

Meeting Call for Regular Meeting of the Santa Cruz Division
Friday, November 5, 2010 at 2:30 p.m.
Stevenson Event Center
ORDER OF BUSINESS

1. Approval of Draft Minutes
 Draft Minutes of May 21, 2010(as amended at the October 20, 2010 meeting) (AS/SCM/295) p. iv
2. Announcements
 - a. Chair Gillman
 - b. Chancellor Blumenthal
 - c. Campus Provost/Executive Vice Chancellor Galloway
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports
 CONSENT CALENDAR:
 - a. Committee on Academic Personnel (AS/SCP/1644) p. 1
 - b. Committee on Admissions and Financial Aid (AS/SCP/1647) p. 10
 - c. Committee on Affirmative Action and Diversity (AS/SCP/1648) p. 18
 - d. Committee on Computing and Telecommunications (AS/SCP/1649) p. 21
 - e. Committee on Emeriti Relations (AS/SCP/1651) p. 24
 - f. Committee on Faculty Welfare (AS/SCP/1652) p. 26
 - g. Committee on International Education (AS/SCP/1653) p. 32
 - h. Committee on Preparatory Education (AS/SCP/1654) p. 44
 - i. Committee on Privilege and Tenure (AS/SCP/1655) p. 47
 - j. Committee on Research (AS/SCP/1656) p. 48
 - k. Committee on Rules, Jurisdiction, and Elections (AS/SCP/1657) p. 58
 - l. Committee on the Teaching (AS/SCP/1660) p. 63
 - m. Graduate Council (AS/SCP/1658) p. 67
5. Reports of Special Committees (none)
6. Reports of Standing Committees
 - a. Graduate Council
 - i. Amendment to Section IV Graduate Program Chapter 13 Grading and Transmission of Records (AS/SCP/1659) p. 107
 - b. Committee on Rules, Jurisdiction, and Elections
 - i. Amendment to Bylaw 8.4.1, 9.1, 13.28: Mail Ballots (AS/SCP/1637) p. 111
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

October 28, 2010

Academic Senate
Santa Cruz Division

Dear colleagues,

Please come to the next Senate meeting on Friday, November 5, 2:30 - 5 PM at the Stevenson Event Center, followed by a reception immediately afterward. The agenda can be viewed at: <http://senate.ucsc.edu/meetings/10Nov05/A10Nov05.html> . Please note that the agenda includes significant legislation put forward by the Graduate Council.

This second meeting of the fall quarter is perfectly timed to celebrate what might be broadly described as the outcome of the first: it's thanks to the ongoing efforts of the Senate faculty at Santa Cruz and across the system that an acceptable option for Post-Employment Benefits will be put forward to the Regents. President Yudof has endorsed, with some modifications, Option C, the plan supported by faculty and staff systemwide.

Among the collective efforts of our own Senate faculty that have made a critical difference, I want to recognize once again the work of the Committee on Faculty Welfare, and especially the Chair, Suresh Lodha and member Abel Rodriguez, who have devoted the better part of two years to bringing the PEB options to a sound resolution.

I hope that all of you will come to the meeting and stay for the reception, where we will introduce our new faculty and administrators and toast what has been collectively achieved by our Senate faculty.

Sincerely,

Susan Gillman, Chair
Academic Senate
Santa Cruz Division

**PROPOSED CORRECTIONS TO THE MINUTES
of the May 21, 2010 Senate Meeting
(as amended by the Senate on October 20, 2010)**

The draft minutes from the May 21, 2010 Senate Meeting as amended on October 20, 2010 were distributed via email on October 28, 2010, and will be presented for approval at the Senate Meeting on November 5, 2010. 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 display 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 5 p.m., Wednesday, November 3, 2010**, 125 Kerr Hall or via email to senate@ucsc.edu.

Donald Potts
Secretary, Academic Senate
Santa Cruz Division

October 29, 2010

COMMITTEE ON ACADEMIC PERSONNEL
Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

Duties

The Committee on Academic Personnel (CAP) is charged with providing senate consultation on faculty personnel cases. CAP makes recommendations to the deciding authorities, either Chancellor, 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. CAP is not a deciding authority. During the past year, CAP also continued to consult with the deciding authorities on faculty salary issues, and advised the Academic Senate and the administration on policy matters related to academic personnel issues.

This year CAP had one representative from Arts (only for winter and spring quarters), one from Engineering, two from Humanities, two from Physical and Biological Sciences, and three from Social Sciences (including the chair).

CAP members found their service on CAP to be extremely rewarding, despite the heavy workload. Reading and discussing faculty files provide a fascinating glimpse at the outstanding work of our colleagues across the campus. We have been thoroughly impressed by our colleagues' ground-breaking research, dedicated and innovative teaching, selfless service to the campus and their professional communities, and inspiring contributions to campus diversity goals.

Workload

In 2009-10 CAP continued its established practice of meeting weekly on Thursday afternoons. The Committee had one orientation meeting in the fall, and met to review files 29 times during the academic year (7, 11, and 11 meetings, in fall, winter, and spring quarters, respectively).

CAP made recommendations this year on 258 personnel cases – 14 fewer than last year. The decrease in this past year is not surprising given that the budget crisis all but halted new appointments in 2009-10. However, more than half of the cases involved requests for accelerations or greater-than-normal salaries, which typically require more discussion than a normal merit review. As stated in the last three years' Annual Reports, our workload has increased fairly steadily since the late 1990's, and yet our campus has a lower level of compensation than that offered to CAP members on other UC campuses.

In recent years, our CAP has reduced the use of Ad Hoc committees, bringing our campus more in line with practices on other UC campuses. This year, we continued the practice of CAP constituting itself as the Ad Hoc committee where allowable and appropriate. Out of 42 cases requiring Ad Hoc committees, 31 committees were formed; in other words CAP served as the Ad Hoc committee in 26% of the cases. While the number of Ad Hoc committees is up slightly from last year (in 2008-09, there were 23 Ad Hoc committees, and 23 cases where CAP served as Ad Hoc), 27 of the Ad Hoc committees this year met to review tenure cases, where CAP is not permitted to constitute itself as the Ad Hoc

committee. Therefore, CAP actually served as the Ad Hoc committee in 73% of the cases where it was allowable for us to do so. Typically CAP does not request an Ad Hoc committee for Midcareer reviews, advancement to Step VI, appointments, or promotion to Professor cases, unless there is substantial disagreement at previous levels of review. Whenever there was disagreement between department and dean or a number of “no” votes in a department, CAP was likely to err on the side of caution and request the additional perspective of an Ad Hoc committee.

As mentioned earlier, the number of appointment cases dropped precipitously this year, from 51 in 2008-09 (33 of which were ladder rank) to 18 this year, only 6 of which were for ladder-rank positions. In contrast, the number of retention cases went up this year, from 6 in 2008-09 to 19 in 2009-10. Nine of the retention files were for faculty members whose files were seen twice – eight of whom had a regular merit or promotion case in the same year and one of whom had two retention actions. CAP also reviewed 1 Career Equity review file this year (down from 2 in the previous year).

CAP's Recommendations Compared to Administrative Decisions

During 2009-2010 the number of cases in which the final administrative decision agreed with CAP's recommendation continued on an upward trend. The two concurred 90% of the time (233 out of 258 completed files), slightly up from 89% last year and 81% the year before. While the other UC campuses all report agreements above 90%, it is gratifying to see that our CAP's rate of agreement with the administration's decisions is on an upward trajectory.

Of the 25 disagreements, 2 concerned new appointments. In one of these cases (Dean's authority) the final salary was lower than recommended by CAP; in the other case (CP/EVC's authority) the appointment was at a higher rank than CAP recommended.

In 3 promotion cases CAP disagreed with the Chancellor about the appropriate step. In each of these cases the final decision placed the faculty member at a lower step than CAP had recommended (in one of these cases, the step was lower than CAP recommended, but the salary awarded was higher than CAP recommended).

In 20 merit, promotion, or retention cases there were disagreements concerning salary (3 with Dean's authority, 12 with CP/EVC's authority, and 5 with Chancellor's authority). In 2 of the Dean authority cases, CAP recommended a higher salary than was awarded, and in 1 case a lower salary. Two of these disagreements were with the Arts Dean and one was with the Humanities Dean. In 10 of the CP/EVC authority cases, CAP recommended a higher salary than was awarded, and in 2 cases CAP recommended a lower salary. In Chancellor authority cases, CAP recommended a higher salary on 4 cases and a lower salary on 1 case.

Consultation

During our fall orientation meeting CAP met with the chair of the senate Committee on Affirmative Action and Diversity (CAAD) to discuss the implementation of APM-210 with regard to considering contributions to campus diversity goals as part of the personnel process. We plan to continue to invite the chair of CAAD each fall as a way to ensure that attention to diversity stays at the forefront of CAP's review of files.

Also in fall quarter 2009, the CAP chair, together with CAP members from the appropriate divisions, met with Deans and department chairs of each division to answer questions about the personnel process. CAP also invited each of the deans, with their divisional coordinators, to attend one of the CAP meetings in the fall to discuss off-scale salary practices (see Faculty Salaries section below) and other personnel review issues.

CAP requested that CP/EVC Kliger, as well as the Deans and Chancellor Blumenthal, continue the practice of discussing all preliminary disagreements with the CAP Chair, and with the committee if deemed necessary. Our communication with the Deans, the Chancellor, and the CP/EVC was generally excellent throughout the year. A number of phone calls or meetings with the CAP chair were held, and on several occasions the CP/EVC came to a CAP meeting to discuss a potential disagreement in person. CAP members believe that these discussions were extremely valuable in ensuring that the different views on the case were carefully considered before a decision was made. We look forward to following this practice in the coming year.

Throughout the year, when questions arose about policy issues, the CAP Chair consulted with Assistant Vice Chancellor for Academic Personnel Pamela Peterson and with Professor Sandra Chung, Faculty Assistant to the CP/EVC for academic personnel. AVC Peterson and members of her staff occasionally joined CAP members to provide helpful policy information during meetings when particularly complex policy issues arose.

The CAP chair participated regularly in the Senate Executive Committee and the UC-wide Committee on Academic Personnel (UCAP), as well as on a joint UCAP-UCFW-UCPB task force on faculty salaries.

Case Flow, Ad Hoc Committees

Our campus continued to make progress this year in timely submission of personnel files to CAP. As in 2008-09, we experienced a change from previous years, in that the caseload was more consistent across winter and spring quarters, rather than focused mainly in the spring quarter. Again, like last year, the workload in the last few weeks of spring quarter was quite light. CAP members are very grateful for this improvement, and we commend the Academic Personnel Office (APO) and the Divisional Personnel Coordinators for their very effective reminders to departments about the deadlines and encouragement and support they offered to help departments meet those deadlines. We are also very grateful to the departmental staff, who worked hard to put together personnel files and to meet the deadlines. Still there were six cases on the call that did not reach CAP by the end of spring quarter, and were carried over to 2010-11. This is up from only three cases that were carried over to 2009-10.

