to acknowledge what the campus does well. In addition, it gives the campus an opportunity measure progress and to identify areas where we could do better.

Acting Chancellor Blumenthal acknowledged a number of faculty who won significant awards this year: Bob Edgar, retired professor of Biology, for being elected to the National Academy of Sciences; Gail Hershatter, History and Jim Clifford, History of Consciousness, won Guggenheim Awards; Emeritus Professor Bill Domhoff for winning UC's Constantine Panunzio Distinguished Emeriti Award; Abraham Stone of Philosophy won the UC President's Research Fellowship; Harry Noller, the Sinsheimer Professor of Molecular Biology won the Darmstaedter Prize; Terrie Williams won one of the 2007 Women of Discovery Award; Nate Mackey, who had earlier won the National Book Award in November, was recently awarded a Northern California Book Award as well as a Foundation for Contemporary Arts Poetry Grant; and Geoff Pullum, last year's Faculty Research Lecturer.

Next the acting chancellor provided an update on negotiations with the city. The lawsuits from the city and county with regards to the Long Range Development Plan (LRDP) will soon come to a hearing. UCSC has made settlement proposals to the city and county, and actively awaits a response, and possibly a counterproposal. Those negotiations are ongoing. Single-occupancy vehicle trips to the campus are down by ten percent this year. UCSC is finding areas to work carefully and actively with city leaders. Last month, UCSC hosted a Climate Leadership Summit to discuss the issue of greenhouse gas emissions in Santa Cruz.

Fundraising is up 15 percent this year. The final results will be available after June 30. UCSC has raised four new endowed chairs: one in Engineering, one in Physical and Biological Sciences, and two in the Humanities. That brings the total number of endowed chairs on this campus to 23.

Lastly, Acting Chancellor Blumenthal thanked Senate Chair Crosby for her years of Senate service.

**c. Campus Provost/Executive Vice Chancellor Kliger**

CPEVC Kliger began by saying that when he first stepped into his position, one of his highest priorities was to help the Chancellor to build a strong leadership team for the campus. The CPEVC believes they have accomplished that and now have a great group of vice-chancellors, vice-provosts and deans.

In the area of faculty salaries, the CPEVC reported that UC will soon make an announcement on this issue. CPEVC Kliger will learn more when he attends the Council of Vice-Chancellors meeting. Earlier this year the CPEVC convened a campus task force to review faculty salary issues from a campus perspective. At the moment, that task force has been put on hold pending the UC-wide proposal, and there is hope that the proposal will solve those issues. If they don't, then the CPEVC will reconvene the task force.

With regard to housing, the campus has broken ground on Ranch View Terrace (RVT), and established a new supplemental home loan program. The Employee Housing Assistance Plan was submitted to the Senate for review in the fall, and the administration is now actively working on implementing some of the major recommendations.

Next, CPEVC Kliger reported on academic planning. Earlier this year, a revised academic plan was forwarded to the Senate; the latest draft is posted on the academic web site. The administration is approaching the academic plan in two phases. First, is what is on the web site – a vision plan that defines the academic directions for the campus in the near future. Vice-Provost Academic Affairs (VPAA) Galloway is working on the second phase of an implementation plan that would define the conditions that are needed to implement the vision plan.

In addition to the campus plan, the Office of the President is currently working on a system-wide academic plan. Throughout this year, there have been discussions between campus chancellors and the EVC's and Provost's Office about the process to create academic plans, and the results that each campus has so far.

Another area the administration has concentrated on is budget planning. This year the CPEVC convened a budget advisory group to evaluate how to move from a budget process that the campus has historically used, which allocates financial resources incrementally as a result of student growth, to one that focuses on using all the available resources on campus in a way that supports all priorities. The campus needs to do this because: first, we know our needs will exceed the new revenues that will be coming to the campus, and second, our past budget processes have resulted in most of the funds decentralized out to divisions with very little flexibility at the center to fund new initiatives. The CPEVC's budget advisory group has evaluated budgetary options for providing flexibility at the center in order to better align the budget with our academic priorities. This is a necessary step if the campus is going to implement its academic plans.

As the CPEVC previously mentioned, work began on the implementation component of the academic plan, which the administration expects to present to the Senate in the fall of 2007. VPAA Galloway will convene a group to advise her on the components of this plan and to produce a first draft in order to initiate discussions with the Senate early next fall that will focus on the entire academic plan.

More broadly, as the campus begins to address the implementation issues next year, there needs to be a more integrated planning process. A major focus of work next year will be to integrate planning efforts for capital, academic support and budget planning to develop a comprehensive, multi-year financial plan for the campus.

CPEVC Kliger closed by thanking Acting Chancellor Blumenthal, Senate Chair Crosby and Senate Vice Chair Williams for all their support and good work this year.

Following the Senate Chair, Acting Chancellor and Vice Chancellor remarks Chair Crosby asked if there were any comments or questions.

Former Committee on Planning and Budget (CPB) member Onuttom Narayan, Physics, asked for an estimate of the amount of money that will be lost by University Extension (UNEX) this year, and if the administration is planning to implement the

recommendations that CPB made in 2005-06 about UNEX, which involve major restructuring while retaining those units that have academic function, or which are financially viable.

CPEVC Kliger responded by saying that Carl Walsh, who has been acting Dean of UNEX, will be presenting a report at the end of the month, providing financial information and suggestions for the structure of UNEX that will make the most sense. As to the financial loss, it is three to four million this year. The CPEVC is not planning to implement the suggested changes that the Senate made last year in restructuring UNEX. The CPEVC is talking to other UNEX deans about what structures makes sense, and UNEX Acting Dean Walsh will talk to CPB about the UNEX situation, but from all the information the CPEVC has gathered, the recommendations of the Senate are not likely to get the campus out of the UNEX financial problems.

Professor Narayan reminded the Senate of the 2003-04 CPB report on UNEX. The report states that over the last three to four years, UNEX had lost \$15 million. CPB said there was a high likelihood that this gap will continue to grow since the current business plan of UNEX does not provide a viable means to increase enrollment and decrease costs so that annual revenues exceed expenses. In 2005-06, CPB recommended a major restructuring of UNEX; this was reported briefly in the CPB annual report. Then, in 2006-07 CPB reiterated its previous recommendations to downsize and restructure UNEX.

Professor Narayan then made the following motion which was seconded.

**THEREFOR BE IT RESOLVED that the Academic Senate calls on the central administration to provide a report about UCSC Extension (UNEX) to the Senate two weeks before the first Senate meeting in the fall quarter 2007. The report should include the following information:**

- i. Annual UNEX deficits for every year from 2001-02 to 2006-07, the cumulative UNEX debt at the end of 2006-07, the amount we will pay in interest on this debt in 2006-07 and the source(s) of funds used to pay this interest.**
- ii. Whether the central administration is willing to implement the recommendations of the 2005-06 Committee on Planning and Budget (CPB) for restructuring UNEX (summarized in the CPB 05-06 Annual Report and endorsed by CPB in 2006-07). If not, the report should define:
  - a) How the administration plans to return UNEX to solvency;**
  - b) The maximum losses and other trip points that will signal the failure of the administrative plan and the need to implement the recommendations made by CPB (or make a commensurate change in direction with regard to UNEX operation).****

Carl Walsh, acting Dean of UNEX, commented that one of the problems he faced in assessing the direction of recommendations was the CPB report contained no analysis. There were suggestions but no analysis of the financial implications of implementation. He expressed concern over a call for implementation without analysis.

Paul Koch, former chair of CPB, added that in addition to what is stated in the resolution the Senate would like to have explained at the next Senate meeting how the UNEX will obtain solvency and what the maximum losses will be before we go to this plan for solvency.

Current CPB Chair Susan Gillman addressed UNEX Acting Dean Walsh's comments by saying that at the beginning of the year, there was an effort by then UNEX Dean Sandeen to present two scenarios that did follow through on CPB's suggestions; that is to keep pieces of UNEX that were profitable, and see what happened if you eliminated the largest causes of major debt. Chair Gillman does believe there is some financial analysis of some of those pieces; what the resolution is asking for is to make sure it continues now. The Senate believed it would receive analysis and movement by the end of the year, the resolution expresses the Senate's frustration.

Andy Fisher, Earth and Planetary Sciences, said that the resolution is not a referendum on UNEX, but an important request for information; Senate members need this information to fulfill their obligations, participate in shared governance and evaluate the distribution and use of scarce campus resources in this time of academic planning. UCSC appears to have incurred considerable debt over the last seven years while operating UNEX, debt that appears to grow at an alarming rate despite cuts in operation. Because of a dearth of information regarding UNEX funding, it is not clear to the Senate how the UNEX deficit is being financed, the extent to which the financing has a negative impact on the goals of this campus, or what those future impacts might be. He is concerned about the negative impact that the ongoing and growing UNEX deficit could have on UCSC's research mission. This information is important to CPB, the Committee on Educational Policy (CEP), the Committee on Research (COR) and the Graduate Council (GC), but it should concern all Senators who care about UCSC's future.

Roger Anderson, Chemistry, expressed his support for the resolution and said that any time the campus runs a continuing deficit is a cause for concern.

The resolution passed by voice vote.

### **3. Report of the Representative to the Assembly (AS/SCP/1536)**

The report was received with one change- correcting the title Vice Chair of Committee on Committees.

### **4. Special Orders: Annual Reports**

#### **a. Committee on the Faculty Research Lecture (CFRL)**

Leta Miller, Chair of the Committee on the Faculty Research Lecture (CFRL) acknowledged her colleagues on the committee: Jonathan Beecher, Catherine Cooper, Donna Haraway and Bakthan Singaram. CFRL nominated Stan Woosley, Professor of Astronomy and Astrophysics, to deliver the 2007-08 Faculty Research Lecture. Professor Woosley is one of the world's leading astronomers, known for his pioneering work with understanding the end-stage evolution of massive stars. He has been at UCSC since 1975; in 2001 he was elected to the American Academy of Arts and Sciences, and in 2006 to the National Academy of Sciences. Recent awards cite his fundamental contributions to stellar evolution theory, particularly noting his work in the mathematical mechanisms involved in stellar death.

Woosley's most recent bio lists 358 published articles with 11 more under review; citations of his work exceed 16,000; his most influential paper having been cited nearly 1,200 times.

CFRL's nomination was accepted by acclamation.

### **5. Reports of Special Committees (none)**

### **6. Reports of Standing Committees**

#### **a. Committee on Academic Personnel**

##### **ii. Amendment to Bylaw 13 (AS/SCP/1534)**

Barry Bowman, Chair of the Committee on Academic Personnel (CAP) provided background on the Amendment to Bylaw 13. The amendment is procedural and does not affect any policy. Currently, when a vote on a personnel action is reported, Bylaw 55 states that the number in favor/opposed/abstained/recused/waived/absent/not voting is recorded. It is not clear what happens if a person goes on leave, and would normally waive their right to vote but in fact wants to vote on a case. The recommendation is a member cannot waive their right to vote; they have to waive for a period of time. If one wants to be gone but wishes to vote on a particular case, they may vote on it, and those who do not vote should be recorded as absent/not voting. The proposed Bylaw does nothing more than state that. There was some confusion between absent/not voting which means a member just didn't vote, versus abstained, which means they cast a vote that said abstain, meaning the vote supports neither a positive or negative recommendation.

The Senate then voted on the Amendment to Bylaw 13.4.

**13.4.5 Waiver of vote: Members of the Division may give up their right to vote on all actions for a specified period of time. If a member goes on leave, but chooses to participate in some personnel actions, that member cannot waive her/his right to vote; the actions not voted on will be recorded as “absent, not voting”, just as for a member not on leave. If a member has a conflict of interest for any given action, not voting on that action constitutes a “recusal” (as in SCB 13.4.3) not a waiver of voting rights.**

The Amendment passed by voice vote.

**b. Committee on Affirmative Action and Diversity**

**i. Report on the Executive Summary of the 2005-06 Diversity Climate Study (AS/SCP/1525)**

Pedro Castillo, Chair of the Committee on Affirmative Action and Diversity (CAAD) presented the summary. He announced that a draft of the 2005-06 Diversity Climate Study will be finished this summer and presented to the Academic Senate in the fall for deliberations over implementation of the study.

The Executive Summary was accepted without comment.

**c. Committee on Committees**

**i. Committee Nominations for 2007-08 (AS/SCP/1537)**

Carol Freeman, Chair of the Committee on Committees (COC) presented additional 2006-07 nominations. These included: Lori Kletzer for Vice Chair, Bruce Cooperstein for Committee on Admission and Financial Aid, Olof Einarsdottir and Gabriel Elkaim for Committee on Career Advising, Andrew Moore for Committee on Computing and Telecommunications, Jorge Hankamer, Chair and Kenneth Bruland for Committee on Research, and Alex Pang for Committee on International Education. In addition, Ken Kletzer will not be the chair for the Committee on Privilege and Tenure. All the nominations were approved by acclamation.

Chair Freeman announced that the 2007-08 Senate Service Scholar is Assistant Professor Lora Bartlett, Education.

**iii. Amendment to Bylaw 3.4 Non-Senate Members Privilege of the Floor at Meetings of the Santa Cruz Division (AS/SCp/1527)**

COC Chair Freeman provided background on the amendment to Bylaw 3.4. COC proposed that the non-Senate faculty members who serve on standing Senate Committees be offered privilege of the floor. In 2004, as a result of recommendations of the special Committee on Non-Senate Teaching Faculty, the Academic Senate changed the Bylaws of six committees to have non-Senate faculty representatives recognizing that a large proportion of instruction is provided by non-Senate faculty, and they have important perspectives that would be helpful to Senate committees. Following the Special Committee’s advice that the Senate do what it can to enhance the ability of non-Senate faculty to fulfill their vital role in UCSC’s educational and service missions; COC now proposes that those non-Senate faculty who serve on committees be allowed to speak at

Senate meetings. This does not include voting, moving or seconding motions; just entering the debate.

Responding to an inquiry from the floor, questioning if it isn't already the right of the Senate Chair to recognize anybody on the floor to speak on an issue, Chair Crosby responded that this is not the case. Students have privilege of the floor as prescribed by our Bylaws and their names have to be submitted in advance of the meeting.

The Senate then voted on Amendment to Bylaw 3.4:

**3.4.1 The following students of the Santa Cruz campus may attend meetings of the Santa Cruz Division and shall have the privilege of the floor, but may not make or second motions, and may not vote: the Chair of the Student Union Assembly; the President of the Graduate Student Association; the student campus representative; one student delegate from each college (the method of selection of the delegate from a college to be determined by the students of that college); and up to four students per committee from those students who are appointed to sit regularly with Divisional committees appointed by the Committee on Committees.**

**3.4.2 Non-senate faculty members of the Santa Cruz campus who are appointed as representatives to Divisional committees appointed by the Committee on Committees may attend meetings of the Santa Cruz Division and shall have the privilege of the floor, but may not make or second motions, and may not vote.**

The Amendment passed by voice vote.

**d. Committee on Computing and Telecommunications**

**i. 2006-07 CCT Report (AS/SCP/1535)**

Luca de Alfaro, Chair of the Committee on Computing and Telecommunications (CCT) presented the 2006-07 report. He began with the issue of dark fiber connectivity to campus. Currently UCSC has a slow, unreliable internet connection and has only one leased 1GB connection to the rest of the internet. There is no true redundancy, limited bandwidth and no ability to manage the connection. UCOP has committed to help with the cost of the connection, which other campuses already have. This will happen in the next two to three years. This means the campus will have the ability to cooperate across campuses and the U.S. for data centers, fast access to resources and data sharing.

Chair de Alfaro reported that we are running out of space in data centers, both for administration and for research computing. A top-notch data center in the Delaware Street building would cost approximately \$12 million. CCT believes data center capability will be of strategic importance. CCT encourages Information and Technology Services (ITS) to consider alternative and cheaper solutions, such as: co-location with industrial partners, creating a data center suitable for research, and one for administrative computing.

CCT Chair de Alfaro addressed the question of whether UCSC should make laptops a requirement for undergraduates. He explained this is not a way of encouraging students and instructors to bring laptops to class. The use of laptops in instruction is at the complete discretion of the instructor. This is a way to: raise financial help for students, help bridge the digital divide between the wealthy and poor and make laptop ownership easier. Currently students can buy laptops at a discount and 80 percent of current students own a laptop. If it is made a requirement the campus can reach agreements with multiple vendors so that ten percent of what the students pay at the discounted price will be returned to UCSC. This ten percent can be used for two things: providing a laptop help desk or distribution to the office of financial aid to help provide laptops for low-income students.

CCT Chair de Alfaro then addressed Cruz Mail. The problems with Cruz Mail include failures in third-party hardware components and misconfigurations. CCT has the following recommendations to improve Cruz Mail.

- Technical
  - Rearchitect the storage system
  - Explore more distributed server configurations
  - Copy well-tried solutions in other institutions
- Management: Somebody should “own Cruz Mail”; create the figure of a technical project manager
  - Person with clear technical expertise and vision
  - Has decision-making authority, including policy
  - Is responsible for pushing issues through committees
  - Has vision for campus-wide implications of service

Finally, CCT Chair de Alfaro discussed Google Apps. Google Apps features include: Email (gmail style), calendar, shared documents and spreadsheets, new applications, offered for students at no cost. Google Apps is being discussed across the UC system. CCT Chair de Alfaro presented aspects of using Google Apps.

- Positive
  - It gives the campus a recovery plan
  - Many students like the interface
  - Good collaboration tools
  - Facilitates providing email to students, alumni
  - Faculty could use it on a trial basis
- Negatives
  - Not currently suited to staff/administration
  - Legal agreement still in process
  - Lock-in: what if conditions change?

Responding to an inquiry about the cost savings of outsourcing student email and confidentiality issues, CCT Chair de Alfaro confirmed that if the staff is not committed to Google there is not a cost savings. Also, there are issues for faculty related to subpoenas; if Google receives a subpoena for UCSC information, UCSC cannot take over the process

of fighting the subpoena. Responding to an inquiry that no one has any accountability for Cruz Mail, Senate Chair Crosby responded that Vice Provost of Information Technology (VPIT) has authority over Cruz Mail, but the meaning is there are people in the lower level of the organization who have technical ability to do the changes, but the changes have to be approved by committee, and there is not a single person who has the ability to command these changes except for VPIT Larry Merkley. UCSC needs one person with authority to accept and move forward with committee recommendations.

It was noted that recapturing the money for laptops requires that students buy their computers on campus. At this point how many students buy their computer at UCSC? Chair de Alfaro did not have an exact number but did say that the money the campus would be capturing is more than a half million per year.

**e. Committee on Educational Policy**

**i. Amendment to Bylaw 13.17.6 (AS/SCP/1529)**

Jaye Padgett, Chair of the Committee on Educational Policy (CEP) presented the change to Bylaw 13.17.6. The change is to clarify what CEP's responsibilities are with respect to UNEX. CEP Chair Padgett understands that the original language was grafted into CEP Bylaws some years ago from a Senate committee that had the purview of oversight of UNEX and was then abolished.

The current language is problematic in that it attributes to CEP oversight of the UNEX budget which is CPB's purview. In addition, the language is so overly specific that it might be taken to imply inappropriate limitations on CEP's purview. The new language states CEP does the same thing for UNEX that it does for the regular campus.

Responding to an inquiry, Chair Padgett confirmed that CEP currently approves the courses taught at UNEX.

The Senate then voted on the Amendment to Bylaw 13.17.6:

**13.17.6 The powers and responsibilities stated in SCB 13.17 extend to University Extension under the auspices of the Santa Cruz campus. In addition CEP coordinates, in such respects as it deems advisable, the relations of University Extension with the Division.**

The Amendment passed by voice vote.

**ii. Report on Change in Student Health Center Policies (AS/SCP/1526)**

The report was received without comment.

**iii. Progress Report on the W Requirement (AS/SCP/1538)**

CEP Chair Padgett reported that CEP is beginning to get involved with individual departments to try to solve the Writing Intensive Requirement (W) issue. CEP has proposed to work with CPB next fall on the issue and there will be legislation.

The report was received without comment.

**f. Committee on Faculty Welfare**

**i. Oral Report on Quality of Life**

Paul Ortiz, Chair of the Committee on Faculty Welfare (CFW), provided an update on childcare. CFW had a productive meeting with Acting Chancellor Blumenthal who made a strong statement favoring childcare and agreed to assign a representative from his office to attend subsequent Childcare Advisory Committee meetings. He also agreed to work with the development office to make fundraising for childcare a priority. Chair Ortiz said that as the campus grows it needs to factor in childcare facilities. The campus has not done this in the past and now is paying the price. Childcare needs to be an integral part of any future discussion regarding growth.

Faculty workload is a key problem that CFW identified in the fall when reviewing the draft academic plan. CFW feels the administration needs to factor in workload more seriously to the current and subsequent academic plans.

Currently the campus does not have the resources to improve faculty's quality of life. CFW has consistently made the argument that salaries, housing and childcare are bundled issues that should not be pitted against each other. UCSC has proven that we can find resources for projects when it has been necessary. When it comes to quality of life for faculty and staff, we need to commit to finding resources for that.

CFW Chair Ortiz then introduced CFW members Ted Holman and Karen Bassi who discussed CFW's ideas of reindexing the pricing of existing housing stock. Professor Holman reported that the administration is developing a master housing plan. UCSC has outside consultants working toward this plan. The key will be building future houses at good price points; Ranch View Terrace's price point is too high.

Within the concept of a global master housing plan, one issue is the reindexing/repricing of existing housing. The Senate committees weighed in on this in the fall, and there were some responses to the CPEVC; and now CFW is weighing in on them.

CFW would like the repricing to be equitable and flexible so the neediest people will benefit. The price will be set for livability, not affordability, and CFW hasn't come up with a good idea as to where these prices should be. CFW agrees they should be lower than RVT.

One concept is all the profits will go towards a fund that will be used to lower the cost for the faculty members who need it the most. For example, if you buy a house that is at a current price point, and you are double income, two full professors, you don't need to have a low-price on this unit. You'll pay "full freight," but the next person could be an assistant professor, and UCSC will provide a low-interest loan to take that price point down so they can afford it.

CFW is trying to make this a resource to help those who need it. All the profits will be deposited into a stand alone account so CFW knows where the money is going, and can keep track of it so that it doesn't get touched by other programs. UCSC will buy the homes directly which makes it easier for people to vacate the homes.

Professor Holman addressed how the low-interest loan might be implemented. Currently it is a ten year low interest loan, and if it is going to be beneficial to those who need it, it has to lower their monthly mortgage; not necessarily make it cheap for them over the long-term, but each month allow them to pay their bills.

Professor Bassi added that reindexing is a euphemism that hides the fact that the proposal is to increase the price of existing on-campus for-sale housing. When CFW started discussing this with the administration, the term "affordability" was used, and people were talking about monthly payments that were measured against the market value of houses, or RVT. That is not appropriate. The people CFW wants to serve the most are incoming assistant professors; the main point is the ability to recruit and retain the best faculty. CFW does not want 40 to 50 percent of someone's income to go toward their mortgage. CFW wants people to have a good quality of life.

Following the CFW presentation there were a number of questions and comments from the floor. Dean Mathiowetz, Politics, inquired as to how raising the price on a property in order to lend him more money will lower his monthly payments.

Professor Holman responded of the 60 faculty on that list, there is no ranking in terms of need. CFW wants to put a curve on the grading. That way when the homes are repriced they are still affordable. By raising all the prices, they can target the people who need it. Helping a full professor buy a cheap house on campus isn't what this resource should be used for. This plan is more socialist.

Professor Bassi added that the loans are extremely low-interest, at three percent. CFW wants to make it possible that the home that comes up is the home you want, can afford and that your monthly payment will be such that you can live a good life.

Suresh Lodha, Computer Engineering, asked if the money for housing comes from the same pot as the money for salaries. If the answer is yes he said, one can wonder if UCSC is more efficient than the average American in building houses and whether we should just give people the cash instead of worrying about building. Also, because cash can be split in smaller amounts people can decide where to live.

Professor Holman answered by saying that campus housing has to pay for itself. There are infusions of cash; the CPEVC allotted a million dollars for the low interest loan program, but the cost of RVT has been recouped from the purchasers. That is the concept. We either pay for ourselves it or go to the administration and ask for more money to help us get into homes. The low interest program is working very well. There are start-up packages that include part of a down payment towards a home. The problem with selling the homes at the market prices is with taxes. If the prices were raised and the

profits went to current owners when they leave, everyone in the community would have to pay higher taxes, whether they sell or not.

Professor Lodha asked if UCSC can add additional floors and livings spaces to these units, or it is just internal remodeling. Professor Holman responded that if UCSC can make some internal upgrades the buyer doesn't have to spend as much out-of-pocket money. Lodha added that he does not support external changes or additions to existing homes.

Professor Shelly Errington, Anthropology, commented that this is an urgent matter. Professor Bassi said that one of the major differences is that CFW is proposing that 100 percent of profits go into the loan program. None of those profits will be used for anything else but facilitating home ownership at a livable price, particularly for new professors for whom housing is an issue. None of the money will go towards administration or future projects, but there will be oversight by the Senate. Senate Chair Crosby reminded the Senate that MOP loans are for faculty only.

**g. Committee on Planning and Budget**

**i. Report on Conditions and Strategies for Growth (AS/SCP/1531)**

Susan Gillman, Chair of the Committee on Planning and Budget, stated that CPB's intent on writing the report is both retrospective and prospective. CPB wanted to insure that the Senate is informed of various recommendations that faculty made as a group over the past five years of intensive growth.

The report shows that the campus experienced a series of anomalies. First, there were two central recommendations in a resolution passed in 2002: that the campus should meet 80 percent of the California Post-Secondary Education Commission (CPEC) space requirement, and that UCSC should strive for a goal of a 15 percent graduate ratio. No target date was put on either. The anomalies are that UCSC is about to meet the CPEC standard for space; in fall, 2007 the campus will have 82.9 percent of the space standards. This does not mean they have been met across campus. There are differential space requirements. There is a space crisis on campus among some disciplines, primarily those with labs. In Social Sciences, Physical and Biological Sciences and Engineering, there are also cost overruns for new construction. Those cost overruns which every campus is facing, present another issue in relation to the projected estimated space going up in the next few years.

The second anomaly is the graduate ratio: UCSC did not meet the 15 percent, but slipped below our graduate ratio from last year, as the campus has in the past few years. The campus increased the number of new graduate programs coming online, as well as the absolute number of graduate courses. However, the campus received an unanticipated 12 percent increase in freshman for fall, 2007. Without a commensurate decrease in undergrad enrollment contemplated, as was part of the original resolution, the 15 percent has not been met. Taken together, all this produced a disproportionate increase in graduate courses relative to graduate enrollments, and a corresponding decrease in

undergraduate offerings. Meeting that 15 percent goal has engaged the campus in a series of anomalies, some of which could have been predicted, but which are disturbing.

The third anomaly is professional schools, which have been a corollary of that 15 percent goal. Discussion of professional schools has been in resolutions and CPB reports since 2002. The campus still lacks the necessary follow through that was envisioned for professional schools in regards to the precise mix of students that would produce the kind of graduate growth that UCSC wanted. UCSC has not considered the relationship of these professional programs to undergraduate instruction and research that is the interdependencies between undergraduate and graduate growth.

The last anomaly is that the best developed professional school that initially surfaced, the School of Management, has raised concerns about the intellectual fit of the planned school with our campus and its financial sustainability.

The campus needs immediate measures like increasing TA allocations and changing the method of those allocations. CPEVC Klinger has taken an important mitigation step in that the 2007-08 proposed budget includes a one-time increase for improvements to undergraduate education. This type of immediate response is essential.

CPB Chair Gillman reported the following developments in relationship to other professional schools and programs. Interest is emerging in three programs: Education, Environmental Science and Policy, and Public Health. The Graduate Division (GD) is funding one summer GSR-ship for a student under the Environmental Studies chair to do research to help frame this school, and there should be a similar request from the School of Education, the GD will fund that too. The Division of Social Sciences is funding a one-month summer salary to the chair of both Environmental Studies and Education to work with a small committee, from both inside and outside the respective departments, which are drafting a pre-proposal for professional schools in their areas. Despite the fact that there was not a professional school forum in the spring, it will happen in the fall, and there will be a better set of options for us to discuss.

The final two recommendations: CPB believes it is important to establish some kind of enrollment targets by program with commensurate resources to follow; targets without resources are useless. Resources may be allocated differentially by graduate programs, based on the mix of grants, fellowships and TA-ships that are available in different disciplines. CPB thinks that those targets are important to consider and establish in view of possible negative and unintended consequences, such as ones that occurred in the past, as an almost exclusive way to allocate resources. CPB considers this a more nuanced notion of what a target would be; who counts within it. CPB then reviews those targets during annual FTE requests, allowing two to three years for the programs to make progress, and to have the option to reevaluate the FTE allocation based on the progress.

Finally, enrollment manipulation, not management, will be the key.

Paul Koch, Earth and Planetary Sciences, commented that there is a third part of the anomaly which is making it seem like there is a disproportionate amount of resources going to graduate classes. There is a disproportionate amount of the ladder-ranked faculty resources going there. One would hope that as we fill in those faculty positions that were left open, there will be fill-in for the undergraduates as well.

Barry Bowman, Biology, expressed concern that there are a certain number of FTE that are being set aside for professional schools. The effect being that if your group isn't designing some type of professional school, you are going to be excluded. He questioned if plans are coming because people feel a need for those schools or if it is simply scrambling for academic resources.

CPB Chair Gillman responded that there are central FTE reserves that are held for various kinds of initiatives, including professional schools. There are none that have been dedicated exclusively to professional schools.

John Tamkun, Biology, said that the plan is that at an enrollment of 17,000, we would have 60 FTE held aside for professional schools or new programs, and at an enrollment of 19,500, the number would be increased to 100. Those are reserved for faculty in professional schools in part, but are also held for start-up packages and research support.

Bob Meister, Politics, stated that in 2002 the Senate passed a resolution making future campus growth at the undergraduate level conditional on not moving downward for two consecutive years in our graduate/undergraduate ratio. He surmises that the campus has moved downward, and asked if the Senate waived the condition or whether the administration ignored it. CPB Chair Gillman responded that the Senate did not waive the condition.

Senate Chair Crosby added that it is an inexact science as to how many students are going to come, and the number of students that were admitted as undergraduates was exactly the same as before; we didn't increase the number of admits, but we had a much higher take rate, many more students who signaled their intention to register. Also, she said, the campus did make an effort to have more graduate students, and unfortunately, in part because of our graduate support packages, we are slightly down, so that it is not as if we tried to ignore what was happening. The timing caught us by surprise.

CPB Chair Gillman said it is not easy to reach 15 percent. The methods by which we do it, such as developing professional schools, are not something we all agree on, have not been studied extensively, and need to be discussed comprehensively.

Professor Tamkun commented that he hopes that before the discussion of professional programs goes much further that the campus will create a concrete plan for addressing the problems facing undergraduate education. There are many over-subscribed courses, a declining quality of undergraduate education, increased reliance on inexperienced lecturers in introductory courses, the lack of advising support, financial aid, and many other problems.

CPB Chair Gillman responded that the report focused on undergraduate education. CPB did devote a lot of attention since the resolution in 2002, to graduate education, and followed the intent of the original resolution to always think of it in concert with undergraduate education. CPB took that measure as a single goal and that is the point of the report.

There were two final comments from the floor. Roger Anderson, Chemistry, suggested CPB should include student credit hours in each of these categories: graduate, upper division, lower division, permanent faculty. The number of courses at the lower division level is constant, although faculty has increased. Professor Anderson suspects that means that the size of the courses has increased substantially. Margo Hendricks, Literature, requested that CPB reconsider the holding of resources for future possibilities and look at mitigating the current problems, we face with respect to the quality of life, including the retention and hiring of excellent faculty.

**ii. Oral Report on Research Funding**

CPB member Quentin William provided a brief interim report on research funding. He said this report is a precursor to a longer and more involved report incorporating other committee's opinions. The report contains a comparison of UCSC state support and another university that has seen a similar decline in state support. CPB questions, as state support continues to decline, what will take up the slack? CPB looked at the research/extramural portions, and tried to evaluate what current expenses and income are associated with it. Of that 23 percent of the budget that comes from external grants, there is a formulation for how a particular portion of the indirect cost, is routed around the campus.

CPB is working to provide a basis for further analysis for campus growth plans. An interim report will be coming soon to the CPB web site and there will be a more thorough look at this next year.

Andy Fisher, Chair of the Committee on Research (COR), commented that COR has been looking at questions of indirect cost recovery (ICR) tracking on COR and UCORP. For the vast majority of the research, which is secured at the federal rate of 50 percent, it is cost reimbursement. The University works hard to justify those indirect cost rates, and they are real rates. As those funds get shifted around, we consume ourselves. We use up resources and infrastructure that is not replaced. The University has no legal obligation to spend indirect costs on what they are secured for. This is risky, and indirect costs are particularly vulnerable during periods of economic crisis due to that flexibility. The campus ought to be very cautious in looking at them as a source of revenue. They are reimbursement.

Professor Williams added that how the federal indirect costs are generated is dictated carefully by the Office of Management and Budget.

UNEX Acting Dean Walsh remarked that the University Affiliated Research Center (UARC), unlike the approximate 50 percent indirect cost receipt rate mentioned for on campus activities, is only 17.8 percent, because this is a contract. The campus is supposedly reimbursed for costs, so it only gets an indirect rate that reflects the costs associated with operating the contract. It is reduced because the costs did not justify the standard off-campus rate of 28 percent. There are other benefits we see from research activities. For example, by managing the UARC, the campus receives an award fee, and the million dollars that the campus provost provided for faculty housing support was made possible by that award fee. There are other sources of revenue that can be obtained by these research tasks that are more discretionary; they are returns to the campus for doing a good job, and not returns for costs, and that gives us flexibility in some of our research activities to use those funds for other things.

Professor Williams closed by saying that indirect cost rates are negotiated, so an equipment grant has a 0 percent overhead rate, UARC has 17 percent, and the standard rate on campus is 51 percent. The other point is there are ancillary benefits of research that are clearly not taken into account here. The campus brings in a lot of graduate student researchers (GSRs) and maintains state of the art research facilities. Each of those is pivotal to our mission.

#### **h. Committee on Preparatory Education**

##### **i. Oral and Written Report on Enforcement of Senate Regulation 10.5.2 (AS/SCP/1539)**

Judith Habicht-Mauche, Chair of the Committee on Preparatory Education, provided background on the report. Last year, CPE reported its concern with the rising number of students entering UCSC without having satisfied the entry level writing requirement (ELWR), combined with a significant decrease on the “pass” rate of the November writing exam, and the increasing number of students reaching the fourth quarter of enrollment without having passed the ELWR.

According to CPE Chair Habicht-Mauche there are some data to suggest that the problem may be due to a number of students who are English as second language students (ELS), but who can not be the entire cause for the level of changes.

Increasing numbers of students do not meet UCSC’s expectations for university-level writing, and they were taking longer to achieve that level of competency. To mitigate this trend, CPE decided to enforce regulation 10.5.2, which is a Senate regulation controlling the ELWR regulations, and states in part that students who have not fulfilled the ELWR before coming to campus need to enroll in an appropriate writing course to help them meet the requirement, and remain enrolled until they do. CPE collaborated successfully with a number of units on campus to see it enforced this year; they worked with the Dean of Undergraduate Education, the Registrar’s office, the Writing Program, and the Humanities Division and college advisors to make sure the students were properly enrolled.

CPE also enforced the rule for the spring quarter. There are seven sections of Writing 21 currently, and some of the curricular changes that the Writing Program put in place for those fourth quarter students which seem to be successful. Enforcement of regulation 10.5.2 may be helping. Students are completing the requirement earlier in the four-quarter sequence. This trend needs to be followed for a few years to validate it. By enforcing this rule, the campus will get students through faster. CPE is concerned that there is no support for these troubled writers after they complete the ELWR and their second composition requirement, so they take one more course after these ELWR courses, and then they enter the general population. There is no way to assess the writing of transfer students, and there is no support for them. They come in having fulfilled the ELWR, Comp 1 and Comp 2 requirements almost universally.

Tutoring support on this campus has been reduced; there is no writing support for people not in education opportunity programs (EOP). Faculty can not send students to get tutoring, and there are no courses in the Writing Program applicable to these students. CPE considers this a problem. CPE recommends that UCSC provide support to this growing segment of the UC-eligible student body. This will be a bigger part of campus admissions, even as we become more selective. Dealing with these curricular and resource impacts of these trends in writing prep needs to be a more centralized part of any academic plan adopted by UCSC.

**i. Committee on Privilege and Tenure**

**i. Proposed Revision to Santa Cruz Bylaw 13.26.3 (AS/SCP/1530)**

Ken Kletzer, Chair of the Committee on Privilege and Tenure (P&T), explained that the existing divisional Bylaw is inconsistent with the system-wide one. P&T proposes striking that inconsistent language. This amendment clarifies that this grievance panel is not available to advise faculty on discipline. Instead P&T advises faculty to seek appropriate legal counsel since the University is represented by legal counsel. P&T does not want faculty to be potentially deceived that there are resources on campus to advise them on disciplinary matters.

The grievance panel advises faculty file a grievance stating that their rights and privileges have been violated.

The Senate then voted on the Amendment to Bylaw 10.5.2.

**13.26.3 The Committee on Committees shall appoint a panel of up to six members to serve as grievance advisors, in accordance with SB 335B(1). Panel members should be experienced in privilege and tenure processes, and preferably be former members of the Committee on Privilege and Tenure. Appointments are for three years and are renewable. Panel members shall advise members of the faculty with respect to their rights or privileges and grievance procedures. Panel members may not serve on investigative or hearing panels or as representative of any of the parties of such procedures.**

The motion passed by voice vote.

### **7. Report of Student Union Assembly Chair**

Kresge College representative Ariel Hamburger introduced the new Commissioner of Academic Affairs, Jamal Atiba.

### **8. Report of the Graduate Student Association President**

Berra Yazar, the President of the Graduate Student Association (GSA), announced that the GSA recently elected a new president, Chelsea Juarez.

The GSA still believes that abolishing the non-resident graduate student tuition is instrumental in approaching the 15 percent enrollment goals which currently seem to be financially unfeasible. GSA President Yazar reported that the Regents agree in principle with the GSA's position, however they need a push from the faculty. The GSA feels that national legislation is not helping their cause, because the new immigration laws and statistics show that almost half of all graduate students stay in California and contribute to the economy. With the new immigration laws, graduate students are less likely to stay in the states because their families can not accompany them. In the interest of controlling certain populations, the immigration laws are hurting graduate students. For next year, non-resident tuition will be a priority at the UC-wide Student Association. The Association recently changed some Bylaws and now have a dedicated action agenda item specific to graduate student issues. Current plans are to push the legislature to allow tuition waivers for resident international students as they have done for AB540 students.

The GSA has formally responded to the Demonstration Response Team (DRT) report with the following comments:

1. There were no students on the DRT. Their input was sought after the process was completed.
2. The GSA feels that classification of demonstrations on a numerical basis does not serve the intended purpose. If a protest has more than 50 students, the police are fully authorized to engage. According to the police chief, they determine their own laws and can do whatever they feel like. The GSA feels it is the responsibility of the administration to make every attempt to keep things from getting to that level by removing the numerical classification.
3. The GSA feels it is important to improve accountability on campus. They feel that the Campus Safety Committee that had student members should be revived. This will allow a constant student voice about campus safety issues, and will hopefully validate points of view and prevent demonstrations from getting out of hand.

President Yazar also reported that graduate student health insurance has been fully funded. There are no benefit cuts to the graduate student health plan this year, despite a 14 percent cost increase. Graduate Dean Lisa Sloan is working to establish system-wide health insurance through the Graduate Dean's Council and the GSA will also continue to push this at the UC-wide Student Association.

Following President Yazar's presentation Karen Bassi, Literature, asked how the Senate and administration are responding to the non-resident tuition recommendation, and to the numerical demonstration item.

Senate Chair Crosby responded that the system-wide Senate has been vociferous, and has cast a vote in favor of having no non-resident tuition. President Yazar added that the state legislature has to be informed of this issue, because it is becoming clouded by surrounding issues such as AB540. She recommended getting in touch with the faculty Regent representative.

**9. Petitions of Students (none)**

**10. Unfinished Business (none)**

**11. University and Faculty Welfare (none)**

**12. New Business (none)**

Prior to adjourning the meeting, Senate Chair Crosby acknowledged that the Senate has worked extremely well together, and acknowledged the Academic Senate staff for their help.

Adjournment: 5:18 pm.

ATTEST:

Deborah K. Letourneau  
Secretary

## **Report on University Extension EVC Kliger to Academic Senate**

**November 2007**

UC Santa Cruz is taking aggressive steps to bring University Extension (UNEX) into financial solvency and to ensure ongoing accountability.

UNEX, which provides academic programs in continuing education, saw its enrollments plummet from over 50,000 to 18,000 in the span of five years as it was buffeted by the dot.com bust – and the fact that nearly 80% of the portfolio of UNEX at the time was dependent upon the executive education of these industries.

With an annual deficit that exceeded \$4 million in the last fiscal year (2006-7) and a cumulative debt of \$30M, UNEX has taken the following steps:

- Elimination of programs that do not contribute toward the overall costs,
- Reorganization of units and restructuring of the reporting lines,
- Redirection of the marketing strategy towards attracting new students,
- A commitment to increase the online offerings, and
- An in-depth analysis of staffing needs and other expenses to identify reductions.

In the 2007-8 academic year, criteria for continuance include the following:

- Reduction of the annual deficit by \$1M from last year (to \$3.4M)
- Increase in enrollment by 10% or more.

The long term resolution of the situation will depend on revitalization of the major programs to reflect the current and future needs of students, utilization of new models for delivery of instruction including on-line and corporate setting, and significant improvement in the interaction of UNEX with the main campus and with the Silicon Valley Center. It is the expectation that, even with successful reversal of the deficit trajectory, the cumulative debt will increase for several years. Consolidation strategies, in the event that resolution is not possible, would require transfer of the debt to the campus for repayment from operating expenses.

UNEX should be a vital player in the expansion of UCSC interests in the Silicon Valley. Its current offerings span Engineering and Technology, Education, Scientific Illustration, Business and Management and Applied/Natural Sciences. Its English Language program brings high school and university students from throughout the world for intensive language training and also hosts Fulbright Scholars and our UCSC graduate students. Through Corporate Training, UNEX provides access to many of the leading and emerging industrial powers of the Silicon Valley. A financially viable unit could be an important component of the UCSC presence in the greater Santa Clara Valley.