Despite some myths on the campus, delays in the review of files are rarely due to CAP. Thanks to a well-running system brilliantly managed by our senate analyst Pamela Edwards, and to the expert assistance from APO and the divisional coordinators, CAP's process involves a two-week turnaround from receipt of a file to submission of a recommendation letter to the staff handling the next step of review. Typically CAP takes one week to read, discuss, and vote on a file, and another week to allow CAP members to review a draft letter. The only exceptions are when an unusually large number of files

come in at one time, in which case some files are delayed, usually no more than one week. Pressing retention files are usually reviewed within a few days of receipt, and letters are sent immediately. Files that require an Ad Hoc committee are seen by CAP twice; files are held by CAP for about a week to review the file and recommend names for an Ad Hoc committee. When the Ad Hoc committee's letter is completed, the file is considered again in the normal two-week turnaround described above. 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. In our view, the Academic Personnel Office has been very efficient in forming committees quickly and ensuring that the letters are finished and returned to CAP in a timely manner.

CAP members are indebted to the faculty members who served on Ad Hoc committees this year. During 2009-2010, 88 Senate members served as members of Ad Hoc committees. Five faculty members served on two different committees, and 83 people served once. The academic personnel process cannot function without our colleagues' continued willingness to serve on Ad Hoc committees. Because the files that require Ad Hocs are also those that require outside letters, these committees are formed at a time of the year that is very busy for all of us. CAP thanks each and every Senate member who so served and encourages other colleagues to consider agreeing to serve when asked in the future.

Faculty Salaries

CAP continues to be concerned about the lower average salaries for faculty on our campus compared with the other UC campuses (as well as the larger problem of UC faculty salaries not being competitive with the salaries of the UC comparison-eight institutions). In 2009-10 we completed the second year of the three-year plan to increase off-scale salary that was begun in 2008-09. By way of background, we repeat here much of the information about this plan that was included in the 2008-09 annual report.

The off-scale salary plan began with the Senate-Administrative Joint Task Force on Faculty Salaries that met in 2007-08 and made a number of recommendations regarding low faculty salaries at UCSC compared to the other UC campuses. CAP spent many hours in meetings on this issue during fall 2008, conferring with the Senate Executive Committee, the CP/EVC, the Deans and their Divisional Coordinators, the Academic Personnel Office staff, and also with UCAP. The major concern for CAP was the Task Force recommendation that CAP should recommend higher off-scale salaries for greater-than-normal merit increases (although the CAP chair also served on a subcommittee of the Senate Executive Committee to consider the other recommendations of the report). Our typical campus practice for many years had been to recommend an additional half-step of off-scale salary for faculty whose files were evaluated as "greater than normal" because they have exceeded expectations in some areas, and a full step acceleration for those faculty who are evaluated as having exceeded expectations in all areas (research, teaching, and service). Based on our discussions with CAP members from other campuses on UCAP, we believe that our past off-scale practices are not likely to be directly responsible for our salary distribution differences from other campuses. (Other possible sources of the average salary discrepancy have to do with practices in applying COLAs to off-scale components as well as to base salaries, and differences in the proportion of appointments made at senior

levels.) However, with CP/EVC Kliger's support, we took the recommendation very seriously as a way to begin to address the problem through adjustment of CAP salary recommendations.

With the help of the APO staff CAP used salary data from past years to examine several "what if" scenarios estimating what current salary levels would be if different off-scale amounts had been awarded in the past, and comparing these with the median salaries for each rank on the other campuses. Based on these data we developed a proposal to revise our practices in recommending off-scale salary levels. CP/EVC Kliger, the Deans, and the divisional and APO staff all discussed the proposals, and a consensus was reached. We began this revised practice in 2008-09, and carried it out consistently for all cases reviewed for the past two years, with the understanding that the same practice would remain in effect for at least three years.

This plan involves the use of **two levels of off-scale salary increase** when a file is judged to be deserving of greater-than-normal advancement. As in the past, when a file demonstrates merit beyond the level of excellence required for a normal merit or promotion, it is classified as either a greater-than-normal (single step advancement plus an off-scale component) or an acceleration-in-step advancement. In the current practice, (1) greater-than-normal files that are closer to a normal merit are considered for an increase of one-half-step of off-scale salary, and (2) greater-than-normal files closer to meriting a full step acceleration are considered for an off-scale increase equal to \$100 less than one step. Further, (3) an **additional one-half step** of off-scale salary is often recommended **for accelerations to steps lower than Professor Step 6**. In other words, accelerations of two steps (below Step 6) often are accompanied by two-and-one-half steps of salary. While merit increases corresponding to these various levels have been used intermittently in the past, the intent was to systematically consider this suite of possible actions when strong faculty dossiers were discussed, and to develop consensus across the levels of review on appropriate recommendations. It is important to point out that when recommending an off-scale salary of one-half step, an off-scale salary of \$100 less than a step, or an off-scale addition of one-half step with an acceleration, this additional off-scale salary is typically ***added to any existing off-scale salary***. CAP strives for consistency in its recommendations, but every case is considered individually. We are reassured to see that CAP's agreement levels with the deans, CP/EVC, and Chancellor have been strong, suggesting that we have developed similar judgments about the types of files that fit these different levels of greater-than-normal salary recommendations. In 2009-10, 65% of the files reviewed had final decisions of either greater-than-normal or acceleration. **Next year, in 2010-11, it is our expectation that CAP will continue this same practice in recommending off-scale salaries.**

Naturally, the question on everyone's mind is whether UCSC is "catching up" with the salaries of other campuses as a result of two years of this new practice. APO conducted a comparison last fall (after one year of our salary plan) and there was evidence that our salaries had moved up to be competitive at least with UC Davis. However, this is a moving target since other campuses are taking action to increase their faculty salaries as well. Using the same methodology this fall, a comparison by APO shows UCSC making gains at

some ranks while remaining the lowest at others. Other analyses coming out of UCOP last spring showed that UCSC was still lagging behind the other campuses. There are also still questions about the most appropriate ways to make these comparisons. We are grateful to Professor Barry Bowman, the previous chair of CAP and member of the Joint Salary Task Force, for his continued work to monitor the salary comparisons, and his pledge to work with APO and the CAP chair to derive the most appropriate methods for comparing our salaries to those of faculty on the other UC campuses. We expect a thorough campus review of the salary issue after the 3-year cycle is completed. Next year's CAP will also review the latest salary comparison data and discuss with the new CP/EVC the possibility of continuing the current practice beyond three years, or implementing a new program to address the salary discrepancy.

Other Policy Issues

CAP was asked to discuss and comment on a number of other policy issues throughout the year – either by the campus Senate chair, by the CP/EVC, or by UCAP. In particular, CAP commented on the draft recommendations of the Committee on the Future, on the recommendations of the campus Academic Personnel Workgroup, on the report of the Humanities Division Advisory Task Force on Reconstitution, and on the report of the Undergraduate Educational Effectiveness Task Force. We discussed retention issues with the CP/EVC. We commented on a number of proposed policy changes involving, for example, the Senior Management Group and Faculty Administrator policies.

CAP also continued ongoing deliberation about such issues as the inherent difficulties of evaluating teaching across disciplines with different expectations, where impacts on scholarly activity are difficult to gauge. We discussed these issues with the chair of the Committee on Teaching as well as in our own meetings. Another ongoing issue is recognition of the different cycles of research productivity in different fields, such as lab-based work, book-based work, and exhibition-based work. While it is an enormous challenge to balance across the many factors to be considered, CAP strove to find effective ways to take inherent disciplinary differences into account. Despite the challenges, we believe CAP plays an essential role in maintaining equity across the disciplines. We expect that these issues will continue to be discussed on CAP in the future.

We also continued to work very hard to consistently recognize faculty contributions to diversity, as mentioned above. We continued to be impressed by the variety of ways that our colleagues are making such contributions to diversity on the campus and in their disciplines. We will continue to highlight implementation of the diversity criterion of the APM next year, including continuing our practice of inviting the chair of the Committee on Affirmative Action and Diversity to the CAP fall orientation.

Retention

As mentioned earlier, the number of retention files went up this year, and loss of excellent faculty is a concern on our campus as well as across the UC system. CP/EVC Kliger discussed his expectations regarding retention files with CAP. Our goal in making recommendations on these cases was always to retain outstanding faculty, while also considering issues of equity with other faculty. The long-term goal is to improve salaries on our campus and across the UC system. The system-wide Academic Senate is very

actively seeking remedies to the gap between UC faculty salaries versus those of the “comparison 8 universities.” The UCAP-UCP-UCFW task force on which Chair Callanan served, along with CPB Chair Brent Haddad, has called for a system-wide faculty salary increase as well as a new program to both increase the competitiveness of our salaries and to adjust the salary scales.

Number of retention files considered by CAP:

2009-10 – 19 files

2008-09 – 6 files

2007-08 – 8 files

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

In a memo dated May 27, 2009 CAP attempted to clarify some of the confusing issues regarding Bylaw 55 voting rights, especially the categories used to report votes on personnel actions. Please reference this memo (which is available on CAP’s website <http://senate.ucsc.edu/cap/>) should you have questions about such issues as when a vote should be counted as waived versus recused, what abstaining means, and a number of related issues.

In the paragraphs below we reiterate some of the advice given in previous CAP annual reports. In the past year we saw evidence of careful work in preparation of files from most departments, and evidence that past CAP advice had been heeded. For example, the number of excessively long department letters has declined. We thank the many faculty and staff involved in the personnel process for their hours of work and attention to detail. At the same time, we provide below a reminder of some of the tips that may make the process easier for all involved.

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, some could still be more concise and could include less jargon. The best letters, even for significant accelerations, are typically three to five pages long. Keep in mind that long quotes from external letters are not helpful since we read the external letters as well. CAP members (and other reviewers) need a concise summary of the major focus of the work, and an assessment of the impact of the work. Some explanation of the nature of the work, in terms that non-specialists can understand, is always appreciated. Interpretation (rather than repetition) of the external letters can sometimes be helpful. 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 one step advancement they must specify the area or areas (research, teaching, and service) 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 in all three areas: scholarship, teaching, AND service. Be specific about which publications and activities are new for the current period of review, and which have been considered in previous reviews. It is up to the faculty member to annotate the biobib appropriately so that new work is clearly marked. Please note that APO has offered to help faculty to set up their biobibliography on BiobibNet, including the initial data entry.

Faculty should not be expected to write lengthy personal statements. Three to five pages will always suffice. These statements are not required, but they can be useful for the department's preparation of the file and for later reviewers. 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, and not on the candidate's list. External letter writers really should be external; this is in the best interest of the candidate as well as in the best interest of fairness. Except perhaps in the case of a mid-career review, external letters from collaborators or former mentors are evaluated in a very different light than "truly" external letters.

Acknowledgements

We wish to gratefully acknowledge the very hard work of the exceptionally strong staff of the Academic Senate and of the Academic Personnel Office. We are deeply indebted to Elizabeth Dane, Nancy Degnan, Susan Fellows, Joseph Johnson, Grace Little, Leslie Marple, Lorayn Tiffany, and Linda Tursi, and especially to Senior Analyst Nancy Furber and AVC Pamela Peterson. This stellar group of professionals were always available and willing to explain subtle aspects of complex policy. We are also very grateful to all of the department managers and other departmental staff for the time they invest in faculty personnel issues, and we offer special thanks to the divisional coordinators for their unfailingly hard work, often behind the scenes, on the many files they process: Kathy Beattie, Ellen Borger, Anne Callahan, Jan Cloud, Pat Gross, Shari Hastings, Kristin Mott, and June Taylor. Most importantly, we extend our deepest thanks to Senate Analyst Pamela Edwards, who manages an astounding workload of multiple senate committees, yet always exudes a sense of calm, a positive attitude, and a readiness for the next challenge. Pam works incredibly long hours and shows great care and dedication to her work. To paraphrase some of our students' most enthusiastic evaluations of their teachers: "Pam is a rockstar!"

We have appreciated our positive working relationship with Deans Kamieniecki, Ramirez, Thorsett, Van Den Abbeele, and Yager, with CP/EVC Klinger and Chancellor Blumenthal. We also thank Professor Sandra Chung, faculty assistant to the CP/EVC on personnel matters, and Associate Dean Carolyn Dean, in the Arts Division.

Finally, we once again thank all of our colleagues who have contributed to the personnel process in their departments and on Ad Hoc committees. The process works as well as it does only because of your hard work.

Respectfully submitted,

COMMITTEE ON ACADEMIC PERSONNEL

Donald Brenneis
Donka Farkas
Kathy Foley
Kirsten Silva Gruesz
Glenn Millhauser
Bruce Schumm
Dana Takagi
Manfred Warmuth
Maureen Callanan, Chair

September 10, 2010

Committee on Admissions and Financial Aid Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

The Committee on Admissions and Financial Aid (CAFA) overall had productive year working collaboratively with the Offices of Admissions and of Financial Aid. The subcommittee structure for CAFA, formed in the previous year (2008-09), continued to work well and allowed CAFA to fulfill its ever expanding agenda even as it has grown more complex. Experimental changes in the weights applied to selection criteria for admissions (for the 2009-10 academic year) coincided with a small improvement in diversity among the cohort of admitted students, and an incremental improvement in SAT scores. The increase in the diversity of admittees translated to a similar improvement among the cadre of students who declared an intention to enroll at UCSC, but the mean SAT score for this latter group decreased (by an amount larger than the increase in SAT score among students admitted). The GPAs of both groups (admittees and those who intended to enroll) remained constant.

I. Data on Admissions and Financial Aid

A. Admissions

For fall 2010, UCSC received a total of 34,796 applications, an increase of 1,922 applications (5.8%) over fall 2009. The frosh applications totaled 27,659, a slight rise of 410 applications (1.5%) from fall 2009. A substantial increase in applications occurred with transfer applications as the campus received 6,963 applications compared to 5,624 applications the previous year, an increase of 1,339 applicants (23.8%). Our campus also received 58 applications from students seeking their second baccalaureate degree, as well as 120 applications from international students participating in the UC Education Abroad Program.

UCSC admitted 17,844 frosh for fall 2010, a slight increase over the previous year of 354 students (2%). The admission rate of frosh, however, remained relatively constant with fall 2009, 64.5% vs. 64.2%. For the first time in the history of UC/UCSC, seven of the nine campuses offered denied frosh an opportunity to be placed on a waiting list. Only UC Los Angeles and UC Merced did not participate in a UC wait list. UCSC offered 1,184 frosh the opportunity to be placed on the wait list, with just over half accepting that opportunity. Due to the number of frosh that accepted their offer of admission with a "Statement of Intent to Register" (SIRed frosh), none of the waitlisted frosh were offered admission to the campus. The number of SIRed frosh increased for fall 2010 following a decrease in fall 2009. UCSC received 3,853 SIRs for fall 2010 compared to 3,648 in fall 2009 (21.6% SIR rate vs. 20.8% last year). The unanticipated increase of frosh SIRs will result in an incoming class of 3,275 – 3,325 new frosh (in fall 2009 UCSC enrolled 3,229 frosh).

Among frosh SIRs, there were again only modest shifts in planned majors and fields. For fall 2010, the percents of frosh SIRs for majors in the arts was 5.8%, in engineering 8.7%, in

humanities 8.4%, in physical and biological sciences 26.6%, and in social sciences 23.4%. Approximately 27% of the SIREd frosh were undecided/undeclared majors.

UCSC admitted 4,801 transfers for fall 2010, an increase of 937 students (24.2%). The enrollment target for transfer students was increased for fall 2010 at every UC campus, thus competition between UC campuses vying for the same admitted students would increase. The increase in admitted transfer students was projected to yield between 12-15% more transfer SIRs, but instead the campus experienced an increase of 40% in transfer SIRs. The total SIR count for transfers was 1,471, an all-time high for UCSC. The transfer SIRs will result in an incoming class of an estimated 1,250 transfer students (in fall 2009 UCSC enrolled 882 transfer students). With the increase in fall transfer SIRs, UCSC will meet its annual transfer enrollment goal with its fall cohort, resulting in UCSC not accepting any new transfer applicants in winter quarter 2011 (in winter 2010 UCSC enrolled 354 transfers).

B. Financial Aid and Scholarships

The UC undergraduate student Education Finance Model requires students who qualify for need-based gift assistance to pay the first \$9,000 of their need from loan and/or work resources. Gift assistance is offered to help pay the estimated total cost (about \$27,600 for a student living on campus in 2009-10) remaining after subtracting the family contribution calculated from FAFSA data and the \$9,000 loan/work expectation. Many students and families struggle with meeting this expectation.

In 2009-10 the Financial Aid and Scholarship Office administered more than \$183 million in financial assistance for undergraduate students. Approximately 56 percent of undergraduate students received more than \$100 million in grant and scholarship assistance from university, state, federal and private sources - 33 percent received Federal Pell Grants - a need-based grant program for low income students.

Campus scholarship support averaged around \$2,100 for the 9% of undergraduates who received it. Scholarships help students offset the \$9,000 loan/work expectation. Scholarship programs provided \$2.8 million for 1,347 undergraduate students:

- 124 Regents Scholars received \$760,000
- 23 Karl S. Pister Leadership Opportunity Award Scholars received \$207,000
- 1,200 Undergraduates received other campus scholarships totaling \$1.9 million

Demand for scholarship support far exceeds available funds. It is vital that scholarship fund raising be a major component of the comprehensive capital campaign the campus is undertaking to ensure that UC Santa Cruz is an affordable as well as attractive alternative for undergraduate students who aspire to attend.

C. Appeals

There were 368 frosh appeals submitted for fall 2010 with 77 offered fall admission and 291 denied. Among the 77, all but 14 met our selection criteria, and those individuals had

unique circumstances that met the CAFA appeals guideline, meaning they were compelling students who were within 100-200 points of our comprehensive review score cutoff. Three cases were granted Admission by Exception due to international academic records, but they were excellent students that embody the spirit of the selection criteria and Admission by Exception (A by E) guidelines. There were a total of 99 transfer appeals submitted for fall 2010 with 33 being offered fall admission and 66 denied. All 33 successful appeals met the transfer selection criteria and there were no A by E cases in that cohort.

II. Work of CAFA in 2008-2009

A. Campus Connections

The Committee interfaced with several campus and Senate processes, with mixed results.

1. Web Presence.

CAFA was represented on the Web Council by Chair Cooperstein. Reasonable progress appeared to be made at improving the quality of our web presence, which is essential to the success of our admissions process: it is estimated that access through the web accounts for the vast majority of information prospective students and parents of students obtain about the campus.

2. Student Affairs

Perhaps the greatest impact of CAFA on Student Affairs occurred with regard to the Bridge Program. Because of policy changes made in how A by E students would be selected, CAFA decided participation in the Bridge program would be voluntary rather than required for admission for A by E EOP students. This was decided by CAFA since their academic profiles would be equivalent to that of ordinarily selected students: the only difference being that the A by E students were missing something that caused them to be ineligible. The decision to make Bridge voluntary rather than obligatory was claimed by Student Affairs to create some additional work for their staff, and memos originating within the Student Affairs Division expressed resentment. There are no indications, however, that the change was anything but positive for the students.

CAFA had met twice, in fall 2009 and spring 2010, with the Vice Chancellor for Student Affairs, Felicia McGinty with mixed success. At the fall meeting, the Vice Chancellor did not follow protocol and brought along AVC for Student Life Alma Sifuentes and Executive Director of Retention Services Pablo Reguerin, who were neither invited nor requested to attend. CAFA was frustrated since much of the consultation was taken up with descriptions of the SA Division's functions and financial challenges. This left little time for VC McGinty to answer the committee's questions.

The second consultation, though shorter, was somewhat more productive: CAFA and VC McGinty exchanged views on the Bridge Program in light of the CAFA decision. She informed us of those actions being taken to continue Bridge as a volunteer program.

B. Committee Configuration

Much of the work CAFA occurred between meetings in the subcommittees established during 2008-09. Originally there were five subcommittees: Appeals, Data, Honors, Publications, and Web Presence. In the current year CAFA merged Publications and Web Presence into a single Communications subcommittee.

1. Appeals subcommittee

The Appeals subcommittee consisted of CAFA Members Chris Edwards (chair), Amy Weaver, Associate Vice Chancellor Michelle Wittingham, and Associate Director Michael McCawley. The subcommittee met multiple times over the year to consider several agenda items.

The subcommittee reviewed the established policies on admission appeals and cancellations. Noting the overlapping but distinct conditions under which first-year and transfer students file appeals, separate guidelines for the Office of Admission for these two student groups were crafted. Overall, the subcommittee improved the guidelines, clarifying language and updating content. For example, it eliminated the route to admission through the UCSC-UCM Shared Experience Option, which no longer exists.

The Appeals Subcommittee created an Appeals Process Flowchart to clarify and illustrate the appropriate sequence of events during an appeal. This document is posted on the CAFA website (<http://senate.ucsc.edu/cafa/>) and it is anticipated that it will help both students considering filing an appeal as well as non-Admissions-related University employees who may receive appeals directly from students.

The subcommittee emphasized that appeals must be submitted by the applicant to the Office of Admissions, and clarified that all appeals directed by the applicant to other offices within UCSC must be forwarded to the Office of Admissions for review. It was further decided that in very rare cases that are brought to CAFA by the Office of Admissions, a final appeal may be considered by the CAFA chair.

The subcommittee encouraged CAFA to direct the Office of Admissions to enforce an admitted student's "Conditions of Admission," up to and including the cancellation of a student's admission, yet allowing some tolerance for exceptions to the "Conditions of Admission," both for first-year and transfer students.

Together, these documents and positions contribute to admissions policy and procedures that ensure fair and consistent treatment of applicants in any given year and between years.

2. Communications subcommittee

The Communications subcommittee, which consisted of CAFA Members Faye Crosby (chair), Alexander De Arana-Lemich (SUA), Bruce Cooperstein, Juan Poblete, Associate

Director Michael McCawley and Publications Coordinator Jennifer Wright, continued to work. Jennifer coordinated all publications and submitted them to the CAFA for review in a timely manner. The “documents” submitted and reviewed by the subcommittee included: eslug, a web-based newsletter for counselors and friends of UCSC; “Major Pages” (web-based pages which have replaced print documents) on the different majors available at UCSC; and guides for frosh and transfer applicants. Subcommittee members as well as Michael and Michelle were very thorough in their reviews and made significant comments about the quality and likely effectiveness of the materials, and Jennifer was very responsive to the feedback. As a consequence of the attention paid to how we represent ourselves, our publications and other communications are now quite professional. We take pride in having set the groundwork for an effective and efficient system.

CAFA was also represented on the Web Council by the Chair, Bruce Cooperstein and, indirectly, through the participation of AVC Michelle Whittingham, who is a regular guest of CAFA.