***Cabinet/Senate Executive Committee Meeting  
10-30-07***

***Report on University Extension***

***I. Annual UNEX deficits for every year from 2001-02 to 2006-07, and the cumulative UNEX debt at the end of 2006-07:***

Fiscal Year Ended	2002	2003	2004	2005	2006	2007
Annual	(\$4,738,172)	(\$3,414,038)	(\$5,804,825)	(\$5,373,289)	(\$4,008,685)	(\$4,434,634)
Cum.	(\$5,949,126)	(\$9,363,164)	(\$15,167,989)	(\$20,541,278)	(\$24,549,963)	(\$29,013,832)

***II. The amount paid in interest on this debt in 2006-07 was \$1.1M***

***III. The source of funds used to pay the interest was the UNEX operating budget, which then contributes to the annual and cumulative deficit.***

***IV. October 2007 Report to Academic Senate attached.***

UNEX Pro Forma 2007-2017																							
	BUDGET																						
	FY 07-08	FY 08-09	FY 09-10	FY 10-11	FY 11-12	FY 12-13	FY 13-14	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
Revenue	\$10,790	\$11,869	\$13,056	\$13,709	\$14,394	\$15,114	\$15,870	\$16,664	\$17,497	\$18,372	\$19,291	\$20,256	\$21,269	\$22,332	\$23,449	\$24,621	\$25,852	\$27,145	\$28,502	\$29,927	\$31,423	\$32,994	\$34,644
Expense (excluding leases & STIP)	\$10,342	\$10,868	\$11,431	\$11,774	\$12,127	\$12,491	\$12,866	\$13,252	\$13,650	\$14,060	\$14,482	\$14,916	\$15,363	\$15,824	\$16,299	\$16,788	\$17,292	\$17,811	\$18,345	\$18,895	\$19,462	\$20,046	\$20,647
Lease expense	\$2,616	\$2,341	\$1,591	\$1,639	\$1,688	\$1,739	\$1,791	\$1,845	\$1,900	\$1,957	\$2,016	\$2,076	\$2,138	\$2,202	\$2,268	\$2,336	\$2,406	\$2,478	\$2,552	\$2,629	\$2,708	\$2,789	\$2,873
STIP	\$1,220	\$1,396	\$1,514	\$1,578	\$1,633	\$1,678	\$1,712	\$1,734	\$1,741	\$1,732	\$1,705	\$1,658	\$1,589	\$1,496	\$1,375	\$1,224	\$1,040	\$820	\$561	\$258			
Surplus / (Deficit)	(\$3,388)	(\$2,736)	(\$1,480)	(\$1,282)	(\$1,054)	(\$794)	(\$499)	(\$167)	\$206	\$623	\$1,088	\$1,606	\$2,179	\$2,810	\$3,507	\$4,273	\$5,114	\$6,036	\$7,044	\$8,145	\$9,253	\$10,159	\$11,124
Cumulative Deficit	(\$29,084)																						
Deficit Reduction / (Increase)	(\$3,388)	(\$2,736)	(\$1,480)	(\$1,282)	(\$1,054)	(\$794)	(\$499)	(\$167)	\$206	\$623	\$1,088	\$1,606	\$2,179	\$2,810	\$3,507	\$4,273	\$5,114	\$6,036	\$7,044	\$8,145	\$9,253	\$10,159	\$11,124
Net Cumulative Deficit	(\$32,472)	(\$35,208)	(\$36,688)	(\$37,970)	(\$39,024)	(\$39,818)	(\$40,317)	(\$40,484)	(\$40,278)	(\$39,655)	(\$38,567)	(\$36,961)	(\$34,782)	(\$31,972)	(\$28,465)	(\$24,192)	(\$19,078)	(\$13,042)	(\$5,998)	\$2,147	\$11,400	\$21,559	\$32,683
<b>Assumptions</b>																							
Revenue Increase FY 08-09 & FY 09-10	10%																						
Revenue Increase pass-through to the bottom line	80%																						
Annual revenue increase	5.0%	After FY 2009-10																					
Annual expense increase	3.0%	After FY 2009-10																					
Lease decrease beginning FY 09-10	34.0%																						
Close Sunnyvale building in FY 08-09	\$343	Savings from FY 07-08																					
Expense includes STIP paid	4.3%	4.3% rate as of August 2007																					

## **COMMITTEE ON ACADEMIC FREEDOM Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division

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

The Committee on Academic Freedom (CAF) met four times during this academic year, and mounted a public forum on academic freedom. Key issues brought before the Committee included a proposed Regents Policy RE 89 on Tobacco Funding, a controversy concerning Institutional Review Boards, pharmaceutical vendor relations, open access policy, and a draft document prepared by UCAF Chair, Jerold Theis on, "Academic Freedom: Its Privilege and Responsibility Within the University of California."

### **Forum on Academic Freedom**

On May 14, 2007 CAF sponsored a public forum held in the Music Center Recital Hall with Professor Robert Post of Yale Law School (formerly with University of California, Berkeley School of Law) and the principle architect of APM 10 policy on academic freedom adopted by the University of California in 1993. Professor Post is a widely published and respected scholar in the fields of academic freedom, affirmative action, and the First Amendment. Particularly significant was the way in which Professor Post explained the historical and legal differences between academic freedom and freedom of speech, and the history, politics and origins of academic freedom rooted in faculty self-governance. A lively and informative discussion followed Professor Post's formal presentation. His writings are easily available. A bibliography on Academic Freedom, can be found on the [committee's website](#). and a tape of the talk are available through the Senate office for interested faculty. CAF wishes to thank the Office of the Chancellor, the Institute for Humanities Research, Cowell, Kresge, Merrill, Oakes and Stevenson Colleges, and the Departments of American Studies, Community Studies, Feminist Studies, History, History of Consciousness, Legal Studies, Literature, Politics, Psychology and Sociology for their generous support.

### **Regents Policy Re 89**

Members of the Board of Regents and some faculty, particularly at UCSF, proposed that the University of California impose a ban on faculty accepting research funding from tobacco companies, even when the research is not directly on the affects of tobacco use. For much of the year this was the subject of considerable discussion in CAF and UCAF. The proposal was based upon both the unquestionably harmful effects of tobacco use, and the recent RICO conviction of tobacco companies for specific actions. CAF, UCAF, and in general UC faculty, opposed the Regents' 89 proposal. Our CAF submitted the following points: There are already policies and procedures in place to monitor research and funding influences on research results. Faculty must be free to accept funding to do their research without censorship. CAF was unanimous in its

endorsement of the May 2005 approach on the issue of outside funding for research and we felt that safeguards against tainted research are already in place. We also observed that the RICO conviction was for specific acts by the tobacco companies, and that they themselves were not deemed to be a “criminal organization.” We also observed that key criteria for accepting research grants is that the granting agency make no apriori claim to require certain results as a condition for the grant. CAF also felt very strongly that if there was a prohibition against any granting agency it established a precedent for such prohibitions and that this was, indeed, a very “slippery slope” upon which none of us wished to begin.

### **Institutional Review Boards**

It was reported to UCAF in Spring 2006 that there were problems with long delays in approval for research projects at some of the UCs by the IRBs. As a result, UCAF and UCORP undertook a study of the protocols on each of the campuses, and they and our CAF proposed that the following protocols be set into place UC-wide:

- 1) There should be system-wide training of IRB staff and this should be paid with system-wide funds.
- 2) Coordinate system-wide training so that all IRBs have the same procedures at all UC campuses.
- 3) Faculty need to serve on the IRBs but it is time-consuming. In order to enhance faculty participation there needs to be compensation in the form, for example, of course relief. And service on IRBs should count in a significant way in faculty reviews for merit and promotion.
- 4) We recommend that there be distinct protocols for the medical/biological sciences and for the social sciences/behavioral sciences. The fields are different, requirements different, and distinct protocols should be developed.
- 5) CAF expressed great concern that there was no formal appeal process if an IRB decision is negative. We believe something needs to be set into place that allows a faculty person to consult with the IRB in good time to correct problems in a research proposal, and there needs to be a strong relationship between the IRB and the Vice-Chancellor of Research on each campus. Some kind of appeal process should be set into place.

We noted that after inquiries at UCSC there seemed to be no significant problems with our IRB and we heard of no faculty complaints.

### **Pharmaceutical Vender Relations**

Representative to UCAF from campuses with medical schools reported faculty concerns about undue and/or unethical practices by pharmaceutical companies in their policies of giving medical samples, free gifts, and other benefits etc. to individual faculty. UCSC does not have a medical school, and so this particular set of problems does not affect our campus. CAF did examine the proposed guidelines and suggested that these be sent for informational purposes to department chairs in the Social Sciences, Engineering and the Physical and Biological Sciences via the Senate email account.

## **Open Access Policy**

This was an issue initiated by UCAF at the end of the 2005-2006 academic year, which began with the approved change in Senate By-Law 185 that changed the name of the University Committee on Library, to University Committee on Library and Scholarly Communication. In brief: when faculty publish in scholarly journals their work will now be posted with the UC Scholarship Repository, making the work accessible to everyone at no cost via the internet. A major impetus for this action is that the cost of journals to universities is increasing, and this would provide for on-line sources. CAF had no problem with granting open access or using open sources; however, there were concerns about those faculty who might choose to publish in some scholarly journals that don't permit on - line, open access. We favored that process which gave maximum flexibility to faculty to publish where they choose, without penalty or objection.

## **Academic Freedom: Its Privilege and Responsibility with the University of California**

This document was drafted by outgoing UCAF chair Jerold Theis, in 2005-2006, discussed in CAF and UCAF last year and again this year. On the basis of this discussion Chair Theis revised the document. At the present time, UC's Academic Council does not wish to generally circulate the document UC-wide. However, CAF believes it is be of much benefit, especially in giving the history of academic freedom in California. It is available through the Senate office for those wishing to read it.

Respectfully submitted,

### **COMMITTEE ON ACADEMIC FREEDOM**

Nancy Chen

Bruce Cooperstein

Sheila Crane

Holger Schmidt

Tim Fitzmaurice

Bettina Aptheker (F,W), Chair

Chris Connery (S), Chair

### Student Representatives

Sarah Bakker, GSA

Evan Branigan, SUA

August 31, 2007

**COMMITTEE ON ACADEMIC PERSONNEL**  
**Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

**Duties**

The Committee on Academic Personnel (CAP) advises the Chancellor, the Campus Provost/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 made recommendations on Merit Equity files, and also advised the Academic Senate and the administration on other policy matters related to academic personnel issues. CAP advises; it does not decide.

In 2006-2007 CAP added a ninth member. The Committee initially had one representative from Arts, and two each from Engineering, Humanities, Physical and Biological Sciences, and Social Sciences. In the spring quarter we had one from Engineering and three from Physical and Biological Sciences.

With few exceptions CAP was impressed with the quality of our colleagues' accomplishments and by the heavy workload that they carry. The faculty continue to produce exciting research and scholarship, dedicated teaching, and energetic service to the campus, their professions, the state of California and the nation.

**Workload**

In 2006-07 CAP continued its established practice of meeting on Thursday afternoons. The Committee met 28 times during the academic year (6, 11, and 11 meetings, in fall, winter, and spring quarters, respectively).

CAP made recommendations on 287 personnel cases - 21 more than last year and an increase of more than 100 in the last 10 years. Furthermore a substantial majority of the cases involved requests for accelerations or greater-than-normal salaries. These cases typically require more reading and discussion. The increased workload needs to be addressed by increasing the compensation for CAP members to levels comparable to that provided on other UC campuses. This issue will be addressed later in the report.

Fewer Ad Hoc Committees were constituted this year – only 32. This brings our use of these committees more in line with practice on other UC campuses. Typically we did not use Ad Hoc Committees for Midcareer reviews or for advancement to Step VI, unless there was substantial disagreement at previous levels of review.

CAP reviewed 63 appointment files for tenure track positions. Increasingly, initial appointments are being made with significant off-scale salary increments to meet competing offers. As of September 2007, 45 candidates accepted, 13 declined, 4 withdrew and 1 case was pending.

### **CAP's Recommendations Compared to Administrative Decisions**

During 2006-2007 there was a significant reduction in the number of cases in which the final administrative decision differed from CAP's recommendation. The two concurred in 84.1% of the time (238 out of 283 completed files) (CAP reviewed 287 files, 4 were carried over to 07-08). Most differences were very minor or procedural. Substantive disagreements occurred in 17 cases (6%).

Nearly half of the "differences" arose from setting salaries for new appointments. In a few cases the recommended salary was substantially off-scale, and CAP recommended a lower salary because of concerns regarding equity for comparable qualifications. CAP recommended a higher salary in several cases in which the appointments were made on-scale or with small off-scale increments. We note that the 1 October 2007 adjustment in the salary scales raised Assistant Professor Step II and Step III salaries by nearly \$6,000, in line with CAP's recommendations.

There were only seven cases in which CAP and the administration differed in step or rank, and these differences were generally small in terms of salary. In four cases CAP recommended a higher step, in three cases we recommended a lower step. The Chancellor and the CP/EVC consulted with the CAP Chair in all cases of disagreement and offered CAP the opportunity to reiterate its recommendation.

### **Consultation**

Last year's annual report from CAP stated "We regard the relative infrequency of meetings between CAP and the CP/EVC as an area of potential concern." To address this issue CAP met with CP/EVC Klinger in October and we agreed that all potential disagreements with CAP's recommendations would be discussed with CAP Chair Bowman, and with the committee if necessary. Either the Chancellor or CP/EVC Klinger contacted CAP about all potential disagreements within their authority. After further discussion, in some cases they concurred with CAP's recommendation, in other cases we agreed to disagree. Overall, we had excellent communication with the Chancellor and the CP/EVC. Consultation regarding final decisions made by Deans was uneven, an issue that we should address in 2007-2008.

The CAP Chair twice visited the Council of Chairs for the Division of Arts, and was invited to discuss salary and other issues with the Council of Deans. Throughout the year the CAP Chair met weekly with the Associate Vice Chancellor for Academic Personnel, Pamela Peterson and Professor Sandra Chung, Faculty Assistant to the CP/EVC for academic personnel. The CAP chair was also a member of the Salaries Task Force convened by the administration.

### **Case Flow, Ad Hoc Committees**

The late submission of personnel files to CAP was a serious problem in 2006-2007. At the beginning of the spring quarter only 42.16% (121 out of 287 files) of the cases had been submitted to us for review. More than 93 cases arrived in the last six weeks of the academic year. The most likely explanation is that most of the Divisions had new Deans and that the large number of recruitment files was given higher priority.

We have occasionally heard that some faculty think CAP is the slow step in the review process. This is rarely true. All cases were reviewed within two weeks of receipt, and the letter from CAP was sent forward one week after the review. The average turnaround is two weeks for

actions not requiring an ad hoc (sign offs are in CAP as little as a week, files where CAP makes their recommendation in a letter are in CAP 2-3 weeks.) The only significant delay occurred when an Ad Hoc Committee was convened. It should be noted that CAP nominates members of these committees (typically 9 nominees), but the appointment of members and supervision of the Ad Hoc Committee review is a function of the administration. To our knowledge the Academic Human Resources office has been very efficient in their attempts to form committees and get the ad hoc report to CAP. In 2006, four cases requiring an Ad Hoc Committee were submitted in the final two weeks of the year. These cases were carried over to the fall of 2007.

During 2006-2007, 92 Senate members served as members of ad hoc committees. Seven people served twice and 85 people served once. The academic personnel process cannot function without our colleagues' continued willingness to serve on ad hoc committees, and CAP thanks each and every Senate member who so served.

#### Memoranda for Action (37)

Unit 18 rate card	4
Bylaw 55	6
Endowed chairs	7
APM policies	4
CAPM policies	1
FTE transfer	1
Time off the clock	2
Div. CAP changes	3
UC policy review	3
UCSC policy review	3
Miscellaneous	3

#### **Salary Issues**

After several years with no significant increase in faculty salaries the administration and the Academic Senate participated in a Task Force to address this issue. Proposals were also discussed at UC Office of the President (UCOP) with Senate participation. The first major issue has been the failure of UC salaries to maintain equity with salaries at other universities. (Comparison 8 institutions: University of Illinois, University of Michigan, University of Virginia, Harvard, Stanford, Yale, MIT, SUNY-Buffalo) At UCSC we have the additional problem that our salaries have been at the bottom of the range when compared to salaries at other UC campuses. The staff assisting the Salaries Task force generated useful data to show our relative ranking. The largest differences have been at the level of Assistant Professor and the first three steps of full Professor.

The second major issue has been the large increase in faculty with "off-scale" salaries. With more than 80% of UC faculty receiving off-scale salaries, we have been moving in the direction of effectively abandoning the use of the salary scale. On our campus more than 60% of advancements in 2006-2007 were for more than one step.

During the last year CAP strongly advocated for an increase in the salaries of newly appointed Assistant Professors. We supported the efforts at UCOP to significantly increase salaries and to raise the salary scales to a complete level. In September 2007 the Regents approved a

significant increase in the salary scale, effectively raising Assistant Professor salaries by the equivalent of nearly two steps. Large increases were made in all steps of the salary scale with larger percentage increases skewed to the lower ranks. A similar increase is proposed for 2008. Over a four-year period (2007-2011) the plan is to raise average salaries by 26%.

In the last two years our campus has had notable increase in the number of retention cases.

2006-07 – 12 files

2005-06 – 10 files

2004-05 – 2 files

2003-04 – 1 file

2002-03 – 1 file

### **Suggestions for Improving Personnel Files**

It is understandable that departments want to advocate for step and salary increases. However, the most effective letters contain a balanced evaluation of the performance during the period under review. For example, if the teaching evaluations contain a significant number of negative comments, or the rate of publication is lower than typically seen in that discipline these issues should be addressed in the letter.

Although most departments do an excellent job with their letters we continue to see some that are excessively long and written in the jargon of a particular discipline. In the majority of cases, none of the members of CAP are experts in the discipline of the professor being reviewed. The best letters, even for significant accelerations, are typically three to five pages long. Beyond that the letters tend to have extended abstracts or critiques of publications. In some cases excessively long letters contain pages of direct quotes from student evaluations or from the letters of external reviewers. CAP needs a concise summary of relative productivity and an assessment of the impact of the work. Lengthy expositions can work to the disadvantage of the faculty member because key summary points are buried in pages of text that are skimmed through quickly.

If a department requests more than a one-step advancement they must specify the areas in which they judge the performance of the professor to be exceptional. Advancement of more than one step should be justified by a level of achievement that is clearly above the norm. Be specific about which publication and activities are new for the current period of review, and which have been considered in previous reviews. Negative votes should always be addressed. Faculty who express negative opinions have the right to have their opinions reported by the department. It is also legitimate to simply state that there was no information to explain the negative vote(s).

Faculty should not be expected to write lengthy personal statements. Three to five pages will always suffice. In fact no such statements are required, but they can be useful for the department's preparation of the file.

For advancements that require letters from external evaluators, five or six letters are sufficient if at least three of these are solicited by the department, not the candidate.

### **Compensation for Service on CAP, Staff Support**

As our campus has grown the workload for members of CAP has increased significantly. However the compensation has not changed in many years. To attract the best faculty to serve on CAP it will be necessary to provide further teaching relief and/or research support. Except

for UC Merced, our campus provides the lowest amount of compensation. Other campuses typically provide one month of summer salary and grant members teaching relief for one course.

CAP Chairs typically get two months salary and relief from two courses. The workload on our campus is not obviously less. Only UCSC and UC Berkeley review all personnel cases - other campuses delegate many actions to Deans. Furthermore the staff support is significantly different, 1-2 FTE on other campuses, 0.45 FTE at UCSC. In very preliminary discussions the administration expressed an interest in discussing these issues, and we will pursue these matters in the 2007-2008 year.

None of the work of CAP would be even remotely possible without the very hard work of the exceptionally competent staff of the Committee and of Academic Human Resources. We especially thank Pamela Edwards for managing to maintain her sense of humor throughout the year (no mean feat!), and for her unfailingly swift responsiveness to any and all requests for information. We are also deeply indebted to Denice Barnes, Terilynn Bench, Cheri Cernokus, Elizabeth Dane, Nancy Degnan, Jonni Dungan, Susan Fellows, Nancy Furber, Leslie Marple, Pamela Peterson and Linda Tursi. Their support, wisdom, and detailed, rigorous knowledge of the personnel process of UCSC 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**

Claude Bernasconi (S)  
Shelly Errington  
Mark Franko  
Claire Gu  
Michael Isaacson (F, W)  
Norma Klahn  
Paul Roth  
Nirvikar Singh  
Peter Young  
Barry Bowman, Chair

August 31, 2007

## Appendix One: Agreements

### Administrative and Cap Agreement 2006-07

CAP agreed with the administration's decision on 238 out of 283 files (84.1%). CAP's recommendation did not agree with the decision on 45 files; 4 chancellor authority, 27 EVC authority and 14 dean authority.

- In 22 cases, CAP recommended a higher salary (same step) than the administration's decision.
- In 2 cases, CAP recommended a higher step than the administration's decision.
- In 1 case, CAP recommended a higher step and salary than the administration's decision.
- In 1 case, CAP recommended a lower step (same salary) as the administration's decision.
- In 16 cases, CAP recommended a salary less than the administration's decision.
- In 2 cases, CAP recommended a salary and step lower than the administration's decision.
- In 1 case it was split – CAP recommended higher step & administration decision for higher salary

2006-07	Agreement on 238 of 283 actions, 84.09% (48 disagreements: 15 dean authority, 33 EVC/chancellor authority)
2005-06	Agreement on 213 of 268 actions, 79.48% (55 disagreements: 11 dean authority, 44 EVC/chancellor authority)
2004-05	Agreement on 209 of 251 actions, 83.27% (42 disagreements: 8 dean authority, 34 EVC/chancellor authority)
2003-04	Agreement on 218 of 258 actions, 84.49% (40 disagreements)
2002-03	Agreement on 247 of 261 actions, 94.64% (14 disagreements)
2001-02	Agreement on 206 of 214 actions, 96.26% (8 disagreements)

## **Committee on Admissions and Financial Aid Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

The Senate Committee on Admissions and Financial Aid (CAFA) submits the following report for 2006-2007. The committee began its year with a workshop to inform new and continuing members about the admissions process and financial aid issues. During the remainder of the year, CAFA continued to work closely with Admissions, Financial Aid, Institutional Research and relevant Senate committees, including the Committee on Educational Policy (CEP) and the Committee on Planning and Budget (CPB), on the following issues of common interest.

### **Admissions**

No major changes to UC selection process were introduced this year. The comprehensive review of applicants (a process adopted in 2001 and fine-tuned over the past few years) is proceeding smoothly and there were no changes to the nature or weighting of the criteria used to select the entering class. The committee confirmed its commitment to admitting up to six percent of the entering class by exception, with four percent reserved for students from disadvantaged backgrounds. The committee also agreed to grant veterans of military service or active military service individuals who do not meet UC admissions requirements a supplemental review for possible admission by exception.

Our campus received 24,464 frosh applications this year, nearly the same as the previous year. We admitted 379 more frosh than the previous year, resulting in a total of 20,066 offers of admission (81 percent acceptance rate). The average high school GPA of the admitted pool was 3.66 (compared to 3.68 last year). This was the third consecutive year in which our campus was unable to admit all UC-eligible students; approximately 1,500 UC eligible freshmen were denied admission to our campus.

One of the biggest surprises this year was an unanticipated jump in the size of our incoming frosh class. Our yield rate increased from 17 percent to slightly over 21 percent this year, the biggest gain of any UC campus. Increases were seen in all under-represented ethnicities, except for Native Americans (which remained constant). The average GPA of the frosh applicants who accepted offers of admission was 3.49, nearly identical to last year (3.50). The latest enrollment projection for the incoming frosh class is 3,750, nearly 400 more than the previous fall.

Although the unexpected increase in the size of the 2007-08 frosh class reflects well on our campus, it should be noted that much of our growth over the past two years has been biased toward students with relatively low high-school GPAs. For example, the number of incoming frosh with GPAs below 3.5 increased by more than 19 percent, while the number of students with GPAs above 3.5 increased by only 4.6 percent.

Like other UC campuses, we continue to have problems meeting our target for transfer students. We received only 4,721 applications from transfer students this year, a 6 percent drop from the previous year. This is particularly troubling considering that 367 of the transfer applications were at the lower-division level (sophomore). We offered admission to 3,235 transfer students, a 6.6

percent decrease from last year. Of transfer students, 905 accepted our admission offers, a drop of 76 students relative to last year. The GPA of both admitted transfer students (3.29) and the incoming cohort of transfer students (3.16) is virtually identical to the previous year. For the fifth consecutive year, the transfer enrollment target (950 for fall 2007) will not be achieved. Improved outreach and yield efforts are warranted in response to these disturbing trends.

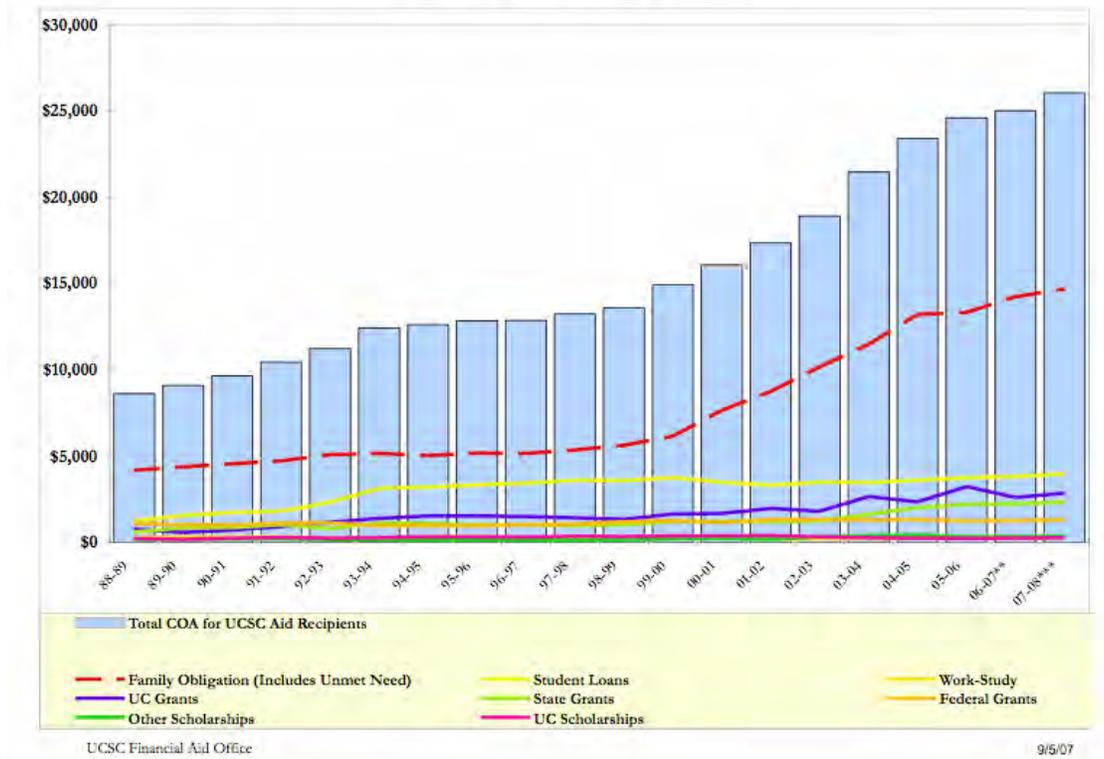
Although this was a relatively uneventful year in regard to admissions policies, major changes are looming on the horizon. The rapid enrollment growth associated with “tidal wave 2” is nearing an end and the number of graduating high school graduates is expected to remain fairly stable for the foreseeable future. At the same time, the capacity of the UC system has increased due to the opening of UC Merced. This combination of factors will make it increasingly difficult for us to compete with other campuses for high-achieving students. In anticipation of these demographic shifts, the campus should increase its efforts to recruit and retain a diverse class of outstanding students. Logical strategies to achieve this goal include increased financial aid; improved public relations and outreach; and the development of a campus wide honors program.

During the past year, the Board on Admissions and Relations with Schools (BOARS), considered major changes including eliminating eligibility to UC frosh eligibility policies that, if adopted, could have a profound impact on our campus and the UC system as a whole. Changes considered by BOARS this year included eliminating eligibility in the “statewide context” and replacing it with a category of “eligible for review”. Other changes include modifying or eliminating the testing requirement; restricting the percentage of high school graduates who are guaranteed admission to a UC campus; and expanding the percentage of high school graduates who are eligible to apply for admission to UC. In April of 2007, BOARS Chair Mark Rashid and Academic Council Vice Chair Michael Brown visited our campus to informally discuss eligibility reform with CAFA, the Senate Executive Committee and administration. Although no formal proposal for eligibility reform was presented to CAFA this year, we anticipate that this will be a major topic of discussion in 2007-08.

### **Financial Aid**

Rapid enrollment growth has created serious problems in regard to financial aid. As shown in the figure below, the total cost of attending UCSC increased 57 percent over the past six years to approximately \$25,000 (\$8689 for fees and health insurance; \$10,791 for food and housing; \$1326 for books and supplies; and \$3884 for transportation and personal expenses). During the same period, per capita scholarship and fellowship support for our students declined by 17 percent. As a result, UCSC is currently ranked ninth in the UC system in per capita scholarship and fellowship support and many of our students are finding it difficult to finance their education.

Per Capita Cost of Attendance for UCSC Financial Aid Recipients vs.  
 Per Capita Aid and Family Resources



Unfortunately, the formula used to determine whether a student has financial need has not been adjusted to account for the rapidly escalating cost of housing in California. This situation has created significant financial hardships for many of our students and their families. The committee is particularly concerned about middle-class students, many of whom are ineligible for need-based aid but lack the resources necessary to finance their education. Furthermore, the lack of adequate need and merit-based financial aid has made it increasingly difficult for us to compete with other highly ranked institutions for the best students.

The number of appeals for extension of financial aid eligibility beyond the 15 quarter limit continues to rise. Committee members noted that many UCSC students pursue fewer than the normative 15 units per quarter of Regulation 6.1.2. The effects of this trend on the number of financial aid petitions and total time on financial aid should be carefully monitored to ensure the most efficient use of financial aid resources. The committee also learned that we are the only campus in the UC system that requires these appeals for extension of financial aid to be reviewed by CAFA. To minimize the burden on the committee, future appeals will be evaluated by the Financial Aid Office using guidelines developed in consultation with CAFA.

Recognizing the importance of financial aid in yield and retention, CAFA has strongly advocated the expansion of the Regent's Scholars Program. The Regent's Scholars Program is one of the most prestigious scholarships awarded by our campus. Unlike the majority of aid available to our students, Regent's Scholarships are awarded strictly on academic merit. The vast majority of

Regent's Scholars earned high school GPAs above 4.0, placing them in the top 5 percent of UCSC undergraduates. These awards significantly increase our ability to recruit and retain outstanding undergraduates.

Last year, CAFA requested a \$250,000 per year increase in funding for the Regent's Scholars Program for each of the following three years, resulting in a permanent budget of slightly less than \$1,400,000 per year. This amount would bring our expenditures to the average for other UC campuses (with the exception of UCLA and UCB) permitting a steady-state cohort of approximately 180 Regents Scholars. In response to this request, EVC Klinger generously committed \$250,000 in temporary funding as an "experiment" to see if it significantly increased our yield of high-achieving students. CAFA was also told that Regents Scholarships would be a development priority for University Relations.

Last year's experiment proved to be wildly successful. The additional funding allowed our campus to increase the size of Regent's Scholarships from \$3,000 to \$6,000 for students without demonstrated financial need and ~\$10,000 for students with financial need. In 2005-06, 54 Regent's Scholars were recruited to our campus, representing a yield of approximately 20 percent, a 50 percent increase in yield over the previous year. CAFA was encouraged by the success of this effort and looked forward to the further expansion of the program this year.

Unfortunately, University Relations raised only \$50,000 for the Regent's Scholars Program during the past year, far short of the \$500,000 requested by CAFA. Due to the lack of adequate support, we had to reduce the number of offers made to prospective Regent's Scholars from 276 to 204 while maintaining the size of the awards. CAFA also modified the selection process to increase the emphasis on academic criteria. Our yield of Regents Scholars continued to be excellent this year (~19 percent for a total of 39 new Regents Scholars), reaffirming the effectiveness of this program as a recruiting tool.

The ethnic and socioeconomic diversity of the incoming cohort of Regent's Scholars are impressive. Fifty-one percent of the new Regent's Scholars attended low performing high schools, compared to 15.2 percent of the other incoming frosh. Of the new Regent's Scholars 64 percent represent the first generation in their families to attend college, as compared to 31 percent of other incoming frosh. The percentage of Mexican-American and Latino Regent's Scholars is slightly higher than the campus average and 2 of the 39 new Regents Scholars are Native Americans. These data, while limited to this year, would seem to dispel the prevalent myth that wealthy students from privileged backgrounds are the primary beneficiaries of Regent's Scholarships.

Unfortunately, the Regent's Scholars Program has become a victim of its own success. Our yield of Regent's Scholars was higher than anticipated this year. The percentage of Regent's Scholars with financial need was also much higher than expected, which significantly increased the average size of the awards. The annual funding currently allocated to the program will just be sufficient to renew scholarships that have already been awarded. As a result, we were unable to make new awards to continuing UCSC students this year.

In the absence of additional funding, it will not be possible to offer Regents Scholarships to any new, continuing or transfer students for a period of at least two years. CAFA is extremely

concerned about the future of the Regent's Scholars Program and will continue to investigate strategies for restoring its financial stability over the summer.

A study of campus fellowship and scholarship funds revealed approximately \$440,000 of mostly small accounts among the divisions, representing roughly one-sixth of total undergraduate fellowship and scholarship support. We suspect that many of these funds could be more effectively used to recruit, retain and support students in accordance with the goals of the given program and scholarship. We encourage University Relations, the Divisions and the Baskin School, and Departments to work with CAFA to ensure that these funds are being used as effectively as possible.

### **Concluding remarks**

It would be impossible for CAFA to function without the support of the dedicated administration and staff of the Admissions and Financial Aid Offices. The committee sincerely thanks Kevin Browne for his outstanding work as the Executive Director of Admissions over the past six years and congratulates him on his recent appointment as the Assistant Vice Chancellor of Enrollment Management at UC Merced. The committee would also like to thank Interim Director of Admissions Michael McCawley; Acting Director of Financial Aid Ann Draper; Financial Aid Advisors Cheryl Perazzo and Kori Calubaquib; Financial Aid Analyst Patrick Register; and Analysts Sue Grimes and Mary Masters for their valuable advice and assistance during the past year. We would also like to express our gratitude to Pamela Edwards for her administrative support.

Respectfully submitted,

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

David Anthony, BOARS Rep  
Chongying Dong  
Richard Hughey  
Ronnie Lipschutz  
Juan Poblete  
Jim Whitehead  
Karlton Hester  
John Tamkun, Chair

Holly Cordova, NSFT Rep  
Nathan Zaru, SUA Rep

August 31, 2007

**COMMITTEE ON CAREER ADVISING**  
**Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

The Committee on Career Advising (CCA) met once a month throughout the year. One member of the committee left during fall quarter and was not replaced.

A document presented to the Senate as part of last year's annual report (in the guise of a list of "Best Practices" for mentoring faculty) was revised and augmented somewhat to produce a list of topics to which faculty or department chairs may refer when reviewing the issues that should be addressed as a matter of course in the mentoring of faculty, whether newly arrived or not. The plan is to make this list available to all deans and department chairs and others who may find it helpful. For example, it might be included in orientation packets for new faculty.

An effort was made to question newly arrived faculty to see what topics they wished they had been advised about. The main thing learned from this survey was that it is important to distinguish orientation issues from career advising issues. What newly arrived faculty members mainly receive is orientation, while CCA is concerned entirely with mentoring. In general it seemed to CCA members that faculty and departments were not aware that the Committee can be asked to advise on Career Reviews, or that the CCA chair is available for individual career advice.

The Committee had consultations with Vice Provost of Academic Affairs (VPAA) Alison Galloway, with Assistant Vice Chancellor (AVC) of Academic Human Resources (AHR) Pamela Peterson, and with the Committee on Committees (COC) Chair Carol Freeman.

VPAA Galloway was interested in ensuring that faculty are mentored for leadership positions and informed the Committee about the planned UC Leadership Academy. A member of CCA attended one of the VPAA's lunches for department chairs and spoke about the work of the committee to those present (a relatively small number attended perhaps because the date fell during finals week).

AVC Peterson spoke to the committee about the seminars that AHR runs for faculty. In response to questions about the supposed bulge at Professor Step V caused by faculty unable to muster a case for the Step VI review, she informed us that there now appeared to be no such bulge. She noted that there is no workshop for new incoming department chairs, or a set of guidelines for them. It was agreed that chairs need education on topics like mentoring for tenure and what to put in department letters for personnel reviews. Delay of faculty personnel files seems to be mainly at the department and division levels, before reaching the Committee on Academic Personnel (CAP), and not in the CAP process or the Campus Provost/Executive Vice Chancellor's office.

There was some discussion with AVC Peterson of placing a link on the AHR page to an appropriate page giving details of assistance CCA can provide. This will need to be revisited by next year's committee.

In the consultation with COC Chair Freeman, the question of the future of the Committee came up. CCA has an up-and-down history, sometimes becoming active and undertaking a survey (as

in 2005-06), and sometimes wondering what to do with the results of its survey (as in 2006-07). Chair Freeman noted that disbanding CCA (as opposed to merely not staffing it on a temporary basis) would require a Bylaw change, and is discouraged because it would be all but impossible to re-establish a committee that had gone out of existence. There was some discussion of the connection CCA might have with other committees, such as CAP, the Committee on Faculty Welfare (CFW), and the Committee on Teaching (COT). It was noted that CCA could not be a subcommittee of CAP, despite the relevant expertise of CAP's members, because there would be a conflict between the two charges.

The Committee was asked to do a number of reviews of newly proposed policies: the UCSC Partner Employment Task Force Report, July 2006; the UCSC Strategic Academic Plan review, September 2006 draft; the APM 220 policy on Step VI and Above Scale; the Universitywide Committee on Academic Personnel (UCAP) Synopsis of the Present Status of the UC Merit and Promotion System; the UC Open Access Policy regarding journal articles and conference proceedings; the Principles of and Policy Recommendations for UC Faculty Compensation; and APM 210-1-d: Instructions to Review Committees which Advise on Actions in the Professor & Corresponding Series. Most of these had little or no connection to CCA's charge.

The Universitywide Committee on Academic Personnel (UCAP) "Synopsis of the Present Status of the UC Merit and Promotion System and Principles of and Policy Recommendations for UC Faculty Compensation" document concerned the Committee. UC policy on setting faculty salaries is falling apart as campuses scramble to find ways of attracting and retaining faculty of quality. Experienced hires from three or four years ago serving on search committees are finding that newly hired PhD's are being offered salaries significantly in excess of their own, in order to match competing offers. Some campuses are adding money to salaries from other campus funds. Eventually the Assistant III salary will not be adequate to recruit anyone. CCA, then, is distinctly and acutely concerned that the truly most worrying issue relating to advising UC faculty on career progress is that faculty salaries have begun to lag to a degree that will degrade quality in every respect.

Respectfully submitted,

**COMMITTEE ON CAREER ADVISING**

Olof Einarsdottir  
Gabrial Elkaim  
Patty Gallagher  
Deborah Woo (W)  
Geoff Pullum, Chair

August 31, 2007

## **Appendix One: 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 review
- 3. Expectations for Tenure, Full Professor, Step VI and Above Scale:** 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; associate professor service outside of department prior to promotion to full professor
- 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

## COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS 2006-07 Report

To the Academic Senate, Santa Cruz Division:

### Main Activities

1. **Dark fiber to campus** - It will happen
2. **Data center in Delaware Street** - CCT supports it; asks ITS to look at various options
3. **Laptop requirement** - Should we make laptops a requirement on campus?
4. **Cruzmail** - Summary of problems and our recommendations
5. **Google Apps** - An interesting possibility for student email

### 1. Dark Fiber to Campus

- **The problem:** UCSC has only a leased 1GB connection to the rest of the internet
  - No true redundancy
  - Limited bandwidth
  - No ability to manage the connection
- **Largely solved:** UCOP committed to help with the cost of the connection. It will happen in 2-3 years. What this means for the campus:
  - Ability to cooperate across campuses and the US for data centers, fast access to resources, data sharing, ...

### 2. Data Center in Delaware Street Building

- **The problem:** we are running out of space in data centers, both for admin, and for research (clusters) computing.
- **The would-be solution:** A top-notch data center in the Delaware Street building would cost approx 12 M\$.
- **CCT thinks:**
  - Data center capability will be of strategic importance
  - CCT encourages ITS to consider alternative, and cheaper, solutions, such as:
    - Co-location with industrial partners
    - Lower reliability, suitable for research, but not for administrative computing (no back-up generators)

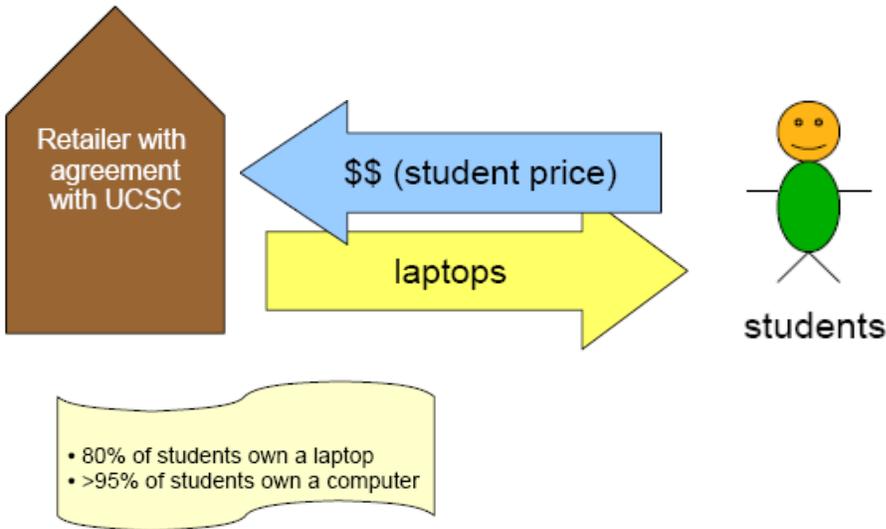
### 3. Laptop Requirement

*Should we make laptops a requirement for undergrads?*

- What this is NOT: a way of encouraging students and instructors to bring laptops to class.
  - The use of laptops in instruction is at the complete discretion of the instructor, as usual.
- What this IS: a way to
  - Raise financial help for students
  - Help bridge digital divide between wealthy and poor
  - Make laptop ownership easier

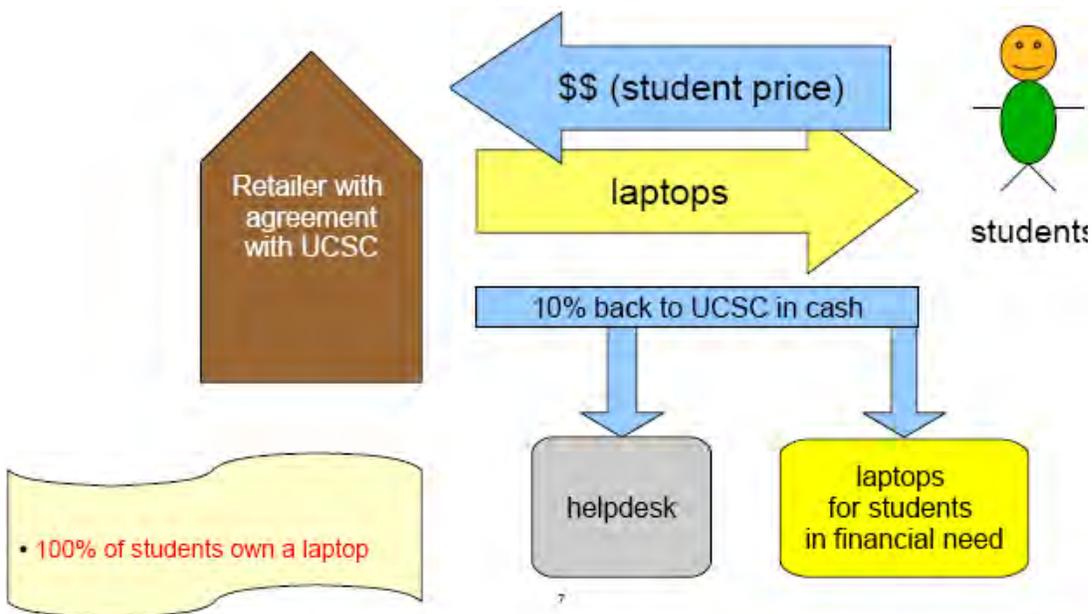
### 4. Laptop Requirement

**How it would work: No laptop requirement**



**5. Laptop Requirement**

**How it would work: laptop requirement**



## 6. CruzMail: Problems

*The problems can be broken down in two categories:*

- Failures in third-party (hardware) components
  - BlueArc storage, firewalls, NAS storage
  - Problem beyond scope of ITS management
- Misconfigurations
  - 2004, 2006: email lost due to filtering, rate limiting, ...
  - 2007: when a server failed, the other one alone could not handle the load.
  - Common thread: email and spam is increasing. The challenge is to stay ahead of the curve.