3. Comprehensive Review Data subcommittee

This year, it was CAFA's intention to first decide on a philosophy regarding admission criteria and then in the light of this philosophy gather the requisite data. Because CAFA was not able to establish the philosophical foundations by the end of the year, the data subcommittee was not given the go-ahead to collect data. Therefore, the subcommittee has less to report than previous years. The subcommittee included CAFA Members Donald Wittman (chair), Faye Crosby, Robert Singleton (SUA), Associate Director Michael McCawley and Analyst Mary Masters.

Last year CAFA decided to reduce weights given in reader scores. At the time, there was some concern about the negative effects of this change. This year was the first year that the new scoring rules were used for admission. A birds' eye view of those admitted suggests that it is possible to raise diversity and test and GPA scores simultaneously, while still indicating ample room for improvement.

Looking at admits, all ethnicities except white/Caucasian (which went down from 41% to 38.1%) and Chinese/Chinese American (which went down from 11.8% to 10.6%), increased in their percentage representation. These two categories are regarded as "over-represented" in the UC system. The percentage of first generation students who were admitted also increased from 33.9% to 34.6%. Again looking at all admits, SAT total went up slightly from 1,797.4 to 1,802.8 and GPA went from 3.76 to 3.77.

Looking at SIRs, the results are mixed. Except for whites (who fell from 42.5% to 37%), the percentage of every identified ethnicity went up from 2009. First generation went up from 37.4% to 43.2% and the percentage of those from low API schools went from 15.3% to 20%. The average SAT total decreased from 1717.3 to 1700.3 (from approximately the 74th percentile to the 72nd percentile).

There are a number of possible reasons for the reduced SAT scores for SIRS along with the increased SAT scores for those who were admitted. We have 210 more SIRS this year than last year and other factors being equal the larger the sample, the lower the scores (but then again, we had 500 more admits, but higher scores). It may also be the case that the decrease in test scores, despite greater selectivity, is a consequence of a greater percentage of first generation students among our SIRS. This would be consistent with national research that reflects this trend for students coming from first generation and low income families. However, without further information, our best guess is that UCSC is losing out in competition with the other University of California campuses as some students with higher GPAs and test scores choose to go elsewhere. One of the major challenges facing CAFA is to improve our “brand” among high achieving prospective students.

4. Honors and Merit Scholarships subcommittee

This subcommittee, as its name indicates, had two main areas of work in AY 2009 - 2010. Subcommittee members included CAFA Members Amy Weaver (chair, NSTF), Andy Fisher, Raoul Birnbaum (W & S) and Robert Singleton (SUA).

1. Merit Scholarships. Beginning in Fall Quarter, the subcommittee members began a review of past essay questions used to select Regents Scholars and to award other merit-based scholarships on campus. The committee members believed that the essay topics of recent years were overly broad and did not produce compelling responses. In consultation with admissions and financial aid staff, the subcommittee prepared new essay topics for the Regents Scholars competition. CAFA, as a full committee, approved the new topics and in late Winter Quarter evaluated the submitted essays. As a result of this process, 75 admitted frosh were offered Regent Scholarships and our yield was 12. In addition, for admitted frosh who submitted essays but were not offered Regents Scholarships, we offered 201 Campus Merit Scholarships. Of these, we yielded 21. Four CAFA members, including one member of the Honors subcommittee, participated in a weekend morning reception and informational meeting for admitted Regents Scholars and their families.

2. Honors. As part of CAFA's on-going interest in developing an Honors program at UCSC, the committee met with VP/DUE Ladusaw in Spring Quarter, with specific discussion about issues of attracting and retaining high-achieving students, and the role of honors programs in this regard at other UC campuses. As a direct result of this meeting, CAFA proposed forming a joint subcommittee with CEP to actively explore the feasibility of establishing an undergraduate honors program at UCSC.

III. Issues for the near future

There are at least two admissions policy issues that CAFA will need to address in the near future.

1. UC Frosh Admissions Changes

Beginning with the class of 2012, the UC system will no longer require subject tests, will expand the percentage of students guaranteed UC admission due to class rank within their high school, and also will expand the percentage of students who may be admitted to a UC without falling into what is currently defined as "Admission by Exception". The removal of the subject test and the availability of additional class rank and other data will require either significant adjustment to the current point system or a new system of evaluation. UCSC must make a decision this year about how it will select from this larger cohort of students. In particular, we will need to decide if we will evaluate students "holistically" as is now done at UCB and UCLA, or continue with a method that assigns relative weights and points of particular characteristics we desire in our students or we may develop some kind of hybrid of both systems.

2. Transfer Admissions Issues

For the last several years, UC Santa Cruz has sought to increase the number of enrolled transfer students. Selection of transfer applicants has focused on criteria mainly related to minimum UC eligibility:

1. Overall grade point average in all UC-transferable course work (2.40 for a CA resident / 2.80 for a non-CA resident)
2. Completion of a specific 7-course pattern of UC-transferable courses that includes two English composition courses and one mathematics course
3. Completion of a minimum 60 semester units (90 quarter units)

Using these selection criteria has worked well for several years, but adjustments are in order given fall 2010 results. For fall 2010, the selection criteria yielded a 40% increase in transfer SIRs, far exceeding the desired target. This will necessitate UCSC making adjustments for the 2011-12 admissions cycle, which may include the following:

1. Raise the minimum GPA used for selection
2. Require all units to be completed by the end of the spring term

CAFA has also been approached by the Division of Physical and Biological Sciences to consider completion of lower-division major preparatory course work as a selection criterion. This has also been a topic for consideration by the Committee on Educational Policy and will need further investigation and discussion in the year ahead.

3. Data Issues

Several science faculty have complained to the chair of this committee that the academic preparation of newly enrolled students has declined. This sense has occurred despite the fact that UCSC has become far more selective in the past several years, from accepting four of every five perspective Frosh student who applied in for Fall 2006 to slightly over three of every five students for Fall 2010 with a concomitant increase in both GPA and SAT scores

over this period. This impression needs to be tested rigorously by studying the performance of students during their first year at UCSC overall as well as in introductory math and science courses.

4. Honors Programs

Consistent with our efforts to improve our “brand” and attract more academically accomplished students, CAFA is investigating whether honors programs have a role to play in making this campus more desirable, perhaps in collaboration with the Committee on Educational Policy.

IV Acknowledgements and Appreciation

This has been a productive year owing to the quality of the membership, the SUA representatives, the collaboration the committee enjoys with the Enrollment Management unit and not the least the support received from Senate staff. Over the course of the year five different SUA students participated with the committee, among them two in particular who had better attendance records than some committee members. Their points of view on the many issues that came before the committee gave us grounding on the effects our decisions have on those we are bound to serve – the hardworking and academically successful students of California.

As always, CAFA enjoyed a close working relationship with the Enrollment Management unit, in particular the Offices of Admission and of Financial Aid. The committee could not function without the sage advice and extensive collaboration of the Associate Vice Chancellor Michelle Whittingham, Director Ann Draper, and Associate Director Michael McCawley. Finally, CAFA is blessed with staffing by Pamela Edwards. Pam kept the committee (and Chair) focused on its work and (along with Michael McCawley) provided institutional memory that helped guide the committee’s deliberations and decisions.

Respectfully submitted,

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Raoul Birnbaum
Faye Crosby
Chris Edwards
Andy Fisher
Juan Poblete, BOARS Rep
Bakthan Singaram
Donald Wittman
Bruce Cooperstein, Chair

Amy Weaver, NSFT Rep
Alexander De Arana-Lemich, SUA Rep
Alma Natalia De Castro (W, S), SUA Rep
Christina Faro (F), SUA Rep
Michelle Romero (S), SUA Rep
Robert Singleton (F), SUA Rep

September 27, 2010

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
Annual Report 2009-2010

To the Academic Senate, Santa Cruz Division:

The Committee on Affirmative Action & Diversity (CAAD) is pleased to report on a very active and productive year. Overall, we sought to enhance UCSC's diversity initiatives and to follow up on some of the previous work of the committee.

Climate

In 2006, CAAD undertook a year long, multi-faceted study of climate with respect to diversity issues with the support of then Chancellor Denton. A draft of this report was completed, and a very, very brief Executive Summary was submitted in the following year. This year, the Diversity Advisory Committee (co-chaired by Chief Diversity Officer for Students and Staff Ashish Sahni and Chief Diversity Officer for Faculty Alison Galloway) has undertaken to prepare similar documents across multiple sectors of the campus. With the Regents' recent efforts to enhance diversity on UC campuses and examine campus climate, the DAC will change its name and devote itself to responding to the Regents' accountability measures. The committee's new name is the UCSC Advisory Council on Campus Climate, Culture and Inclusion.

Faculty Retention Study

In 2007-2008 then Senate Chair Faye Crosby drafted the protocol for a faculty retention survey with input from CAAD and representatives from Academic Human Resources and EEO/Affirmative Action. The purpose of this study was to review why faculty left UCSC and what, if any, new policies could be put into place that would encourage retention. A significant number of these voluntary separations were women and/or faculty of color. Although the sample of returned interviews from recently separated faculty was small, the results showed that issues relating to diversity were a significant factor. Major causes cited were: spousal/partner employment, teaching load and service obligations, housing, and climate, including intradepartmental strife.

CAAD made two recommendations. The first was that the study be made available to interested faculty through the Senate office. The second was that Academic Personnel Office (APO) use the faculty retention survey to develop a web-based exit interview for faculty who are leaving UCSC so that more reliable data could be consistently gathered.

CDO Alison Galloway and Faculty Diversity and Inclusion Specialist Samantha Forde developed an exit interview for faculty in 2009-10 and consulted with CAAD about it.

Enhancing Affirmative Action Initiatives

CAAD consulted with the following in 2009-10:

Assistant Chancellor/Chief of Staff/Co-Diversity Officer Ashish Sahni

VPAA/Co-Diversity Officer Alison Galloway and Faculty Diversity and Inclusion Specialist Samantha Forde

Faculty working group of the Diversity Advisory Committee (DAC)
The Council of Deans

CAAD commented on the following documents:

- Draft Academic Programs and Units: Policy & Procedures Governing Establishment, Disestablishment, and Change
- Report of the Undergraduate Educational Effectiveness Task Force
- Provost and Dean of Graduate Studies Job Description
- Differential Fees Proposal
- Humanities Division Advisory Task Force Report on Reconstitution
- UCPB on Differential Fees and Non-Resident Tuition
- UC's Commission on the Future Initial Recommendations

Following procedures in place at other UCs, it was agreed that each academic year the chair of CAAD would meet with the incoming Committee on Academic Personnel (CAP) in order to review guidelines, and to emphasize the significance of diversity in the review process. This was not intended to penalize, but rather to give proper, enhanced recognition and credit for diversity efforts on the part of faculty in the review process. In 2009-10 the UC Committee on Affirmative Action and Diversity (UCAAD) decided to take charge of consulting with the UC Committee on Academic Personnel (UCAP) to develop standard language and procedures for noting APM-210 faculty diversity achievements.

In 2008-09, the search for a CDO was aborted due to budgetary constraints. With the formation of the Chancellor's Diversity Advisory Committee (DAC) and the appointment of two senior administrators as joint Chief Diversity Officers, diversity initiatives are now decentralized across multiple committees and offices. CAAD continues to be concerned about the absence of a high-level independent Chief Diversity Officer and worries that such decentralization creates confusion among faculty, staff, and students as to the chain of responsibility and authority when it comes to addressing diversity concerns, especially around faculty recruitment and retention, and campus climate for faculty and students.

Diversity Fund Program

In 2009-10 CPEVC David Kliger did not fund the Diversity program that offers academic units and programs up to \$2000 for proposals of projects that advance diversity goals at the graduate and faculty levels. The Chair of CAAD is asked to pursue the question of funding renewal for 2010-11.

Consultation on TOE Appointments

CAAD participated in the review of two Target of Excellence appointment proposals providing recommendations to CPEVC Kliger. In addition, CAAD participated in two requests for a search waiver to insure retention, and made a recommendation to CPEVC Kliger.

Diversity & the Budget Crisis

The CAAD chair and CAAD members met with numerous administrators, staff and faculty to seek ways to minimize the impact of the budget crisis on women and/or faculty and staff of color. CAAD expressed (and continues to express) grave concerns about the ways in which budget decisions will impact those who are most vulnerable in times of fiscal scarcity, and especially in those programs that most affect the academic success and retention of students of color at the graduate and undergraduate level. These efforts are ongoing.

In late fall CAAD formulated a survey to determine how the budget cuts are affecting diversity. CAAD distributed the survey to the Academic Personnel Office (APO), Staff Human Resources (SHR), academic deans, departments, resource centers, and colleges. CAAD received responses from the EEO/AA (for APO and SHR), one college, the Council of Deans, the office of Institutional Research and Policy Studies (for the academic deans), and nine departments. Most responders indicated that it is too soon to know the full effects of the cuts.

In the fall of 2010, CAAD will be chaired by Professor Herbert Lee. Professor Freccero returns to chair the committee in winter and spring 2011.

Respectfully submitted,

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Sri Kurniawan
Raquel Prado
Pradip Mascharak
Reyna Ramirez
Carla Freccero, Chair

June 21, 2010

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

The Committee on Computing and Telecommunications (CCT) met bi-weekly this year to work on several issues, in addition to routine business. Issues this year included the implementation of the new web content management system on campus; online instruction review; response to the Commission on the Future Report; Gmail for students and consideration of Gmail for faculty and staff; ITS budget projections; ITS infrastructure plans for buildings, phones and other data needs; recommendations and the implementation of eCommons, the UCSC version of the Sakai instructional learning tool.

Web Content Management

At CCT's first meeting for fall quarter, members reviewed information about a web content management system that was going to be implemented campus-wide. Concerned faculty, especially from the School of Engineering and the Physics Department, felt that with the current budget crisis the choice for an outside source was too costly. They were also concerned that the commercial web content management system favored by ITS did not adequately implement dynamical updates of the web content. Although an attempt was made to bring the Drupal open source solution into the discussion, it is unclear if there was indeed balance in the process at that point. On one side was a company with a product to sell and representatives to make the case. On the other side was an open source solution with a few advocates within UCSC. CCT would like measures put in place to ensure that the RFP process gives open source a fair representation. In the future CCT would like a larger window for consultations on important campus-wide IT issues. ITS seems to agree that the initial RFP process was flawed and did not allow for an open source solution. Here are some questions CCT submitted to the chairs of the web content management committee:

1. How do we insure that the RFP process gives open source a fair representation?
2. How many units need to buy in to make a campus-wide solution viable/economical?
3. What is the value to the campus of having a widely adopted solution that fails to unify the campus community?

Senate collaboration is vital for the future of the campus as a whole. It is important to remember that we have faculty and technical expertise on campus and that by working together we can cost effectively bring change to the campus web page. As an example, we would like to point to the successful collaboration between SOE faculty and ITS (then CATS) staff in the rework of GARP that resulted in the system we have today.

Online Instruction

Online Instruction poses questions of great importance for UCSC, and for the University of California in general. This type of instruction appears to be successful for certain graduate

programs and for self-paced courses. Also, it can be useful for students currently enrolled at UC campuses who can't get the general education or other required courses they need on their own campus due to large class size or limited numbers of course offerings, but who could enroll remotely in the course on another UC campus.

The Report on *Remote and Online Instruction at the University of California* recommends that a pilot program be initiated to test the educational effectiveness and the extent of cost savings (if any) of offering major introductory courses on one UC campus to serve several other UC campuses. As of July 14, 2010, the UC Regents approved an online pilot program to be tested at UC Berkeley's Law School with a target date of Spring 2011.

It will be important to see whether such online instruction can include peer instruction and other benefits of in-class instruction. We are also concerned that such courses could disadvantage the smaller campuses of UC, or at least the affected departments, if the resulting reduced student population in regular courses ultimately leads to a reduction in teaching faculty rather than the desired freeing of faculty to teach more advanced courses.

Commission on the Future

In accordance with Senate protocol, CCT reviewed the report of the Commission on the Future within the committee's charge and only reported on on-line programs and degrees. There are UC on-line professional school and graduate degrees in place already. As already stated, this type of instruction appears to be successful for certain graduate programs and for self-paced courses. Also, it can be useful for students currently enrolled at UC campuses who can't get the general education or other required courses they need on their own campus due to large class size or limited numbers of course offerings, but who could enroll remotely at another UC campus. Having undergraduate on-line courses for certain high school and community college students is also good, and makes sense given the current economic climate.

CCT questions how realistic it is to think students could graduate in three years with the same quality, or for each major offered as recommended in the report to save on costs. Summer session does not offer advanced courses, so it is not realistically possible to graduate in three years for very many majors. Graduation and retention rates have been climbing steadily over the past several years as indicated by the table in Appendix B, although the report does not call attention to this.

CCT members expressed concern with differential fees based on tuition for popular majors at UC campuses. High tuition costs would affect the middle class most. The report suggests that popular UC campuses like UCLA and UCB could get away with charging more, but not the other less popular UCs. The University Office of the President (UCOP) should recognize that the smaller campuses have become leaders in specific fields, such as Astronomy and Engineering specialties at UCSC.

Another issue of concern is with research. The Office of the President (UCOP) may try to negotiate larger overhead rates, thus skimming off higher percentages of the grant money faculty receive. UC would in that case be less competitive, with less money for researchers

to spend on data collection and analysis. This could make UC a less desirable institution for researchers.

Gmail for Faculty and Staff

During our final meeting of spring quarter, Vice Chancellor of ITS Mary Doyle announced that ITS will be asking for comments from the campus community on switching our email to Google or paying UC Berkeley to host our email. There seems to be little advantage in paying UC Berkeley to host our email. Google's Gmail is being used by staff at the Lawrence Livermore Labs as a pilot program and is reportedly going well. The VC would like to implement Gmail starting some time in the next academic year. By freeing up ITS staff, this will save money, as required by our budget problems. ITS plans on hosting town hall discussions on faculty and staff Gmail during fall quarter.

Respectfully submitted,

COMMITTEE ON COMPUTING AND TELECOMMUNICATIONS

Matt O'Hara
Charlie McDowell
Xavier Prochaska
Anujan Varma
Ted Warburton
Joel Primack, Chair

William Crawford, Student Representative (SUA)
Mary Doyle, Vice Chancellor of ITS

August 31, 2010

COMMITTEE ON EMERITI RELATIONS Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

The Committee on Emeriti Relations (CER) met during each quarter to discuss emeriti issues. The issues this year were as follows: support policy for actively engaged faculty, emeriti directory listings with former department, emeriti parking issues for the future, and a pre-retirement workshop co-sponsored with the Committee on Faculty Welfare (CFW) and the Academic Personnel Office (APO). A brief summary of the committee's work follows.

Still Actively Engaged Support Policy

In 2008-9, CER asked the Council of Deans to adopt a computer support policy with a category for "still actively engaged faculty". The category of "emeriti" was to be established in order to create equity and achieve a campus norm, for those retired faculty who are still teaching and doing research. Our proposal had indicated that Deans would work with department chairs to develop criteria for the "emeriti" category, and would identify appropriate faculty and review their status. Unfortunately, the Council of Deans informed us during this academic year that they do not agree with our proposal. Contrary to our suggestion, their view appears to be that Divisions are too different to be the objects of a broad campus policy and they do not want to develop two tiers of emeriti, those who are still active and those who are not. We regret the decision of the Deans because we still receive occasional reports that emeriti who are teaching and doing research face obstacles with computer support and basic teaching needs based on their emeriti status.

Emeriti Directory Listings

CER was more successful in achieving results on another issue which came before us. We received complaints from some emeriti that their field(s) of specialization had been eliminated from campus directories. Understandably, emeriti who are still professionally active would like the outside world to be able to identify the areas of their expertise. The chair of CER raised the matter with EVC Klinger who in turn discussed it with the Council of Deans. EVC Klinger reported back that everyone had agreed that campus directories should carry the names of emeriti along with their specializations within a field. We were grateful to the EVC for moving to resolving this matter efficiently and effectively.

Emeriti Parking Issues

The Committee on Emeriti Relations (CER), Committee on Faculty Welfare (CFW) and the UCSC Retirees Association became alarmed during the course of the academic year when we learned that emeriti/retiree parking was on the agenda for discussion at a spring Transportation Advisory Committee (TAC) meeting. The chair of CER and the Chair of the Retirees Association, Lee Duffus, met with Larry Pageler to discuss the matter. All the various arguments regarding the retention of free parking for emeriti/retirees were fully considered. Since the original granting of the benefit dates back to 1976 and a decision by then Chancellor Angus Taylor, it is our position that only the Chancellor and not an administrative unit has the authority to change or adjust emeriti/retiree parking policy.

The chair of CER and CFW, along with the current outgoing and incoming chairs of the Retirees Association, met with Chancellor Blumenthal early in June 2010. We laid out our concerns and had a full discussion and review with the Chancellor. The Chancellor agrees that the subject is a matter for chancellorial decision although, of course, administrative units may advise. Chancellor Blumenthal also indicated that he favored keeping the parking benefit. If at some future date his hand is forced and changes or adjustments need to be made, the Chancellor said he would fully consult with Senate and Staff associations. In our discussion, both the history of the policy and the current benefits to the campus of encouraging retirees to serve in various capacities were fully aired. All parties agreed that changing the status quo would be penny wise and pound foolish. It is also clear that no budgetary benefits would be realized since emeriti would not bother paying for parking permits. Thus, taking away this specific emeriti benefit would not help the campus budget. We came away from our meeting satisfied that all the relevant issues had been aired. We were also encouraged by the fact that the Chancellor hopes that when he retires he will receive his A sticker benefit.

Retirement Workshop

We would like to thank the emeriti who volunteered as panelists for our retirement workshop. At the workshop, emeriti shared personal experiences with those who are thinking about retiring in the near future and answered questions.

Finally, we want to acknowledge the many emeriti who recognize the campus budget crisis and its consequences, and have sought to help their departments and the institution at large. Emeriti taught courses which otherwise could not be offered and often did so with modest remuneration. Many emeriti have served the campus in various capacities without any remuneration whatsoever. They have given lectures, supervised graduate and undergraduate students, served on panels, committees and plugged many holes. The campus owes them its gratitude and it is our hope that in this coming academic year, even more emeriti will provide help for their departments and the campus at large. We also hope that the administration will do everything in its power to avoid disincentives and the placing of obstacles in the way of those emeriti who are willing and able to help the campus in this time of need.