## 7. CruzMail: Recommendations

*Technical:*

- Rearchitect the storage system
- Explore more distributed server configurations
- Copy well-tried solutions in other institutions

*Management:*

**Somebody should “own Cruzmail”:** Create the figure of a *technical project manager*:

- Person with clear technical expertise and vision
- Can take decisions, including on policy (in consultation with committees, but with decision power)
- Is responsible for pushing issues through committees
- Has vision for campus-wide implications of service

## 8. Google Apps for Education

- **Email (Gmail style).** No ads for students
- **Calendar:** You can create calendars for classes and seminars, share them, add calendars to your own, ...
- **Shared documents and spreadsheets.** You can share them to viewers and to co-editors, fully versioned, ...
- **New apps** will be available...
- **Offered for students** and for faculty on trial basis
- **Cost:** 0 \$
- **Being discussed across the UC system** (UCD is very interested, UCB is not). A few other universities are using it.

## 9. Google Apps

*Pluses:*

- It gives us a recovery plan.
- Many students like the interface (*and already use Gmail*).
- Good collaboration tools (*calendar, shared documents, ...*)
- Facilitates providing email to students, alumni
- Faculty could use it on a trial basis (*but, no UCSC backups*)

***Minuses:***

- Not currently suited to staff/administration (*lacking in backup capability, assurances for subpoenas, ...*)
- Legal agreement still in process (*talks at UCOP level, concerns on: advance notice before terms change, ...*)
- Lock-in: what if conditions change? (*see above on advance notice*)

Respectfully submitted,

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS

Larry Andrews

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Luca de Alfaro, Chair

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May 15, 2007

## **Committee on Educational Policy Annual Report 2006-07**

To the Academic Senate, Santa Cruz Division:

Committee on Educational Policy's (CEP) work can be roughly divided into two categories. There is the work the Committee carries out as a matter of course, including reviews of campus programs, approval of program statements and of new and revised courses, consultations with other committees and administrative units, and consideration of student petitions. Then there are policy initiatives raised by CEP (sometimes in tandem with other bodies). CEP undertook work on several initiatives this year, in areas including general education reform, honors, and academic integrity. Our report begins with discussion of these initiatives.

### **I. Larger CEP Initiatives**

#### **General Education**

UCSC's current general education framework was largely put in place in 1984. An attempt at comprehensive reform was narrowly voted down in the late 1990s. In an oral report to the Senate last fall, CEP articulated reasons why our campus needs general education reform. (A slideshow of that talk can be found at <http://senate.ucsc.edu/cep/reportsindex.html>.) There are external reasons, particularly expectations of Western Association of Schools and Colleges (WASC), UCSC's accreditation agency, but the most compelling reasons are internal. Across higher education, thinking about the meaning and functioning of general education has changed dramatically over the past decades. At the same time, our own general education objectives have lost focus.<sup>1</sup> A re-evaluation of the *subject areas* required ("what do we think graduates should know in the new millennium?") is overdue. Going further, CEP suggests that in reforming general education we place more emphasis than we currently do on what is arguably even more important than the content of subject areas: the intellectual *skills*, ways of learning, values, etc., that we wish to impart. These could include critical thinking; writing and other communication skills; quantitative/formal reasoning; research experience; understanding of different cultures; civic engagement; and ethical exploration.

The most pressing problem in the area of general education last year concerned our writing-intensive "W" requirement, and CEP devoted the most time to researching and attempting to resolve this issue. For the past few years that campus has not been able to provide enough writing-intensive courses to enable all students to satisfy the requirement on time. Writing-based courses have particular resource needs, and it has never been clear who is responsible for paying for W courses. As units have become pressed they have begun to eliminate or restrict enrollment in their W offerings. CEP was eager to examine the W requirement in any case, because in our view the requirement does not live up to its purposes in two respects. First, it is unnecessarily

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<sup>1</sup> It is difficult, for example, to confidently infer the purpose or definition of a UCSC "topical" course by observing courses having this designation, or to find a reliable distinction between some existing "topical" and "introductory" general education courses; on our "writing-intensive" requirement see below.

narrow in focusing purely on writing, when students in many disciplines need to become proficient at other forms of disciplinary communication, e.g. poster presentation, speaking. Second, in spite of original intentions, the Santa Cruz Regulations (SCR) do not require students to fulfill W in a manner pertinent to their own or a related discipline. CEP would like to see these pedagogical issues addressed.

In a report to the spring quarter Senate Meeting CEP made the following recommendations:

1. Restore the Peer Writing Assistant Program.
2. Provide FTE for professional writing instructors to support writing in the disciplines.
3. Provide Temporary Academic Staffing (TAS) funds to targeted departments or divisions where the need for W support is greatest.
4. Reformulate W as a requirement that students learn to write according to the conventions of their own academic field.
5. Broaden W to a “Disciplinary Communications” requirement encompassing not only writing but other forms of communication.

These recommendations were first aired in an oral report to the winter 2007 Senate Meeting. (CEP’s written report and a slideshow of the oral report are both available at the URL given above.) At that same meeting CEP proposed that the Senate resolve to call on “the Central and Divisional administration to work with departments and with the Senate committees to find a solution to the W crisis and to allocate the funding needed for it”. This Resolution was made in the context of an assumption that the funding required would be in the hundreds of thousands of dollars, and it passed unanimously. Since then CEP has begun working with individual departments to pilot new discipline-based writing-intensive programs. Together with the Committee on Planning and Budget (CPB) and with the Graduate Council (GC), the coming year’s CEP plans to write a formal proposal to the administration to fund discipline-based writing along the lines of 1-3 above.

CEP intends to continue campus discussion of general education this year, collaborating with departments, other Senate committees, and the administration, towards a goal of substantial reform.

## **Honors**

The previous year’s CEP had initiated a plan to survey all campus departments and colleges about their practices and criteria for selection in determining honors in the major, pursuant to SCR 11.3:

In accordance with SR 640, each agency that has an approved major that elects to award Honors shall submit the criteria for such an award to the Committee on Educational Policy for its review, approval, and permanent record. Any change in criteria will require resubmittal.

This survey was sent out early last fall, and CEP studied responses from campus units in the winter and spring quarter. From this starting point, and with much encouragement from the

Committee on Admissions and Financial Aid (CAFA), CEP began discussing a full range of honors topics.

The issue of honors at UCSC has been addressed repeatedly in recent years. The most comprehensive study was conducted by an ad-hoc Honors Committee, which in 2004 issued a detailed analysis with recommendations.<sup>2</sup> Since those recommendations emerged, the campus has learned, through a careful study of retention carried out by the Office of Institutional Research and Policy Studies with guidance from the Vice Provost and Dean of Undergraduate Education (VPDUE) and CEP, that UCSC has particular difficulty retaining its academically strongest students. (See the report at <http://senate.ucsc.edu/cep/CEPretention1495.pdf>.) More action on honors programs and honors designations is now needed. In the view of CEP, the recommendations of the Honors Committee are excellent and should be pursued, through whatever further discussion and amending is needed, with a goal of implementation.

Our discussions made a distinction between honors *programs* and honors *designations*. By “honors programs” we refer to a wide variety of enrichment programs and prerequisites for matriculating and continuing students. UCSC currently distinguishes itself as being the only UC campus with no substantial honors program of this sort (though we note the important but much more limited Regents Scholars program). The campus VPDUE, campus admissions officers, and CAFA are unanimous in stating that the absence of any honors programs is a deterrent to some prospective students considering UCSC. We are very happy to have learned that significant funding has now been provided for the initiation of honors programs, through the office of the VPDUE. CEP intends to work with the VPDUE and CAFA in shepherding such a program into place this coming year.

“Honors designations” refers to forms of recognition based on academic excellence: departmental honors, University honors, deans’ lists, and so on. After a good deal of discussion CEP offers the recommendations detailed below concerning honors designations at UCSC, many adapted from the Honors Committee report. Because they cost little but can have a significant effect in attracting and retaining students, these should be implemented as soon as possible. This will be a task for this coming year’s CEP.

Whether at the departmental, college, or University level, we believe that the minimum criteria for determining honors designations should be made explicit and public. Next year CEP plans to ensure that honors criteria at all levels are included in the UCSC General Catalog.

### Honors in the major

As noted above, CEP surveyed all departments and colleges on campus this past year on their policies for awarding honors designations. Currently, the criteria established by departments for honors in the major vary widely. Of greatest concern, the percentage of students receiving honors ranges from 8 percent to 45 percent according to the department. In our view, this discrepancy is difficult to justify.

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<sup>2</sup> Establishing a UC Santa Cruz Campuswide Honors Program: a Report to the Academic Senate from the Honors Committee, June 2004.

While some departmental honors designations are GPA-based, others are not. Some departments consider all courses in the major for honors, others look only at the upper-division courses in the major; yet other departments count all the courses across the campuswide curriculum, a practice that strikes us as inappropriate. Many departments take into account additional criteria for honors (senior projects, recitals, etc). Unlike the disparity in percentages of awarded honors, however, the diversity of criteria for choosing the honorees appropriately reflects the specifics of individual departments.

**We recommend that no more than 15 percent of graduating students be awarded honors in any major, and no more than 5 percent be awarded highest honors.** The 15 percent number should include both honors and highest honors. While these benchmarks are a recommendation rather than a requirement, CEP intends to review percentages of students granted departmental honors annually and express concern to the departments where those percentages significantly exceed the recommended maximum.

CEP will notify all departments of the new 5 percent and 15 percent criteria early in the 2007-08 academic year and work with them to have minimum eligibility criteria published in the General Catalog.

#### College honors

College honors are awarded with more consistency at UCSC. Once again **we recommend that no more than 15 percent of graduating students be awarded honors in the college.**

CEP will notify all colleges of the new 15 percent criterion early next academic year and work with them to have minimum eligibility criteria published in the General Catalog.

#### University honors

Because they are rooted in individual colleges, “college honors” designations can vary according to college philosophy, and their importance for students is bound up with students’ identification with their colleges. These are particular strengths of college honors.

However, a drawback of the “college honors” designation is its relative unfamiliarity to employers and graduate schools outside of UCSC, where our college system may not be well understood. This unfamiliarity may put our graduates at a disadvantage when they compete with graduates from other institutions. Similarly, the current absence of any University honors designation can be a deterrent to some prospective students.

**Therefore we propose to institute a new level of “University honors” based on familiar Latin honors designations: cum laude, magna cum laude, and summa cum laude.** Due to the need for a standard that is simple to implement and as consistent as possible, University honors should be based solely on cumulative GPA, though defined by percentage thresholds along the lines shown below. For similar reasons, while percentage thresholds given above for departmental and college honors are CEP *recommendations*, thresholds for University honors would be strictly enforced.

Top 2 percent	Summa Cum Laude
Below 2 percent through 5 percent	Magna Cum Laude
Below 5 percent through 15 percent	Cum Laude

The Honors Committee report raises an important and difficult issue regarding University honors. Departments vary widely in the rigor of their grading. If the percentage thresholds defined above are reckoned over the entire campus, then some students will fail to receive honors designations based on the major they choose. To some extent issues like this of potential unfairness are an inevitable concomitant of any system of evaluation. Addressing them may have to be part of a larger campuswide conversation about grading standards. Based on the grading data provided in the Honors Committee report, it is not obvious that it would help to determine honors within divisions, since even within divisions there is much variation in grade distributions. But this question should be studied further, perhaps with more recent data. We note that graduating students tend to compete for jobs or graduate school places with peers in similar disciplines. For those purposes, at least, differences by discipline may matter less than one would assume.

Establishment of University honors will require a change in SC Regulations. CEP plans to propose the appropriate change this fall.

#### Deans' Honors

**CEP proposes to revive the Deans' Honors ("Deans' List") designation effective next year. This change should be noted in the Regulations.**

#### Honors and academic integrity

CEP agreed on a couple of principles and suggested that this issue be further discussed:

1. There are academic integrity violations serious enough to disqualify a student (who otherwise qualifies) from getting honors designations.
2. In order for departments, colleges, or the Registrar to take such violations into consideration when determining honors, the relevant information must be made available to them. This is not currently done for departments.

#### **Academic Integrity**

CEP's interest in issues of academic integrity in 2006-07 arose for several reasons, including a concern that integrity violations are on the rise and that sanctions may not be applied consistently. Based on discussions this year, and a consultation with the Council of Provosts, CEP recommends that the following actions be taken. This coming year CEP will work with the college Provosts and VPDUE in pursuing these issues.

### Educate faculty

Anecdotal observations suggest that faculty are far from fully and equally informed about approved policy for handling suspected violations of academic integrity. For example, faculty may refrain from reporting violations because they assume that a student will be barred from the University after any offense, however serious; faculty do not know about the option of re-adding students who drop their class after being challenged for an integrity violation; and so on.

A statement of “principles and procedures” for academic integrity (when the students in question are undergraduates) exists at this site:

[http://www.ucsc.edu/academics/academic\\_integrity/undergraduate\\_students/](http://www.ucsc.edu/academics/academic_integrity/undergraduate_students/)

A web resource is important for keeping faculty informed, but this site needs improvement on several counts. First, it is now relatively “buried”, located under “difficult teaching situations” in the “teaching toolbox” at the Center for Teaching Excellence web site. **We propose adding a link to the faculty portal page**, called something like “Teaching-related policy”, that would link to information not only on academic integrity but on final exam policy, grading and honors policy, etc.

Second, the existing web site is limited to a rather succinct statement of official policy. **We propose expanding it to include some guidance to faculty.** Faculty would benefit from learning more about the range of their options, likely consequences for students, and so on. Such a site should also include a range of model syllabus statements on integrity (reflecting diverse faculty approaches to the issue), and any recommendations CEP would like to make.

However good this web site becomes, we think that faculty would also benefit from having academic integrity issues and policy brought to their attention explicitly from time to time. **We propose that CEP send a letter to departments at least once a year.**

### Educate students

Though all frosh receive orientation to integrity issues in the context of the core classes, how thoroughly this happens may depend on the course. Furthermore, core course discussions do not benefit transfer students. Students would also benefit from a web site improved as discussed above.

However, the needs of students are obviously different from those of faculty. **We recommend that CEP consult with leaders of the Student Union Association (SUA) as it develops student-directed components of the web site.**

Excellent web-based resources already exist outside of UCSC (such as the “Bruin Success with Less Stress” site at UCLA), and we should find a way to capitalize on these.

Finally, **we recommend that CEP study the efficacy of student honor codes and pursue adopting one if the case seems compelling.**

## **II. Other CEP work**

### **Draft Academic Plan**

CEP provided feedback on two drafts of the campus Strategic Academic Plan. The CEP chair also took part in meetings this past summer where implementation of the Plan was discussed. In its response to the second draft Plan, the Committee expressed support for the Plan's principles. It raised concerns about specific matters, however. These are laid out below.

#### Professional Schools

CEP looks forward to concrete proposals for professional schools that would 1) synergize well with current campus philosophy and programs, and 2) come with sufficient dedicated funding (such as from development campaigns) to require *little or no* diversion of funds from current campus programs apart from faculty FTE already provisionally allocated. Until such a time comes, a choice to pursue no professional schools should remain clearly on the table. Indeed, since there are other good uses the campus might envisage for FTE currently allocated for a professional school, the senate and administration should agree on a concrete time window within which professional school proposals will be entertained. There are two reasons for doing this. First, having such a deadline might spur on proposals that would otherwise be slower in coming. Second, we need to know when it is time to put aside discussion of a professional school and devote our scarce resources to programs of current promise and strength. CEP suggests that this window extend to no more than one year from now.

#### Bases for decisions

Though CEP supports a policy of "differential investment" (i.e., making targeted choices for funding rather than spreading scarce funds indiscriminately), such a policy is most likely to succeed in the context of a very open campus discussion about the bases for our choices. Here we mention just a few questions we would like to have frank discussion about. First, in making funding decisions does the campus assume differences in faculty-student or teaching assistant-student ratio by division, and if so, why? Second, is our Humanities division under-resourced in comparison to similar units at other UC campuses, as argued in detail by CPB?<sup>3</sup> If so, what are the arguments in favor of continuing this situation? Third, in view of its continued huge losses, should we seriously curtail or abolish University Extension?

#### Resources and the undergraduate mission

CEP was glad to see affirmations in the Plan of UCSC's commitment to excellent undergraduate education, and to see acknowledgement (in several places) that current capacity issues must be addressed at least in part by means of permanently allocated FTE.

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<sup>3</sup> Committee on Planning & Budget Addendum to Comments on the Ten-Year Academic Plans, at <http://senate.ucsc.edu/cpb/indexplan.html>.

## **Conditions for UCSC Growth**

At the spring Senate Meeting CPB submitted a Report on Conditions and Strategies for Growth (available at <http://senate.ucsc.edu/cpb/>.) CEP was invited to respond to this document. Because we think the issues raised in our response are important, and the data we present are interesting, we include this response in full as Appendix II. The report highlights the effect of recent campus growth on class size and capacity issues.

## **Retention**

In the academic year 2005-06 the Senate passed a Resolution called for (among other things) “the Chancellor and Executive Vice Chancellor [to] work with the Division to establish a task force on retention that brings together those with interests and with authorities related to retention and graduation”. In response to this Resolution, at the end of fall quarter 2006 CEP received a request from the Senate Chair to propose a charge and membership for such a joint task force. After extensive consultations with Senate Executive Committee, the Campus Provost and Executive Vice Chancellor (EVC), the VPDUE, Deans and other members of the administration, CEP offered the proposal given below in Appendix I. This proposal is currently under review at the CP/EVC’s office.

## **Legislation**

### Topical Transfer

CEP proposed a change to SCR 10.2.2.3 that passed by majority vote at the fall Senate Meeting. The change eliminated a prohibition against using courses taken at other institutions to satisfy UCSC’s Topical “T” general education requirement. It also removed a policy of waiving the T requirement for transfer students (depending on the number of credits transferred). The effect of this change is to “regularize” policies regarding transfer of Topical courses credit with respect to those concerning transfer of most other general education courses. CEP has since been working with the campus Articulation Officer and the Acting Director of Admissions to clarify criteria for determining satisfaction of the T requirement through courses taken elsewhere.

### University Extension

CEP proposed changes to Santa Cruz Bylaw (SCB) 13.17.6, concerning the charge of CEP, which passed by majority vote in the spring Senate Meeting. The main result of the change is to clarify that CEP’s powers and responsibilities vis-à-vis University Extension (UNEX) Santa Cruz Division are analogous to its powers and responsibilities vis-à-vis the rest of the University. Among other particulars, the change removes oversight of the UNEX budget from CEP’s charge, since this is more appropriately overseen by CPB. In addition, CEP remains the “default” committee for UNEX matters that do not fall within the purview of any other Senate committee.

## **Graduate Student Instructors**

CEP revised its policies relating to the appointment of graduate students as primary course instructors (i.e., as Teaching Fellows or Associates In --; this discussion did not concern Teaching Assistants). Our main goal in making these changes was to simplify the approval process where possible while maintaining the oversight mandated by Senate Regulation (SR) 750. After consulting with campus units, the major outcomes of this policy review were the following. (See the full policy statement at <http://senate.ucsc.edu/cep/ceppolicyindex.html>.)

1. CEP will no longer review appointments for lower-division courses, so long as the proposed graduate student instructor has advanced to candidacy and meets other basic requirements. (SR 750 requires CEP oversight of appointments in the case of upper-division courses.)
2. The lead time required for approval by CEP has been considerably shortened.

## **Enforcement of C1/C2 Requirements**

SCR 10.2.2.1.d states that classes satisfying the C1/C2 requirements “shall usually be taken in a student’s first year and must be completed before the student enrolls in the 7th quarter.” Most students who are on the typical schedule will complete online enrollment for their seventh quarter during the spring term of their second year. Given class capacity issues, disallowing online enrollment for students who are enrolled in their C2 class during the spring or summer term of their second year can create severe difficulties for these students in securing space in fall classes. In formulating this Regulation, CEP’s original intent had been to allow students to complete this class the summer after their sophomore year at the latest.

For these reasons CEP approved the following interpretation of the Regulation: students who have not completed the C1/C2 requirements will be allowed to pre-enroll in their seventh quarter classes but will be required to complete the requirements prior to actually beginning their seventh term. The Registrar’s Office will drop students from classes at the beginning of the seventh term if they fail to meet these requirements. Students dropped in this way will not be allowed to return to UCSC until they have shown proof that they completed these requirements elsewhere.

In consultation with the campus Academic Advising Coordinator and the Council of Preceptors CEP recommended policies of student advisement and of details of enforcement.

## **External Reviews**

The Committee commented on four external reviews (Latin American and Latino Studies; Art; Electrical Engineering; Molecular, Cell, and Developmental Biology).

The Committee commented on charges for six external reviews (Community Studies, Anthropology, History of Arts and Visual Culture, Philosophy, the Writing Program, Environmental Toxicology).

## Programs

CEP provided feedback on, and eventually approved, a new BS degree in Biomedical Engineering. This program is notably interdisciplinary and will depend on a charter agreement among the relevant campus units.

For the first time, CEP also began reviewing proposed University Extension proposals. CEP reviewed proposals for, and eventually approved, certificate programs in Alternative Education, Early Childhood Special Education, Personal Physical Fitness, and Software Development for Aerospace and Defense Applications. It is worth noting that, according to CEP policy, at least one UCSC faculty member must be involved in proposing a new UNEX certificate program.

## Other

CEP approved new policies for the awarding of posthumous UCSC degrees and certificates (these can be found at <http://senate.ucsc.edu/cep/ceppolicyindex.html>); reviewed and approved UCSC's 2007-08 academic calendar; and sent representatives to participate in UCSC's Pandemic Planning Committee.

CEP consulted with the campus Health Center to provide faculty input on an important policy change: the Health Center will no longer routinely provide "sick notes" to students. CEP's report on this matter (submitted for the spring Senate Meeting) can be found at <http://senate.ucsc.edu/cep/reportsindex.html>.

CEP Subcommittees reviewed 238 new courses, 590 course revisions/substitutions/cancellations, 64 program statements, and 26 individual majors (new and revised). The full Committee discussed many of the significant proposed degree changes, all of which were approved, though some after revision to address issues raised by the Committee.

The Chair reviewed 636 petitions. Major categories included:

- Writing-Intensive Course substitutions (181). CEP is grateful to Sarah-Hope Parmeter, the Non-Senate Faculty representative to the Committee, who assisted a great deal in reviewing these petitions.
- Other general education waivers and substitutions (117). Most often involving the Topical or Introduction to the Discipline courses. [94]
- Modification of letter-grade option to meet the 75 percent requirement (16). Students were required to fully change the most recent quarter(s) that would address this problem.
- Miscellaneous other requests to change the grade option (57).
- Requests for a grade change (52). A number of these involve situations where the student received an incomplete although they were not passing the course as specified in SCR 9.1.6.
- Late add and drop requests (199).
- Miscellaneous other petitions (14). This number is down from the year before, most likely due to having enabled that 179.5 units be rounded to 180 units by the Registrar without involving CEP.

## Thanks

CEP would function poorly without the participation of its guests. For their dedication, expertise, and friendly patience we thank Acting Director of Admissions Michael McCawley; Articulation Officer Barbara Love; Stacey Sketo-Rosener of the Council of College Preceptors; and Academic Editor Margie Claxton. Vice Provost and Dean of Undergraduate Education Bill Ladusaw's great understanding of issues in undergraduate education, and his dedication to the cause, were continual assets to the Committee.

Without the CEP Analyst CEP could not function at all. Roxanne Monnet is a model of organization and attention to detail, and her experience and frequent insights about policy and procedure are indispensable. We are very grateful for her efforts and her dedication.

Respectfully submitted,

## COMMITTEE ON EDUCATIONAL POLICY

Heather Bullock

Russ Flegal

David Helmbold

Pamela Hunt-Carter, *ex-officio*

Anatole Leikin

Loisa Nygaard

Jaye Padgett, Chair

Flori Lima, SUA representative

Joel Ferguson, Provosts' representative

Sarah-Hope Parmeter, NSTF representative

George Zhang, SUA representative

August 31, 2007

## **Appendix I: Proposal for Administrative Task Force on Retention and Graduation**

Despite recent improvements, UCSC's graduation rates remain below the UC average. The attrition rate of first and second year students is a primary cause of this problem. No single solution can increase retention and graduation rates, and UCSC's success in this area will require ongoing monitoring and innovation. For this reason, the Academic Senate passed a resolution on retention and graduation in May 2006 that included the following charge:

"That the Santa Cruz Division requests the Chancellor and Executive Vice Chancellor work with the Division to establish a task force on retention that brings together those with interests and with authorities related to retention and graduation."

### **Core Task Force Membership**

Chair: Vice Provost and Dean of Undergraduate Education  
Co-Chair: CEP Chair or Representative  
Director of Institutional Research  
Director of Admissions  
Representative for Vice Chancellor, Student Affairs  
SUA Representative

### **Consulting Members**

College Academic Preceptor  
College Provost  
Department Chair  
Dean Representative  
Director, Learning Support Services  
Chair, CAFA (or representative)  
Registrar

Core Task Force Members will meet once each quarter with Consulting Members to review progress toward benchmark retention and graduation goals.

### **Charge**

The Task Force will collect, analyze, and publicize data on retention and graduation rates. The Task Force will also encourage the adoption of strategies for improving UCSC's retention and graduation rates.

Specifically, the Task Force will be charged with:

- identifying and promoting strategies for improving retention and graduation rates particularly among lower division students who seek academic challenge (e.g., honors programs)
- examining how various aspects of the first-year experience (e.g., college core courses, campus engagement) are related to student retention
- working with programs and departments to clarify degree objectives and opportunities that foster early engagement and retention in the major
- investigating how performance in major preparation and gateway courses, including writing, mathematics, languages, physics, and chemistry, is related to retention and graduation
- setting benchmark graduation rates and reviewing progress toward these goals
- obtaining information from continuing and departing students about their commitment to graduating from UCSC and their reasons for remaining at or leaving UCSC
- identifying necessary data for tracking retention (e.g., time series analyses across divisions and majors, involvement across programs)
- fostering effective coalitions and information sharing among campus groups, student, staff, and faculty involved in undergraduate retention
- designing and assessing pilot studies of how campus, academic divisions, colleges, student affairs, departments, and other units can increase retention

### **Reporting**

The Task Force will report annually to the Campus Provost and Executive Vice Chancellor in May, who will ensure proper consultation with the Academic Senate.

## **Appendix II: CEP's Response to CPB's Conditions for Growth Report** (Addressed to Senate Chair Crosby)

CEP has reviewed and discussed the Committee on Planning and Budget's (CPB) Report on Conditions and Strategies for Growth, and we take this opportunity to provide our feedback on it.

First of all, we would like to thank CPB for its considerable work in formulating this report, and for consulting with CEP along the way. We see this as part of an effort by our leadership—Senate and Administration—to base planning more effectively on academic goals and data-driven assessment.

The CPB report reaffirms the previously established goals of bringing graduate students to 15 percent of the student population and increasing Instruction and Research space on campus. Regarding the first goal, we strongly agree with CPB that graduate growth should be approached in ways that maximally benefit undergraduate education, and that reaching the 15 percent goal in this way is more important than reaching the goal soon. The most obvious way to synergize graduate and undergraduate education, as CPB notes, would be to synchronize graduate and undergraduate growth within disciplines so that undergraduates could benefit from the TAs and research opportunities that follow. This implies not only that we consider effects on undergraduate programs when we plan graduate growth, but that we also consider ways of encouraging undergraduate enrollment where graduate resources already exist. It seems to us that this latter strategy, of shaping disciplinary undergraduate enrollment trends, should be an important theme in future discussions of growth and planning.

A major point of the CPB report is that planning should be based on data by division and program so that we are in a position “to accommodate and distribute our undergraduate student population”. Furthermore, planning should be guided in part by enrollment targets by division or program. We agree with CPB that this should not imply a “false symmetry” across divisions and programs. However, it does imply that the campus should have a transparent and informed discussion about the bases—pedagogical and other—of our targets and the reasons for differences between units.

The CPB report also stresses the need to redress undergraduate resource and capacity issues that have arisen in our period of growth. Whether we return to something like the “Managing Faculty Resources” model or not, it is imperative that we find ways of better aligning faculty and undergraduate populations. Though Instructional Workload allocations will play a role in doing this, the health and stability of undergraduate programs depends crucially on senate faculty presence. Once again, aligning resources and students needn't be a matter simply of allocating faculty where capacity is an issue; it could be as much a matter of *guiding* enrollment distribution. Having said this, we must acknowledge that we have only so much power to do the latter. In line with its desire to do data-driven planning, the campus would do well to study trends in student majors at similar universities across the country, in order to place us in a better position to anticipate needs.

CPB suggests a range of criteria by which we might assess the effects of growth, and react accordingly. The report proposes as central criteria *time to degree* and *retention rates*. CEP

agrees. Note however that time to degree and 6-year retention rates are both lagging indicators of institutional success. For this reason CEP agrees with Vice Provost/Dean for Undergraduate Education Bill Ladusaw that we must include first- or second-year retention as central measures of success as well. Given recent data from the Committee on Admissions and Financial Aid strongly suggesting that next year's entering frosh cohort will be less prepared than that of past years, there is more reason than ever to find early measures of success that will allow the campus to respond to needs as quickly as possible.

Perhaps in response to suggestions from CEP, the CPB report also suggests *class size* and *faculty-student ratios* (among others) as measures of success. It is worth considering how measures like these differ from time to degree and retention rates. The latter measures, and particularly retention rates, are arguably the most valuable in providing a kind of 'bottom line' summary of quality: what matters most, one might argue, is whether students remain and get the degree. Though this is true, there are many factors that affect retention and time to degree, and without an equal consideration of other factors it may be impossible to know what measures to take in order to *improve* retention and time to degree. Furthermore, though retention is indeed important, retained students might differ enormously in how satisfied they are with their experience at UC Santa Cruz. Factors such as class size and faculty-student ratios, as well as TA-student ratios, are from this perspective at least as important. In what follows we present some data and discussion on class size and, indirectly, faculty-student ratios.

Figure 3 (appended to this report) provides data on the change in number of courses taught at UCSC since 1999-00, broken down by division and by level: graduate vs. undergraduate.<sup>4</sup> All data discussed in this report exclude lab courses, since enrollments in those courses are necessarily restricted and so more straightforwardly tied to enrollment. The major trend that stands out across all divisions except PB Sci is that the number of graduate-level offerings has increased faster than the number of undergraduate offerings (which in the case of PB Sci and Humanities have not increased at all). Since this has been happening at a time when undergraduate enrollments have grown far faster, one might suppose that this trend could have negative consequences for undergraduate capacity, course size, or both.

The data in Figure 4 attempt to relate increases in course offerings to trends in student workload FTE over the same period, again by division and by course level (graduate vs. undergraduate). Changes are now stated in terms of percentage of 1999-00 figures, in order to make this comparison. Comparing these two trends allows us to make more confident inferences about likely impacts on course size and capacity. We note, first, that growth in graduate course offerings has outpaced growth in graduate student workload FTE in three divisions: in Engineering and more dramatically in Arts and Social Sciences. In contrast, workload far outpaced growth in graduate course offerings in Humanities and PB Sc. On the other hand, at the undergraduate level, growth in course offerings lagged behind workload increases in *every* division for this period. The data are summarized in Figure 1 below for 1999-00 vs. 2005-6. (Shading indicates areas in which course offerings lagged behind workload.)

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<sup>4</sup> All data presented here are based on reports provided to CEP by the Office of Institutional Research and Policy Studies. The data on number of classes by level, division, and class size were provided to CEP at CEP's request. Student workload FTE and enrollment data are available on the IRPS web site. All graphs were done by CEP.

Figure 1

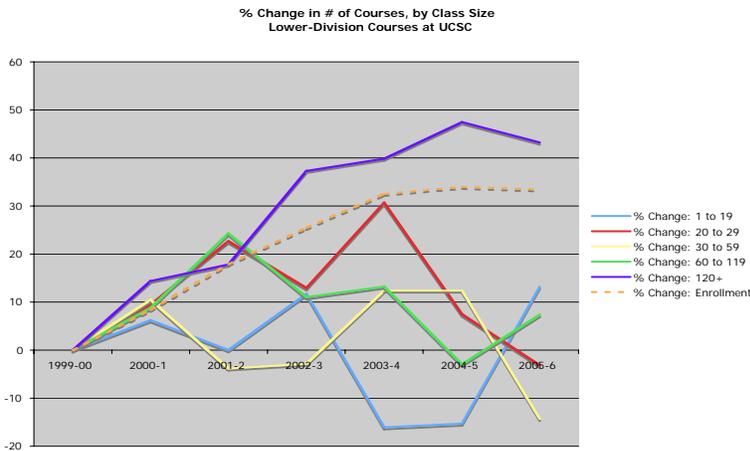
Percent increase in number of courses taught vs. student workload FTE, 1999-00 through 2005-06

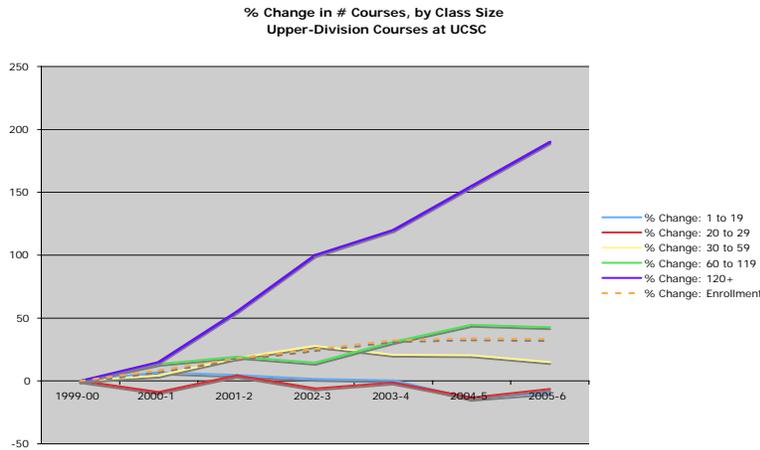
	Undergraduate		Graduate	
	# Courses	Workload	# Courses	Workload
Arts	4	28	383	150
Engineering	48	59	136	96
Humanities	-1	31	16	64
PB Sci	-4	38	-8	49
Soc Sci	14	33	99	50

The graphs below, copied from Figure 5, focus on undergraduate course offerings. This time the data are for the whole campus, but now broken down by lower- vs. upper-division course levels. In addition, the data are now further broken down into five class size categories (1-19; 20-29; 30-59; 60-119; and 120+). The dependent variable is once again percent increase in number of courses taught, and for comparison purposes we include the percent increase in campus undergraduate enrollment over the same period. (We use the same enrollment data for both graphs.) As can be seen, the only size category that has kept pace with enrollment increases, and in fact far exceeded them at the upper-division level, is the 120+ class size category.

Figure 2

Percent Change in Number of Courses Taught at UCSC  
 By Class Size and Level (Lower-Division vs. Upper-Division)  
 (Excludes labs)





What have these trends meant for the proportion of classes offered within each size category over this period? Figure 6 compares 1999-00 proportions to those of 2005-06, for the whole campus again. (The reader can find the same data broken down by division in Figure 7.) At the lower-division level the proportion of classes of size 120+ increased from 12 percent to 16 percent, a one-third increase; that of the next size category, 59-119, remained flat, while all other size categories fell. At the upper-division level, the proportion of classes smaller than 30 fell, while the larger categories grew. The largest category grew from 2 percent to 6 percent of the total, a threefold increase.

In the above discussion we have deliberately avoided reporting or normalizing data in terms of budgeted faculty FTE, instead focusing on the number of classes taught and class size. This is because we are interested in assessing not abstract budgetary outcomes but the *quality of the undergraduate experience*. Number of courses offered (vis-à-vis workload) and class size are relevant to quality, and ultimately to retention and satisfaction with the undergraduate experience, in several well understood ways. First, when growth in enrollment outpaces growth in course offerings we see an increase in capacity problems, as has indeed occurred in recent years. Second, when students do succeed in getting needed classes, these classes are on the whole bigger. There is certainly a place for large classes at the University. Nevertheless: student-faculty contact has an important effect on retention and success; in smaller classes faculty are more likely to assign and evaluate tasks that are time-intensive but require deeper engagement with material; large classes necessitate reliance on lectures and minimize opportunities for active engagement of students; at the same time, delivering lectures is perhaps the worst way known to impart knowledge and learning; for certain kinds of class, such as foreign language classes and those with an emphasis on writing, there are intrinsic reasons why class size limits are indispensable; and so on. We should recognize that increasing the proportion of large classes (all else equal) can do little to improve education, and could possibly do much to degrade it. This fact can be only somewhat ameliorated by reliance on more teaching assistants.

On the other hand, our focus on these particular measures (number of courses vis-à-vis workload, and class size) is not meant to imply that others may not be as good or better for assessing the quality of undergraduate education. Our main goal here is to raise the question of how we might

most directly or helpfully measure undergraduate educational quality; our goal should be to agree on what to measure and where the benchmarks or “triggers” are. We invite CPB and the administration to continue this discussion with us.

### **Summary of Recommendations**

We conclude with a summary of our recommendations:

- We strongly endorse CPB’s recommendation that planning be based on nuanced data obtained by division or program, and that the campus take strong action to bring permanent faculty resources and undergraduate enrollment into better alignment.
- With CBP, we reaffirm the importance of the I&R space and 15% graduate growth targets. The latter target should be met in a way that preserves or enhances excellence at the undergraduate level.
- We recommend adding 1- or 2-year retention to 6-year retention and time to degree as new measures of success.
- We strongly recommend developing other explicit, data-based measures of success that we can use to assess the quality of the undergraduate experience and to plan for the future. These may include but should not be limited to measures of class size and faculty-student ratio.