Respectfully submitted,

COMMITTEE ON EMERITI RELATIONS

Gary Glatzmaier
Helene Moglen
Isebill Gruhn, Chair

Elizabeth Abrams *ex officio*

August 31, 2010

COMMITTEE ON FACULTY WELFARE Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

The Committee on Faculty Welfare (CFW) met twice per month throughout the academic year; members also represented CFW on a several other Senate and campus committees—the Transportation Advisory Committee (TAC), Child Care Advisory Committee (CCAC), Campus Welfare Committee (CWC), and Senate Executive Committee (SEC).

CFW's work in 2009-10 was shadowed throughout by the University of California fiscal crisis, which has dramatically affected UCSC and whose effects on faculty CFW has diligently worked to understand, explain, and, where possible, influence. These included the cancellation of child care for children of faculty and staff announced publicly in August 2009; newly surfacing concerns about housing affordability calculations involving MOP (adjustable-rate) loans; and dogged efforts to understand and transmit information about proposed changes to pension and retirement health benefits and their effects on total remuneration of UCSC faculty.

Post Employment Benefits (PEB)

The debate over “post employment” benefits (PEB)—pension and retirement health—was among CFW's most consuming priorities this year, following on the prior year's effort by CFW to provide a transparent account explaining the liabilities faced by the UC Retirement Program (UCRP) and the potential of UCRP's troubles to affect the UC system itself. A systemwide PEB Task Force convened in 2009 to develop recommendations for changing the structure of UC's pension and retirement health benefits in order to limit UC's rapidly increasing benefits liabilities. The Task Force had the dual charge of developing a plan to reshape UC's retirement liabilities while preserving the faculty profile of UC—a daunting task given that UC's existing retirement benefits are widely credited with helping leash talented but relatively underpaid faculty to the system.

CFW worked diligently to keep abreast of the rapidly evolving deliberations of the PEB Task Force, to share them with the Senate to the extent possible, and to relay our concerns back to UCFW and, through Senate leadership and in meetings with Council leadership, directly to Academic Council. These efforts were complicated by confidentiality restrictions that significantly limited our ability to share information with our constituency, though we made a considerable effort, through regular briefings and communications with the chairs of the Senate and CPB, reports to SEC, and a joint meeting with members of SEC and CPB, to keep colleagues apprised for such briefings up to date on PEB deliberations and thus in a position to advise us in our communications with UCFW.

While recognizing and appreciating the Task Force's efforts to communicate widely and gather information from as broad a swath of UC employees as possible, CFW had serious concerns about the process of decision making and consultation, and in particular about the limitations that a year-long insistence on strict confidentiality on key details, combined with a very tight decision-making timeline in the wake of the Task Force report, would inevitably impose on stakeholders' participation in the process. We expressed these reservations via fairly constant

communications with UCFW and Academic Council leadership about the need for a sufficient period for Senate deliberation, and in a resolution (included in the May 2009 Senate Call but unfortunately not voted on for lack of quorum) calling for the same. We were also concerned about the failure to indicate, in public forums about PEB and in interim Task Force reports, the effects of proposed changes on individuals (only exemplary models were offered), and the total failure to describe the combined effects of proposed changes to pension and retirement health benefits on current and future retirees.

CFW had equally serious reservations about the content of the Task Force's deliberations, and in particular about the bias we discerned in several of the favored PEB options toward rewarding higher-paid employees with more remunerative retirement benefits, a bias we felt was insufficiently recognized even at the level of UCFW and whose details were obscured by the confidentiality restrictions. We were particularly troubled by how this effect would hit UCSC faculty and staff (among the lowest paid in the UC system, and, in aggregate, solidly within the less-advantaged salary range for these proposed benefits plans) and how it would affect younger and newer faculty, whose incentive to make UC a permanent destination would, we expect, suffer considerably from the proposed changes. CFW expressed its reservations about both process and content in its May 2010 report. [<http://senate.ucsc.edu/cfw/CFWrePEBSCP1642.pdf>]

CFW's role moving forward is already well-defined: close monitoring of the deliberations on PEB, active participation in educating its UCSC constituency, and activist work in helping UCSC faculty voice their position on retirement plans that will affect every UC employee, current and retired, and that could potentially have disproportionate effect on members of the UCSC community.

Total Remuneration

Retirement pension benefits are, of course, directly connected to salary during the years of employment; together, salary and retirement benefits (pension and health) comprise "total remuneration." A system-wide report on Total Remuneration released aggregated data from all the campuses to find that, for most categories of UC faculty, total remuneration measured up favorably to that of comparable universities and corporations, at least before anticipated cuts to PEB. This report, however, did not disaggregate total remuneration by campus, and thus was of limited use in examining campus cohorts or individual faculty. Knowing that UCSC's faculty salaries lag those at other UCs, in 2009-10, CFW began investigating total remuneration for Senate faculty at UCSC, finding that (as expected) assumptions made when lumping all UC faculty together did not hold true when examining campus or even divisional and departmental cohorts. For instance, the mean salary of UCSC faculty lags the systemwide mean of \$112,000 by \$19,000; these means, of course, hide large variations above and below, but are magnified by effects such as cost of living (it costs a great deal more to buy a home in Santa Cruz than in Davis, for instance). Though challenged by privacy requirements that masked some of the data we were hoping to examine for current and retired UCSC faculty, we nevertheless were able to demonstrate the urgency with which UCSC faculty would need to voice our concerns about proposed PEB changes: salary lag means subsequent pension lag, and UCSC faculty as a group will find themselves more seriously affected by a revised pension plan that favors higher-paid

employees than faculty at other UCs. CFW reported on the initial results of this investigation in an oral report to the Senate in May 2010, and continues to monitor the effects of our salary lag through its watchdog work on PEB.

Housing

This year CFW continued monitoring the viability of faculty housing programs, including the campus repurchase program, the housing re-pricing program, and the campus loan programs. CFW also spent part of the year investigating the impact of the current economic environment on housing affordability for faculty.

Current status of on campus housing programs: Results from the resale of university-owned faculty housing units during the 2009-2010 academic year have been mixed. For entry-level units (lower cost units located in Hagar Court, Laureate Court, Cardiff Terrace and Hagar Meadow), demand over the year has been steady and the number of available units has decreased over the year. In particular, by August 2010 only five out of 42 available units were owned by the campus (down from 13 on May 2009), with one of the five being assigned on a long-term lease and another, not yet remodeled, not yet available for purchase. Demand for the lowest-priced units in Hagar Court has been the highest, resulting in no units being currently available in this subdivision. Of the many reasons for this demand, one is certainly the continuing need for low- and mid-level housing for junior faculty and staff, the majority of whom are unable to afford housing elsewhere. The situation is rather different for the upper-level units in Ranch View Terrace, where five unassigned units remained in August 2010 (down only two from seven in May 2009). Generally speaking, demand for on-campus faculty housing seems to have been low during the year, most likely due to the salary reduction plan (furloughs) and hiring freeze. However, CFW expects the situation to change in the medium term as the financial situation on campus improves, and we would like to strongly encourage the administration to continue working on long-term strategies to deal with the high cost of housing in the Santa Cruz area. In the meantime, the expenses associated with campus ownership of these properties (especially those in Ranch View Terrace) pose a challenge for the budget of faculty housing.

Analysis of affordability and the re-pricing program: CFW continues to support the goals of the re-pricing program. We believe it plays a key role in making faculty housing programs self-sustainable; maintaining the viability of the “LIO-SHLP” (Low Interest Option/Supplemental Housing Loan Program), which helps make home ownership possible for more faculty; and encouraging the equal distribution of these programs across divisions and departments. However, CFW believes that the affordability index, the key concept at the center of the re-pricing formulas, needs to be adjusted.

Last year, CFW questioned the affordability formula on the grounds that it did not account for changes in faculty income arising from salary reduction in the form of furloughs. In practice, we have learned that the effect of furloughs has been compensated for by lower interest rates. In the specific case of homes acquired with subsidized MOP loans, data provided by Faculty Housing indicates that out of 195 faculty with current MOP loans at UCSC, 104 are paying an interest rate lower than when the loans originated (with

reductions as large as 5% for very old loans), 32 are paying the same rate, and only 59 are paying a higher rate, which is in no case more than 1% higher. The higher rates for these 59 borrowers seem to be concentrated on loans that originated between 2003 and 2005, when market interest rates were at historical lows.

Although this information would seem to make a compelling case for leaving the affordability formula alone, CFW believes that, rather than validating the current mechanism to assess affordability, this combination of factors points out additional shortcomings that should be addressed. In particular, home affordability depends greatly on the future fluctuations of interest rates. CFW has suggested that this “interest-rate risk” should be accounted for in the calculation of the affordability index. The effect of including such risk in the calculation when rates are below historical means would be to decrease the affordability with respect to the current procedures, as homes would seem more expensive in response to an expectation that interest rates will increase in the future. However, the modified index would have the opposite effect when interest rates are higher than their historical average, making homes more affordable since we would expect interest rates to decrease in the future. Although including interest rate risk in the calculation would increase the complexity of the pricing formula, it would provide a transparent and automatic mechanism for adjusting the affordability index to varying conditions in MOP rates. We believe that accounting for interest rate variations and faculty salary variation jointly in the index would lead to a more robust and trustworthy mechanism for assessing affordability at UCSC. We believe CFW should work closely with the administration during the following academic year to implement these changes.

CFW is also concerned about the effect that increases in interest rates could have on the mid-term welfare of faculty currently on MOP loans. Although the MOP statistics mentioned above suggest that the current effect of interest rate changes has been neutral or even positive for most home-owning faculty, they also suggest that a 2-4% increase in interest rates in the mid-term (a scenario that many economists consider likely) could have a dramatic effect on faculty who secured loans at low interest rates and high loan-to-income ratios. With that concern in mind, CFW analyzed data on loan-to-income ratios for faculty currently holding MOP loans provided by faculty housing. We observe that a small but significant portion of the loans (representing around 20% of the MOP-holding faculty) have front-end ratios (which include only housing-related debt) above 35%, and back-end ratios (which include all debt) above 45%. Although we are not sure how these numbers extend to faculty with commercial loans, they do suggest a relatively small but significant core of faculty at risk of default in the case of a moderate interest rate increase. This is a demographic CFW should continue to monitor especially as interest rates change.

Child Care

CFW’s annual report of 2008-09 describes in some detail the abrupt end of child care for children of faculty and staff as of December 2009; that report concluded with an account of the efforts of a group of faculty and staff to start a campus-affiliated alternative child care (Kite Hill Center). CFW began the year examining this proposal with a hopeful eye, but turned to consider other options in late fall when the Kite Hill proposal was rejected. Our subsequent work on child care followed Senate approval, in November 2009, of a

resolution by the Senate Executive Committee directing the UCSC administration “to heed the Senate’s repeated calls for adequate child care services and to speedily develop a plan to provide for affordable, high quality child care for the full campus community, and in particular for the families of faculty and staff.” (This was itself only a slight reworking of a resolution first unanimously approved in May 2004.) In subsequent months, CFW worked on a set of short- and long-term planning questions and worked with EVC Klinger and others to address them. They included:

- The possibility of resurrecting summer child care for children of post-docs, graduate students, and undergraduates, a matter CFW was concerned with as summer care for the children of the former two has repercussions for the work of their faculty sponsors as well as, more immediately, the work of the students and post-docs themselves. Interim Graduate Dean Tyrus Miller and EVC Klinger worked out a trial plan for sponsoring such summer care, a plan that unfortunately came too late to be workable.
- The possibility of grandfathering, through June, children of faculty and staff who had not yet found spaces in other local child care facilities, a possibility EVC Klinger was willing to entertain. (He backed the provision of unused spaces, through June, for displaced children of post-docs.)
- Plans for development of a Master Plan for Child Care mentioned in the Child Care Advisory Committee Charge and, in somewhat different language, advised in the UC Task Force Report on Child Care Policy and Programs (2000).
- Plans for the reconstitution of the Child Care Advisory Committee as a more powerful committee, with greater decision-making power and a more robust charge, in keeping with the recommendations of the Task Force report of 2000.
- Plans for the constitution of a task force charged with investigating the costs and viability of different models of child care (in-house, vendor-provided, on-campus, off-campus, jointly operated with another agency, etc.) and presenting the campus with a proposal by winter 2010-11. CFW advised on the constitution and charge of this task force, and has a representative participating on it.

That the woeful recent losses to child care at UCSC occurred on its watch is this CFW’s greatest regret. We are heartened, however, by the immediate steps the administration has taken in response to the Senate’s resolution in November, by the purposeful work that the Child Care Task Force has already begun, and by the assurance of the Chancellor and EVC, delivered through then-EVC Klinger at the Task Force’s inaugural meeting in September 2010, that some form of child care, as yet to be determined, would return for children of faculty and staff as early as fall 2011. CFW will have a great deal to do in participating in and monitoring campus plans for child care moving forward.

Transportation and Parking

CFW continues to provide one of two faculty members who sit on the Transportation Advisory Committee (TAC), and to participate in the annual vetting of the Transportation and Parking Services budget. After CFW’s TAC representative in 2008-09 proposed it, TAPS has begun including bicycle accidents in its regular reports on traffic incidents on campus, an accounting particularly useful in monitoring the still-worrisome confluence of cars, bicycles, and pedestrians at the Ranch View crossing. Finally, through the reports of

Committee on Emeriti Relations chair Isebill Gruhn, who sat with CFW all year and contributed knowledgeably and valuably on many subjects, CFW examined a concern about a potential change to the emeriti parking benefit guaranteed to most emeriti, a change evidently raised and then tabled in TAC meetings, and agreed that, on principle, CFW would oppose retraction of any benefit guaranteed in writing. A meeting with Chancellor Blumenthal and representatives of staff and faculty retirees successfully dispelled concerns about this benefit for the time being.

Acknowledgments

Roger Anderson, though officially a member of CFW only in winter quarter, generously offered his expertise and assistance throughout the academic year, particularly as members of the committee grappled with benefits issues. CFW has also benefited a great deal from the prompt and professional assistance of a number of UCSC staff. We thank AVC-Academic Personnel Pamela Peterson and Senior Benefits Manager Julie Putnam for information about current and emeritus UCSC faculty for our Total Remuneration investigations; and Capital Planning and Construction Director (CUHS) Steve Houser and Faculty Housing Manager John Thompson for information about faculty housing, re-pricing, and re-sale. Most of all, we thank CFW Analyst Pamela Edwards for her faultless professionalism: her guidance, institutional memory, intelligence, patience, and good cheer. CFW could not have done its work without her.

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

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October 4, 2010

COMMITTEE ON INTERNATIONAL EDUCATION
Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

CIE met monthly during the 2009-10 academic year. OIE Director George Barlos sat with the committee for most of the year, and the committee also conducted consultations with VPDUE Bill Ladusaw and UOEAP Director Michael Cowan. The position of EAP Faculty Director, which also sits with the committee, remained vacant throughout the year. Chair Lewis represented the committee at the monthly UCIE meetings.

During fall quarter, CIE reviewed the final report from the Joint Senate-Administrative EAP Task Force, and various proposed budget models for EAP. CIE feels that the new EAP fee needs to be kept low in order to ensure the enrollment levels needed to sustain the program, and was concerned that return-to-aid from EAP participants might be directed outside EAP, rather than being used to support other EAP participants. CIE also feels very strongly that the importance of reciprocity students to the campuses should not be underestimated.

CIE also provided feedback on the job description for the new UOEAP Executive Director, recommending that the position be recruited as an academic title such as Dean or Vice Provost, and that the position have a dual-reporting structure to both the Senate *and* the administration.

In winter quarter, CIE drafted a report on the current status of EAP for inclusion in the February 10th Senate meeting agenda. The report, which can be found in Appendix A, was intended to raise faculty awareness about the plight of EAP and the challenges it faces.

CIE also conducted a Departmental Survey on Student Participation in Education Abroad Programs. The survey (see Appendix B) was sent to department chairs and managers in February 2010, and the committee received a very high response rate. The data collected was used to produce CIE's second report of the year, which is included in Appendix C. CIE found that roughly one in seven UCSC undergraduates participates in EAP; many departments emphasized the importance of study abroad for their students, and the quality of EAP's programs.

CIE consulted with the Office of International Education and OIE Director Barlos throughout the year. The committee provided Director Barlos with feedback on the report he prepared for the Chancellor, titled "An Overview of International Activities and Programs at UC Santa Cruz, 2008-09." CIE also worked with Director Barlos on a draft of UCSC guidelines and procedures for proposing new Study Abroad Programs. Using the guidelines at other UC campuses as a starting point, CIE produced a first draft of possible guidelines (see Appendix D), to be included in the

“International Education Handbook,” which Director Barlos hopes to have finalized by Fall 2010. It is hoped that having clear campus guidelines in place will stimulate faculty involvement in the proposal and development of international study programs.

During the year, CIE also provided feedback on the “Report from the Humanities Advisory Task Force on Reconstitution” and the “Commission on the Future recommendations.”

Respectfully submitted,

COMMITTEE ON INTERNATIONAL EDUCATION

Giacomo Bernardi
Karen Holl
Armin Mester
Debra Lewis, Chair

Judith Harris-Frisk, NSTF

September 27, 2010

APPENDIX A
Report on the Education Abroad Program (EAP)

UCEAP is an academic program of the University of California. Its mission is to provide students with international learning opportunities to enhance their academic experience and to prepare them to be effective and responsible citizens of an increasingly interdependent global society. UOEAP coordinates summer, semester and year-long study abroad programs which combine high-quality academic experiences with immersion in the local culture; provides pre- and post-departure activities designed to help students gain the most from their international experiences; sponsors exchanges with international students; and helps to coordinate the efforts of individual campus EAP activities.

proposed UCEAP mission statement

The University of California Education Abroad Program (EAP) has been a vital, influential UC academic program since its creation in 1962, but deviation from EAP's core strengths has led to a host of problems that, combined with drastic budget cuts, seriously threaten the long-term viability of EAP. EAP expanded dramatically during the past decade, largely through the creation of short-term, non-immersion programs; this rapid shift away from EAP's unique, highly successful semester and year-long immersion programs led to fiscal disaster and put EAP in direct competition with for-profit third party providers. The current perception among some key administrators that EAP could be replaced by third party study abroad programs, or further remodeled in the image of such programs, must be corrected if EAP is to survive as a high quality academic program.

The Committee on International Education (CIE) is particularly concerned with two issues: the shift to an EAP-fee based budget model, and reciprocity agreements with partner institutions. From EAP's inception in 1962 until this year, EAP students enjoyed virtually the same funding status as students on campus. Affordable EAP programs are a crucial component of UC's diversity efforts; international experience is critical for employment and graduate study in many fields, and should be accessible to all students. EAP's system-wide state support has been reduced from approximately \$18 million in FY 2008-09 to roughly \$4 million in FY 2009-10 and \$1 million in 2010-11. EAP is expected to be supported entirely by student fees within a few years. CIE is extremely concerned that EAP is rapidly becoming a luxury service program that is out of reach for many students: special program fees ranging from \$750 to \$4000 have recently been added to many EAP options, and all EAP participants now pay a substantial administrative fee. Commitment of return to financial aid from EAP fees is essential if the diversity of participants in the program is to be maintained.

The Committee is also very concerned about the potential loss of international students attending UCSC through EAP reciprocity agreements. While EAP sends

approximately 4500 students abroad each year, approximately 1200 students from partner institutions attend classes at UC campuses. These students enhance international awareness on our campuses, enriching the classroom experience with different cultural perspectives, and increasing awareness of UC in their home countries. The 3:1 exchange ratio enables EAP to serve as an “eleventh UC campus”, relieving overcrowding resulting from rapid enrollment increases and the current budget restrictions. Under the new budget model, reciprocity students, who pay their usual fees to their home university, may become a financial burden on the campuses unless reciprocity support for campuses from UCOP's General Fund or Opportunity Fund is continued. Termination or significant curtailment of reciprocity agreements would undermine EAP's highly successful extended-stay immersion programs, and diminish the diversity of UC.

In April 2009, Interim Provost Pitts convened a joint Senate-Administration Task Force to review EAP. The Task Force recommended the establishment of a UOEAP Governing Committee (GC), appointed by the Provost, with representation from the Academic Senate, including ex-officio representation from members of UCIE, UCPB, and UCEP. However, the current composition of the Governing Committee and apparent chain of responsibility gives excessive influence to UCOP. Senate oversight of UOEAP has been undermined by repeated invocation of fiscal necessity as justification for one-sided decisions. The EAP-fee based budget model was adopted in spite of the strong disapproval of Senate committees. Several Study Centers have been closed without UCIE's approval, abruptly ending multi-decade partnerships with major universities. Communication between the UCSC Office of International Education, UOEAP, and CIE has been hobbled by the lack of a UCSC EAP Faculty Director.

It is essential that EAP continue as a system-wide academic program, serving all campuses equitably. The Governing Committee currently has four members from UCLA, and none from UCSB, in spite of UCSB's exceptionally high level of involvement in EAP. This disproportionate representation of a large campus with relatively low per capita EAP participation may lead to policies that the smaller campuses can't afford. UCSC sends almost as many students abroad through EAP's long-term immersion programs as UCLA does, and will face much greater challenges if key support services are shifted from UOEAP to the campuses at the same time that local EAP offices are suffering severe staffing cuts. UOEAP provided \$933,000 for campus financial support in the 2008-09 budget; the February 2009 strategic plan eliminated this support entirely. UCOP's plan to transform EAP into a self-supporting service provider will catastrophically backfire if dramatic increases in student fees and abrupt reductions in administrative support drive students to third party providers, or deter them from studying abroad.

Our ever more closely linked global society desperately needs informed, insightful citizens. The UCSC Committee on International Education is extremely concerned that decisions being made by UCOP threaten the viability of the UC system's well respected Education Abroad Program, and the invaluable educational opportunity

this program offers to UC students. The active support of the Senate and the Academic Council are essential if EAP is to survive and evolve to meet the current challenges in and outside the UC system, while maintaining its traditionally high standard of academic excellence.

APPENDIX B

Departmental Survey on Student Participation in Education Abroad Programs (EAP)

UC's long-standing, well-respected Education Abroad Program (EAP) has taken enormous budget cuts in the past few years. In recent years, EAP's system-wide state support (from the General Fund) has been reduced from \$18 million in 2008–09 to \$4 million in 2009–10, and finally, to \$1 million in 2010–11. To survive without sacrificing the exceptional academic quality of the program, which allows UC students to participate in high caliber international programs while earning credit towards graduation, *EAP must continue to improve its efficiency and optimize its remaining resources*. In order to provide constructive feedback on international education at UCSC, the Committee on International Education (CIE) is reviewing UCSC's undergraduate participation in study abroad programs. Please complete the following survey

—indicate “unknown” or provide rough estimates if exact information is not available—and return via email to the CIE analyst (Stephanie Casher, scasher@ucsc.edu) by **Monday, February 22nd**.