Sincerely,

### **Committee on Educational Policy**

Heather Bullock

Russ Flegal

David Helmbold

Pamela Hunt-Carter, *ex officio*

Anatole Leikin

Loisa Nygaard

Jaye Padgett, Chair

Joel Ferguson, Provosts’ Representative

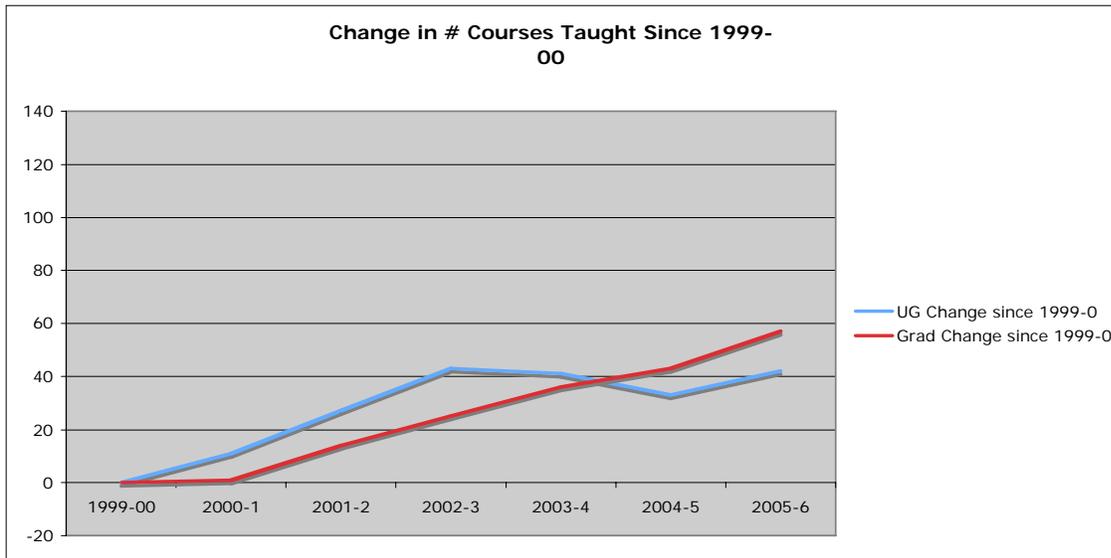
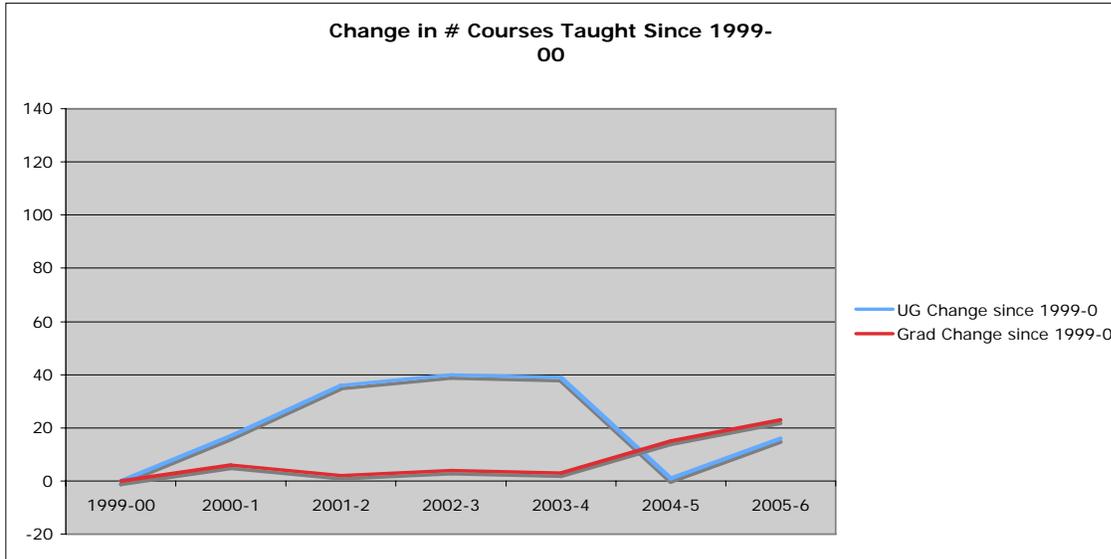
Flori Lima, SUA Representative

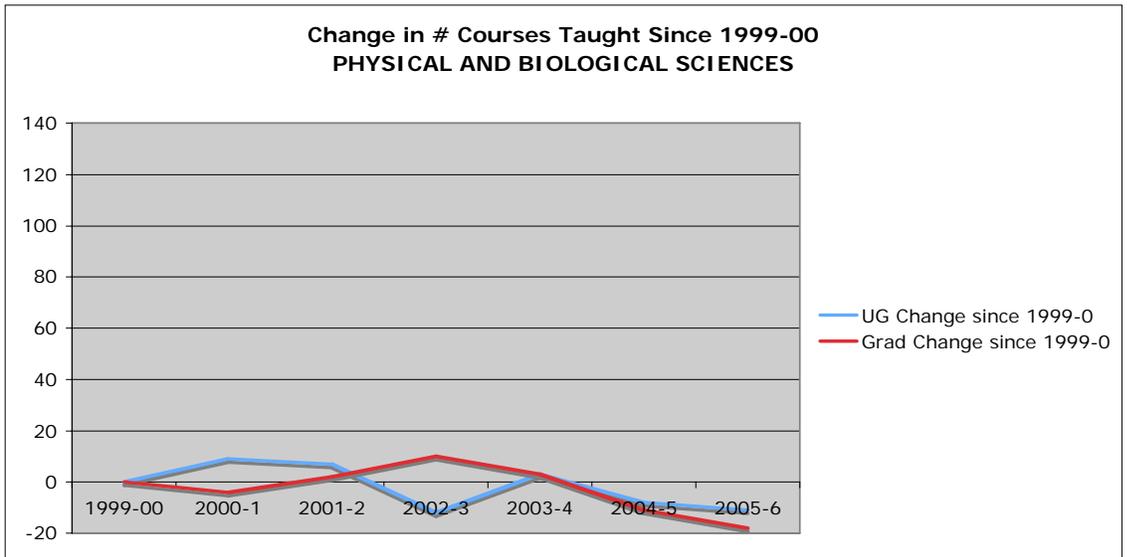
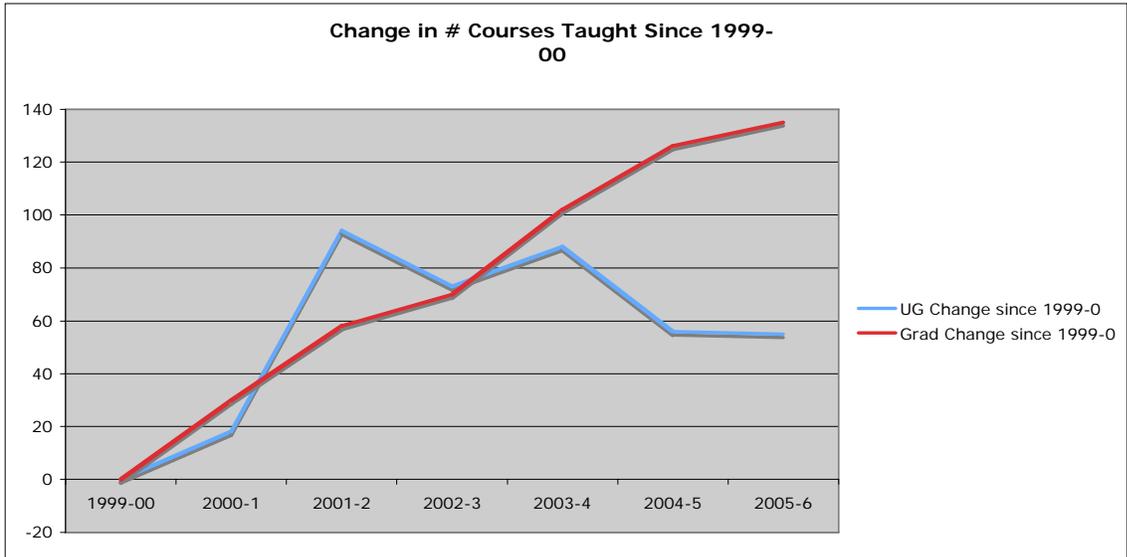
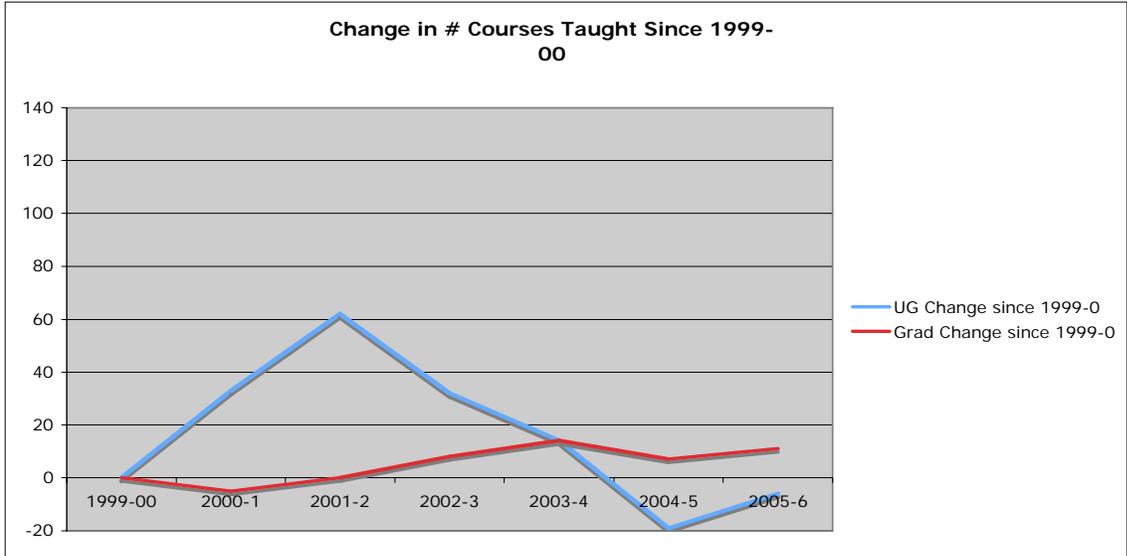
Sarah-Hope Parmeter, NSTF Representative

George Zhang, SUA Representative

**Figure 3**

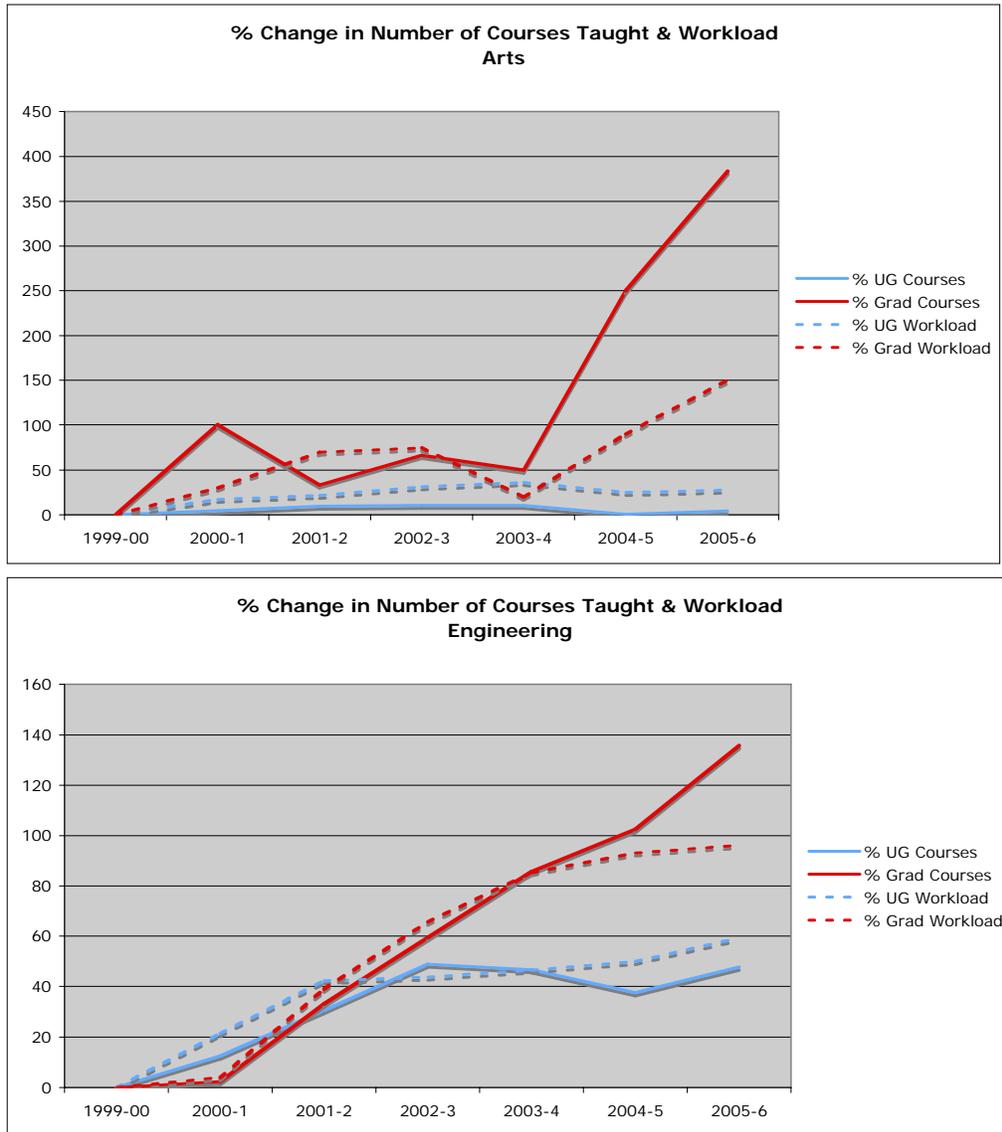
Change in Number of Courses Taught Since 1999-00  
 By level (Grad vs. Undergrad) and Division  
 (Excludes labs)

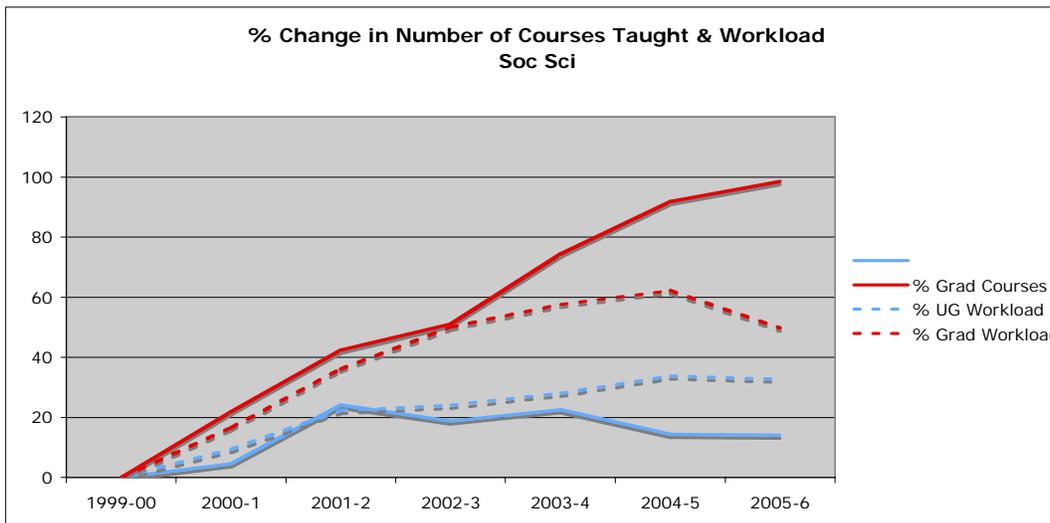
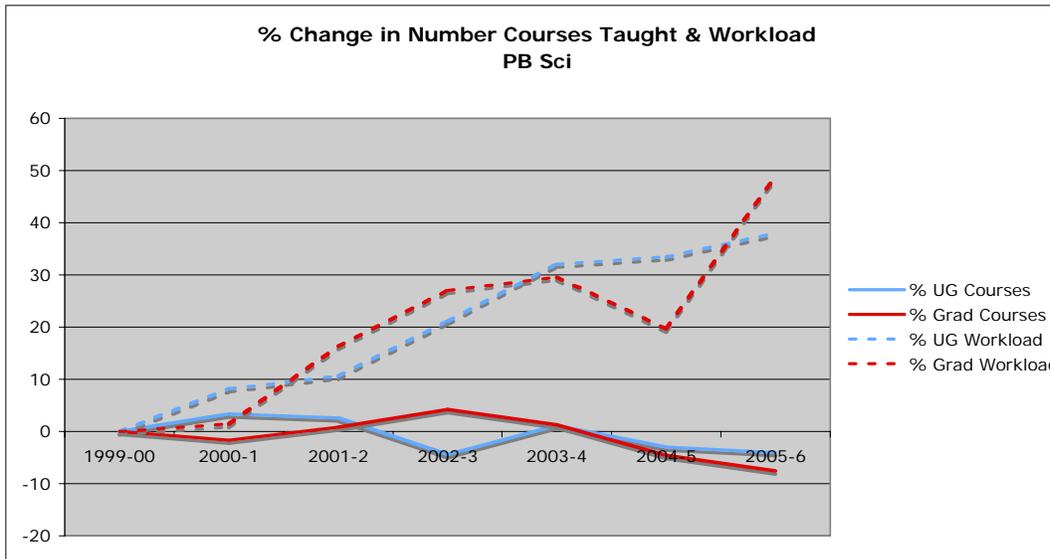
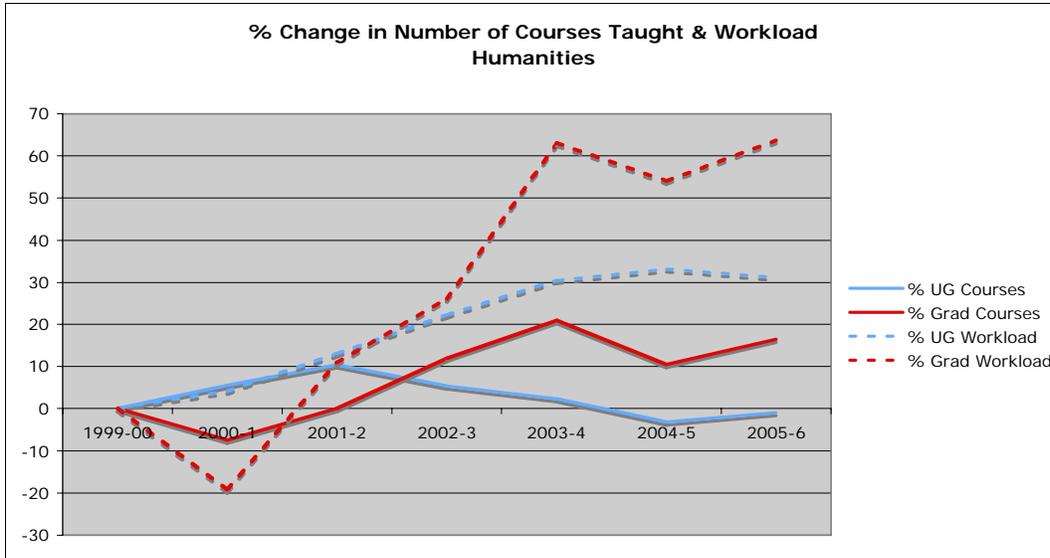




**Figure 4**

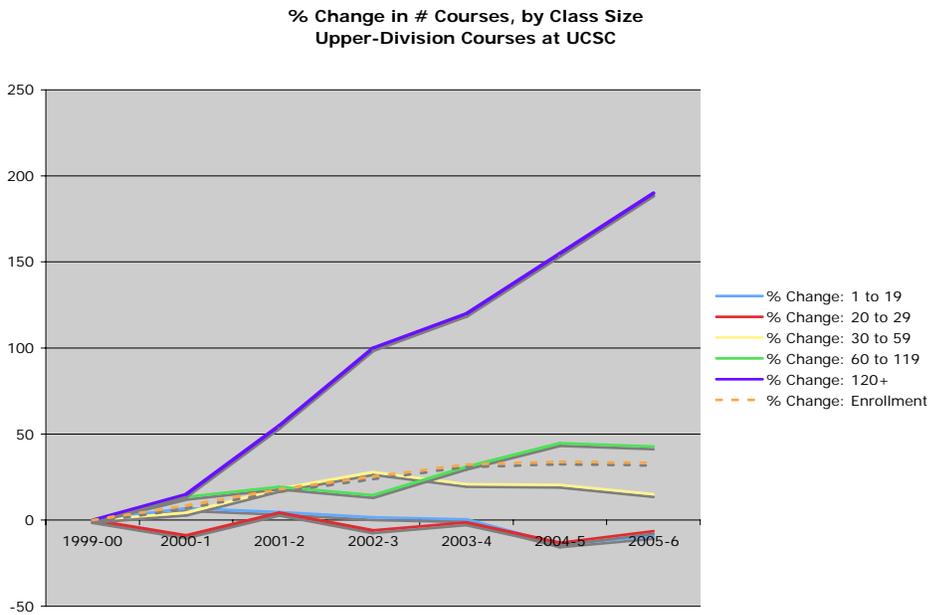
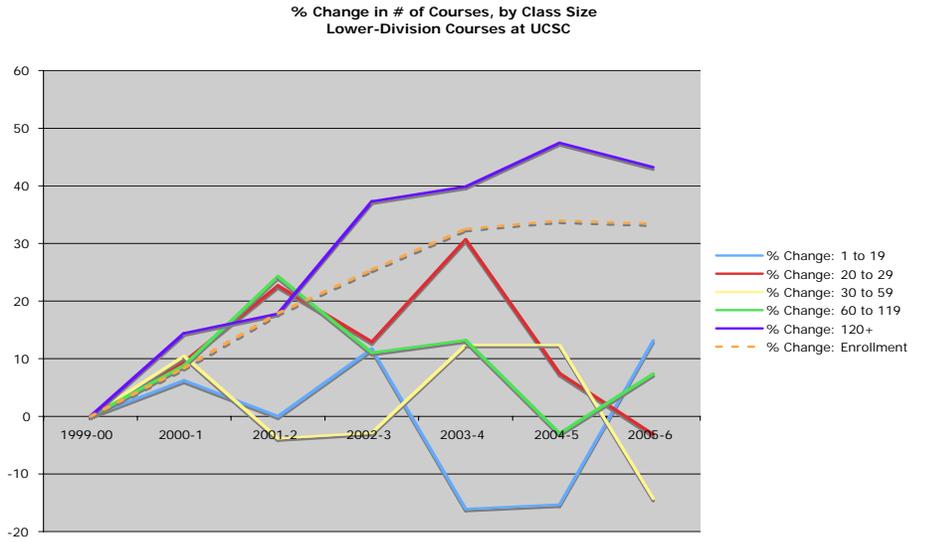
Percent Change in the Number of Courses Taught Compared to Workload  
 By level (Grad vs. Undergrad) and Division  
 (Excludes labs)





**Figure 5**

Percent Change in Number of Courses Taught at UCSC  
 By Class Size and Level (Lower-Division vs. Upper-Division)  
 (Excludes labs)



**Figure 6**

Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
 By Class Size and Level (Lower-Division vs. Upper-Division)  
 (Excludes labs)

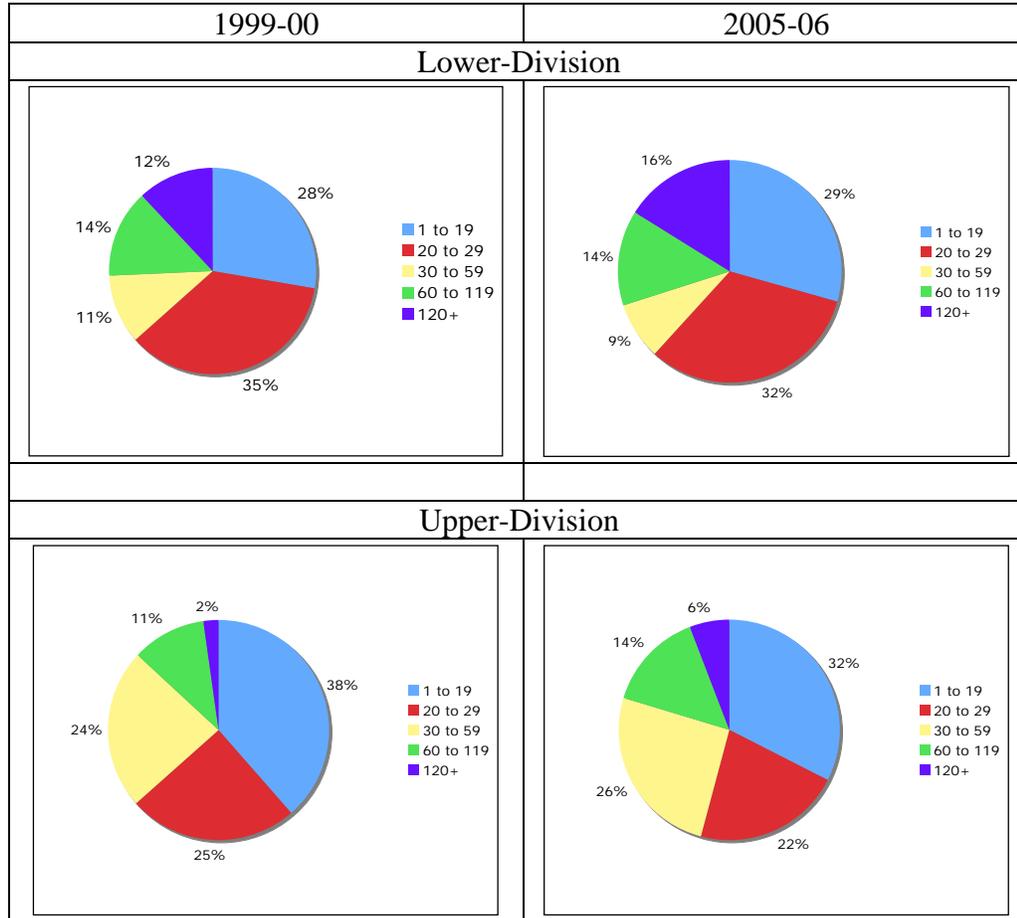
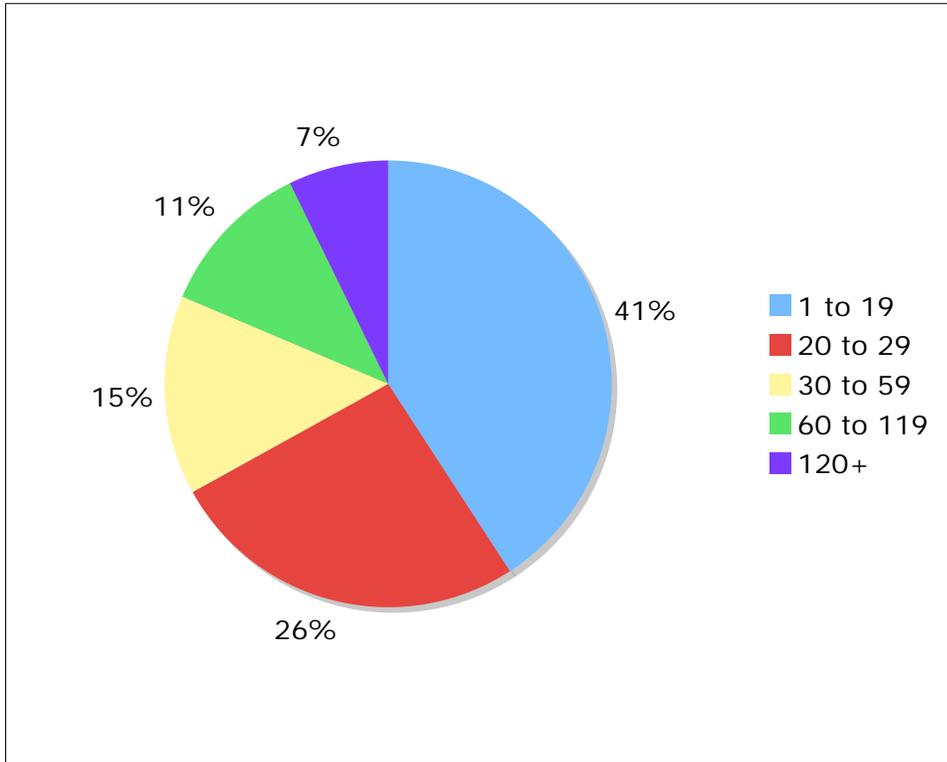


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Arts**

Lower-Div

1999-00



2005-06

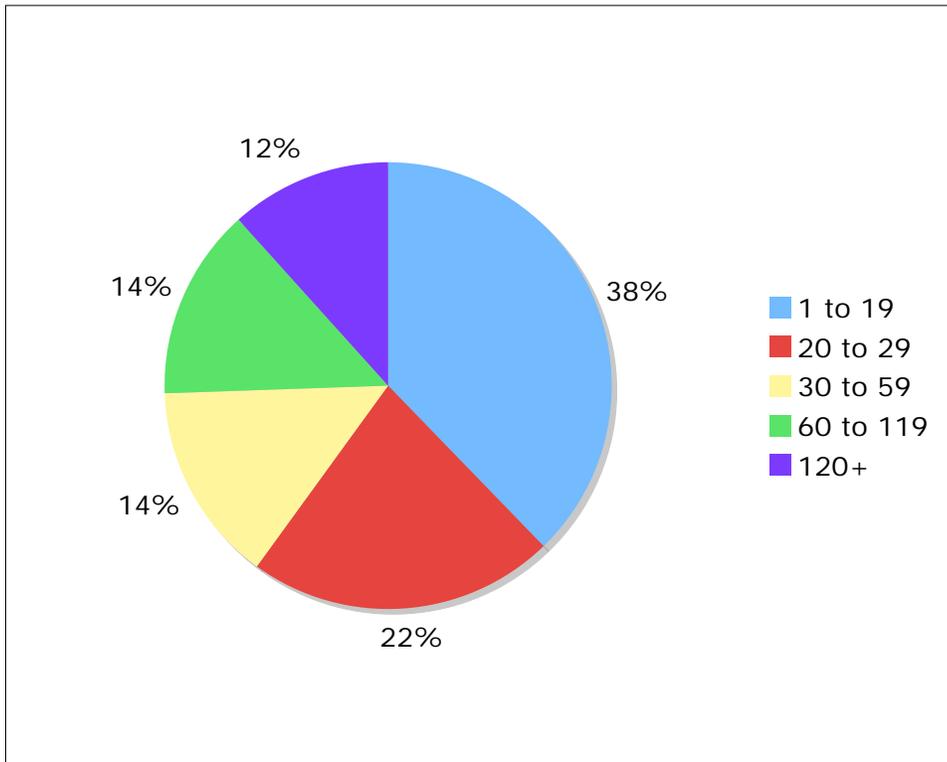
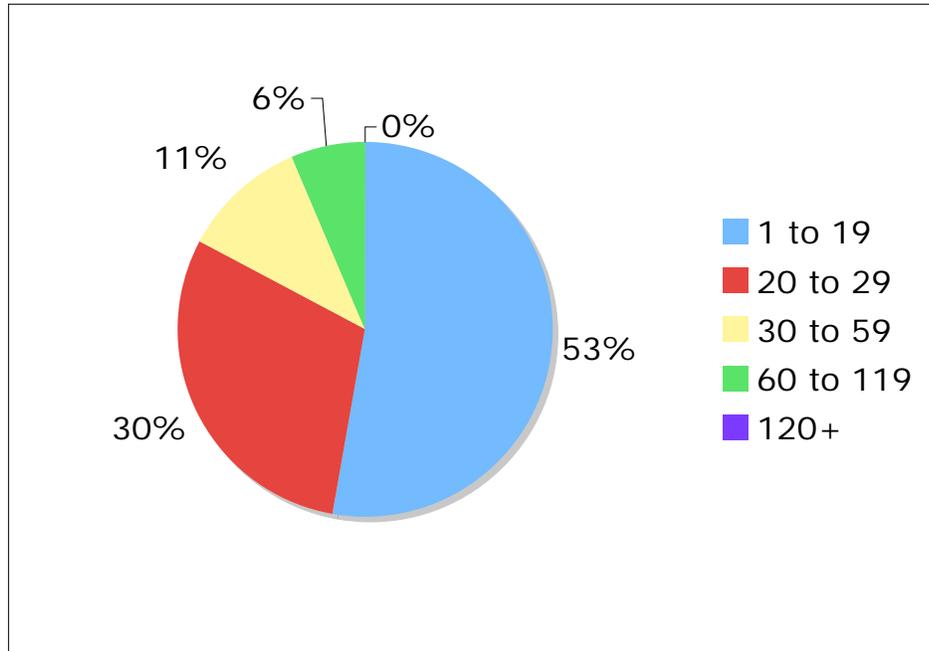


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Arts**

Upper-Div

1999-00



2005-06

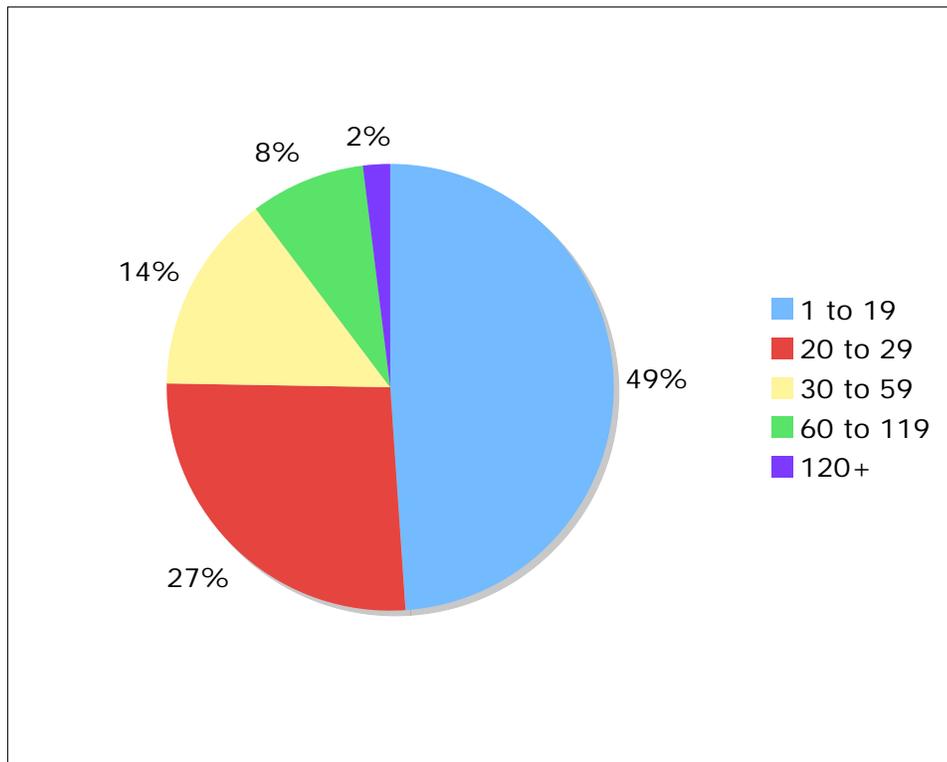
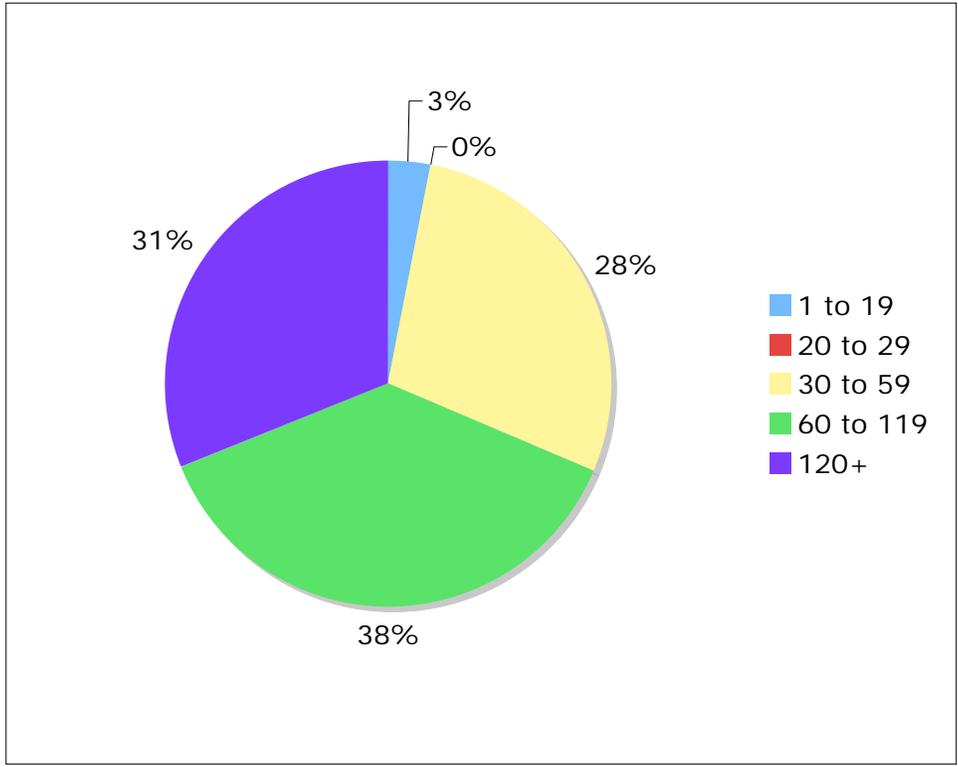


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Engineering**

Lower-Div

1999-00



2005-06

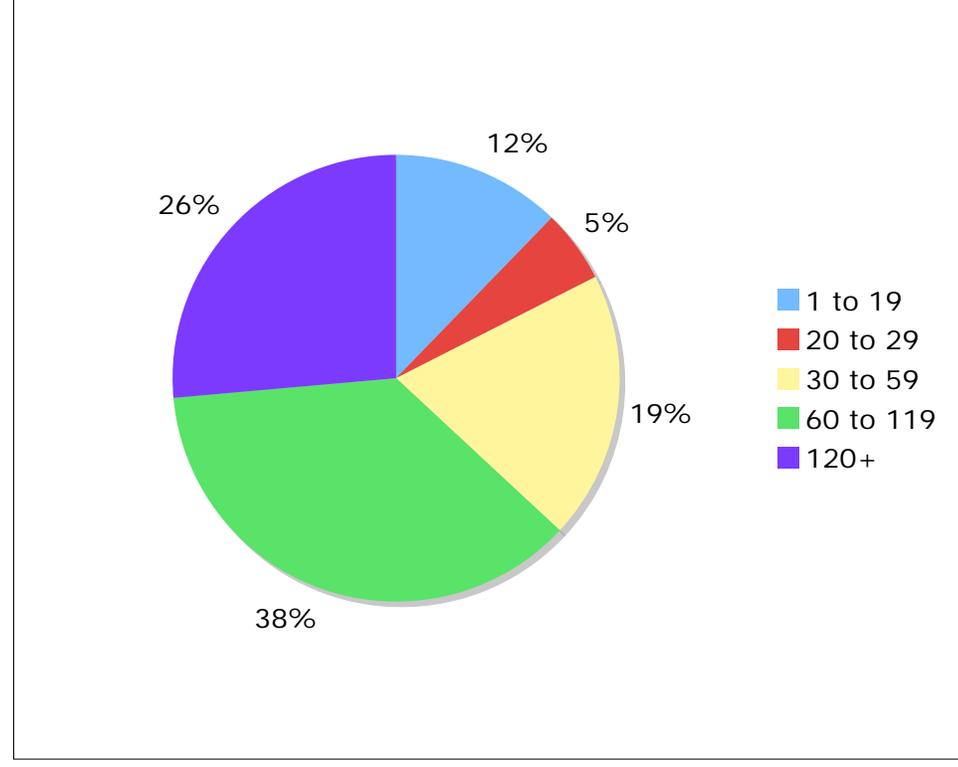
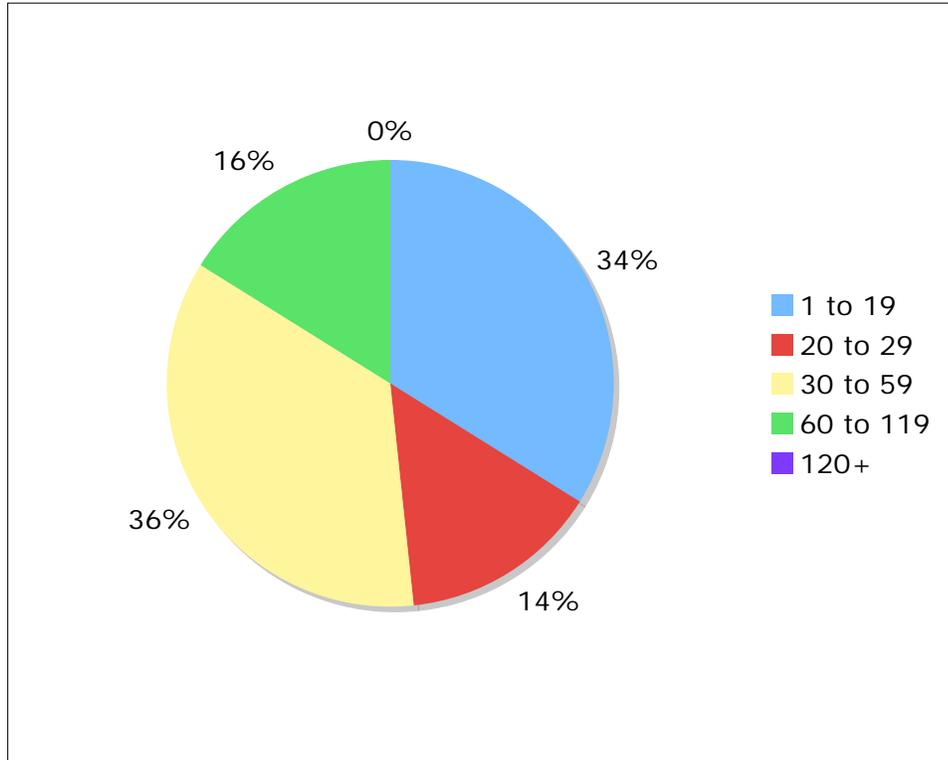


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Engineering**

Upper-Div

1999-00



2005-06

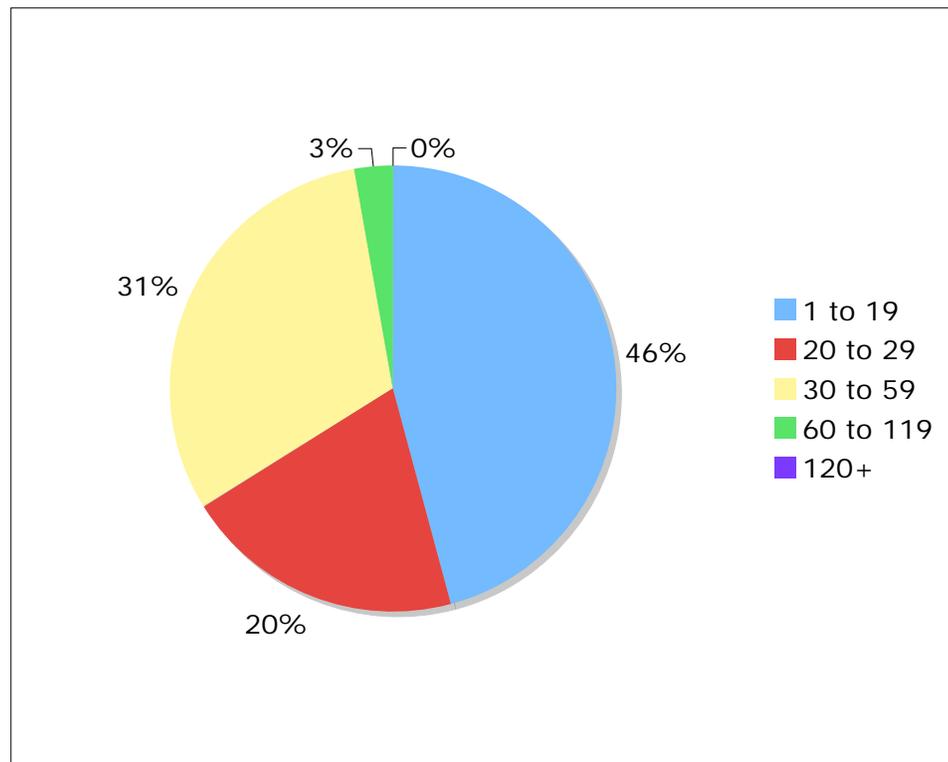
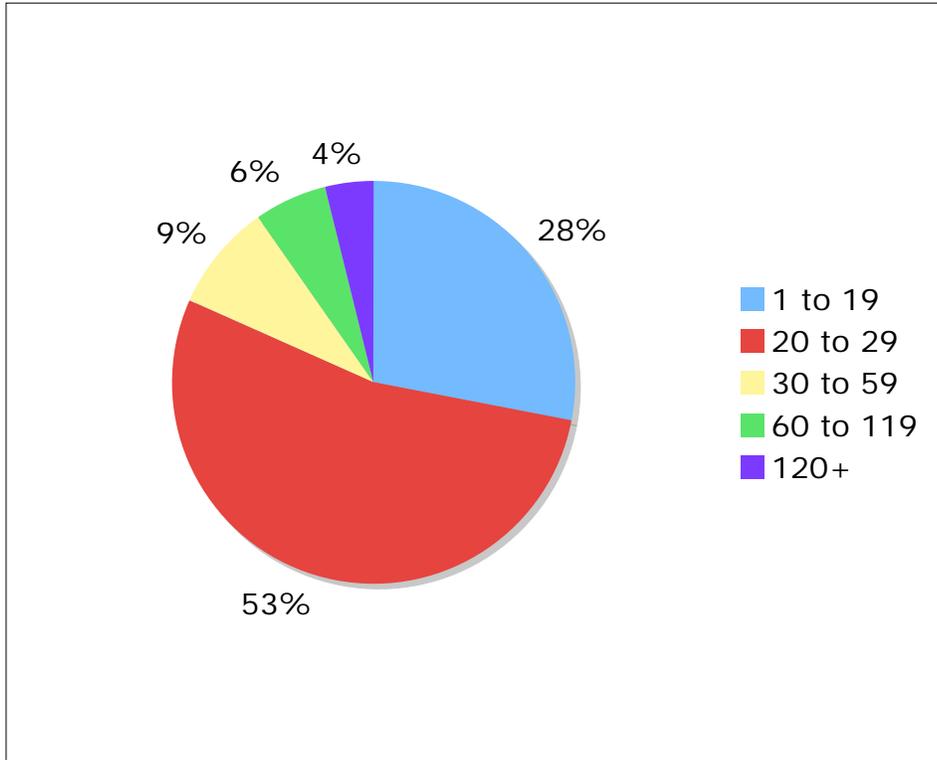


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Humanities**

Lower-Div

1999-00



2005-06

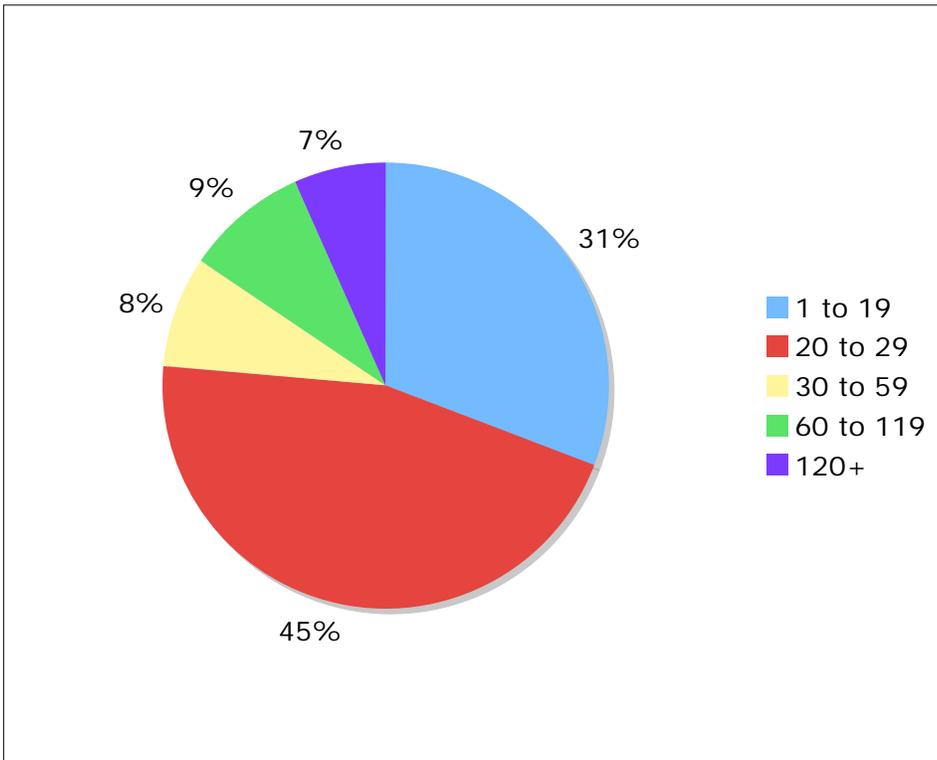
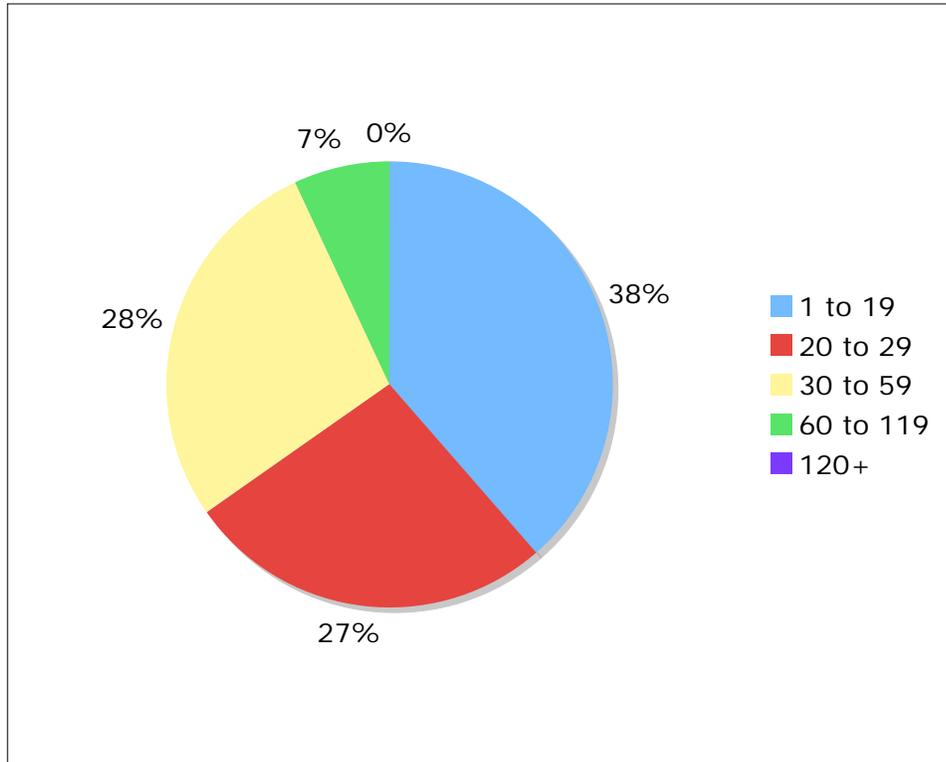


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Humanities**

Upper-Div

1999-00



2005-06

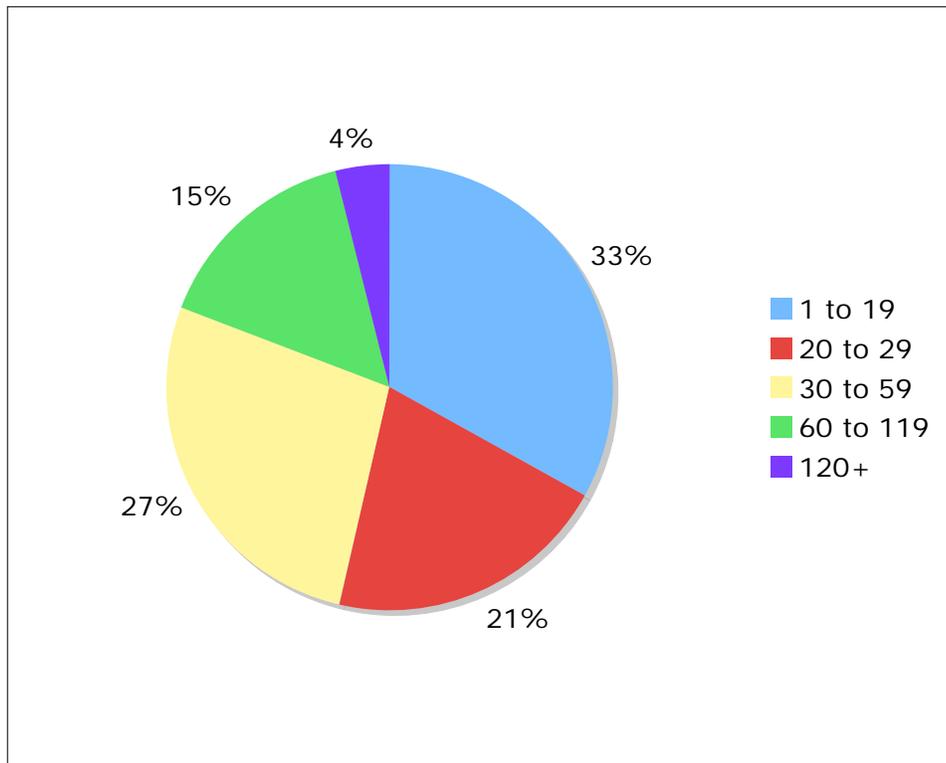
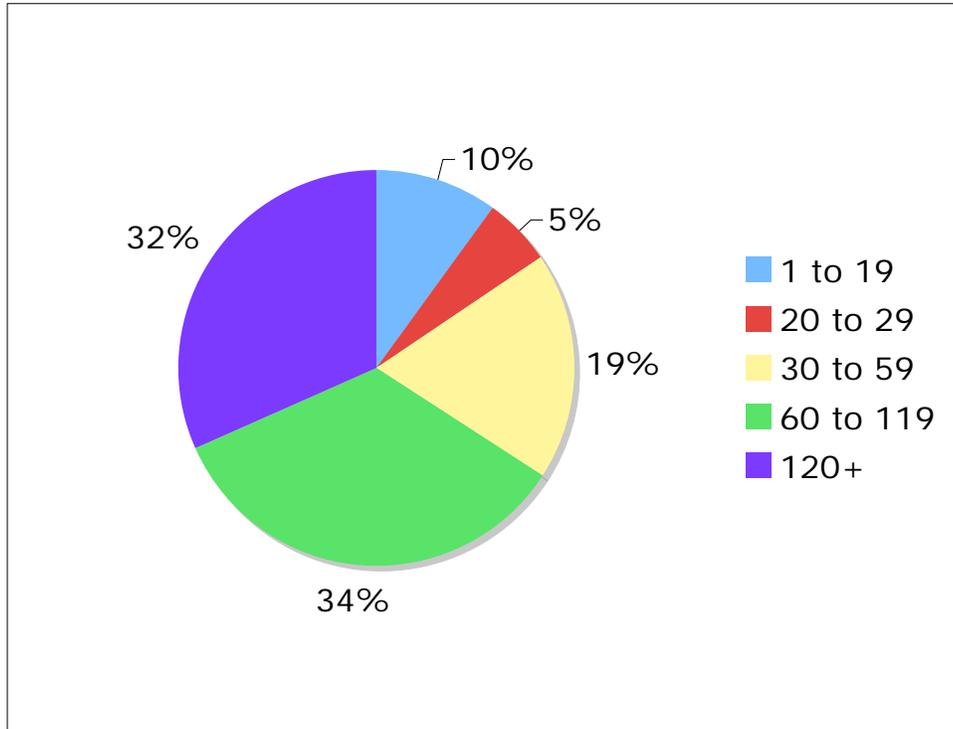


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**PB Sci**

Lower-Div

1999-00



2005-06

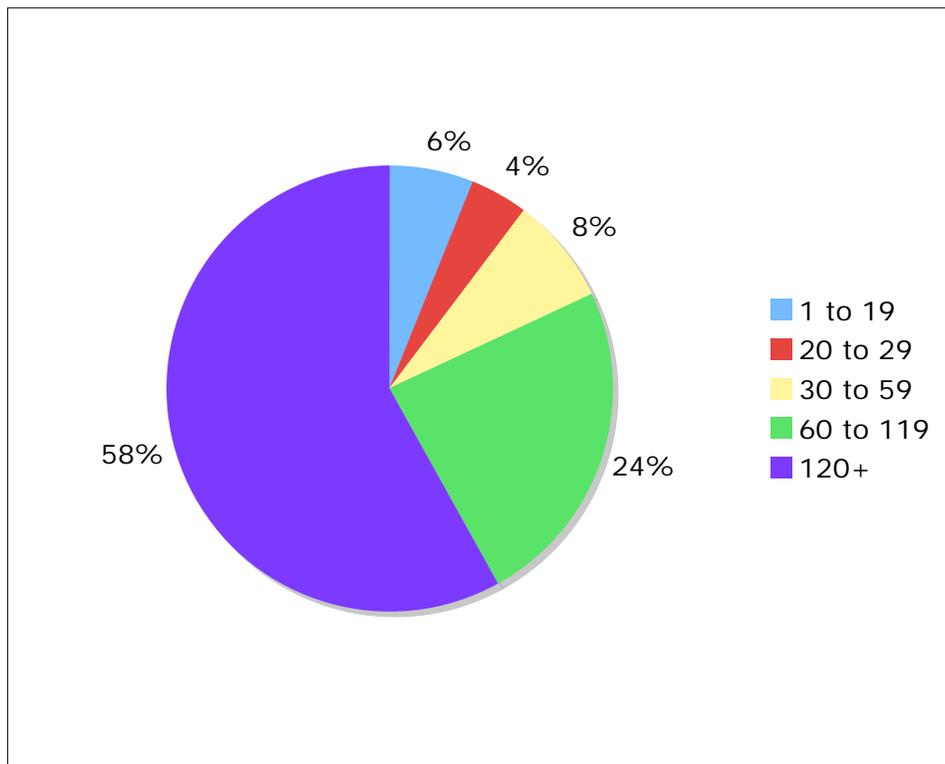
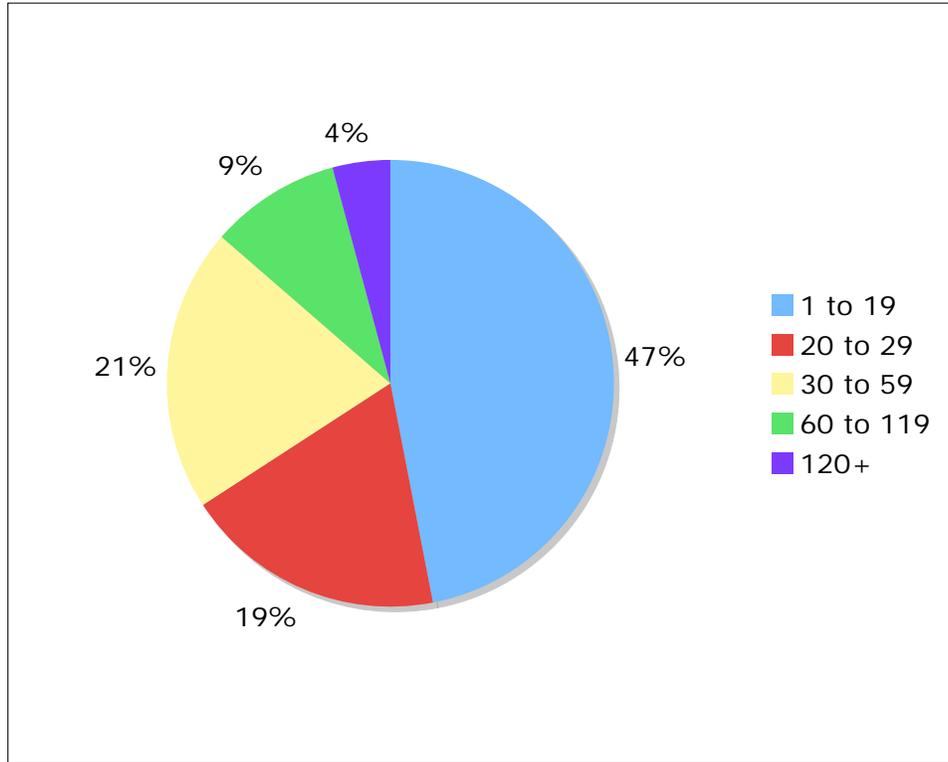


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**PB Sci**

Upper-Div

1999-00



2005-06

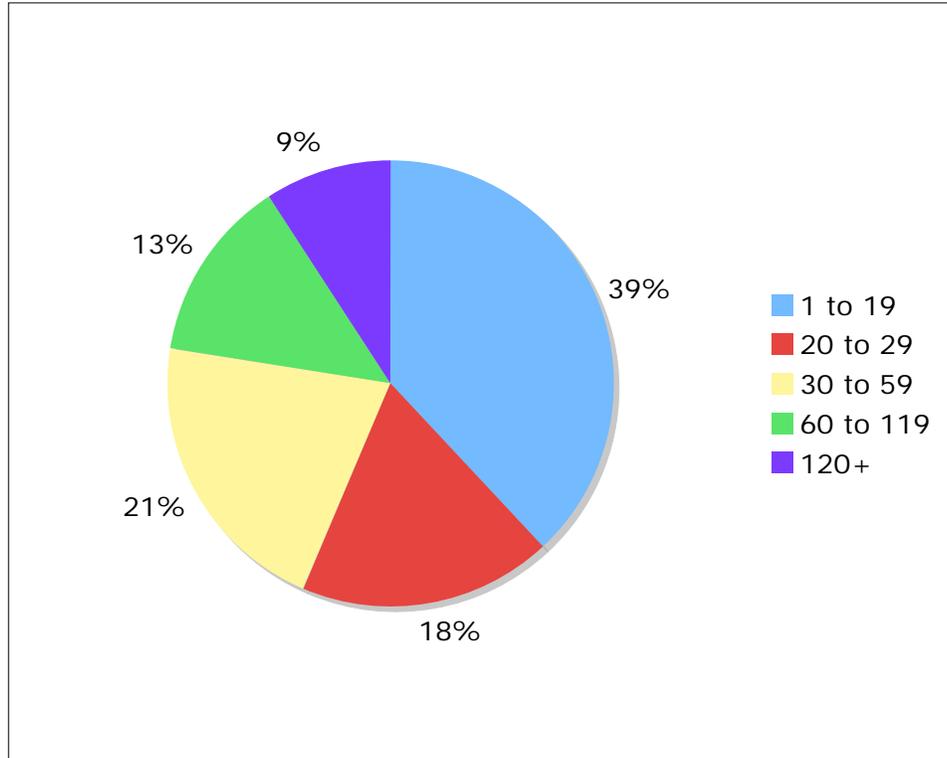
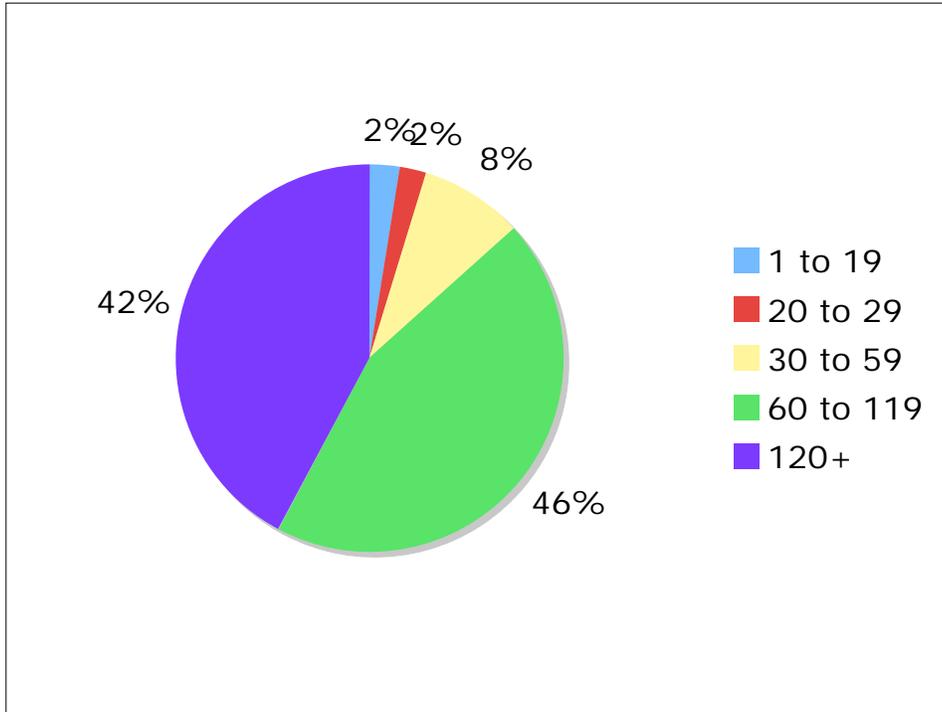


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

**Soc Sci**

Lower-Div

1999-00



2005-06

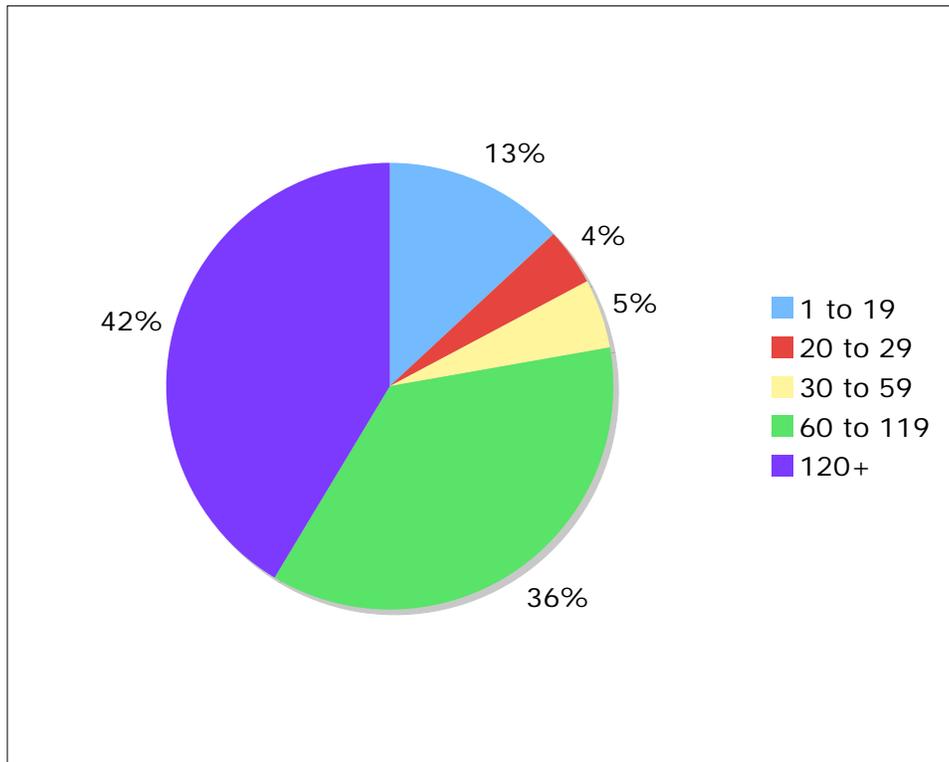
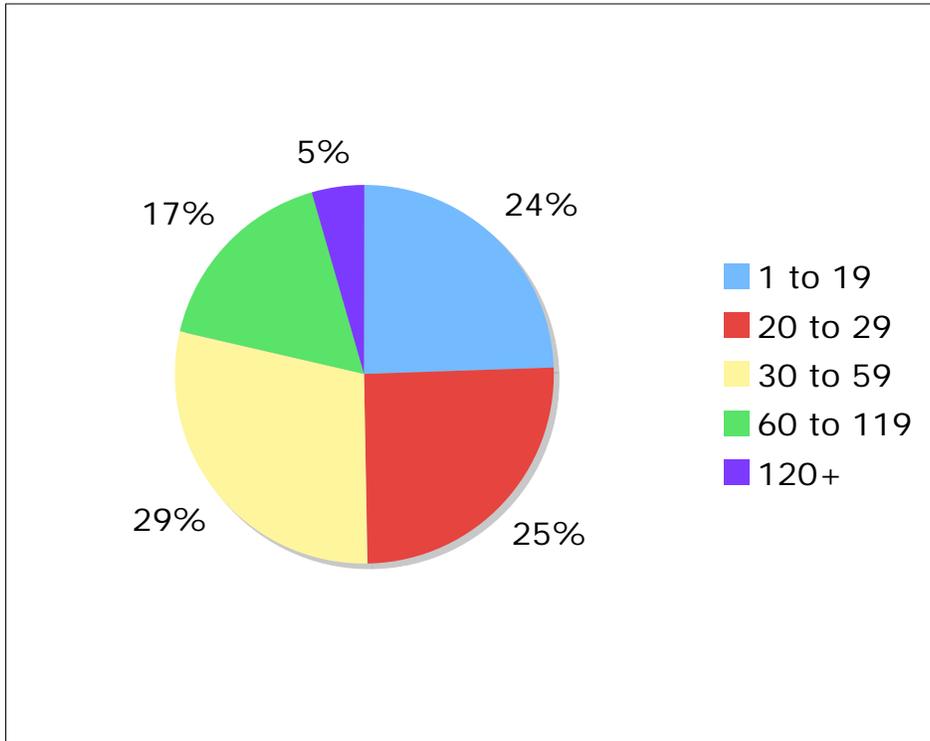


Figure 7  
Proportion of Classes Taught at UCSC in 1999-00 vs. 2005-06  
By Class Size, Division, and Level (Lower-Division vs. Upper-Division)

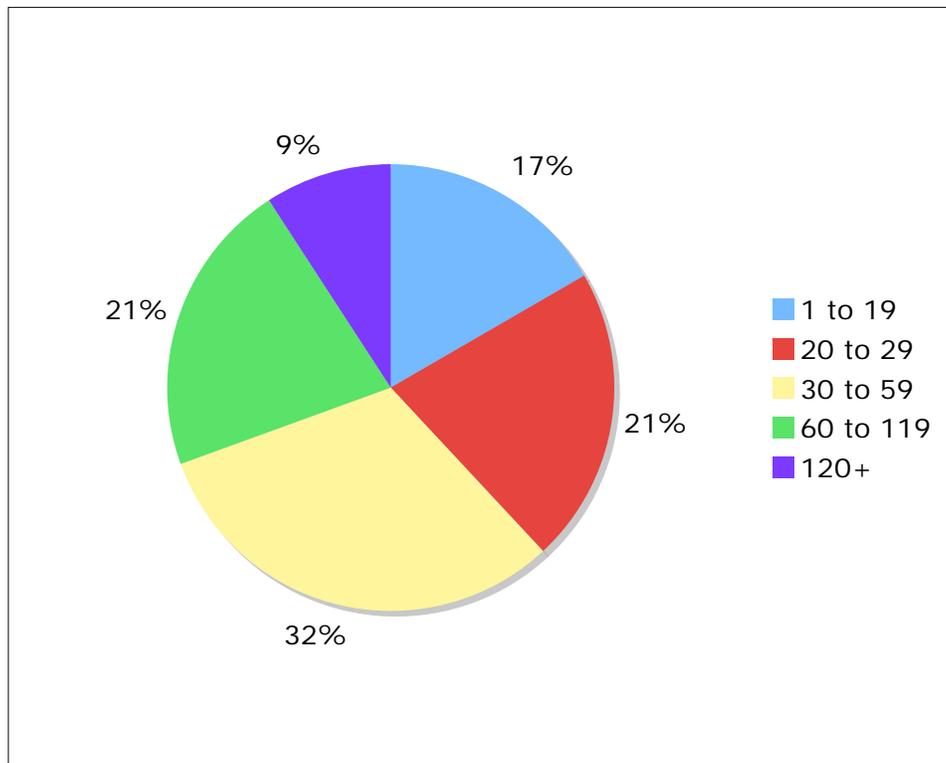
**Soc Sci**

Upper-Div

1999-00



2005-06



**COMMITTEE ON EMERITI RELATIONS**  
**Annual Report, 2006-07**

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.

In fall quarter CER completed its outstanding business from the previous year when it collaborated with the Vice Provost for Academic Affairs in establishing the procedures in accordance with which one academic division would each year appoint an emeritus professor to hold the Edward A. Dickson Emeriti Professorship. The Division of Physical and Biological Sciences has appointed Professor Emeritus Harold Widom to the position for the academic year 2007-08.

CER has concerned itself with issues of access to computer services for emeriti faculty. From time to time there are rumors of the discontinuance of e-mail privileges for emeriti faculty. The committee once more established that emeriti faculty are assured of e-mail privileges in perpetuity: only with such privileges can they be active members of the Academic Senate. After the end of the academic year the attention of CER was drawn to problems that some emeriti are encountering in relation to computer support. Some emeriti who are active either as researchers or as teachers recalled to service or as both have reported that, while their divisional computer support staff express the desire to continue to maintain their equipment, the absence of budgetary support for such service presents the staff with challenges. CER believes that the academic divisions should support the work of emeriti whose activities, whether in teaching, research, creative activities, professional activities, or service to the campus, enhance the reputation of UCSC and the quality of life on the campus. CER has written to the Committee on Computing and Telecommunications (CCT) to confer about this issue, which the incoming committee will continue to address. Throughout the year CER has continued to monitor the provision of dial-up modem service for off-campus users of the campus' Information Technology (IT) services.

The chair of CER served as an active member of the Campus Welfare Committee (CWC) and also frequently attended meetings of Committee on Faculty Welfare (CFW) as a guest. CER maintained close relations with CFW. CER continued to support CFW in its efforts to secure access to future Medicare benefits for current faculty not enrolled in Social Security. In consequence of representations from a number of Senate members during the investigation of emeriti e-mail access, and after discussions within the committees, CER and CFW wrote a joint letter to CWC requesting that similar e-mail privileges be accorded to retired non-Senate faculty and to retired staff; although neither CER nor CFW has any responsibility for these groups, both committees agreed unanimously to make the recommendation to CWC. At its May meeting CWC received the proposal with interest and will take the matter up a second time in the fall quarter.

In collaboration with CFW, CER sponsored two successful Brown Bag Forums for Retiring Faculty and Faculty Contemplating Retirement; CER would like to thank Pamela Peterson, Julie Putnam, Frank Trueba, Bill Clark, and Elaine Wedegaertner for participating. CER also conferred with Academic Human Resources (AHR) concerning the objectives and design of a more elaborate retirement workshop program that the Office of the President has authorized.

The Chair of CER maintained contact with the officers of the UCSC Emeriti Group.

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

Respectfully submitted,

COMMITTEE ON EMERITI RELATIONS

Bill Friedland

Nate Mackey

Michael Warren, Chair

August 31, 2007

## **COMMITTEE ON FACULTY WELFARE**

### **Annual Report, 2006-07**

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. Craig Reinerman 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 guided CFW through transitions in chairs as well as Committee members.

This year's Committee benefited enormously from its close relationship with the Committee on Emeriti Relations (CER) chaired by Professor Michael Warren. Professor Warren regularly attended CFW meetings and graciously volunteered to serve as CFW's representative to the Campus Welfare Committee. CER and CFW co-sponsored two successful Brown Bag Forums for retiring faculty and faculty contemplating retirement. These forums were well attended. It is very important that CFW and CER continue to maintain a close linkage because of the commonality of issues each committee deals with. In addition, CFW benefits from the "long view" that CER representatives possess regarding perennial quality of life issues that impact Senate members. For additional information relating to emeriti affairs, Senate members are referred to this year's annual CER report.

CFW acknowledges the openness and willingness of Campus Provost/Executive Vice Chancellor (CP/EVC) David Kliger and then Acting Chancellor George Blumenthal to meet with us and discuss faculty quality of life challenges throughout the year. We also would like to acknowledge the hard work and efforts that Senate Chair Faye Crosby put into helping us grapple with these issues as well.

#### **A Critical Moment for Faculty Quality Of Life**

This is a critical moment for faculty quality of life at UC Santa Cruz. There is universal agreement within the University of California system that our salaries need to be bolstered significantly to make up for the salary stagnation of the previous years. In general, medical costs and insurance co-pays have been increasing for the past several years. On top of this, the University of California Office of the President (UCOP) is determined to reinstitute employee contributions to our retirement plans. On the positive side of the ledge, UCOP and the UC Regents now clearly understand that faculty salaries must be raised across the board in order to keep the UC system competitive with its peer institutions. This is an important step forward. However, it is possible that the reinstitution of employee contributions combined with rising medical costs—not to mention the high cost of living in the Central Coast—will wipe out future salary gains unless UCOP takes decisive action to repair our salary structure.

CFW urges the Santa Cruz Division of the Academic Senate and the administration at UCSC to take faculty quality of life into consideration in all phases of future campus development including enrollment as well as campus growth in general.

In a related sense, faculty workloads have risen steadily while in many cases staff support positions have been cut in critical areas. The narrative of this work speedup is uneven across our academic divisions and departments. However, faculty from numerous departments report declining “steno pool” or faculty services support, increasingly thin informational technology assistance and unreasonably large discussion sections of 25+ students that negatively impact graduate student workloads and undergraduate learning.

In many cases, faculty are reporting unintended speedups. For example, as UCSC has moved towards emphasizing letter grades it has not adjusted its grading deadlines in line with best practices adopted by peer institutions. Consequently, final grades are often due only two or three work days after the end of final exams. This practice is apparently a holdover from the days when most grades were essentially “pass” or “fail.” In the spring, the quick turnaround in the time that grades are due after finals reduces the ability of many faculty to participate in commencement exercises. CFW suggests that the relevant Academic Senate committees including CEP, CPB, as well as SEC look into this problem during the 2007-08 academic year.

In addition, our entering cohorts of undergraduates need more academic support than ever including remediation in subjects including writing and mathematics. Faculty at UCSC cannot make bricks without straw. We are willing and excited to work with all of our undergraduates. However, UCSC clearly needs enhanced and expanded learning support services in order to take the pressure of increasing faculty as well as staff work loads in these areas. For these reasons, CFW joins the Committee on Admissions and Financial Aid in calling for enhanced learning support services at UCSC.

The Academic Senate and the administration must more effectively factor in faculty workloads at every step of campus development processes as well as in academic personnel cases. There is a perception at UCSC—and outside of our campus as well—that junior faculty at Santa Cruz conduct a much higher level of academic service than their peers at competing academic institutions. For example, by the time a junior faculty member approaches a mid-career review on this campus he or she is far more likely to have served on a departmental search committee or performed other time-consuming committee work usually reserved for tenured faculty at our peer institutions.

Simultaneously, many of our junior colleagues report being given contradictory advice by their academic mentors. On the one hand, they are advised that they are essentially “competing” for tenure with faculty at elite peer universities and should understand that research productivity, publishing, grants, etc., etc., are the keys to getting tenure. On the other hand, many of our junior faculty feel pressured into levels of academic service that take away from their ability to complete their research. For all of the above reasons, CFW suggests that the Academic Senate hold a special series of forums on faculty quality of life this year with workload issues being a key component of this discussion. The agenda of the forum should be controlled by the Academic Senate and the UCSC administration should also be invited to participate as well.

In recent years, we have been reminded on many levels that the academic and public stature of UCSC has risen dramatically. Our undergraduates routinely gain acceptance into the finest graduate and professional programs in the country, our graduate students are landing good jobs, and our faculty frequently outperform our colleagues at peer institutions—with less research support. The rise in our prestige is due in the main to the creativity and work of our faculty, staff, and administration. It is time that our salaries, benefits, and workloads catch up with our stature.

### **Child Care**

CFW met with Chancellor Blumenthal and Senate Chair Crosby twice during the academic year about the issue of childcare. We believe that these were very productive discussions. Chancellor Blumenthal reiterated his commitment to expanding childcare provisioning on campus, and we look forward to this becoming one of George's signature accomplishments as incoming Chancellor.

During spring quarter, CFW held an extended consultation with Chancellor Blumenthal as well as other key members of the administration in order to help “jump start” progress on expanding the scale and scope of childcare at UCSC. In addition, members of the Child Care Task Force and Child Care Advisory Committee, Child Care Director attended this meeting. We discussed numerous issues including where a new child care facility might be built on campus or whether existing building space would be adequate to the task. In addition, we brainstormed on how to spend existing funds, 2.7 million dollars that are available for child care as well as ways to raise additional needed funds in the future.

CFW members and other faculty at this meeting reiterated the belief that an expanded child care facility should include a research component that would in turn generate research as well as grant opportunities for faculty and graduate students in particular. We discussed the possibility of pursuing funding opportunities via foundations as well as the private corporations that have expressed interest in supporting cutting-edge family-friendly policies.

We discussed the possibility of collaborating with successful child care programs at Cabrillo College as well as town/gown partnerships. At the end of the meeting CFW asked Chancellor Blumenthal to make a strong, positive statement regarding child care at the May 30 Academic Senate Meeting. In addition, the Committee asked the Chancellor to work with the Development Office to make raising funds for child care a development priority. The Chancellor agreed to both suggestions. CFW looks forward to working with the Development Office on raising funds for child care.

### **Additional Structural Suggestions Regarding Childcare**

CFW urges the administration to examine the possibility of moving purview of child care from Student Affairs to Academic Affairs. Why? This might be especially viable if the forthcoming childcare facility has a research component and the additional faculty/staff slots provided in the new Child Care Access Policy.

The University Committee on Faculty Welfare's Proposed UC Policy, June 1999, on Child Care recommended that child care funds be set aside for each new building. This was a recommendation only and not funded. CFW has asked the administration to consider making this a policy in future building.

In 20 years there has been no increase in 19900 funds from the administration to fund child care. Obviously, the campus has grown significantly during the past twenty years. This needs to be addressed in the near future.

In a related sense, CFW strongly believes that whenever growth occurs—whether at divisional, college, or campus levels—childcare must be placed in the center of issues to be factored into growth. The failure to integrate childcare into campus growth plans in the 1990s and in the earlier part of this decade has placed UC Santa Cruz in the problematic position we are currently in. However, thanks to continued Academic Senate work as well as a new openness on the part of the administration, we are poised to make some breakthroughs in this area.

### **Housing**

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.

- Ranch View Terrace (RVT) construction has started and sales are progressing well. As of July 25, 2007, 53 offers have been made from the faculty wait-list, with 26 selecting sites (12 have deferred until Phase II). Of these 26 faculty that have selected sites at RVT, 12 are current home owners in the Cardiff/Hagar/Laureate community. These are significant numbers, especially the percentage of faculty interested in homes that are on the wait-list.
- The "Low-Interest Option" Supplemental Home Loan Program (LIO-SHLP) that was established by CP/EVC Klinger has been very successful, with 40 eligible faculty having applied since its inception in August, 2006. Of these 40, 13 loans have been funded at an average of \$44,000/loan. An additional 20 applicants have expressed an interest in purchasing Ranch View Terrace Homes (10 of these persons have already selected units to date).
- Based on the October 2005 Senate/Administration Employee Housing Report and input from the Senate, the CP/EVC has established various proposals to improve housing on campus. These proposals include determining if restructuring the Housing Administration to include a 501(c)3, modifying policies to encourage housing turnover (buying housing outright), modifying the LIO-SHLP procedures to increase its benefits, developing a plan for the next employee housing project and re-pricing (re-indexing) the current housing stock to generate funds for the LIO-SHLP program and the next housing project.

The final issue was the most controversial by far for CFW. The struggle was to determine fair housing prices that would still be affordable for the faculty but also generate funds to

help faculty on the whole to get housing (i.e. the LIO-SHLP and the next housing project).

The Senate Executive Committee (SEC) directed CFW to negotiate with the administration to set total housing costs of the two-bedroom units to no more than 40 percent of the total gross income of an average assistant professor (\$64,000/year). We would like to note that one of the main assurances we had from the administration that helped soften this price increase was the fact that salaries will be increasing over the next three to four years. If this is not fully implemented, then we may want to reassess this re-pricing plan.

We would like to add that while CFW understands why this money was needed, we believe that there could be a better way to solve our housing needs. One proposal is to negotiate with UCOP a separate line of credit, besides a campus line of credit, that supports only employee housing, similar to the Mortgage Origination Program (MOP) loans. In this manner, the campus does not have to generate funds to start the next housing development and UCOP regains the loan amount after the units are sold. This may be politically difficult to achieve but well worth trying for the coming year. SEC will need to follow up this possibility with the relevant Senate committees as well as with the CP/EVC and Chancellor.

The challenges for the next year will focus primarily on developing the next housing project for UCSC, which does not have the cost over runs and delays that occurred with RVT. This will entail extensive discussions with the administration to determine which site and housing plan will best serve UCSC. In addition, CFW will help oversee the newly instigated LIO-SHLP and the re-pricing plans, if they need fine tuning.

### **Retirement Brown Bags**

CFW co-sponsored the Faculty Pre-Retirement Workshops during spring quarter by the UCSC Benefits Office. This series of five workshops covered the topics (Medicare eligibility, Medical plan choices and options for those who plan to move out of area, options for those who plan to travel extensively, how the University plans work with Medicare and the rights of emeriti and re-employment/recall appointments) with experts in each area presenting and answering questions specific to the needs of UCSC faculty. While the topics and presentations were excellent, much better publicity is needed to make more faculty aware of the workshops and their location.

Also, it might be more appropriate to schedule the workshops earlier in the academic year so that those faculty retiring in the summer immediately after the current academic year will have more time to absorb and utilize the information presented. The workshops could be usefully marketed to all faculty either over a certain age (e.g., 60), planning to retire in 5 years, or those who have worked more than a certain number of years for UC (e.g., 25 or 30). A parallel series of workshops with slightly different emphases (e.g. financial investment, UC beneficiary information and social security updates) could also be offered to faculty who have recently been tenured to assist them in their long-term

planning.

### **Social Security and Medicare Coverage**

CFW has worked with the systemwide University Committee on Faculty Welfare as well as UCOP to find a solution to the problem of colleagues who “opted out” of the Social Security system in the early 1970s and who now approach retirement lacking enough Social Security “credits” to qualify for Medicare. CFW was approached with this issue several years ago and progress on this front has been sorely lacking. However, thanks to recent initiatives on the part of UCOP, we are moving closer to a possible solution on this important issue but more work needs to be done. I am including below a redacted communication from a faculty colleague who describes the dilemma many of our senior faculty members face:

*“I’m writing to ask that the Committee on Faculty Welfare address the issue of Medicare benefits for faculty such as myself who opted out of Social Security when we were hired in the early 70s. There was a period in the early 70s when Social Security was optional, and those of us who were hired at that time were advised, by the UCSC staff member concerned, to opt out of Social Security. Many of us took this advice, not realizing what the consequences would be. It then became impossible to opt back in. Many of those who opted out of Social Security at that time later became eligible for Medicare either through marrying someone eligible for Medicare, or by earning enough outside the University to qualify. One needs 40 units of Social Security to qualify for Medicare; if one earns approximately \$4,000 in any given year, and pays taxes on these earnings, one gains four quarters of Social Security. One cannot gain more than four quarters of Social Security per year, regardless of how much taxable income one earns.*

*So for many faculty, the problem got solved, at least in regard to Medicare. Faculty in the natural sciences and in many cases in the social sciences routinely earn enough outside the University that many became qualified for Medicare without even trying to accomplish this. But for others this did not happen. In the humanities, stars tend to collect enough speaking fees outside the university to deal with this issue; non-stars do not. Those of us who have not earned much outside of our university salaries are now very likely to retire without Medicare. At this point, it is possible to become eligible for Medicare by paying some \$300 a month, after one retires. But since the early 70s, when we opted out of Social Security, the health care system in the US has changed: almost everyone is now eligible for Medicare. It seems to some of us who are not eligible that it is dangerous to remain in such a tiny category. Costs could rise dramatically; Medicare could become a precondition for other policies (as it now is for the only University policy that provides national and international health care). Many of us feel that it is simply too dangerous to remain outside the Medicare system.*

*The university could solve this problem. The Federal Government offers a program designed to allow organizations to include employees who opted out of Social Security in the past, that is, to allow them to become eligible for Medicare (though not for Social Security). This involves setting up a system whereby these employees can pay a Medicare-only tax, out of their salaries. Many organizations ranging from fire stations*

*to the entire school system of Illinois have taken advantage of this. It involves making a phone call. Someone from the University has to call the Social Security administration and arrange to set up a Medicare-only tax, available to those not enrolled in the Social Security system. Thus they can acquire quarters, and become eligible for Medicare. Individuals cannot do this on their own. Their employer has to set it up. The employer (UC) has to take this issue seriously enough to be willing to make a phone call. That phone call could save some of us enormous difficulty in the future.*

*There is of course another way of addressing this: those of us in this position could get second jobs. I believe that this is against university regulations. It would also make it very difficult for us to do our university jobs properly.”*

As this colleague explains, there are viable solutions to this problem and CFW urges the administration to help us move towards solving this issue in 2007-08.

### **Transportation and Parking**

Charge: The Transportation Advisory Committee (TAC) advises the Campus Welfare Committee (CWC) and the Co-Directors of Transportation and Parking Services (TAPS) on issues pertaining to transportation, parking and circulation and the implementation of the Transportation Element of the campus' Long Range Development Plan (LRDP) and other transportation-related campus documents, including those pertaining to transit services and the expenditure of Student Transit Fees. In so doing, the committee is expected to encourage campus and community input on the following issues:

- Transportation: Advises the Director of Transportation and Parking Services on policies and programs associated with development of the Travel Demand Management (TDM) plan and evaluation of its success. Reviews and recommends policies and programs for coordinated TDM, parking, transit and circulation planning, transit-related marketing and information services provided by TAPS staff, and financing.
- Parking: Reviews and recommends parking rates, utilization, policies, and plans.
- Circulation: Reviews and recommends pedestrian, bicycle, and vehicular circulation policies, plans, programs and implementation.
- Campus Transit: Provides advice on policies, programs, projects, and budget expenditures associated with Campus Transit operations—Day and Night Shuttles, Shopper Shuttles, and other premium transit services—and transit-related capital improvements. Also offers guidance on the scheduling, routing, and effectiveness of campus transit services.
- SCMTD Transit Services: Provides advice on the scheduling, routing, capacity, and effectiveness of transit services provided by the Santa Cruz Metropolitan Transit District (SCMTD) and/or other transit service providers. Also offers

recommendations for the annual appointment of a UCSC representative to the SCMTD Board of Directors.

Some of the main issues of the 2006-07 Transportation Advisory Committee were the following:

- TAPS rate proposal: There were two proposals for TAPS's budget for the 2007-08 academic year. The first (the TAPS proposal) recommended a five percent increase in parking fees, and similar increases in fees for other transit services (bus passes, vanpool fares, etc.). The other proposal came from TAC, an advisory committee to TAPS, and it eliminated the parking fee increase from the TAPS proposal. The pros and cons of the two budget proposals were discussed by the CWC. The CWC agreed on two issues—one, that TAPS is confronting serious difficulties in trying to create a self-supporting unit under current circumstances; and two, that the current method of funding TAPS is unsustainable. TAPS is currently working with the assumption of an annual five percent increase in parking permit costs. However this annual increase will soon make parking permits unaffordable except to the most highly-paid employees.

Since the bulk of TAPS's budget comes from sales of parking permits, and that the campus is very effectively promoting alternative transportation (thereby reducing private vehicle traffic to campus), it is clear that some long-term solution needs to be found. CFW urges the administration to work on finding this solution during the 2007-08 academic year. An additional problem is that TAPS is required to pay for new parking lots and structures. After the parking facility has been built the University has sometimes used the parking facility for new building construction without repaying TAPS. Thus TAPS ends losing millions of dollars.

The 2007-08 Transportation and Parking Services (TAPS) parking permit and program rates were finalized. There were no increases for individual permits (A, B, C, R, meters, etc.); they will remain at 2006-07 rates. Rates for some unit-specific permits (Official Use, UC Vehicles, and Reserved spaces) will increase approximately 5 percent from their respective 2006-07 levels.

- New campus transit buses and shuttles: The TAC approved TAPS acquisition of three 12-passenger vans for use in the 100 vanpool program at an estimated cost of \$70,000. They also approved TAPS operation of a third Bike Shuttle trailer van during spring 2007, for an estimated \$6,500.
- Advertising on buses: A proposal for advertising in or on campus shuttle buses at UCSC was made as a new mechanism to generate revenue for TAPS. The Monterey Salinas Transit presently generates net income of \$200,000 per year from this practice, and is seeking a partner in working with advertisers.

- In-vehicle parking meters: TAPS conducted a pilot program with nearly 100 staff and faculty to test the feasibility of using in-car parking meters for employees regularly parking on-campus only a few hours per day. TAPS staff discussed with the TAC possible program parameters concerning pricing and eligibility, and reported its intention of offering this parking option by fall 2007.
- Flex-Car/Carshare: TAPS will be administering a flex-car carshare program where rental cars are available on demand. The car will be parked in set locations and can be reserved for use as required.

### **Salaries Task Force**

This academic year, CFW sent a regular representative to the Salaries Task Force meetings. This task force, which was led by CP/EVC Kliger examined various possible solutions to the crisis in faculty salaries at UCSC and networked with UCOP and the systemwide Academic Senate.

### **Equity Across Academic Divisions**

CFW was contacted on several occasions by department chairs who voiced concerns that allocations of recruitment and retention funds are not being distributed in an equitable manner across the academic divisions. For example, we continue to receive reports that MOP loans and other forms of housing assistance are not consistently offered across the divisions in recruitment and retention cases. CFW worked with the Senate Committee on Planning and Budget on this issue and this will continue to be an important area of concern for the Senate and the administration to address as it has a major impact on morale as well as the relative earning power of faculty. CFW hopes to continue working with the central administration as well as the Council of Deans on this important issue.

Respectfully submitted,

### **COMMITTEE ON FACULTY WELFARE**

Karen Bassi  
Margo Hendricks  
Ted Holman  
Joel Kubby  
Elizabeth Stephens  
Nancy Stoller  
Craig Reinerman, Chair (F)  
Paul Ortiz, Chair (W, S)  
*officio*

Michael Warren, *ex*

August 30, 2007

## **GRADUATE COUNCIL 2006-207 Annual Report**

To the Academic Senate, Santa Cruz Division:

Generally the Graduate Council (GC) met bi-weekly during the academic year, with a total of 14 regularly scheduled meetings over the course of the year. The voting membership of the Council comprised: Robert Boltje, Carolyn Dean, Barbara Epstein, Donka Farkas, Daniel Linger (W,S), Pradip Mascharak, Tyrus Miller, Michael Urban, Anujan Varma, with Don Brenneis (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 Berra Yazar, Alisha Thompson, Foad Khosmod (F), Marina Sarran (F), and Teresa Betts (W, S); Postdoctoral Student Association Representatives Sina Farsiu (F), Heather Van Epps (F), and Jason Triplett (W, S); and LAUC Representatives Beth Remak-Honnef (F, S) and Fred Yuengling (W). Guests included Joe Konopelski (COC), Kelly Feinstein (GSA), and Chelsey Juarez (GSA). In his capacity as Chair, Don Brenneis served as representative to the systemwide Coordinating Council on Graduate Affairs (CCGA), the advisory committee for the Technology and Information Management program, and the Senate Executive Committee. Because, as he had notified COC when asked to serve as Chair, Don Brenneis had a number of prior longstanding off-campus commitments, especially in winter and spring terms, Vice-Chairs Tyrus Miller and Barbara Epstein carried a considerable part of the burden of chairing and off-Council representation.

### **1. Graduate Council organization**

Several subcommittees met separately, both throughout and at particular moments in the year. The standing subcommittee on courses included Robert Boltje, Donka Farkas, and Carolyn Dean, and Robert Boltje, Barbara Epstein, and Pradip Mascharak served on the subcommittee on graduate student welfare. Don Brenneis, Tyrus Miller, and GSA representative Kelly Feinstein served as a committee to discuss a possible Graduate College. During Winter quarter, Donka Farkas, Robert Boltje, Michael Urban and Pradip Mascharak evaluated applications for the Cota-Robles Fellowship. In the Spring Carolyn Dean and Donka Farkas reviewed Dissertation Year Fellowship candidates and Dan Linger and Barbara Epstein were central to the Outstanding Teaching Assistant competition.

Laurie Babka of the ASO was invaluable to the Council, bringing deep knowledge, good humor, patience, and a remarkably clear understanding of both the issues and what we did about them, and Bob Hastings' expertise, knowledge, and reflective counsel was similarly appreciated. Graduate Council thanks both of these colleagues for their singularly indispensable participation in our work over this and many other years.

### **2. New program proposals**

The Council reviewed proposals for two new doctoral programs, including comments and concerns from the parallel reviews done by the Committee on Planning and Budget. We approved proposals for Ph.D. programs in Film and Digital Media and in Visual Studies; both proposals are moving forward.

We also had several discussions concerning the possible emerging M.A. and Ph.D. programs in Technology and Information Management (TIM), and Don Brenneis served on an ad hoc

advisory committee for TIM. The Council voted to postpone a full consideration of the proposed degree programs until a new Dean of the School of Engineering has been able to make a recommendation and the recommendations of the TIM advisory committee can be incorporated into a revised proposal.

### **3. Graduate program review**

During the 2006-07 year GC representatives provided reports on and participated in closure meetings concerning the routine reviews of Art, Electrical Engineering, MCD Biology, Latin American and Latino Studies, and the Santa Cruz Institute of Particle Physics (SCIPP) ORU.

Graduate Council also reviewed and responded to requests from a number of programs for relatively small-scale alterations in their graduate degree requirements. Parenthetical degree notations were approved for History of Conscious (in Anthropology and Philosophy) and Statistics and Stochastic Modeling (for AMS concentration).

### **4. Conditions for Growth and the Strategic Academic Plan**

Graduate Council was active in reading, discussion, and responding to both Academic Senate discussions of conditions for growth and several iterations of the Strategic Academic Plan (SAP) developed through the office of the Vice Provost for Academic Affairs (VPAA). Council views these two topics as inseparably related. Our response to the SAP stressed both questions of infrastructure (in regard to which both the Long Range Development Plan and the Senate discussions of conditions for growth figured centrally) and the underlying importance of interdisciplinarity in proposed future program development. A recurring concern had to do with the desired and feasible proportion of graduate students at UCSC in the future: is the Association of American Universities (AAU) standard of at least 15% appropriate and possible? Would capping undergraduate enrollments be necessary? What would the implications in terms of faculty FTE and financial support be likely to be? And, perhaps most concretely, to what extent would focusing on self-supporting professional Master's programs be desirable and practicable?

### **5. Graduate Student Appeals**

The GSA and the Graduate Division worked throughout the year on revising and clarifying official procedures for graduate student appeals and hearings. Graduate Council had several detailed discussions of possibilities and problems, as we see such revisions as critical. Council will be receiving and discussing a final document early in the Fall term.

### **6. Graduate College**

An ad hoc committee of Tyrus Miller, Kelly Feinstein (GSA), and Don Brenneis discussed possible models for a Graduate College, and GSA representative Teresa Betts reported on an informal survey of graduate students concerning such a college. There were also several Council-wide discussions in which, among other things, alternative models were proposed and discussed. The Council will resume discussion during the next academic year.

### **7. Graduate Student Welfare**

Considerable progress has been made on improving the night-time parking situation. Graduate Student health insurance remains a major financial challenge, and both Dean Sloan and her counterparts at several other campuses and the systemwide Graduate Student Association are continuing to pursue the possibility of pooled coverage and consequently lower rates. At present, however, costs have been going up and provided services decreasing.

## 8. Other business

Council reviewed several systemwide policies and discussed a number of other local issues, among them:

- UCEP and CEP proposed changes in the graduate student instructor process (ongoing);
- proposed systemwide regulations concerning off-campus and distance instruction for graduate students; Council expressed considerable unease with what appeared an implicit assumption that such forms of instruction would become more widespread;
- the level of resources available to the Library for new graduate programs, an area in which there seems to have been some cause for mild optimism.

## 9. Looking to the coming year

From the perspective of the Council, completing, discussing, and ratifying a new appeals procedure is a very high priority; the Council plans to pursue this question as soon as the new term starts.

While there is less pressing concern regarding a possible Graduate College, it is clear that there is widespread graduate student interest in developing some kind of framework – both institutional and physical – for a range of activities. Council will also be continuing discussions in this area.

Respectfully submitted,  
GRADUATE COUNCIL

Robert Boltje  
Carolyn Dean  
Barbara Epstein  
Donka Farkas  
Dan Linger (W, S)  
Pradip Mascharak  
Tyrus Miller  
Michael Urban  
Anujan Varma  
Lisa Sloan, *ex officio*  
Don Brenneis, Chair

Beth Remak-Honnef, LAUC (F, S)  
Fred Yuengling, LAUC (W)  
Teresa Betts, GSA (W, S)  
Marina Sarran, GSA (F)  
Foaad Khosmod, GSA (F)  
Alisha Thompson, GSA (F, W)  
Berra Yazar, GSA  
Sina Farsiu, PSA (F)  
Jason Triplett, PSA (W, S)  
Heather Van Epps, PSA (F)

September 26, 2007

## **COMMITTEE ON INTERNATIONAL EDUCATION 2006-07 Annual Report**

To the Academic Senate, Santa Cruz Division:

During the 2006-07 academic year, the most significant activity of the Committee on International Education (CIE) was to investigate the funding of International Education at UCSC. In addition to focusing several meetings on funding issues, CIE reviewed and commented on the draft academic plan and provided input on the search for a new Chancellor at UCSC. In both cases we stressed emphasis on campus directions that will make students better prepared to embrace our increasingly globalized society. CIE continued to support the campuswide efforts to better integrate Education Abroad Program (EAP) courses into undergraduate majors. The Committee on International Education also became interested in using its influence to develop more undergraduate majors in International Studies at UCSC. To better foster connections to the Divisions of Social Sciences and Humanities we appointed a liaison linking CIE to the divisional committee on international studies majors. This year, CIE also began the review of the systemwide report from the "Joint Ad Hoc Committee on International Education". The implementation of this report plus an ongoing systemwide financial review of funding of International Education will have major impacts in the coming years.

CIE's efforts this year have been well supported by Rebecca Sweeley and the staff of the Office on International Education. We also thank Vice Provost and Dean of Undergraduate Education (VPDUE) Bill Ladusaw and VC of Planning and Budget Meredith Michaels for their assistance with the investigation into funding of International Education at UCSC. Laurie Babka of the Academic Senate Office provided prompt and insightful support and advice on Committee administrative matters.

### **Support of International Education at UCSC**

#### **Summary**

The UCSC Office of International Education (OIE) has suffered repeated financial crises during the past several years. OIE has been burdened with an unusually high workload in comparison to comparable offices on other UC Campuses. High workloads combined with low wage classifications have caused high staff turnover, adversely affecting the ability of the office to service UCSC. Last year VPDUE Bill Ladusaw, resolved some of these funding issues. However, the overall financial state of OIE remains precarious, due to unstable external funding from the University Office of the Education Abroad Program (UOEAP) and unfunded advising mandates for other international programs, and continuing staff shortages. Because of the difference between student FTE sent abroad and those coming to UCSC from partner institutions, the campus realizes a financial gain from EAP students. We urge the VPDUE to carefully consider the growing workload and unstable state of external funding, in supporting OIE. The current senior leadership

of this office has been effective in dealing with the financial/staffing crises but cannot continue at their current level of effort. Moreover, the entire UC program of International Education is being reorganized leading to new dangers and opportunities for international education.

## **Introduction**

Perennial funding crises within the Office of International Education behooved the Committee on International Education (CIE) to investigate the flow of resources to the OIE. OIE supports visiting faculty, postdocs, and students in obtaining proper visas and documentation. It also runs the UCSC Education Abroad Program. Historically the Office of International Education has been under-funded on an EAP student per capita basis in comparison to similar activities at other UC campuses (Table 1). To cover basic services EAP has relied on an annual “soft” allocation from the Universitywide Office of the Education Abroad Program. Low classifications and high workload for staff have led to high turnover and difficulty in maintaining consistent service levels, threatening the very core of international education at UCSC. CIE’s investigation involved an assessment of the potential resources for international education, the expenditures by OIE and their historical variation, an attempt to understand how potential resources flow to the office, and the workload challenges in OIE.

## **Funds Incoming to UCSC from International Exchange Activities**

Students who go abroad on EAP pay normal UC fees as well as campus-based fees. They are not charged any additional fees to matriculate at foreign universities. Foreign EAP exchange students (those coming to UCSC) pay fees/tuition to their home campuses, and UCSC campus-based fees. Because more students go abroad from UCSC than come to UCSC from foreign campuses, there is an influx of funds from this exchange activity; the EAP students pay standard UC and UCSC fees even though they are physically absent from campus and therefore do not make use of campus resources.

UCSC EAP sent 284 student-FTE (458 headcount students) abroad during 2006-07. UCSC EAP hosted 80 student-FTE (102 headcount) exchange students during this time. Thus, UCSC received credit for 204 FTE that were not on campus during 2006-07. One of the principal fees paid by each of these students is the “Education Fee” which was a net of \$3336 in 2006-07 after the deduction of the contribution to financial aid funds (VC Meredith Michaels personal communication). Thus the “Education Fee” paid by 204 (net) UCSC EAP FTE generated a net income of \$680,545.

The Education Fees are laundered by the University Office of the President before being returned (in some form) to UCSC. Campus programs are not funded only based on student numbers. Therefore, the Office of International Education has no explicit claim to monies generated by UCSC students going abroad. But the monies paid by EAP students illustrate the positive budgetary impact of international education and the campus should be mindful of this sum when allocating funds to OIE.

## **Funds Outgoing to International Education at UCSC**

At the request of CIE, VC Meredith Michaels provided documentation of the support for the Office of International Education from 2001-02 through 2005-06 (Tables 2 and 3). The figures from Vice Chancellor-Michaels' indicate funding has increased progressively in response to some of the financial issues mentioned above. These increases in funds have allowed advisor positions in the EAP office to be reclassified to bring them in line with rates paid on other campuses. Also the funding for International Students and Scholars (ISSS) has been increased, primarily in response to U.S. government requirements, post 9/11/2001, imposed by the Department of Homeland Security.

The budget structure of OIE is divided between 3 functional areas: ISSS, EAP and General Support. "General Support" incorporates those staff positions and expenses that overarch all areas of the office. Income and expenses occurring in General Support, including the positions of Director, Office Manager and Process Manager, should be equally divided between EAP and ISSS, but are included under EAP on the tables provided by the Vice Chancellor's Office. In the following description of costs the budget of all the General Support and EAP are combined as shown in Table 3. The clearest comparison between outgoing and incoming funds can be made by viewing the funding for the EAP and General Support (Table 3). From academic years 2001-02 to 2005-2006 available funds have increased from \$253K to \$356 K, whereas expended funds have ranged from \$272 to \$306 K.<sup>1</sup> Although the Vice Chancellor's Office did not provide an estimate of the 2006-07 expenditures by for EAP and General Support, its staff believes the total amount will be about \$417K for this academic year.

The EAP office has changed from deficits during the 2001-02 and 2002-03 years to substantial surpluses, primarily through salary savings due to vacant positions. Advisors have been turning over because of the low salaries, ironically resulting in savings, but also in unacceptably high workloads, a lack of advising knowledge, and constrained in-person advising from the remaining staff. Although there are no final figures provided for the 2006-07 year, the number of FTE in the office associated with foreign visa support increased, resulting in a much more stable staffing arrangement for the ISSS functional area.

## **Recommendations for Funding International Education at UCSC**

The VPDUE Ladusaw responded effectively to the extreme funding crisis in the OIE during the 2005-06 academic year, and for that CIE is grateful. However, because of endemic issues in support of international education on this campus, and a pending Universitywide reconsideration of international education and its funding<sup>2</sup>, we have serious concerns about the support and maintenance of a strong program at UCSC.

**Staffing Concerns:** The UCSC EAP operation has the leanest EAP staffing structure in the UC system and the highest student to advisor ratio.<sup>3</sup> High workload is a central

contributor to staff departure and at times exacerbates staff health problems. In addition CIE feels that many of the critical student issues experienced this year might have been lessened if advisors could have intervened at an earlier period.<sup>4</sup> **An additional EAP advisor is urgently needed.**

**Preferences for Semester Programs: An assessment of support needs must be based on headcount, rather than per FTE.** The majority of students today participate in Semester Programs, as opposed to full-year programs. In 2006-07 458 EAP students studied abroad yielding 284 FTE. Services are delivered on a per student basis, not on an FTE basis.

**Unfunded Mandates:** International education offices systemwide are facing mandates to expand the scope of services offered to students wishing to study abroad. Broadened services will include facilitating student plans for participation in non-EAP programs and extra steps for those wishing to study in countries with U.S. State Department travel warnings that are not served by EAP. The Fulbright grant support facilitated by OIE is an unfunded activity at this point. **The numerous ancillary support functions of OIE are positive indicators of the broad interest in and significance of international education to the campus; adequate support of these activities must be provided.**

**“Soft” Funding from UOEAP:** Currently the UCSC EAP operation is utterly dependent on UOEAP monies to support study abroad and other activities. Of great concern is the development of a new UOEAP funding model that might not include or severely reduce campus allocations. UCSC EAP would not be able to deliver current service levels should this happen. **The UCSC Administration must strive to regularize the soft funding from UOEAP.**

<sup>1</sup> Please note: the amount of funds available in the attached report includes the one time funding allocations from \$112,000 UOEAP (\$20,000 + \$92,250) as well as scholarship funds (\$5,000). In 2005-06 of the \$356K available, \$239K was provided by UCSC.

<sup>2</sup> Report of the UC Joint Ad Hoc Committee on International Education, UC Office of the President, Winter 2007.

<sup>3</sup> Data from 2005. See attached Table 1. Staff have been augmented systemwide. Salaries were improved in 2006 but additional EAP FTE was not allocated.

<sup>4</sup> This year two UCSC students died while on EAP (and 4 more UCSC students were involved in these incidents); several students withdrew early in their programs saying they were poorly prepared; others were placed on disciplinary probation while abroad. These unfortunate incidents might have been prevented or their impact lessened if the students were better prepared prior to departure. We worry that the current system lacks sufficient and sufficiently well-trained advisors to accomplish this training.

**EAP STAFFING LEVELS AND ENROLLMENT COUNTS: INFORMAL COMPARISONS  
 (FTE IN JUNE 2005)**

Position	Berkeley	Davis	Irvine	Los Angeles	Riverside	San Diego	Santa Barbara	Santa Cruz
SAO IV	0.5	0.82	0.56		0.5		1	
SAO III					0.2	0.6		
SAO II	7	4.3	2.51	2	0.7	2.7	4.5	1
SAO I		0.75		2	0.9	1.45		1.85
Asst. SAO						0.7		
AAIII		0.33	0.48		0.05		1	
AAII	1	0.2	0.93				1	
AAI				1	0.2			0.5
Counselor I								
Programmer Anal. I						0.65		
Prog. Rep.					2			
MSO III								0.5
MSO II				1				
Prin. Admn. Analyst I			0.93					
<b>TOTAL FTE STAFF</b> (Excludes Student Workers)	8.5	6.4	5.41	6	4.55	6.1	7.5	3.85

**FTE ENROLLMENTS  
 2004-05:**

Regular Academic Yr.	419	237	256	280	73	387	307	337
Summer	44	34	48	50	21	63	24	45
<b>TOTAL FTE ENROLL.</b>	463	271	304	330	94	450	331	382

<b>ENROLL. PER STAFF</b>	54.47	42.34	56.19	55.00	20.66	73.77	44.13	99.22
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Table 1. UC-wide survey of staffing, enrollments and workload in EAP offices.

**Office of International Education Multi-Year Financial Summary**

	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08
	FTE AMOUNT	FTE AMOUNT	FTE AMOUNT	FTE AMOUNT	FTE AMOUNT	FTE AMOUNT	FTE AMOUNT
<b>Funds Available</b>							
Permanent	4.64	222,860	7.90	369,500	7.90	354,800	9.50
One-Time							
Benefits/Leave Adj	41,117	64,112	81,358	75,199	113,326		
Merits/Range Adj	3,088	2,804	375		11,277		
Central Allocation	50,000	72,020	(5,000)	1,203	85,599		
UOEAP/Gifts & Endowments	58,648	96,950	90,030	116,371	121,501		
Other				5,537			
One-Time Subtotal	152,853	235,886	166,763	198,311	331,703		
<b>Total Funds Available</b>	<b>375,713</b>	<b>504,106</b>	<b>536,263</b>	<b>553,111</b>	<b>686,503</b>		
<b>Expenditures</b>							
Staff Salaries	212,403	254,739	319,864	307,492	359,144		
General Assistance	80,381	42,231	52,473	81,798	94,750		
Benefits	62,899	64,251	88,751	91,358	123,706		
Other	32,065	74,314	40,663	47,677	67,452		
<b>Total Expenditures</b>	<b>387,749</b>	<b>435,535</b>	<b>501,751</b>	<b>528,325</b>	<b>645,052</b>		
<b>Yearly Balance</b>	<b>(12,036)</b>	<b>68,571</b>	<b>34,511</b>	<b>24,786</b>	<b>41,451</b>		
Prior Year Carry Forward	(26,568)	(38,594)	29,977	64,488	89,274		
<b>Cumulative Balances</b>	<b>(38,594)</b>	<b>29,977</b>	<b>64,488</b>	<b>89,274</b>	<b>130,725</b>		

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Table 2: Overall summary of support for International Education at UCSC. See Table 3 for breakdown between various sub-functions.

Office of International Education Multi-Year Financial Summary

	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08
	FTE	FTE	FTE	FTE	FTE	FTE	FTE
	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT
<b>International Students and Scholars Support</b>							
<b>Funds Available</b>							
Permanent	1.84	101,188	168,894	185,205	197,871	202,183	222,571
One-Time							
Benefits/Leave Adj	15,679	23,332	34,717	47,410	66,552		
Mentis/Range Adj	1,249	954	(5,000)		6,226		
Central Allocation	39,000	(10,728)	16,421	12,375	(5,000)		
Other	6,665	52,559	16,421	59,786	132,451		
One-Time Subtotal	23,613	(10,728)	16,421	59,786	132,451		
<b>Total Funds Available</b>	<b>123,136</b>	<b>153,747</b>	<b>185,415</b>	<b>244,991</b>	<b>330,322</b>		
<b>Expenditures</b>							
Staff Salaries	84,237	87,855	124,569	162,288	218,981		
General Assistance	2,308	12,016	18,785	23,079	28,931		
Benefits	15,679	23,472	40,861	51,577	67,021		
Other	9,428	40,080	11,541	10,388	24,046		
<b>Total Expenditures</b>	<b>111,652</b>	<b>163,523</b>	<b>195,756</b>	<b>247,331</b>	<b>338,980</b>		
<b>Yearly Balance</b>	<b>11,484</b>	<b>(9,777)</b>	<b>(10,341)</b>	<b>(2,341)</b>	<b>(8,657)</b>		
Prior Year Carry Forward	33,919	45,403	35,627	25,286	22,945		
<b>Cumulative Balances</b>	<b>45,403</b>	<b>35,627</b>	<b>25,286</b>	<b>22,945</b>	<b>14,288</b>		
<b>Education Abroad and General Support</b>							
<b>Funds Available</b>							
Permanent	2.80	167,032	200,506	169,595	156,929	239,317	256,737
One-Time							
Benefits/Leave Adj	25,438	40,779	46,641	27,769	46,774		
Mentis/Range Adj	1,839	1,850	375	0	5,051		
Central Allocation	50,000	33,020	0	1,203	20,926		
UOEAP/Gifts & Endowments	58,648	96,950	90,030	116,371	121,501		
Other	(6,685)	10,728	13,296	(6,838)	5,000		
One-Time Subtotal	129,240	183,327	150,342	138,525	199,252		
<b>Total Funds Available</b>	<b>252,577</b>	<b>350,359</b>	<b>350,848</b>	<b>308,120</b>	<b>356,181</b>		
<b>Expenditures</b>							
Staff Salaries	128,166	166,784	195,295	145,205	140,163		
General Assistance	78,073	30,214	33,668	58,719	65,819		
Benefits	47,221	40,779	47,890	39,781	56,685		
Other	22,637	34,235	29,122	37,289	43,406		
<b>Total Expenditures</b>	<b>276,097</b>	<b>272,012</b>	<b>305,995</b>	<b>280,994</b>	<b>306,073</b>		
<b>Yearly Balance</b>	<b>(23,520)</b>	<b>78,347</b>	<b>44,852</b>	<b>27,126</b>	<b>50,109</b>		
Prior Year Carry Forward	(60,478)	(63,997)	(5,650)	39,202	66,329		
<b>Cumulative Balances</b>	<b>(83,997)</b>	<b>(83,997)</b>	<b>39,202</b>	<b>66,329</b>	<b>116,437</b>		

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Table 3. Table shows support for: 1) International Students and Scholars Support and 2) Education Abroad and General Support. General Support includes overall administrative expenses that pertain to both ISSS and EAP.

Respectfully submitted,

COMMITTEE ON INTERNATIONAL EDUCATION

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August 17, 2007

## **COMMITTEE ON THE LIBRARY**

### **Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

The Committee on the Library (COL) addressed a number of topics that have an impact on the Library as well as the entire campus. A summary of these issues and COL's response are provided below.

#### **1. Open-access and Scholarly Publishing**

In 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. Similar issues are being addressed at the other UC campuses as well as at UC systemwide. Effective May 9, 2007, the Assembly approved a name change for the University Committee (UCOL) on the Library to the University Committee on Library and Scholarly Communication (UCOLASC). UCOLASC has developed a preliminary draft regarding the implementation of open-access publishing at UC. Our Committee concluded that the open-access policies developed by UCOLASC are a good start toward establishing a policy and culture of open access in the UC system and that the policy should be implemented. However, our Committee had a number of recommendations to be considered in a revised draft. Perhaps the greatest concern is the administrative costs associated with implementation. For instance, a key component of this proposal is the opt-out policy. This would require a new administrative unit to handle requests from individual faculty to opt out. One could easily imagine that staff could become overwhelmed by having to deal with each negotiation on a case-by-case basis. We recommend restructuring the opt-out policy to minimize the need for additional administrative units.

We also suggest that before this policy is implemented, ample notice should be given to the publishers. We understand that MIT communicated with the major publishers before implementing a similar policy. In their communications with publishers, COL suggests that UC mention that there is widespread support for the open-access policy and cite the overwhelming positive response to a recent UC systemwide poll.

COL is also concerned with a second component of the UCOLASC developed open-access policy regarding the requirement to list open-access publications in merit and promotion files. We understand the intent of this policy is to encourage open-access publishing and to acknowledge the potential sacrifice of publishing in open-access rather than more prestigious subscription-based journals. As stated, however, this policy appears punitive to those who do not publish in open-access venues. In addition, the opportunities for quality open-access publishing vary dramatically between research areas, and this information may be of limited use in personnel actions. We recommend that this component be excluded from the revised draft. The UCOLASC draft policy proposes maintaining a list of publishers who do not comply with the stated open-access policies. It is likely that many publishers will produce some open-access journals and some journals that are not open-access. Therefore a list of journals may be more appropriate. Also unclear in the policy is whether this document is intended to include

international or United States-based publishers only. If the latter, COL wonders if it includes publishers located within the United States even if their journals are based at editorial offices abroad, or United States-based journals that are published by foreign publishers? COL also suggests that in the revised draft UCOLASC considers the distinction between articles and book chapters where one signs for one's self versus a situation where an editor would be in a position to sign for all chapters in the publication. Finally, the document brought up the issue of plagiarism. This is perhaps too big of a topic to tackle by UCOLASC, but we noted that it is a growing concern that UC has yet to take a strong stance regarding, particularly as it may be facilitated by greater ease of access to digital publications such as open-access sources.

## **2. Establishing a Committee on Scholarly Communication**

A further Resolution from the SC Division of the UC Academic Senate (spring 2005) on key issues on scholarly communication dealt with journal and book pricing, evaluation of academic performance, copyright policy, and finally the establishment of an Office of Scholarly Communication. In regard to the latter, the May 2005 Resolution number 4 specifically states *"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."* In order to recognize the importance of scholarly communication at UC, UCOLASC requested that each campus library committee consider changing its name to "Committee on the Library and Scholarly Communication" and modify its charge accordingly.

Our Committee concluded that doing so would so dramatically modify the original charge and focus of the Committee on the Library, and that the best solution was the establishment of a new committee focused on scholarly communication. We fully realize that a proposal to add another committee to an already over-burdened Senate will be met with skepticism. However, after much discussion, COL was unanimous in its opinion that the rapid changes in scholarly communication have such broad and far-reaching effects for the students, staff and faculty, that a new committee focused on scholarly communication is warranted. The issues facing scholarly communication are complex and range from copyright law to journal and press financing to strategies for long-term digital stewardship of scholarly material.

The issues regarding scholarly communication have progressed and gained enough momentum that they are now well beyond and, more importantly, distinct from the original charge of the Committee on the Library (<http://senate.ucsc.edu/manual/chargesonly.html#COL>). The diversity and complexity of the tasks prevent them from being adequately addressed simply by amending or expanding the original charge of COL. The vast majority of faculty do not have the background or training to provide an informed opinion and to develop policy on many of the core questions regarding scholarly communication. For example, addressing just one of these points (academic personnel evaluations) required the formation of a separate task force (this was approved by the Senate but, unfortunately, could not be staffed). Establishing appropriate copyright policy provides another example of the difficulties in addressing these issues. Copyright policy in the digital era is extremely complex and requires faculty well versed in this area and extensive consultation with experts in copyright law. COL believes that the only

effective mechanism for addressing these and other problems (book and subscription costs) at the campus level is through the establishment of a dedicated committee.

Many other universities, appreciating the complexity and importance of these issues, have already established an independent committee on scholarly communication. A brief web-search reveals that UC Santa Barbara, University of Indiana, University of Texas, University of Tennessee, and Carolina State University have Senate-level scholarly communication committees. This list is only partial and many more universities have already taken steps to establishing a dedicated task force on scholarly communication. UCSC's head librarian, Virginia Steel, and other members of the Library staff agree that it would be extremely valuable to have a committee, separate from the Committee on the Library and the Committee on Research, dedicated to scholarly communication.

UCSC has been a leader in scholarly communication thanks to the efforts of past COLs, particularly under the Chairing of UCSC Professor Ben Crow. The Senate Resolutions drafted by COL and ratified by the UCSC Division of the Academic Senate in May 2005 were instrumental in alerting universities nationwide to the crisis in scholarly communication. Consequently, UCSC has a national reputation for aggressively addressing current issues in scholarly communication.

If we are to maintain this leadership position, our Committee believes that we must act to establish an independent, highly visible committee on scholarly communication. Acting on that belief, COL drafted and circulated a justification and charge for a proposed committee on scholarly communication to the Committee on Committees (COC), the Committee on Rules, Jurisdiction, and Elections (CRJE), and the Senate Executive Committee (SEC). These committees reviewed the proposal and expressed concerns about staffing and interfacing with the University Committee on Library and Scholarly Communication, as well as other Santa Cruz committees such as the Committee on Academic Personnel. SEC recommended that we withdraw the proposal for further work. COL did withdraw the proposal.

### **3. Special Collections**

COL invited Head of Special Collections Christine Bunting to give an update on Special Collections holdings and responsibilities at one of its meeting. In this presentation we learned that one of the missions of Special Collections is to document UCSC's history and academic growth. In addition, Special Collections is responsible for archiving and establishing collections of the work of notable UCSC faculty upon their retirement. Currently, no Senate committee provides advice on the choice of faculty members whose materials should be archived. COL suggested that this responsibility be added to the Committee on the Faculty Research Lecture that selects an annual speaker from among the Senate members.

### **4. Response to the Strategic Campus Academic Plan**

COL had a broad discussion regarding the draft Strategic Campus Academic Plan. Among the concerns raised were a lack of a clear mission statement focused on UCSC's unique strengths and areas in need of improvement. The document did not put forth a coherent plan for graduate and

undergraduate education. While the document had ambitious research and educational plans, no coherent plan was put forth to increase extramural funding or graduate student enrollments. Finally, this plan had an emphasis on various areas of interdisciplinary research but no explanation of how these areas were chosen. This must be addressed in order to get the full faculty support. Surprisingly, there was no mention of the Library, which is of great concern given the proposed additional graduate programs.

## **5. Institute for Science Information Subscription**

COL invited UCSC Librarian Martha Ramirez to discuss the Institute for Science Information (ISI) reference index and citations database at one of its meetings. With the launch of Google Scholar, COL raised the issue of cancelling UCSC's ISI subscription. ISI costs about \$65K per year or about 4 cents per use. We were informed that ISI has a large following and is used widely by faculty and graduate students. ISI journal citation reports were the most highly rated product in a recent faculty survey. Based on this feedback, COL decided not to recommend cancellation. We believe this issue should be revisited once more faculty and students become familiar with Google Scholar.

## **6. Library Hours**

Library staff proposed changing the time at which the Science and Engineering Library reference desk closes from 9 p.m. to 7 p.m. Monday-Thursday because usage from 7 to 9 p.m. is low. The change will be run as a pilot during fall quarter of 2007. The McHenry Library reference desk will stay open until 9 p.m. Monday-Thursday. COL agreed with this change as this cut in services will allow more Library staff to be available when there is more traffic.

Respectfully submitted,

### **COMMITTEE ON THE LIBRARY**

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August 31, 2007

**COMMITTEE ON PREPARATORY EDUCATION**  
**Annual Report, 2006-07**

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.

**Conforming Changes to SCR 10.5.2:**

During the fall quarter, the Committee on Rules, Jurisdiction, and Elections approved CPE's recommended changes to SCR 10.5.2. These changes brought the Regulation into compliance with existing campus and systemwide language and practices regarding the implementation of the "Entry Level Writing Requirement." Since these were "conforming changes" they did not need to be brought before the Academic Senate, Santa Cruz Division, for a vote.

**Negative Campus Trends in Completion of ELWR:**

Over the last two years, CPE has documented an alarmingly upward trend in the percentage of students who have not completed the Entry Level Writing Requirement (ELWR) by the end of their first quarter of enrollment (Table 1).

Table 1: ELWR pass rates at end of fall quarter.

Year	Entering Freshmen	No. of Nov. Writing Exams	Pass Rate on Nov. Writing Exam and Review
1999		719	78%
2000		1001	78%
2001		1144	78%
2002	3,251	1048	81%
2003	3,453	1188	76%
2004	3,122	885	78%
2005	2,950	1081	71%
2006	3,350	1068	66%

The reasons for this trend are unclear, especially since it seems at odds with other characteristics of our recent entering classes, such as greater selectivity in admissions and increasing SAT scores. We speculate that one reason for the increase in the number of students who take more than one quarter to complete ELWR might be a rise in the number of students entering UCSC who are English Language Learners. As possible evidence of this trend we note that the rate of students entering UCSC who are designated as having English as a Second Language problems, as a percentage of those who did not pass the May UC Analytical Writing Placement Exam, has risen from an average of 14 percent per year between 1998-2001 to an average of 18 percent per year between 2002-2006 (Table 2).

Table 2: First Year UCSC students with “E” designation (English Language Learner), as a percentage of students who failed the May systemwide Analytical Writing Placement Exam (UCAWPE).

Year	Percent of AWPE failed exams w/ “E”
1998	15%
1999	16%
2000	14%
2001	11%
2002	19%
2003	17%
2004	20%
2005	19%
2006	17%

However, the campus does not collect, collate or report statistics on the language status and educational background of entering students on a cohort-by-cohort basis. On April 16, 2007, CPE met with Vice Provost and Dean Bill Ladusaw and Director of Institutional Research and Policy Studies Julian Fernald to discuss how we could collect and track better information on the language status of entering students and how this or other factors correlated with their success or lack of success in completing ELWR and with their overall academic success at the University. Director Fernald shared with us aggregate campuswide statistics that showed that UCSC had a significantly smaller percentage of students from households where English was a second language than most of the other UC campuses. However, these data did not track trends in language status within each campus over time. For planning purposes, it may be less significant to compare ourselves to other campuses than to understand our own internal demographic dynamics. While the number of English Language Learners at UCSC remains relatively low compared to other UC campuses, it does appear to be growing (although by exactly how much is unclear from current data) and this trend does appear to be having an impact on the ability of an increasing number of students to meet basic entry-level English writing requirements in a timely manner. UCSC has traditionally provided less structured, institutional support for English Language Learners than any of the other UC campuses. The time may have come for us to rethink our commitment to this increasing segment of our undergraduate student body.

Dean Ladusaw and Director Fernald agreed with CPE on the importance of tracking this information on language status on a cohort-by-cohort basis. They pledged to work cooperatively with CPE to develop strategies for collecting this information from entering first-year and transfer classes. Dean Ladusaw also stressed the importance of tracking student success throughout their academic careers. He is concerned with low campus graduation rates and is initiating a study of how long it takes students to reach junior status and of what difficulties they encounter along the way. One question that might be addressed by such a study is what impact a student’s initial ELWR status or difficulties in completing ELWR have on their overall academic progress and ability to reach junior status in a timely manner. CPE also is concerned about the potential impacts that delayed completion of ELWR might be having on students’ success in other courses and ability to make adequate academic progress during their initial and subsequent years

at the University. The Committee looks forward to working more closely with the Dean of Undergraduate Studies and the Office of Planning and Budget to develop analytic strategies for better tracking the information that will allow us to assess and mitigate these issues.

**Enforcement of Santa Cruz Regulation 10.5.2:**

In order to mitigate the impacts of this trend in increasing numbers of students who are failing to complete ELWR by the end of their first quarter of instruction, CPE decided to work this year on strengthening the enforcement of Santa Cruz Regulation 10.5.2. SCR 10.5.2 requires students held for ELWR to remain enrolled in ELWR related writing courses until they meet the requirement. This aspect of the Regulation has never been systematically enforced. Failure to enforce this requirement may be a contributing factor to the rising number of students who are taking longer to meet this requirement and are in jeopardy of being barred after their fourth quarter of enrollment at UCSC, per systemwide requirements.

On October 16, 2006, CPE (represented by Judith Habicht-Mauche, Chair, and Judy Scott) met with Elizabeth Abrams, (Chair, Writing Program), Cher Bergeon (Academic Preceptor Representative), Joel Ferguson (Chair, Council of Provosts), Maria Cecilia Freeman (Campus ELWR Coordinator), Pamela Hunt-Carter (Registrar), Bill Ladusaw (VPDUE), Tchad Sanger (Associate Registrar of Advising), Georges Van Den Abbeele (Dean of Humanities), and Lynne Wolcott (Advising Coordinator, VPDUE office) to discuss the logistics of enforcing SCR 10.5.2. This was a very productive and successful meeting that resulted in a coordinated campuswide effort to ensure that all students who did not complete ELWR by the end of fall quarter continued to enroll in ELWR designated classes until they completed the requirement. As a result of this effort, compliance with SCR 10.5.2 was significantly improved. An oral report on the impact of enforcement of SCR 10.5.2 was presented by CPE at the May 30, 2007 Senate Meeting and a written report was attached to the minutes (AS/SCP 1539, located at: <http://senate.ucsc.edu/cpe/CPEreg1052SCP1539.pdf>). While the data we have so far is preliminary and incomplete, initial results, based on winter 2007, suggest that better enforcement of this Regulation is having a positive impact on the rate at which students are completing ELWR after their first quarter. CPE will need to follow up with the results from the spring and fall ELWR courses to see if this trend continues. Next year, CPE should work with the campus ELWR Coordinator and the Chair of the Writing Program to develop procedures for collecting and reporting standardized data on ELWR completion rates, so that these trends can be adequately tracked over time.

**Campus Changes in ELWR Curriculum:**

In addition to better enforcing SCR 10.5.2, the Writing Program, in consultation with CPE, has developed a slightly revised series of ELWR classes. The most significant curricular change for 2006-07 was the addition of Writing 23 as a full 5-unit Grammar and Rhetoric course in fall quarter, replacing Writing 22B, a 3-unit Grammar and Editing workshop. Writing 23 was designed to better assist students who are in their fourth quarter of enrollment at UCSC and have not yet completed ELWR. Preliminary results, based on fall 2006, suggest that the expanded Writing 23 curriculum may be positively enhancing the chances of this particularly recalcitrant population of struggling writers to

successfully meet the Entry Level Writing standard. See CPE report from May 30, 2007 (AS/SCP 1539) for more information on the results of the fall 2006 course.

**ELWR Class Sizes:**

CPE at UCSC continues to support the efforts of the Universitywide Committee on Preparatory Education (UCOPE) to get the UC Academic Council to re-affirm its commitment to support a mandatory cap of 20 students on the size of all ELWR classes. This cap would still be above most nationally accepted standards for introductory writing courses. Currently UCSC caps ELWR classes at 22 students each, one of the highest ELWR class sizes in the UC system. In 2005, UC Provost M.R.C. Greenwood, at the request of the Chair of the UC Academic Council, George Blumenthal, had agreed to provide centralized funding to all campuses to support implementation of this ELWR class size cap. However, because of subsequent administrative changes at both the Office of the President and the Academic Council this funding was never allocated. As a result this matter has been sent back to the campuses and the appropriate UC-wide committees for re-review. UCEP has withdrawn its previous support for what it now sees as an unfunded mandate. Thus, while both the Office of the President and the UC Academic Council claim to recognize the importance of this class size cap to the academic success of some of our most vulnerable students, neither is willing to act to see the cap implemented systemwide. This year's CPE urges next year's Committee to appeal directly to Acting Chancellor Blumenthal to implement this cap immediately on our campus and to work with the other campus chancellors to see that the cap is implemented and funded systemwide.

**Response to Draft Strategic Academic Plan:**

CPE prepared a response to the administration's Draft Strategic Academic Plan. We were particularly concerned at the overall lack of attention to undergraduate curricular issues expressed in the plan. For example, there was no mention of the changing demographic profile of our undergraduate population and how these changes might affect resource and curricular planning, especially in the area of writing. The plan also did not address how shifting undergraduate enrollments to the sciences and engineering, if that was even feasible, would impact the need for more gateway courses and greater attention to math preparation. We also challenged the report's assumption that transfer students were "resource neutral," since there is little campus data on the actual preparedness and curricular needs of our transfer populations, especially in the areas of writing and math. We also expressed concern about the lack of attention and resources on this campus for the language preparation of foreign graduate students.

The second Draft Strategic Academic Plan was not distributed to CPE until May, after our last meeting of the year. Therefore, we left the formal response to that version of the plan to next year's Committee. However, we note that few of our expressed concerns were directly addressed in the revised plan.

**Academic Preparedness of Transfer Students:**

CPE remains concerned about the preparedness of transfer students to tackle upper division course work. However, we are also frustrated by a lack of campus data in this area and our inability to develop appropriate strategies to assess this issue. On February 26, 2007, we met Holly Gritsch de Cordova (Director, Learning Support Services),

Michael McCawley (then Associate Director, Admissions), Corinne Miller (Director, Services for Transfer and Re-entry Students), and Larry Trujillo (Director, Student Academic Support Services) to discuss our concerns and brainstorm ways to approach this issue.

Michael McCawley reported that nearly all entering transfer students at UCSC have completed ELWR and both the C1 and C2 general education writing requirements. Over 50 percent are admitted with an Inter-Segmental Education Transfer Curriculum (IGETC) certificate, and thus are not required to take any additional writing courses at UCSC (i.e., they are exempt from the W requirement). However, ELWR Coordinator and CPE member Maria Cecilia Freeman noted that 25 percent of all community college students in California are from immigrant backgrounds and speak a first language other than English. She also pointed out that at UCLA, where they give entering transfer students an analytic writing placement exam, many (20 percent) placed at pre-ELWR levels and needed additional writing support to achieve University level standards of written English. We have no comparable assessment tools for evaluating the academic preparedness of entering transfer students at UCSC. However, anecdotal experience suggests that transfer students enter UCSC with a wide range of academic skills.

The group was in agreement that there needs to be more formal academic support for transfer students at UCSC, especially in the areas of math and writing. This support should come in the form of both elective courses, as well as tutoring support. However, the group was frustrated by the lack of institutional information and assessment tools to gauge the academic background and preparedness of transfer students. This lack of information makes it difficult to develop programs that are appropriate to the specific needs of our transfer students and to make an effective case for resource allocations in the area of academic support.

**Acknowledgements:**

The Committee is once again grateful to Committee Analyst/Advisor Roxanne Monnet from the Academic Senate Office for her expert staffing and support throughout the year.

Respectfully submitted,

COMMITTEE ON PREPARATORY EDUCATION

Elizabeth Abrams

Judith Scott

Maria Cecilia Freeman (NSF Representative)

Judith Habicht-Mauche, Chair

July 17, 2007

**COMMITTEE ON PRIVILEGE AND TENURE**  
**Annual Report, 2006-2007**

To the Academic Senate, Santa Cruz Division:

The Committee on Privilege and Tenure (P&T) met regularly during the academic year with the Chair serving as a member of the system-wide UCP&T committee. Sub-committees worked to investigate and report back on individual cases. We held no formal hearings.

**Policy and Procedures**

The Committee was asked to evaluate proposed changes to the academic personnel manual. We approved of the final changes in APM 220 covering criteria for advancement to Professor Step VI and Above Scale and changes to APM 620 covering policy on off-scale salaries. The Committee also reviewed the UCAP Synopsis on the Present Status of the UC Merit and Promotion System.

The Committee proposed a revision of Santa Cruz Division of the Academic Senate Bylaw 13.26.3 concerning the charge of P&T Advisors. The proposed change brought the Divisional Bylaw into accordance with the UC Bylaw 335B by clarifying that P&T Advisors provide members of the Academic Senate with advice on grievance matters but not on disciplinary matters. The proposed revision was passed by the Senate at the May 30, 2007 meeting.

The Committee responded to a proposal regarding the reporting of allegations of violations of Title IX and/or Equal Employment Opportunity made in a draft report of UCSC Internal Audit #SC-06-11. In responding, we explained that the Committee's charge requires it to address faculty grievances that allege violations of faculty rights and privileges at the University. The Committee concluded that the privacy of a grievant should be protected and their choices of whether to file complaints of violations of non-discrimination laws with the appropriate campus compliance officers be respected. When a grievance contains allegations or possible allegations of violations of Federal or State non-discrimination laws, the Committee chair informs the faculty member of their right to address the issue with the Title IX/Sexual Harassment Office and the Equal Employment Opportunity/Affirmative Action officer (EEO/AA), respectively. The chair also informs the faculty member that the committee does not have the authority or expertise to investigate potential violations of the individual's civil rights. The Committee recommends that its chair provide a written statement to a faculty member to this effect if a grievance raises allegations of possible violations of Title IX or EEO.

The Divisional Committee discussed and contributed to the UC Committee on Privilege and Tenure (UCP&T) responses to two additional policy proposals. UCP&T raised concerns about serious implementation difficulties inherent in the proposed policy on Open Access (follow up to 5/10/06 UC Faculty Scholarly Work Copyright Rights Policy). The Committee expressed concern for the potential for P&T grievances to arise

relating to how publications are characterized in personnel reviews; compliance issues (and related penalties) with the proposed opt-out provisions; the additional bureaucratic burden on faculty; and implications on faculty should university-publisher negotiations break down. The Committee urged that these matters be carefully reconsidered and incorporated into a revised proposal. UCP&T opposed Regents proposed RE-89: Restricting University Acceptance of Funding from the Tobacco Industry on the basis of potential violations of academic freedom, and reiterated the position in opposition taken by the Academic Assembly on October 11, 2006.

**Grievances and Disciplinary Hearings:**

The Committee handled two grievances this year. One was carried over from the previous year and the second was submitted in 2007. The committee reached an informal resolution of the first grievance. The second grievance required investigation of the circumstances by the committee with the assistance of the campus administration. The Committee ultimately found that no violation of the faculty member's rights and privileges was evident. The Committee prepared a disciplinary hearing for charges delivered by the Campus Provost/ Executive Vice Chancellor (CP/EVC) in 2005-06. The hearing was cancelled after postponement when the faculty member reached a settlement with the university. The CP/EVC delivered a notice of a proposed disciplinary action to another faculty member in 2006-07. The faculty member waived his/her right to a hearing and reached a settlement with the university.

**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. Through the help they give to faculty in analyzing, preparing, and filing their cases, P&T advisors are crucial to the committee's smooth operation. A list of P&T Advisors is available at:

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

Respectfully Submitted,

**COMMITTEE ON PRIVILEGE AND TENURE**

Ilan Benjamin  
Martin Berger  
Lisbeth Haas  
Lourdes Martinez-Echazabal  
Richard Otte  
Ken Pedrotti (F, W)  
Ken Kletzer, Chair

August 30, 2007

## **COMMITTEE ON RESEARCH**

### **Annual Report 2006-07**

To the Academic Senate, Santa Cruz Division:

The following describes the activities of the 2006-07 UCSC Committee on Research (COR).

#### **I. COR Activities Regarding Matters of Research Policy**

##### **A. Relations with the VCR and Office of Research**

The 2006-07 COR was pleased to welcome Vice Chancellor for Research (VCR) Bruce Margon to UCSC, and to include the VCR in regular COR meetings for discussion of numerous topics. The COR feels that we have established a constructive relationship with the UCSC Office of Research, which should help with addressing goals of mutual interest in the future.

##### **B. Strategic Academic Planning and Conditions for Growth**

COR discussed various aspects of the Strategic Academic Plan (SAP) and planning process throughout 2006-07. This effort included preparation of written comments on the SAP and development of a "Conditions for Growth" document, following a request from the Senate Executive Committee. Although the COR was supportive, in principle, of focusing resources on selected topics, programs, and disciplines (as opposed to attempting to grow all existing programs evenly), the COR was unimpressed with the philosophical and policy underpinnings of the draft SAP. In particular, there was a disconnect between the proposed distribution of faculty positions (FTE) relative to enrollment, and no attempt to link FTE to selected areas on the basis of excellence. There was also no accountability with regard to either of these topics (enrollment or excellence), little thought given to strengthening graduate programs having research emphases, or the impacts of growth on facilities and infrastructure. Finally, the emphasis on specific professional school programs was poorly justified.

Following communication of these concerns, the COR prepared an additional document outlining conditions for growth with regard to maintaining and improving the quality and viability of UCSC's research mission. The COR is concerned that, if growth is to occur, it must be planned in a way that includes transparency in funding and operation of research programs. This is not done at present, in large part because indirect costs are commingled in a way that purposely obfuscates funding sources and spending. Proposed undergraduate and graduate growth is likely to have a deleterious impact on UCSC's research mission unless this policy is changed. This topic is discussed later in the context of UCORP recommendations.

The two primary recommendations enunciated in the COR Conditions for Growth document are:

- 1. There should be no growth at UCSC unless and until there is presented to the campus community, economic models that can sustain the campus both during the growth period and after.**
- 2. UCSC should dictate and articulate the economic models for its growth plans, and these models should be discussed widely and in public (within UC overall, within the Santa Cruz community, etc.).**

In addition, COR noted that healthy growth cannot occur until UCSC resolves current problems in research support and funding (in addition to issues of enrollment management, teaching load, and related topics). UCSC can not grow its way out of these difficulties on the basis of current operating models.

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

The COR offered comments on a systemwide report on the functioning of Institutional Review Boards. The UCSC COR was primarily concerned that adequate resources be made available to support the IRB workload, and to develop consistent cross-campus policies. The COR also agreed that it makes sense to develop separate policies to govern IRB review of social science, arts, and humanities research.

### **D. Research Compliance and Public Information**

The COR met with the VCR and UCSC Office of Research (OR) Compliance Officer Caitlin Deck to discuss the increasing workload regarding compliance issues, and the extent to which the UCSC research mission may require modifications to compliance support and policies. The VCR also discussed with the COR a policy regarding the public release of research funding information.

### **E. Multicampus Research Unit (MRU) Working Group Recommendations**

The COR discussed a system-wide report on potential changes to UCOP funding and management of MRUs. The COR agreed with the primary report recommendations, that MRUs be subjected to programmatic review on a regular basis, and that MRUs be required to justify sustained funding in the context of competing interests. COR also agrees that MRU funds should not, as a rule, be used to support faculty FTE. COR was concerned with development of a standing MRU Advisory Committee through UCOP, and with strict timing for MRU review.

### **F. Earmarking Requests**

The COR chair participated in a review with the VCR and the Director of Government and Community Relations on UCSC "earmarking" priorities. Discussion on this topic at a subsequent COR meeting led to preparation of a recommendation to the administration regarding the annual development of a priority list. The issue is complicated because UCSC maintains two, seemingly contradictory policies: "UC does not encourage earmarks; here is how we will request earmarks." The COR recommended that UCSC develop a more systematic and comprehensive basis for collecting and evaluating information related to earmark priorities, so that those put forward are most representative of campus needs. The COR also recommended that there be regular follow-up with UCOP on what system-wide priorities are communicated to members of Congress in Washington, D.C., and what items are eventually funded.

### **G. Proposal for Relationships between Pharmaceutical Vendors and Clinicians**

The COR commented on a draft policy regarding relationships between pharmaceutical vendors and clinicians. The intent of this policy was to limit involvement of UC faculty, researchers, students and staff in relationships with vendors or others that may create the appearance of bias or misrepresentation of scientific research (not to mention actual bias, fraud, or more serious violations of university policy). The COR was surprised that the specific behaviors to be prohibited under new guidelines are not already covered by university policies on research and academic integrity. Second, the COR wondered how the new policies were to be enforced. Finally, the COR was baffled as to why the proposed policies were so narrowly restricted in their application. If new policies are needed to prevent bias, fraud, and/or misrepresentation, they must be applied equally to all UC employees and students.

### **H. Extending PI Status to Junior non-Senate Researchers**

The VCR's office has a history of approving all requests for exception to PI status for grants, but the VCR was concerned that inexperienced or transient PIs might open the campus to more risk or that post-docs might be exploited. The COR recommended that the sponsor's letter thoroughly explain the situation, motivating factors and benefits to extending PI status, and the VCR prepared documentation emphasizing this need.

### **I. Funding from Tobacco Companies**

The COR was asked to comment on RE89, a proposal to ban funding associated with the Tobacco industry from the University of California. The UCSC COR recommended that the Regents do not adopt RE89, because implementation of this resolution would violate fundamental, long-standing principles that govern the conduct of research within the University of California, would be antithetical to the UC research mission, and would be damaging to UC's standing as a world-class research institution. The COR also requested that its written recommendation be communicated verbatim and in its entirety to the System-wide AC and Academic Assembly (AA).

### **J. Open Access Policy**

The COR commented on system-wide recommendations regarding a proposed open access policy. The COR is broadly supportive of encouraging faculty to retain copyright of published materials, and of policies and programs that lead to wider dissemination of these materials, including making these documents available for free use online. At the same time, COR is concerned that faculty, researchers, and students be able to negotiate successfully with publishers so as to achieve mutually beneficial agreements concerning terms of publication. UC must assist with this negotiation process so that authors are not left to do this alone, and so that consistent agreements can be achieved. The COR is concerned about the impact that the proposed policy may have on nonprofit publishers, especially those associated with professional societies and academic presses. And the COR is not sure what the impact of this new policy might be on the UCSC library system, and would like to hear from the Committee on the Library on this topic.

### **K. Electronic Communication Resource Purchase and Usage Policy**

The COR reviewed a proposed policy and has concerns regarding its applicability to many faculty, researchers, and students and how the terms of the policy are intended to be enforced. It is not clear who is to be affected by this policy, particularly whether it is intended to cover faculty spending external research funding. As proposed, COR finds the new policy to be unreasonably restrictive and probably unworkable.

#### **L. Santa Cruz Institute for Particle Physics (SCIPP) ORU Review**

The COR contributed, belatedly, the review of the SCIPP ORU five-year review. The COR was impressed by the extent of important, high-profile research being done by SCIPP researchers, colleagues, and students, and the return on investment that SCIPP brings to the UCSC campus. The SCIPP Review Committee recommended that young researcher positions be added prior to retirements so as to smooth the transition, but COR can not take a position on this recommendation without evaluating alternative uses for scarce funding. The COR encourages SCIPP researchers to develop more extensive interdisciplinary, interdepartmental, and interdivisional research projects and alliances in coming years.

### **II. COR Activities Involving the University Committee on Research Policy: A Discussion of Policy Regarding Tracking and Use of Indirect Cost Recovery**

Several of the issues listed in the preceding section were also discussed by the University Committee on Research Policy (UCORP). In each case, information was transmitted from UCORP to COR mainly through the COR chair, who served as the UCSC UCORP representative. In addition, the UCSC UCORP representative communicated COR positions back to UCORP.

Perhaps the most important issue discussed by UCORP during the 2006-07 year was an exploration of the collection, use, and accounting of Indirect Cost Recovery funds, and the support and accountability of research activities, by UC overall and by individual campuses. This effort was motivated, in part, by publication in May 2006 by the University Committee on Planning and Budget (UCPB) of the UC Futures Report ([www.universityofcalifornia.edu/senate/reports/futures.report.0706.pdf](http://www.universityofcalifornia.edu/senate/reports/futures.report.0706.pdf)). That report describes patterns of funding during the last two decades, with a focus on state contributions, and explores several scenarios for future conditions. The report shows that state funding for UC activities has dropped considerably during the last two decades, both in an absolute sense and on a per-capita basis. The UC Futures report concludes that current trends and plans for changes in the amount and distribution of state funding, even those based on extremely optimistic scenarios, will neither halt UC's overall financial decline nor stop continued weakening of UC's ability to serve the state through research, teaching, and service.

Careful consideration of the UC Futures Report, and evaluation and discussion of additional documents and information provided to UCORP, left UCORP concerned about UC's research mission. In particular, UCORP was uneasy with what appears to be a growing gap between ICR and other funds used to support research facilities and administration (F&A) and the actual indirect costs of research, and what may be a

simultaneous increase in reliance on ICR funds to support activities that are not directly associated with research. At the end of the year, UCORP issued an interim report on this topic to the Academic Council, including a series of recommendations. The executive summary from the UCORP report follows:

"UCORP is concerned that long-term reductions in state support, as described in the UC Futures Report, may have deleterious effects on UC's research mission. Unfortunately, UCORP has been unable to determine the past or potential future impacts of budget reductions on research because of a lack of data concerning the use of Indirect Cost Recovery funds, and of Opportunity Funds and UC General Funds. In addition, UCORP has heard assertions regarding the true Facilities and Administrative costs of doing research, and there are different opinions as to whether ICR funds are sufficient to cover these costs on an annual basis. UCORP is the primary system-wide senate committee responsible for opining on matters of research policy, but the lack of basic budgetary information needed to evaluate many policy decisions hobbles the committee's ability to function. In addition, the lack of transparency in the use of research support funds may contribute to a broad misunderstanding as to the importance and operation of UC's research enterprise. UCORP makes three recommendations in order to address these concerns:

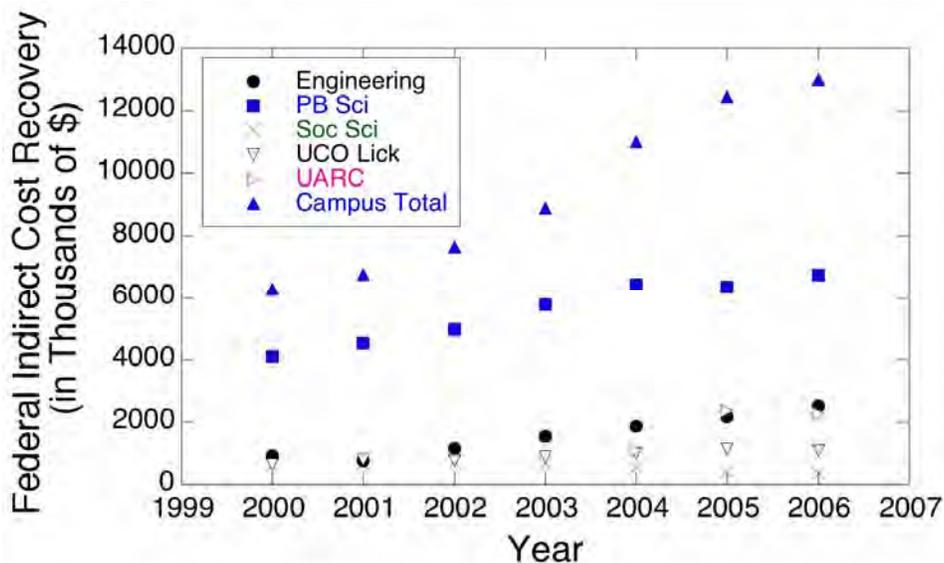
**Recommendation #1: Form a joint UCORP-UCPB working group, to operate for the 2007-08 academic year, comprising perhaps 5-6 members, with the charge of gathering data, deliberating on these and related issues, and making specific recommendations regarding matters of ICR and general research budgeting and accounting.**

**Recommendation #2: Explore options for tracking the use of ICR funds, and use of Opportunity Funds and UC General Funds, so that the extent to which ICR funds are used to support research can be documented and evaluated, and the extent of the research support deficit (if any) can be quantified and tracked over time.**

**Recommendation #3: UCORP and UCOP should work together to develop strategies for improving UC's research profile throughout the state and country, and to make clear to the public at large the unique importance of UC's research mission."**

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>).

Returning more specifically to conditions for research at UCSC, the amount of ICR secured by UCSC researchers has increased considerably in recent years (Fig. 1), but the trends in ICR recovery leave the COR concerned for two main reasons.



**Figure 1. Summary of indirect cost recovery from federal grants awarded to UCSC researchers during the last seven fiscal years.**

First, ICR funds recovered have begun to level off in the last several years, after a sharp rise in the early 2000's, despite significant increases in the number of proposals written, number of grants awarded, and the overall UCSC researcher, faculty and student populations. The ICR increases of the early 2000s do not appear to be sustainable. More to the point, these ICR funds comprise an obligation to the university; ICR is generally handled as *reimbursement* for funds *after* they are expended to support research. Thus increasing ICR funds cannot contribute to a significant net gain in general revenue for non-research activities (other than through incidental cost savings based on economies of scale and research-related teaching activities) unless research is not supported as promised. UCORP (and the UCSC COR) would like to see greater transparency and accountability on the use of ICR funds, to make sure that these funds are being used most effectively to support the UC research mission.

It is sometimes asserted that UC (and individual UC campuses) can't track ICR funds and costs accurately because of the complexity of the UC accounting system, but this is not true. Each UC campus must tabulate detailed information on ICR in order to enter into periodic negotiations with the federal government regarding the ICR rate; there must be reliable, quantitative information available that allows these negotiations to take place. In addition, each campus must be prepared for financial audit of its research activities at any time. Indeed, every Principal Investigator (with assistance from a team of financial analysts) tracks research expenditures, both direct and indirect, down to the penny. This could be done with ICR expenditures placed in the General Fund and Opportunity Fund categories, if this were desired. In fact, UCOP recently promulgated a policy with regard to the tracking of ICR from the California Institute for Regenerative Medicine (CIRM). This last policy is quite severe, requiring the routing of ICR to be used only to support CIRM research. COR does not recommend anything this extreme for ICR in general, but

the new CIRM ICR policy shows that determining how ICR is used is possible, if the university wishes to do it.

**III. COR Budget and Grants Programs**

**A. COR Budget**

COR funding was increased by a permanent allocation of \$13,200, down sharply from the increase in 2005-06, reflecting a reduction in the increase in campus recovery of indirect costs. The total amount of 2006-07 funds allocated to the COR budget was \$481,144. Given 545 senate faculty eligible for COR support, 2006-07 COR funding comprises \$883/senate faculty member, an increase of 2.3% relative to 2005-06, but this represents a net reduction in COR funding on a per-senator basis, given the rise in the Consumer Price Index of 3.2% during the same period. Taking a longer view, UCSC COR funding continues to slip behind levels during the late 1980s and early 1990s, and remains well below funding levels at most other UC campuses (as documented in the COR 2004-05 annual report and the 2002-03 report on COR funding levels).

**B. COR Grants Programs**

COR continued to fund three primary grant programs during the 2006-07 year: Faculty Research Grants (FRGs), Special Research Grants (SRGs), and funding for Scholarly Meeting Travel (SMT). The FRG and SRG awards were made in the Spring, whereas SMT awards were made throughout the academic year. In addition, COR funded New Faculty Research Grants (NFRGs) in the Fall for newly-arrived faculty who missed the FRG call during the preceding spring. Total funding in support of these programs was \$599,792 (Table 1). The amount expended by COR in support of research in 2006-07 that exceeded 2006-07 funding was made up by carry-forward from the preceding year.

Table 1. Summary of COR Research Expenditures during the 2006-07 Year

<b>Category</b>	<b>Amount</b>	<b>Comments</b>
FRG (awarded Spring 06)	\$164,939	Paid with 2006-07 funds
NFRG (awarded Fall 06)	\$23,633	New faculty
SRG (award Spring 07)	\$290,106	
SMT	\$121,114	
<b>Total expenditures</b>	<b>\$599,792</b>	

As in 2005-06, the ‘basic’ award for FRGs and NFRGs was \$2000 for untenured faculty and from \$1500 for tenured faculty, with an additional \$500 available in each category if properly justified. SRG awards were limited to \$15,000 for individual investigators and \$20,000 for investigator teams of two or more Senate members. SMT was limited to \$650, with up to \$1000 available every third year.

The vast majority of FRG, NFRG, and SMT requests were funded in full (Table 2). Although there are restrictions as to how funds can be used in these programs, applicants who follow the instructions and properly justify their requests are generally funded.

Table 2. Summary statistics on the 2006-07 FRG and SMT programs.

Division	N <sup>a</sup>	% of faculty <sup>b</sup>	FRG apps funded	FRG amount funded	SMT apps funded	SMT amount funded
Arts	65	11.9%	31	\$53,839	30	\$22,742
Engineering	73	13.4%	0	\$0	7	\$5,950
Humanities	99	18.2%	34	\$52,300	43	\$30,999
PBSCI	154	28.3%	18	\$27,671	16	\$12,986
SocSci	154	28.3%	33	\$54,762	66	\$48,437
<b>Campus</b>	<b>545</b>		<b>116</b>	<b>\$188,572</b>	<b>162</b>	<b>\$121,114</b>

<sup>a</sup> Number of faculty in each division

<sup>b</sup> Percent of faculty in each division

In contrast, the SRG program is much more competitive. Although the COR does not attempt to allocate resources on the basis of divisional or departmental populations or the distribution of applications, SGR funds were distributed broadly and relatively evenly across the campus (Table 3). The overall 2006-07 SRG success rate was ~50%, including SRGs funded in part.

Table 3. Summary statistics on the 2006-07 SRG program.

Division	N <sup>a</sup>	% of faculty <sup>b</sup>	SRG apps	SRG apps funded	% of apps funded	amount funded	% of total \$amount funded
Arts	65	11.9%	9	4	16.7%	\$36,425	12.6%
Engineering	73	13.4%	6	3	12.5%	\$42,398	14.6%
Humanities	99	18.2%	7	5	20.8%	\$46,000	15.9%
PBSCI	154	28.3%	9	6	25.0%	\$81,054	27.9%
SocSci	154	28.3%	14	6	25.0%	\$84,229	29.0%
<b>Campus</b>	<b>545</b>		<b>45</b>	<b>24</b>		<b>\$290,106</b>	

<sup>a</sup> Number of faculty in each division

<sup>b</sup> Percent of faculty in each division

COR continued worked with ITS staff to streamline the on-line grants application, tracking, and review system (an effort begun by the 2005-06 COR), and this system continued to improve. In addition, the 2006-07 COR modified the application call and online forms and produced a Frequently Asked Questions (FAQ) document to help clarify important review criteria and funding limitations. The revised call and applications (particularly for the SRG program) emphasizes the need for applications to be written in language understandable to lay reviewers.

#### **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. The COR chair also served on a Strategic Academic Plan Implementation Working Group. COR member J. Hankamer represented the committee throughout the year during most Instructional Technology Committee meetings.

**V. COR Senate Support**

The COR is indebted to Laurie Babka, Senate Committee Advisor, for the careful, thoughtful, detailed support she provided to the committee throughout during the 2006-07 year. Laurie's contributions were enormously important to functioning of the committee.

Respectfully submitted,

COMMITTEE ON RESEARCH

Elisabeth Cameron  
Jonathan Fox  
Jorge Hankamer  
Grant Hartzog  
Darrell Long  
Mara Mather  
Ali Shakouri  
Sriram Shastry (W,S)  
Andrew Fisher, Chair

September 25, 2007

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**  
**Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

During 2006-07, 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 as well as advice about legislative implications of the items to be considered by the Division. Formal and informal advice was given on other matters to various Senators and Division committees and officers who requested it. This report lists a summary of advice and comments given on the various items discussed by the CRJE.

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

**Bylaw 55 – Voting Practices:** A Senator submitted an inquiry regarding voting practices under Bylaw 55. Although interpretation of Bylaw 55 is not in the purview of CRJE, but rather UC Committee on Rules and Jurisdiction (UCCRJ), the question raised was a more general one. The voting practices are most comprehensively described in the Academic Personnel Manual (APM) and the Campus Academic Personnel Manual (CAPM) and some of these procedures could be interpreted as being different from the procedures outlined in “The Standard Code of Parliamentary Procedure” by Alice Sturgis. Santa Cruz Bylaw (SCB) 7.4 states that questions of order not covered by legislation are governed by Sturgis. Because the voting procedures are not specified completely in the UC or UCSC Bylaws, the question was whether or not they should strictly follow the procedures in Sturgis. CRJE noted that Sturgis states that “Custom and tradition can establish unwritten rules which are valid, provided that they do not conflict with bylaws.” CRJE therefore considers that the long-standing procedures in the APM and CAPM, while not explicitly covered by the Bylaws, do hold authority when not in conflict the Bylaws. Hence, the APM and CAPM voting procedures that do not conflict with the Bylaws should be followed before resorting to strict adherence of the procedures in Sturgis. It was suggested to the Senator that questions about fairness of the procedures would be more appropriately addressed by the Committee on Academic Personnel (CAP).

Another issue was brought forward as a formal inquiry from a department chair. CRJE was asked to interpret whether a request by a Senator to rescind a “waive of the right to vote” was appropriate and should be honored. CRJE felt that this was an issue more appropriately handled by CAP and it was forwarded to that committee.

CRJE received a request from the Assistant Vice Chancellor for Academic Human Resources for a definition of a “waiver”. CRJE considered this the purview of CAP and referred it to that committee. CAP proposed legislation to do this (see below).

In response to a Committee on Educational Policy (CEP) inquiry, CRJE concluded rounding down to 25 percent when adhering to Santa Cruz Regulation (SCR) 10.1.1 would not be

consistent with the wording of that Regulation.

CRJE received an informal inquiry from CEP regarding SCR 10.2.2.5. CRJE responded that blanket waivers for writing-intensive courses were not appropriate and that the students' colleges must be involved in any waivers that are granted until the Senate modifies the Regulation.

CRJE received an informal inquiry from CEP regarding whether SCB 13.17.1 could be modified as a conforming change by adding the word "undergraduate" in front of "student representatives". CRJE stated that it should go to a Senate vote (see below).

CRJE responded to an informal inquiry regarding a vote at the March Senate Meeting in which the Bylaw change SBC 13.17.1 was stated to have passed by a majority vote rather than the required two-thirds vote. CRJE confirmed that the Bylaw change did not pass and a subsequent announcement by the Senate Chair clarified that point.

A formal request was made by the Committee on Privilege and Tenure (CPT) in July, 2006, that CRJE establish a standard time limit for replying to inquiries from Senators. CRJE explained that it cannot impose a time limit on future CRJE actions. However, CRJE attempts to answer inquiries as quickly as possible and in most cases does so within at most two quarters. CRJE meeting schedules do constrain how quickly a response can be given, though if it is made clear that an answer is urgently needed, a faster reaction is possible with additional Committee meetings. Some actions require extensive research or require responses from other UCSC or UC committees. In such cases, delays may be beyond the control of CRJE. Often, Senators may obtain informal or formal advice more quickly by addressing the CRJE chair directly. Inquiries made late in the academic year may be carried over to a new committee, resulting in some delay.

CRJE reviewed the following proposed legislation:

SCB 3.4.2: The proposed Committee on Committee's (COC) legislation regarding privilege of the floor for non-Senate teaching faculty was found, with minor changes in wording, to be clear and not in conflict with other Bylaws or Regulations. CRJE noted that SCB 3.5 allows the Division Chair to call for a Divisional Meeting which would be open to only Senate members.

SCB 13: The proposed Committee on the Library (COL) legislation to create a new standing committee on scholarly communications was found by CRJE to be ambiguous because it is possibly in conflict with the purview of CAP under SCB 13.10.2. CRJE recommended further work on the legislation to address this point.

SCB 13.4.5: The proposed legislation from CAP defining "waiver", after minor changes, was found to be clear and not in conflict with other Bylaws or Regulations.

SCB 13.17.1: The proposed legislation from CEP to change the wording regarding CEP's student representatives was found to be clear and not in conflict with other Bylaws or Regulations.

SCB 13.17.6: The proposed CEP legislation to modify their charge regarding University

Extension, Santa Cruz Division, was found to be clear and not in conflict with other Bylaws or Regulations and made their charge more consistent with the charges of other Division committees.

SCB 13.26.3: The proposed legislation from CPT regarding the separation of the role of CPT from that of P&T advisors was, after a minor change, found to be clear and not in conflict with other Bylaws or Regulations.

SCR 10.2.2.3: The proposed legislation from CEP regarding transfer credit for the Topical GE requirement was found to be clear and not in conflict with other Bylaws or Regulations.

UCRJ Proposal to revise UC Bylaw 205, Part I A: The UC Committee on Rules and Jurisdiction proposed to increase its membership from 5 to 7, to provide for a Vice Chair of the Committee. CRJE considered the change desirable, but noted that it would increase the number of “at large” members relative to members chosen from the Divisions. CRJE suggested that a more balanced mix might be desirable.

In accordance with past practice, there was no election held for COC membership because there were only two nominations for two open positions.

#### Santa Cruz Division Manual Updates:

A major undertaking by CRJE during the 2006-07 academic year was the review of existing College Bylaws with the goal of including them in the Senate Manual, section IV, as required by SBC 13.28.3. Each set of Bylaws was reviewed. CRJE found some to be acceptable after minor changes are completed. Two sets were deemed inadequate and major revisions were requested from the Colleges. The revised Bylaws will be further reviewed by CRJE for inclusion in the Manual. The issues that must be properly addressed in College Bylaws include proper voting procedures for new members and officers, proper procedures for voting on Senate issues when the Colleges act as Senate committees, and quorum definitions, particularly when acting on Senate matters.

The revised policy of the Graduate Council regarding the Graduate Record Examination General Text was approved for inclusion in Appendix D of the Division Manual.

Several conforming changes were made to the Division Manual. The words “in conformity with the University schedule of exercises” were dropped from SCB 6.1 because they no longer carry meaning. It was decided by CRJE to continue listing committees alphabetically, automatically changing the order to conform with committee name changes. It was decided to retain all variances in Appendix B of the Division Manual. The word “in” was deleted before the word “History” in SCR 6.7.9. The references at the end of SCR 10.2.2.3 were updated.

One carry forward issue has to do with the proper labeling of Regulations in our Division Manual. According to UC SB 80.4, Regulations in the Division Manual that are at variance with the UC Regulations and have been approved by the Academic Senate are to carry the prefix “A”. This has not been done consistently. Bringing the manual into conformance with UC SB 80.4

will require considerable research of past actions by the Division. This task could not be resolved this academic year because the UC manual is currently being revised and updated, making it difficult to reconcile the UC and UCSC manuals.

Two issues should be carried forward to 2007-08 because the items have not been received by CRJE. The review of College Bylaws should be continued as revisions are submitted by the Colleges. The Graduate Council has been reminded that it needs to submit all of their regulations for review by CRJE for inclusion in Appendix D of the Senate Manual. CRJE will then need to review the regulations for consistency with existing Bylaws and Regulations.

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

Respectfully Submitted,

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**

Melanie DuPuis (W, S)  
Dan Friedman  
John Jordan  
Catherine Soussloff  
David Belanger, Chair

August 31, 2007

**COMMITTEE ON TEACHING**  
**Annual Report, 2006-07**

To the Academic Senate, Santa Cruz Division:

Dear Colleagues,

This annual report of the Committee on Teaching (COT) for the academic year 2006-07 begins with the news that we did not succeed in our tasks: We set ourselves the goal of raising the profile of teaching at UCSC and failed. Not that we didn't try: we did manage to call teaching to the attention of colleagues and administrators during the course of our work, but we did not succeed in helping to reframe the current academic teaching culture at UCSC.

Our work this year helped us to understand some of the changes UCSC is going through: undergraduate classes are increasing in size to pay for our small graduate classes whose numbers are growing as new graduate programs come on line, and there is a greater emphasis on research and the funding that flows from research grants. Because the colleges no longer function as intellectual centers and can no longer facilitate the ongoing conversations about teaching they at times used to foster, discussions about teaching are not now central parts of regular ongoing campus conversations. Instead of talking about learning-centered processes, many of us have observed that when they do occur conversations about teaching have tended to focus on technical discussions about the delivery of information. While this is an important part of education, to focus solely on teaching as the delivery of information distorts and reduces the complexity and importance of teaching, at both the undergraduate and graduate level.

We believe that one way of strengthening teaching is for the University to commit to rewarding outstanding teaching on a par with outstanding research in the tenure and promotion process. Current practice apparently has poor teaching count against a faculty member in promotion decisions, yet we are concerned that not enough is made of the difference between adequate and excellent teaching. We also believe that, particularly in departments serving a large number of students, increased support for positions with a primary teaching purpose would serve both the research and teaching missions well. As a Committee we decided to take a step to reframe this current academic culture: thus we agreed to recommend making some teaching grants we administer along with the Center for Teaching Excellence (CTE) available as summer stipends. We regard this as a small step towards a larger remedy that awaits administrative action: to reward teaching at UCSC at a level comparable to research.

We base our views on the work we did during this academic year. COT met on a biweekly schedule, adding more meetings as needed from time to time. We made a point of meeting with colleagues and administrators to learn their views on the current state of teaching at UCSC and help us reflect on how to improve it. The minutes of our meetings list the range of our discussions. In May, COT voted to have our minutes posted on the web to encourage access and openness. Since they are not yet available our annual report recaps our activities, though it is not comprehensive. For complete information, we refer Senate members to our minutes.

## **COT Consultations**

We note here that our meetings with Virginia Steel, University Librarian, William Ladusaw, Vice Provost and Dean of Undergraduate Education, Lisa Sloan, Dean of Graduate Studies, Robin Ove, Manager of the Faculty Instructional Technology Center (FITC) and WebCT, Peggy Church and Karen Keen from the Disability Resource Center (DRC), and Jaye Padgett, Chair of the Committee on Educational Policy (CEP) were particularly enlightening.

Our discussions with University Librarian Virginia Steel defined a keynote for our work: the need for more complete and effective communication among units and faculty especially with regard to the interface of technology and pedagogy. She indicated that the Library is planning an Information Commons, which will encourage information literacy, further support for teaching, and coordination of the Library with other teaching functions and Information Technology Services (ITS). We look forward to these developments. Our meeting with Dean Lisa Sloan made us aware of the progress of the Graduate Division in TA training, and Robin Ove's visit brought information about the campus's commitment to enhancing teaching through technological innovation.

Our discussions with VPDUE William Ladusaw covered a wide range of topics. Of particular note were the comments on on-line teaching evaluations, the value of an honors program in attracting and retaining the best undergraduate students, and the current spectrum of undergraduate requirements. COT members expressed strong support for an honors program and thought it appropriate to cooperate with VPDUE Ladusaw and relevant Senate committees in implementing an honors program for the campus. UCSC is the only UC campus currently without an honors program. We considered the possibility of having COT make regular reports at Senate Meetings regarding such things as the need to reward excellent teaching, and the current lack of funding for an honors program.

Chair Baumgarten and Member Hinck attended a meeting called by EVC Kliger to discuss issues associated with large lecture teaching. At that meeting VPDUE Ladusaw again pointed out the need to rethink our requirements, and to contextualize them in terms of clear mission statements by the departments of their educational goals.

Peggy Church and Karen Keen visited COT from DRC to request input regarding outreach to faculty. COT members commented on the challenges around special exam accommodations particularly for large classes. One member described a situation for a class of more than 200 students where on the order of 20 students have special needs, on average. If more than one needs a separate test area, that leaves the instructor needing to walk to multiple locations at distances of up to ½ mile apart (based on a recent occurrence). Members listed challenges around lack of available rooms, costs to hire proctors, time requirements for departmental staff at an already busy time, and limitations on faculty to do anything about space needs. Some members related giving up their office for special test space or using space of fellow faculty members. All agree that there is a significant campuswide space issue for accommodation of special tests. We note that the School of Engineering has an effective plan for these situations.

Our discussions with CEP Chair Professor Jaye Padgett led us to recommend to the 2007-08 COT that they consider cooperating in the future with CEP as they develop several initiatives directly connected to issues central to COT. In this regard, COT has received requests to support

various unfunded mandates on behalf of the Writing Program, pointing to the strong on-going need in this area. This year only one such request came. In preceding years we received other requests: 2004-05 (1 mini grant); 2003-04 (1 mini grant and 1 major grant). This is an issue CEP continues to engage.

CEP Chair Jaye Padgett, in his meeting with COT called our attention to the ways in which the number of large undergraduate courses has gone up overall, as graduate course numbers have also increased. Between 1999-00 and 2003-04, undergraduate enrollments clearly went up roughly by a third, and graduate enrollments went up more slowly. He also acknowledged that for obvious reasons, graduate courses tend to have very small enrollments. He commented that this kind of data is the reason for the shift many of us feel in undergraduate enrollments because of our decision to invest faculty resources in growing graduate programs.

In the face of the need to increase our graduate programs, COT is yet very concerned with what appears to be an increasing shift away from our long traditional focus on undergraduate teaching. More students are being taught (or should we say processed) in larger and larger classes so that resources are freed up to teach graduate courses. What is needed are additional resources to grow the graduate courses and not have the graduate courses grow at the expense of the quality of the undergraduate programs at UCSC. The weakening of the undergraduate courses has led to a call for honors programs so that we can attract and retain the best students. The two processes are apparently linked. The data produced by CEP and submitted to the Senate on May 15, 2007, confirms this analysis and should be a wake-up call to the campus. We also see the need to rethink the role of Teaching Assistants, and welcome the efforts of the Graduate Division and Dean Sloan in refocusing the training of TAs.

The COT Chair regularly attended the meetings of the Information Technology Committee (ITC), occasionally spelled in this role by other members of COT. The issues raised at ITC meetings were regularly reported on and discussed by COT. We noted with dismay that ITC put forward an end-of-year request that did not make additional funds for technological support of teaching one of their highest priorities. In April, COT member Kevin Karplus represented COT at a meeting of the Committee on Computing and Telecommunications (CCT), to discuss a proposal by CCT to require all students to purchase laptop computers. COT has not taken a stand on the matter yet, as we are still awaiting details of the proposal from CCT.

### **Excellence in Teaching Awards**

Some of the pleasure of working for the Committee on Teaching came with the distinguished teaching awards by which we honored the fine work of many of our colleagues in the classroom. We were delighted to see the range of imaginative approaches to teaching that helped our students become active participants in the learning process rather than making them mere consumers and bystanders. We hope the example of these colleagues in investing in classroom learning and teaching will ignite the imagination and interest of us all: more information about the strategies developed by our colleagues is available on the website of CTE: <http://ic.ucsc.edu/CTE/awards.html>. The website also lists the recipients of this year's awards for teaching excellence along with the evidence for their distinguished work. We congratulate this year's recipients. They are:

- George Brown, Physics, Ron Ruby Teaching Award in Science
- David Draper, Applied Mathematics and Statistics
- Bruce Lyon, Ecology and Evolutionary Biology
- Mara Mather, Psychology
- Brad Olsen, Education
- Adriane Steinacker, Astronomy and Astrophysics
- Andrew Szasz, Sociology

COT confirmed its support for allowing students to submit award nomination letters on-line for the faculty teaching awards. These and other possible measures to increase awareness of these awards were discussed.

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

COT nominated Gary Griggs, Professor of Earth and Planetary Sciences, for the U.S. Professor of the Year program.

### **Instructional Improvement Program Grants**

Part of our work also included collaborating with CTE in awarding Instructional Improvement Course Development Grants. This year COT awarded a total of \$95,735.94 out of requests totaling \$173,047.88. Twenty eight grants were funded out of 44 proposals. Funded projects included 19 Mini-grants, 4 Major Grants, and 5 Course Development Fellowships. COT rejected several Instructional Improvement Grant requests this year. There were two main reasons for rejecting requests: the proposal appeared to benefit the individual faculty member more than it benefited students, or the proposal was for a routine expense that should have been covered by a departmental budget. Several grant requests were sent back for further information or for commitments from the department to continue funding if the pilot programs of the grant proposal proved to be successful. In future, it would be wise for proposals to include departmental commitments in the initial requests. We understand the value of course relief for encouraging faculty to consider new approaches when they develop courses. Optional summer stipends would give us one more tool, perhaps more attractive for faculty who do not wish to reduce their teaching load. It also provides another way of using our resources to keep our best teachers in the classroom. For this reason we decided to add the option of summer stipends as a means of supporting course development in the next round of proposals, and we recommend that next year's COT favor summer-stipend requests over course-relief requests for proposals of otherwise similar merit.

Recipients of last year's fellowships for Instructional Improvement Grants presented the results of their course planning in Bay Tree Conference Room D on April 23, 2007. The six faculty presentations, and their new or revised courses, included:

- Karen Barad (Feminist Studies), "Feminism and Science"
- Peter Limbrick (Film and Digital Media), "Middle Eastern and Arab Cinemas"
- L.S. Kim (Film and Digital Media), "Approaches to Writing On and In Film and Television"
- Jean E. Fox Tree (Psychology), "Weird Science"

Roberto Manduchi (Computer Engineering), “Assistive Technology and Universal Design”  
Sheila Crane (History of Art and Visual Culture), “Mediterranean Cities”

Grant recipients discussed a wide range of experimental teaching and learning strategies that they had developed during their course relief, with an emphasis on innovation and the encouragement of critical thinking. Professor Limbrick, for example, posed the question “How do students bridge the cultural gap when learning about other national cinemas” and will have them work with a digital journal, while Professor Kim aimed to have students explore a broad variety of writing forms in order to enhance career possibilities. Professor Fox Tree, a cognitive psychologist, discussed the pervasive thinking that too often blurs the distinction between science and pseudo-science and Professor Manduchi explained the importance of integrating design principles and an awareness of human-centered disability resources. “Mediterranean Cities,” an art history course to be taught by Professor Crane, will utilize small group projects and workshops to help students explore interdisciplinary approaches to urban studies.

Despite the small audience, there was a sense of engagement during the presentations, with good questions and discussion after each presentation. We recommend that next year’s COT discuss strategies to improve attendance at this event since the sharing of new teaching strategies is central to our mission.

We also note that our request for an increase in the budget for Instructional Improvement Grants, which had been reduced, has yet again not been approved--despite the significant increase in the number of large lecture courses and the decline in small undergraduate courses.

### **3<sup>rd</sup> Annual Teaching and Learning Symposium**

COT also worked with CTE in organizing the annual Teaching and Learning Symposium. The theme for this year’s Teaching and Learning Symposium was “Teaching and Research,” an examination of the many ways in which we bring our research directly into the classroom. The afternoon program was held at the University Center on February 15, 2007, with Acting Chancellor Blumenthal and Campus Provost/Executive Vice-Chancellor Klinger opening the symposium as keynote speakers. Chancellor Blumenthal began by highlighting UCSC’s excellent record in encouraging undergraduate research (noting, for example, that more of our Humanities students go on to enter Ph.D. programs than at any other UC). Vice-Chancellor Klinger, after observing that “research and teaching are partially linked and partially separate,” went on to discuss how teaching can also contribute to our research.

We were heartened by the participation of Acting Chancellor George Blumenthal and Executive Vice Chancellor and Provost David Klinger in our Teaching and Learning Symposium. They were joined by distinguished UCSC alumni Gary Novak and Ted Goldstein who made presentations on the role of teaching and learning in their respective industries. After a question-and-answer period, the symposium continued with two simultaneous sessions, as faculty explained the ways teaching and research intersected in their individual courses.

But the campus voted with its feet: few people came to the symposium, and it did not generate an ongoing conversation on teaching and learning. Rather it emphasized for us how teaching has been moved from the center of our concerns to the periphery. Some of the palliatives that have

been proposed involve more technology, more use of the internet, more webct—in themselves these are valuable but only in relation to the imaginative use that may be made of them by colleagues committed to teaching. We also followed up on last year's Committee suggestion for on-line evaluations. VPDUE Ladusaw told us that he would look into a pilot version and report back to us and related committees. He thought a rethinking of our current general education requirements would be part of a reframing of the teaching and learning mission of the University. Such a rethinking might help us understand exactly what the different disciplines define as their educational missions and purposes. We look forward to a proposed report that he indicated might be forthcoming and to the discussions that should result from it.

### **Strategic Academic Plan**

During our discussions of the draft Strategic Academic Plan we noted how the discussions focused on FTE only in relation to research and funding projects. We also discovered that the mission statement of the campus and of the University as a whole has a decidedly lame discussion of teaching and its importance. You can access this less-than inspiring UC Mission statement: <http://www.universityofcalifornia.edu/aboutuc/mission.html>

In conclusion we underscore our concern about the place of teaching in the University is echoed by recent reports from Harvard and Columbia. What we can do to remedy the situation is up to all of us in part in the roles we play as members of the Academic Senate.

### **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 the Committee. We also want to acknowledge the incisive help of Roxanne Monnet, who served as staff to COT, and also helped us with the coordination of our activities and those of other committees of the Senate.

Respectfully Submitted,

### **COMMITTEE ON TEACHING**

John Borrego  
Lindsey Hinck  
Kevin Karplus  
Cynthia Polecritti  
Murray Baumgarten, Chair

Rachel Dewey, NSTF Representative  
Jess McGuire, GSA (F)

August 31, 2007

**COMMITTEE ON COMMITTEES**  
**Additional Nominations 2007-08**

To: Academic Senate, Santa Cruz Division:

The following nominations are changes and additions to those confirmed at the May 30, 2007 meeting of the division. A full list of Senate Committee membership can be viewed at: <http://senate.ucsc.edu/cmmtes/StCom0708.pdf>

**Committee on Committees**

Add: Kathy Foley	Theater Arts
Delete: Richard Montgomery	Mathematics
Add: Junko Ito	Linguistics
Delete: Mark Traugott	History

**Career Advising**

This committee will remain unfilled for 2007-08

**Computing and Telecommunications**

Add: Victoria Gonzalez-Pagani	Languages
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**Planning and Budget**

Add: Olga Najera-Ramirez (W, S)	Anthropology
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**Privilege & Tenure**

Add: Catherine Soussloff	Chair/UCPT Rep	History of Art & Visual Culture
Delete: Kenneth Kletzer	Chair/UCPT Rep	Economics
Delete: Martin Berger		History of Art & Visual Culture

**Research**

Add: Andrew Fisher	Earth & Planetary Sciences
Delete: Catherine Soussloff	History of Art & Visual Culture

**P & T Advisors (For Information Only)**

Judith Aissen (W,S)	Linguistics
Jonathan Beecher	History
David Brundage	Community Studies
Catherine Cooper	Psychology
Glenn Millhauser	Chemistry
Alan Richards	Environmental Studies

Respectfully Submitted:

**COMMITTEE ON COMMITTEES**

Joseph Konopelski, Chair

Junko Ito

Carolyn Martin-Shaw

Andrew Szasz

October 26, 2007

**COMMITTEE ON EDUCATIONAL POLICY**  
**Amendment to Regulation 11 on Honors Designations**

To the Academic Senate, Santa Cruz Division:

CEP is proposing an amendment to Santa Cruz Regulation 11 on UCSC honors designations. Currently SCR Chapter 11 establishes honors in the *major* (SCR 11.1) and *college* honors for “overall academic work” (SCR 11.2). CEP’s proposed amendments would do the following:

- establish a category of *University Honors* using the Latin designations *cum laude*, *magna cum laude*, and *summa cum laude*. Eligibility for University Honors would be based on the UC grade point average.
- establish a quarterly Dean’s Honors List based on the current quarter’s GPA and the units earned and graded.

Honors *programs* (involving curricular and extracurricular opportunities) and honors *designations* (such as those entertained in this legislative proposal) are a means of attracting and retaining students, of acknowledging and rewarding student achievement, and of reinforcing academic excellence. Many on campus are concerned that UCSC lags behind our sister campuses in fostering these goals. We are the only UC campus with undergraduate programs that does not have any campuswide honors program. We are also the only campus lacking a Dean’s (“quarterly”, “to date”, “provost”) honors list or Universitywide criteria for awarding honors at graduation. There is a great deal of anecdotal evidence (as those involved in any way in University admissions know) that these lacunae can be a disincentive for prospective and enrolled students. Of equal concern is the finding by CEP’s Report on Undergraduate Graduation Rates (done in collaboration with the Vice Provost and Dean of Undergraduate Education and the Office of Institutional Research and Policy Studies) that UC Santa Cruz retains its academically most-prepared students at lower percentages than would be expected.<sup>1</sup> For reasons such as these, a recent ad hoc UCSC Honors Committee recommended that our campus establish a category of University Honors.<sup>2</sup>

CEP consulted with the college provosts on the question of whether to establish University Honors in addition to, or in place of, the currently existing college honors (which are themselves based on “overall academic performance”). CEP agrees with the Council of Provosts that there are good reasons to maintain college honors as a separate category. College identity is an important feature of our campus. A college’s ability to award college honors, and its autonomy in deciding what the criteria might be, contribute to a college’s identity and sense of community. A category of University Honors with Latin designations, in turn, has its own advantages of being more familiar to the general population and subject to minimum criteria that hold consistently across the University (though see below regarding Schools).

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<sup>1</sup> As defined by students in the highest two quintiles based on either high school GPA or standardized test scores. Find the report at <http://senate.ucsc.edu/cep/CEPretention1495.pdf>.

<sup>2</sup> Establishing a UC Santa Cruz Campuswide Honors Program: a report to the Academic Senate from the Committee on Honors. June 2004. We would like to particularly acknowledge the work of this committee as a source of ideas.

We can contextualize other aspects of the proposed legislation as follows.

**Requirement of at least 70 completed UC units (11.5)**

All other UC campuses specify that, in order to be eligible for honors, a student must complete a minimum number of UC units, as follows:

	Minimum UC units	Minimum <i>graded</i>	Minimum in residence
UCB	50 (semester)	43	30
UCD	45		
UCI	72		
UCLA	90	90	
UCM	50 (semester)	43	30
UCR	60	60	
UCSD	80	80	
UCSB	76	76	
<b>UCSC</b>	<b>70 (proposed)</b>		

In our view a requirement of 70 UC units, which amounts to a bit more than a year and a half of normal study, strikes a reasonable balance between requiring substantial UC-level work on the one hand, and not excluding the possibility of honors to relatively late UC transfers on the other.

As can be seen above, some campuses go further in stipulating the number of completed UC units that must be graded in order for there to be consideration for honors. Note that all UC campuses require at least two thirds of units applied toward graduation to be letter graded; UCSC requires three fourths of UCSC units applied toward graduation to be letter graded. It therefore follows from the general requirement of 70 units completed that at least 47-52 units completed by a graduating UCSC student would be letter graded (the exact number depending on whether any units were completed at UCs other than UCSC).

Two campuses also stipulate a minimum number of units completed *at that campus* (as opposed to at some other UC). UCSC already has a minimum residency requirement for all students, who must have completed at least 45 UCSC units to graduate from UCSC. An additional such requirement for honors would be redundant.

**Rankings and designations**

The rankings proposed here for determining which of the three honors designations applies can be compared to those at other UC campuses below.

	Highest rank	Next highest	Next highest	Total
UCB	top 3%	next 7%	next 10%	20%
UCD <sup>3</sup>	top 2%	next 2%	next 4%	8%
UCI	top 1%	next 2%	next 9%	12%
UCLA	top 5%	next 5%	next 10%	20%
UCM	top 2%	next 4%	next 10%	16%
UCR	top 2%	next 4%	next 10%	16%
UCSD	top 2%	next 4%	next 8%	14%
UCSB	top 2.5%	next 6%	next 11.5%	20%
<b>UCSC</b>	<b>top 2%</b>	<b>next 3%</b>	<b>next 10%</b>	<b>15% (proposed)</b>

### Dean’s Honors criteria

To be eligible for quarterly Dean’s Honors (or the equivalent), all other UC campuses require that a student complete at least 12 letter-graded units that quarter and that the GPA for the quarter meet a minimum (often 3.5 if it is not tied to University Honors at graduation rankings as proposed here). Some campuses also specifically mention that incompletes or grades below B or C will render a student ineligible.

Though 12 units is the minimum load that qualifies a student for financial aid, UCSC students are normally expected to complete 15 units each quarter. We would like to avoid a standard for Dean’s Honors that would seem to endorse 12 units as a good minimal load; hence our requirement of 15 units. At the same time, requiring all of those units to be graded (to be considered for Dean’s Honors) is inconsistent with the University’s policy of endorsing the occasional Pass/No Pass course. Some required courses exist that are *only* P/NP (cannot be graded). Taking one such course should not disqualify a student for Dean’s Honors.

### Schools

UCSC has one distinct School, the School of Engineering, and it may well acquire more in time. Many of our sister campuses allow or require distinct means of determining rankings (and hence honors designations) for different Schools, subject to Universitywide criteria. We find this to be appropriate.

A complication in wording arises because UCSC has no “School of Arts, Letters, and Sciences” parallel to its School of Engineering. That is, the divisions of Arts, Humanities, Physical and Biological Sciences, and Social Sciences do not constitute or belong to any Schools. Section 11.4 of the proposed legislation stipulates that, for the purposes of interpreting legislation on University and Dean’s Honors, students within any established School constitute a “group”, and students not in any established School together also constitute a “group”.

The legislation would currently have the effect of dividing UCSC students into two populations – School of Engineering students and all other students. Rankings would be calculated separately

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<sup>3</sup> The percentages UCD admits into each category depend on the number of units completed. These figures are for students who have completed 45-89 units at UC.

for the two groups based on GPAs within the respective populations. Given the proposed wording, any newly established School at UCSC would be treated separately as well.

Because only Schools or Colleges can award honors designations according to systemwide Regulations (SR 732), because at least one of our defined “groups” is not within any School or College, and because it is colleges at UCSC that give the degree for all UCSC students, the proposed legislation establishes that the colleges award University Honors. But University Honors will be awarded based on campuswide criteria (defined in 11.5) and will appear on transcripts and diplomas as “University Honors, (Summa/Magna) cum Laude” (as appropriate).

CEP will establish policy allowing the Registrar to implement these Regulations. Currently under consideration are the following:

1. Threshold GPAs (within any “group”) would be based on the average GPAs at graduation of the past two year’s UCSC graduates. This moving average would be updated yearly.
2. For the purposes of awarding Dean’s Honors, a student would be considered to be in the School of Engineering if that student is a declared SOE major. Until that time such a student would be counted as non-SOE.

**Honors and integrity**

Some other UC campuses include language in their Regulations establishing the University’s prerogative to withhold an honors designation given violations of academic integrity. Given the seriousness of this issue and suggestions that plagiarism is becoming more endemic<sup>4</sup>, CEP is strongly in favor of doing the same (see 11.7). The designation “reportable” is already defined, referring to violations that have been deemed important enough to warrant disclosure outside of the University (when, for example, graduate or professional schools inquire about a student’s record). It is college provosts at UCSC who make the judgment that a violation is “reportable”.

<b>Current wording</b>	<b>Proposed wording</b>
<p><b>11.1</b> At the time an agency certifies that a student has fulfilled the requirements for a major, it may recommend the award of Honors or Highest Honors in the major field. The notation "Honors (or Highest Honors) in (name of major)" shall appear on the diploma and on the transcript. (Am 27 Jan 71; EC 1 Aug 76)</p>	<p><b>11.1</b> Unchanged</p>
<p><b>11.2</b> The Faculty of each college shall recommend in writing such of its students as it deems merit the award of honors for overall academic work. It shall send such</p>	<p><b>11.2</b> Unchanged</p>

<sup>4</sup> See the recent San Francisco Article “Everybody does it” at <http://www.sfgate.com/cgi-bin/article.cgi?file=/c/a/2007/09/09/CM59RIBI7.DTL>.

recommendations to the Registrar. The notation, "College Honors" shall appear on the diploma and on the transcript. (Am 27 Jan 71)

**11.3** In accordance with SR 640, each agency that has an approved major that elects to award Honors shall submit the criteria for such an award to the Committee on Educational Policy for its review, approval, and permanent record. Any change in criteria will require resubmittal. (En 31 May 78; CC 28 Jan 81, 31 Aug 99)

**11.3** Unchanged

**11.4 For the purposes of interpreting SCR 11.5-6, honors eligibility for students whose degree program is in an established School shall be based upon the GPA thresholds calculated for their School. Honors eligibility for other students shall be based upon the GPA thresholds calculated for students whose degree program is not part of an established School. The term "group" refers to groups defined in this way.**

**11.5 University Honors at graduation shall be awarded by a student's college, subject only to criteria provided here and in 11.7. Students eligible for University Honors at graduation shall be those who have completed 70 or more units at the University of California and have attained in their group a UC GPA that places them in rankings as follows: summa cum laude, top 2%; magna cum laude, next 3%; cum laude, next 10%. Each year and for each group the Registrar shall calculate the GPA thresholds required for these levels of University Honors, based on the GPAs of recent graduates. These GPA thresholds shall be published and serve as criteria for University Honors at graduation during the next academic year. The notation "University Honors, (Summa/Magna) cum Laude" (as appropriate) shall appear on the diploma and on the transcript.**

**11.6 Students will be eligible for quarterly Dean's Honors if they have earned a**

	<p><b><u>minimum of 15 units that quarter, of which at least 10 are graded, with a term grade point average equal to or higher than that required for University Honors at graduation in their group for the current academic year. Dean's Honors are listed on student transcripts.</u></b></p> <p><b><u>11.7 Any student who has a reportable disciplinary sanction for a violation of academic integrity policies may be ineligible for any honors designation, at the discretion of the agency that awards the designation.</u></b></p>
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Sincerely,  
COMMITTEE ON EDUCATIONAL POLICY

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David Helmbold

Pamela Hunt-Carter, *ex officio*

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Jack Vevea

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Sarah-Hope Parmeter, NSTF Representative

Jamal Atiba, SUA Representative

October 19, 2007

**COMMITTEE ON PLANNING AND BUDGET**  
**Report of the Subcommittee on Returns on Research Funding**

To the Academic Senate, Santa Cruz Division:

**Introduction**

The goal of this study is limited: to provide a general answer to the frequently asked question of whether the campus research enterprise in net generates money or not. The research issue has special urgency in the current budgetary climate of the state. As the amount of state support allocated on a per student basis to the University of California has decreased through time, the question of whether (and the degree to which) research money can produce revenue to buffer the effect of declining state support requires examination. This study is designed to answer that specific question. There are much larger, more complex questions about research funding that are not addressed here.

**What is NOT included in this report?**

The Committee on Planning and Budget (CPB) cautions that this limited study of the returns on research does NOT address the larger effects on the financial state of the campus and possible future distributions of FTE among divisions. Instead, we envision the report as the first stage of a broad investigation, to be conducted in 2007-08, of what the financial implications are for the campus to grow differentially in those areas that generate research monies. Such a full-scale study would have to address the following:

1. What are the differential costs of each Division's use of central campus resources (Informational Technology (IT), Business Administrative Services (BAS), risk management and toxic waste disposal, library, etc.)? How are these costs differentially offset by income generated by the Division through indirect costs returns and/or large, faculty-taught student enrollments?
2. What are the differential costs associated with each division's draw on central funds in the personnel process?
3. What are the differential costs by division of start-up packages in relation to the university opportunity funds generated by the average faculty member of a given division? (This is related to question #2: what proportion of start-up funds comes from divisional as opposed to central sources?)
4. What are the fiscal start-up requirements and time to financial maturity for new academic disciplines and/or schools?

The above represent some examples of the larger contextual issues that are NOT taken into account in this report. We have intentionally excluded questions of campus culture (such as divisional variation in recruitment incentives and other differential costs) that reflect local administrative practices that need/may not continue in the future.

## **What does this report cover?**

Our starting point is to assume that there are clear benefits to a vibrant externally funded research enterprise. The specific question we address is whether, in a narrow sense, money flows into or out of the campus research enterprise. Research funding is utilized for a wide range of activities that benefit the campus, such as enabling and maintaining state-of-the-art laboratories and research efforts in a range of disciplines, enhancing graduate student funding through Graduate Student Researcher's (GSR's), and providing high-level research experiences for both graduate and undergraduate students. Moreover, the research enterprise often leverages gifts of equipment from private industry and can generate intellectual property income. Additionally, research-derived monies directly fund the grant program of the Committee on Research, providing cross-campus benefits to the enterprise. Thus, we address the questions of whether the campus research enterprise pays for itself, and if so how much additional money does it bring?

The specific goal of the report is to examine the trade-offs between indirect cost returns to the campus and campus expenditures on start-up expenses. This is a relatively limited data set that does not include such factors as the differential costs of salary and instruction across divisions. Nor does it factor in the differential rate at which central administrative services (IT, BAS, library, etc.) are used across campus, or any differentially-derived sources of support for these services. The purview of this report is thus narrowly focused on indirect costs: what activities they support in carrying out research and how they are negotiated.

## **A primer on indirect costs**

To provide a general context for this report, we briefly describe research overhead or, as it is synonymously known, indirect costs. Indirect costs are the amount of money derived from grants to support the infrastructure associated with conducting sponsored research. This infrastructure includes the research-attributable portions of departmental administration, building use, operation and maintenance, the library, general administration, student services administration and sponsored project administration. A few examples include: expenses as diverse as debt-service on buildings, janitorial services, hazardous waste disposal, earthquake and disaster preparedness and prorated portions of administrators' salaries enter into the overhead rate calculation. The manner in which the overhead rate (or, in the Office of Management and Budget [OMB] terms, Facilities and Administration Expenses) is calculated for a given institution is complex, and the guidelines for how this rate is determined are given in the U.S. Government's Office of Management and Budget Circular A-21 (<http://www.whitehouse.gov/omb/circulars/a021/a021.html>). At UCSC, the current federal indirect cost rate has been negotiated for on-campus, non-equipment grants to be 51 percent. Operationally, this means that if a campus researcher (faculty or otherwise) needs to bring in \$100,000 for a combination of salary, graduate student researcher support, and miscellaneous research expenses, the granting agency will award the university \$151,000—thus the researcher gets \$100,000, while the \$51,000 goes toward indirect costs. Lower rates can be (and are) negotiated in some circumstances or with

some agencies, and for off-campus research—for example, the University Affiliated Research Center (UARC) currently has a negotiated overhead rate of 17.8 percent. Furthermore, extramural funding to purchase equipment is not subject to overhead (that is, its indirect cost rate is 0 percent).

Extramural support is thus reported in two categories: overall/total and indirect costs. Total extramural support (much of it federal and in support of research) to the campus in 2006-07 was \$110.6 million. The campus’ total operating budget, for reference, was 485.3 million with the state’s contribution to this being 182.1 million. The federal indirect cost return to the campus in 2006-07 was \$13.3 million<sup>1</sup> (see divisional breakdown in footnote).

The federal indirect costs are, in turn, formulaically divided up and distributed according to the algorithm of Figure 1. 6 percent is retained at the UC Office of the President. The remainder is returned to the campus, divided into three categories: 20 percent goes toward the “off-the-top fund” which funds the administration of contracts and grants; 44 percent goes towards the campus general fund; 36 percent goes to University Opportunity Funds. This last category, University Opportunity Funds, produces clearly identifiable, and trackable, research-generated money that is distributed around the campus. This 36 percent (of 94 percent) is, in turn, subdivided into 40 percent that is returned to the Academic Division that generates the funds, 40 percent to the Campus Provost/Executive Vice Chancellor (EVC) for building infrastructure costs, faculty start-ups and other uses, 15 percent to the Vice Chancellor Research for seed funds and matching funds, and five percent to the well-known Senate Committee on Research grants. The University Opportunity Funds (UOF) thus provides the research-derived flexible funding that both contributes to the research enterprise and provides flexible monies that benefit the campus as a whole.

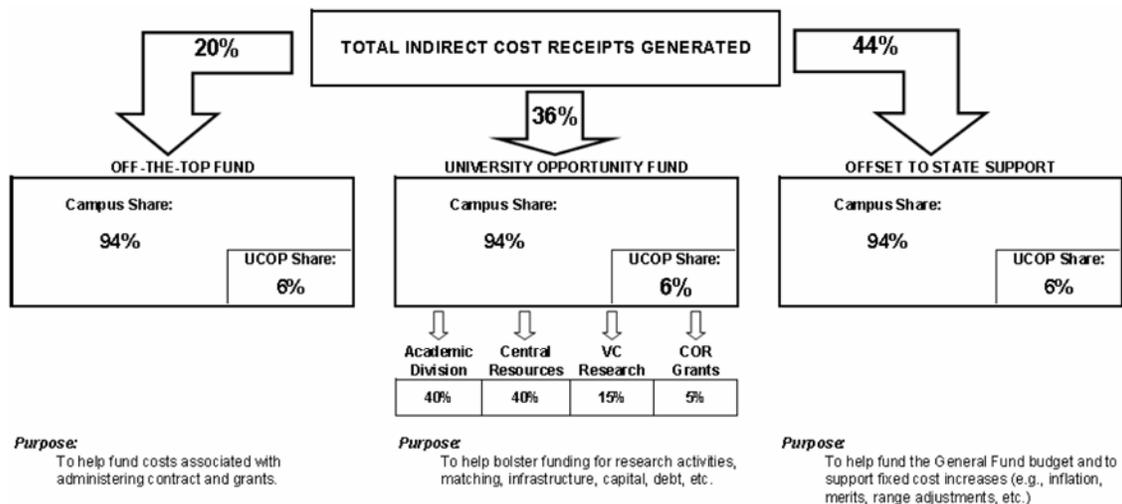


Figure 1. Allocation algorithm for indirect costs. From UCSC’s Planning and Budget Office.

<sup>1</sup> The federal indirect cost recoveries (rounded) by division/unit for 2006-07 were: Arts, \$25,000; Engineering, \$2.5 million; Humanities, \$14,000; Phys/Biol Sciences, \$6.7 million; Social Sciences, \$353,000; UCO-Lick, \$1.1 million; UARC, \$2.3 million.

### **What governs how much indirect costs are generated?**

What factors determine how much the campus receives in indirect costs? Clearly, the disciplinary distribution of the faculty plays a key role, in that research in some disciplines requires more funding than research in other areas. The demographics and caliber of the faculty in overhead-rich areas also play critical roles. Mid-career and more senior faculty, on average, bring in substantially more grant money than junior faculty, and maturation of faculty (and their research enterprises) produces increased receipt of indirect costs: a possible example of this effect is the fact that the School of Engineering has doubled its rate of federal indirect cost recovery in the last half-decade. Thus, the demographics of the UCSC faculty in fields that yield significant indirect costs are important in determining the likely future of indirect cost receipts for the campus. For reference, the School of Engineering faculty is the youngest of any of the Divisions on campus, with (as of 2004) 78 percent of their faculty below the age of 49 (Arts is second with 53 percent; Physical and Biological Sciences [PBSci] third with 51 percent; Social Sciences had 49 percent; and Humanities 35.5 percent). Accordingly, while discipline-specific age distributions could profoundly shift where overhead is garnered, the overall demographics of the faculty are consistent with indirect-cost growth in engineering, and no retirement-driven crisis emerging in PBSci.

External effects such as the overall health of the federally funded research budgets of NIH, NSF and NASA will clearly impact indirect cost receipts, and future trends are difficult to predict in an uncertain national budgetary climate. Yet the currently available budgetary projections for NSF involve a projected increase (inflation adjusted) of 31 percent between 2007 and 2011 (e.g., <http://www.aaas.org/spp/rd/nsf07p.pdf>), and the NSF budget falls under the framework of the President's American Competitiveness Initiative, which provides some protection from anticipated future cuts in many domestic programs. The projected NIH budget is a different matter (<http://www.aaas.org/spp/rd/07pch4.htm>)--present projections anticipate a net decrease of 12 percent in this agency's budget over the next five years. If worse budget scenarios come to pass with respect to federal funding, we note that the most competitive investigators will receive funding. Thus, the ability to recruit and retain the best faculty possible is a key ingredient in obtaining significant indirect costs.

Our net overhead income for the campus has notably increased over the last half-decade (Figure 2). The causes of this increase are multi-fold, and include a general increase in federal funding to both the PBSci and Engineering Divisions as well as the onset of the UARC. From a UC-wide perspective, campuses that have medical schools (UCD, UCI, UCLA, UCSD, and UCSF) tend to have higher overhead income; among those without a medical school, UCSC has a slightly higher rate of overhead income per faculty FTE than UCR, lags UCSB by 15 percent, and has about half the rate of UCB.

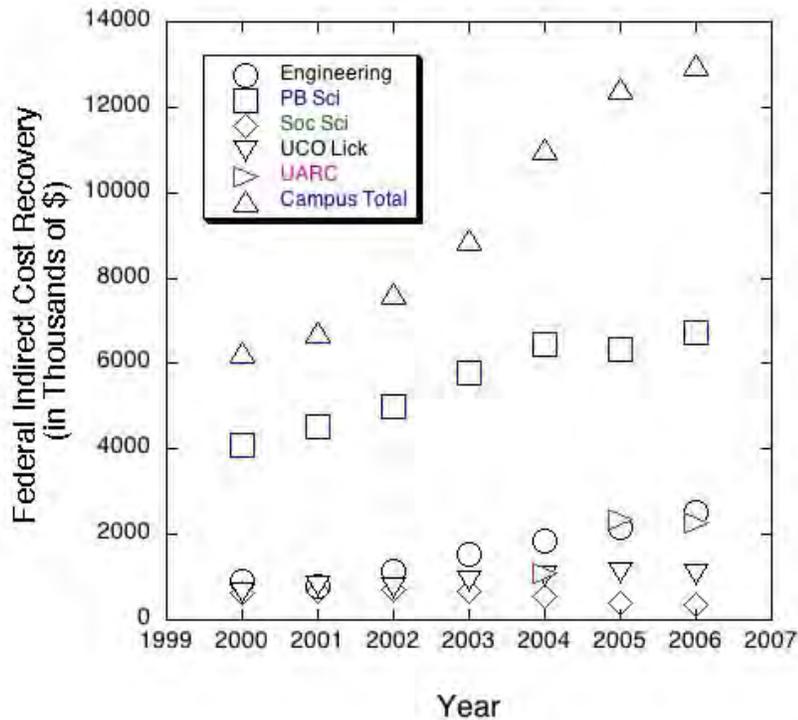


Figure 2. Federal indirect costs generated by different divisions and units on campus from 2000-2006.

**Start-up expenses**

Faculty start-up packages are among the principal research-related expenses. Start-up packages provide funding to new hires to jump-start their research efforts and are a critical part of recruitment packages in overhead-yielding disciplines. From 2003-04 to 05-06, such expenses varied between \$48,000 and \$655,000 for FTE hired in the PBSci Division (average of \$284,000 for each FTE over this period), and between \$65,000-\$405,000 for the School of Engineering (averaging \$174,000 over this period). Taken together, the combined start-up packages of these two divisions averaged \$2.7 million/year over this three-year span. For comparison, the campus generated about \$3.5 million dollars in Opportunity Funds in 2005-2006. These start-up expenses do not include recruitment incentives such as housing allowances that are not directly related to the research enterprise—these provide an additional expense associated with faculty recruitment, but one that is not exclusive to PBSci/Engineering.

Funds to provide start-up packages typically come from a combination of University Opportunity Funds (one of the portions of indirect costs, as shown in Figure 1) and from salary savings from faculty turnover (the amount retained in excess of an entry-level faculty salary) and divisions holding FTE open to accrue salary savings. In low-cost fields, the latter two are potentially sufficient to cover start-up costs. Of note, start-up packages are not used only for new FTE, but also for replacement FTE's; accordingly, both growth and attrition/replacements of FTE in these areas require strategic fiscal planning.

### **Analysis of the balance between start-up/recruitment expenses and indirect cost recovery**

We examined the trade-offs between the fraction of indirect costs that go into opportunity funds and the net expense of hiring faculty with average-sized start-up packages. For this analysis, we made several assumptions, as detailed below.

First, we assumed that the negotiated overhead rate and its apportionment into off-the-top funds (20 percent of 96 percent, Figure 1) and offsets to state support (40 percent of 96 percent, Figure 1) cover the expenses of the general infrastructure of research, exactly as it is intended to do (e.g., power to labs, the Sponsored Projects Office, the research portion of Environmental Health & Safety, building use, etc.). We thus did not include this research cost in our balance calculation, because it should be covered by the off-the-top and offset-to-state-support portions of the indirect costs.

Our second assumption was that the average faculty member in PBSci and Engineering will bring in indirect costs at a rate comparable to that generated in 2005-06—an assumption that is, intentionally, conservative, given the faculty-disproportionate increases in overhead income shown in Figure 2.

Our third assumption was that the expense of start-up packages is represented by the expense of such packages in 2005-06. In figuring these costs, it is important to make a distinction between actual research-related start-up expenses and total recruitment expenses. The latter include recruitment incentives that vary considerably by division. (See point #3 above, in section titled “What this report does not include.”) The net trend for actual start-up costs appears to be towards progressively larger average packages over time (for reference, the median does not show as clear a trend), but the level of appointments and the discipline and focus of the new FTE play primary roles in determining this number. Indeed, this trend is largely a consequence of the number of comparatively large start-up allocations that a division has utilized. As an example, over the last three years PBSci has allocated 70 percent of its start-up funds to 40 percent of its faculty hires, and the larger start-ups have been driven by the field and level of the FTE’s. In addition, there have been proportionally more high-end start-ups (loosely defined as larger than \$350,000) in the last three years than previously. As a programmatic illustration of this effect, theoreticians generally have significantly smaller start-ups than experimentalists; the trade-off is that their anticipated overhead income may be smaller, as well. From a different perspective, a competitive offer to a senior hire may require a significantly larger start-up than a junior hire. The programmatic and demographic distributions of new hires thus play a principal role in the magnitude of start-up expenditures, and we take the faculty hired in 2005-06 as a representative cadre of hires moving forward into the future.

The current average federal indirect cost recovery per faculty FTE in Engineering and PBSci are, in round numbers, \$40,000 and \$60,000/year, respectively, yielding

University Opportunity Fund yields of approximately 15,000/yr and 20,000/yr/FTE<sup>2</sup>. This amount reflects solely the indirect cost recovery generated by these divisions; the UARC is not included in this calculation.

Our ultimate goal was to ascertain the fiscal consequences of the CP/EVC's current Divisional FTE planning projections to a 19,500-enrollment build-out. With respect to start-up, it is important to note that the effect of FTE growth is modest compared to costs generated by the natural attrition of faculty; in the case of all divisions, more separations (and thus replacements) are anticipated before 2020 than the number of new faculty that are planned to be added. Thus, even without *any* faculty expansion, significant start-up resources and recruitment expenses would have to be allocated simply to maintain our current faculty distribution.

The estimated annual cost of hiring over 15 years the PBSci and Engineering faculty necessary both to replace and meet growth projections is near \$4.7 million/year<sup>3</sup>. The total faculty<sup>4</sup> in these two divisions will generate \$5.8 million/year of Opportunity Funds within their respective divisions. As stated above, 20 percent of the Opportunity Funds benefits the entire campus, and thus the current plan is anticipated to generate \$1.1 million/year for the campus.

A reduction in faculty allocations to these Divisions is less expensive for the campus in the year of hiring, but correspondingly produces lower overhead returns on an ongoing basis. Conversely, additional hiring in these divisions costs the campus more in the short term, and generates greater ongoing overhead returns. For example, decreasing the number of hires in SOE and PBSci each by 10 faculty decreases the annual cost of recruitment to \$4.2 million (from \$4.7 million), and the corresponding Opportunity Funds generated by these divisions to \$5.45 million/year (from 5.8 million).

## Conclusion

The research income of the campus has markedly increased over the last half-decade, fueled partially by the ability to generate large scientific initiatives (for example, Lick's Center for Adaptive Optics) and other overhead-generating mechanisms (such as the UARC). The net trade-off between major faculty research expenses (primarily faculty

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<sup>2</sup> University Opportunity Funds are the middle portion of Figure 1, and are 36 percent of 94 percent of the total indirect costs.

<sup>3</sup> The calculation was done by assuming over the next 15 years, as we grow to 19,500 enrollment, we will hire 80 faculty in SOE and 110 faculty in PBS. We used an average start up cost of \$350,000 or \$380,000, per SOE or PBS faculty, respectively. This start up cost includes a \$50,000 recruitment incentive plus an estimate of research-related start up costs that is based on the recent average cost extrapolated up based on past trends in start up costs (from Planning and Budget Office). The divisional contribution of \$50,000 and the salary savings from keeping a position open for one year were subtracted before arriving at the above number. This number, thus, includes costs that are not strictly related to research, but is an accurate estimate of the true cost of hiring in these divisions.

<sup>4</sup>Total faculty in SOE is estimated at 107 and PBSci at 212; this number is based on an SOE total of 125 and PBSci total of 235, with 10-15 percent open positions.

start-up expenses) and indirect-cost-generated opportunity funds appears, at the moment, to be roughly equivalent. This equivalence alone represents a major achievement, given that significant portions of the UCSC research enterprise are nascent or in the early stages of growth (such as large parts of the School of Engineering). The expense of faculty start-up illustrates the importance of faculty retention for the economic health of the research enterprise: to lose faculty recruited with large start-up packages within a few years of their arrival represents a significant economic loss to the campus. Finally, there is some inter-divisional flow of resources derived from overhead and thus the campus as a whole benefits from the enterprise: this benefit accrues both from the Committee on Research Grants, and, potentially, from the portion of University Opportunity Funds allocated centrally.

Acknowledgments: CPB gratefully acknowledges the invaluable assistance of Kathleen Dettman, Director of Academic Planning, Resources and Analysis, and Meredith Michaels, Vice-Chancellor of Planning and Budget, in putting together this report.

Respectfully submitted,

**COMMITTEE ON PLANNING AND BUDGET**

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August 31, 2007

## **COMMITTEE ON FACULTY WELFARE**

### **Quality of Life, Fall 2007 Report**

To the Academic Senate, Santa Cruz Division:

The Committee on Faculty Welfare (CFW) would like to submit this update on the three issues we have deemed critical for the maintenance of the faculty's quality of life at UCSC; salaries, housing and child care.

#### **Salaries**

Effective October 1, 2007, President Dynes announced that the Regents had approved the first year of a four-year plan for faculty salary increases to raise faculty salaries to market competitiveness and restore the rank and step system of faculty advancement. Although this is wonderful news, CFW has the following concerns:

- Will the UC Office of the President (UCOP) be able to find the money for the next three years?
- Will the campus have to shoulder some of this cost and thus have less money for educational programs?
- This salary plan does not take into account the COLA increases at the comparison 8 campuses, the re-introduction of UCRS contributions, nor that UCSC is one of the lowest paid UC campuses, which means UCSC faculty will still be behind the comparison 8 universities and other UCs in terms of relative salaries after the four-year plan is fully implemented. Therefore, is the current plan enough to keep UCSC competitive?
- The current plan clearly increases everyone's salary, but it does so unevenly because of the driving philosophy of maintaining the current step system. Does this plan penalize some faculty more than others, specifically the off-scale faculty who achieved it through merit? While we recognize no system is perfect, it may be appropriate to have in place a system that corrects the most egregious inequities.
- The administration has discussed a tightening of the use of off-scale salaries at UCSC. This may be premature since the faculty have only seen one year's raise so far, but have been underpaid for at least five years now. A four-year plan for tightening off-scale salaries, mirroring the four-year salary plan, may be more appropriate.

#### **Housing**

In collaboration with the administration, a lot of progress has been made over the last year with respect to housing, as outlined in our year-end report. One of the key changes that occurred over the summer was the re-pricing (re-indexing) of campus housing. Re-pricing was done to make the overall price structure more equitable and generate needed funds for our Low Interest Option - Supplemental Home Loan Program (LIO-SHLP) and our next housing project. However, it was acknowledged that this re-pricing increased the cost of certain homes and so it was predicated on two key limitations. First, that the housing costs of a moderately sized two-bedroom home would not exceed forty percent of an average Assistant Professors gross salary. Second, the promised salary increase plan would be implemented. This last issue is critical since higher household income means more affordable housing options for the faculty. This emphasizes the critical importance of the four-year salary increase and the need to make sure that the coming three years are appropriately funded by UCOP.

Another key challenge for the next year is to come up with a master housing plan, which allows the campus to more nimbly respond to the volatile housing market. The two main goals of CFW will be to determine if a new housing project is feasible on campus and to establish an organizational frame work that can respond quickly to campus needs. The current climate of cooperation with the administration bodes well for these goals.

### **Childcare**

The campus has made progress in its goal of providing quality childcare to faculty, staff and students. The past year has seen the implementation of a revised Child Care Access Policy, near parity in enrollments of faculty/staff children and that of students in the campus "Early Education Services" (formerly Child Care Services), and an increased number of spaces available for faculty and staff, in some programs. However, CFW is concerned that the cost of childcare continues to increase even as space remains limited and faculty salaries are only just beginning to be adjusted. In addition, there remain critical administrative and organizational issues and decisions that the campus must address if it is to fulfill its goal of offering affordable and qualitative childcare and early education service for the children of faculty, staff and students. In light of the name change of Child Care Services to Early Education Services, CFW believes that the educational mission of the program can benefit from a more defined academic relationship with the Department of Education and Psychology faculty with expertise in early education. CFW considers it an imperative that this planning process begin this academic year and proposes to work closely with the Child Care Advisory Committee, Campus Welfare Committee, Student Affairs and relevant faculty to develop a master plan for early education and child care at UCSC.

Respectfully submitted,

### **COMMITTEE ON FACULTY WELFARE**

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October 26, 2007