PARTICIPATION

For questions 1, 3–5, please provide (approximate) percentages and/or absolute numbers; for 1, 3–5, provide annual data for the past three years, if available:

1. How many undergraduates complete your program/major each year?
2. Is some kind of study abroad required for your program/major?
3. How many undergraduates annually participate in *your own* study abroad program(s)?
4. How many undergraduates participate in EAP? In non-EAP UC-run programs? In non-UC third-party provider programs?
5. How many of your students, on an annual basis, participate in summer (short-term) study abroad programs, quarter or semester-long programs, and full-year immersion programs?

ARTICULATION

1. Does your department regularly give credit toward the major for some study abroad courses? If so, do you distinguish between EAP, non-EAP UC programs, and non-UC programs?
2. How do you evaluate study abroad courses for credit toward the major? Do you primarily use the course information provided by EAP, or do you mainly rely on the syllabi, coursework, etc. provided by the student?
3. Do you advise students on course selection, particularly courses for which credit towards the major will likely be granted, *in advance of travel*?

CONCLUSION

1. Do you have any other specific questions or concerns about international programs that you would like to bring to our attention?

Thank you for your valuable time in answering these questions, which will be extremely helpful to the CIE committee in our work to maintain high caliber study abroad programs for UCSC students.

APPENDIX C
**Results of the Committee on International Education (CIE)
 Departmental Survey on Student Participation in Education Abroad
 Programs**

The EAP experience is one of the most memorable and valuable educational experiences that students currently have as an option. These are the experiences that students remember for all of their lives.

—Economics

We would like to say in the strongest terms possible that we support maintaining the UCEAP program for students... an international education experience creates a global citizen, one that is able to better listen to and understand the global problems faced by all.

—Politics and Legal Studies

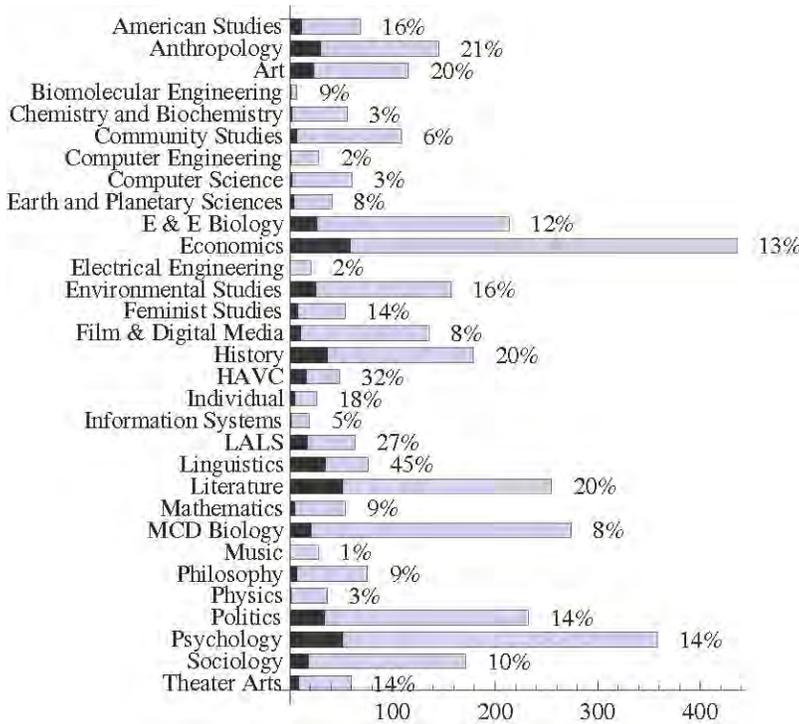
One out of seven UCSC undergraduates studies overseas in UC's Education Abroad Program. To help UOEAP minimize the effects of drastic budget cuts on EAP participants, estimate the possible impact of further cuts, and identify departmental practices that support and enhance students' international educational experiences, the Committee on International Education (CIE) conducted a Departmental Survey on Student Participation in Education Abroad Programs in Winter 2010. Approximately two thirds of the departments with undergraduate majors responded to the survey. The responses yielded valuable information about the importance of EAP to UCSC, levels of EAP participation, pre-travel advising, and post-travel evaluation of coursework taken abroad for credit towards the major. Here we summarize the survey responses (excerpts from survey responses are given in italics) and provide data on EAP participation by major. The survey itself is in Appendix A.

International education is central to many undergraduate majors. The Global Economics major requires a minimum of one quarter of study abroad; the Literature major now requires one year of second language study, and the department anticipates that many students will use EAP to satisfy this requirement. Several other departments, including American Studies, History, LALS, Linguistics, and Sociology, strongly encourage their students to study abroad. Specialized EAP programs, such as the Monteverde Tropical Biology and Conservation program in Costa Rica, provide students with extraordinary opportunities to study unique ecological and social systems.

Students from all undergraduate majors participate in study abroad programs. While the greatest number of EAP participants come from the

Humanities and Social Sciences, there are significant numbers of participants from all Divisions. The following chart summarizes average EAP participation by UCSC undergraduates over the past five years, grouped by department.*

EAP participation by department



Number of undergraduates participating in EAP (black) superimposed on the number of students graduating with BA or BS (gray) each year, averaged over the past five years. The ratio is expressed as a percentage.

EAP provides students with advanced language study opportunities. After one to two years of solid pre-travel language preparation, UC students are eligible for immersion programs at major universities abroad. The high caliber of UCSC’s language instruction enables many of our students to fully participate in the host universities’ regular courses, studying alongside the local students. Students majoring in Language Studies, East Asian Studies, German and Italian Studies, etc. may complete several courses in the target language. The symbiosis between

* In the interest of completeness and consistency, we used data provided by the UCSC Data Warehouse. Some departments reported lower levels of EAP participation than appeared in the database, and few departments knew how many of their students study abroad on non-EAP programs. This suggests that if education abroad programs are reduced, there may be even greater impact on some majors than anticipated.

international curricula and campus offerings extends the capacity of limited program offerings.

A cut in international programs [might] well have dire consequences for our students, particularly if language instruction is cut as well, since the LALS department can only offer a few upper division courses in Spanish, approximately three a year. We have no faculty who offer Portuguese courses.

—LALS

It is critical to provide affordable international study opportunities. High priority should be given to keeping EAP programs financially accessible to all students. Increased student awareness that UC financial aid for international study is available, and is adjusted to take into account the cost of living abroad, could increase the diversity of EAP participants.

UCSC's Office of International Education (OIE) mentors students and supports EAP recruitment. OIE staff and peer advisors guide students through program selection and the EAP application process. Further reductions in OIE staffing would generate additional workload at the departmental level. Classroom visits by OIE staff and peer advisors inform and recruit students who are unaware of EAP or believe that study abroad is an unrealistic option because of financial or academic constraints.

If the EAP program is cut, it is hard to imagine that the same number of students will find a study abroad program on their own. The specialized expertise of the experienced EAP staff creates the groundwork for a positive experience. Academic department or college advisers will not be able to effectively fill this gap.

—Politics and Legal Studies

Major-specific advising by faculty and staff in students' home departments fosters successful international study. Many departments strongly encourage students to discuss their intended EAP coursework with their faculty adviser, particularly if they plan to petition for credit towards the major. Requiring students considering study abroad to submit a pre-travel study plan helps students integrate their international education experience with their progress within the major, and helps departments stay informed about their students' international academic activities. Some departments provide course selection advice via email while students are abroad.

Most returning students successfully petition to satisfy major requirements using EAP coursework. EAP enables students to take courses while abroad that are equivalent in caliber and material to UC courses. Advisers typically outline appropriate course content and structure, rather than recommending specific courses, but some departments use course information from the UOEAP MyEAP web

site when assisting students with program or course selection. Almost all decisions regarding credit towards the major are based on material such as syllabi, papers, and exams submitted by the student after returning to UCSC.

EAP benefits not only the students who participate, but those who remain in Santa Cruz. EAP participation levels are very high in some of the largest major programs at UCSC (see the chart above). Thus EAP eases competition for courses in some of the most impacted majors. Since UCSC sends over 500 students abroad each year and receives approximately 50 reciprocity students, EAP reduces classroom crowding while enhancing the diversity and academic excellence of our campus.

Making study at UCSC more affordable for foreign graduate students would facilitate international exchange. The fee structure at UCSC makes implementation of graduate exchange programs challenging. Some graduate students visit UC campuses through EAP reciprocity programs, paying their usual fees at their home institution. However, graduate exchanges tend to be research-specific and many international student collaborators come from universities that do not have reciprocity partnerships with UC.

EAP is an essential resource that fully merits ongoing UC support. An overwhelming majority of the comments in the survey responses testified to the importance of EAP and emphatically recommended provision of adequate financial support to maintain the quality of the program. UCSC's commitment to providing our students with the best possible opportunities to develop their talents, indulge their curiosity, strengthen their sense of community on all scales, and experience the joy of discovery is clearly demonstrated by the dedication of faculty and staff across our campus to supporting international education.

APPENDIX D

DRAFT**Proposed Guidelines for Proposing/Reviewing Study Abroad Programs at UCSC**

All UCSC-sponsored courses that are taught overseas should be reviewed both by the Committee on Educational Policy (CEP) and the Committee on International Education (CIE). The course leaders should submit the standard CEP paperwork for course approval. In addition, the course leaders should submit a course proposal which answers the following questions. These questions also serve as the criteria by which to review programs.

1. Objectives: What are the objectives of the program? Examples of objectives may include exploring academic subjects from a different cultural perspective, developing language competency, integrating alternative perspectives (e.g. cultural, methodological) into future academic work, obtaining field research experience, and many more.
2. Implementation: How will the program achieve the stated objectives?
3. International advantage: To what extent does the program utilize its international setting?
 Could the program objectives be achieved at UCSC?
4. Location: Is the host institution or facility appropriate for the program? If interaction with locals is a program objective, do local conditions facilitate such interactions? Are living conditions safe for students? What specific cultural orientation will be given to the students?
5. Academic integration: Are the workload and student performance assessment criteria similar to those of courses at UCSC? If the instructors are at other institutions, do they have a similar level of training to UCSC faculty? Can program components be used to satisfy major requirements? If the program includes courses that should be equivalent to existing UCSC courses or serve as prerequisites for existing UCSC courses, have the relevant departments been contacted to ensure that the syllabi and course expectations are sufficiently similar?
6. Selection of participants: Who is the target audience for this class? Who will be eligible to apply for the program? On what criteria will students be selected?
7. Familiarity with international protocols: Have the instructors reviewed the UCSC International Education manual?

Program Review Protocol for Ongoing Summer Session Travel-Study Programs

Objectives of the Review Process

1. Assessment of the extent to which the program has met its stated objectives.
2. Evaluation of academic integration: equivalency with any corresponding conventional UCSC courses, utility as a prerequisite for other courses, satisfaction of major requirements.
3. Improvement of implementation: logistics, planning, etc.

Review Procedure

1. A Self-Study document should be prepared by the course leaders within a month after completing the course and should include the following elements:

- a. Program description and history
- b. An evaluation of whether the program achieved the stated objectives and how it could be improved.
- c. Results of any existing prior assessments, both qualitative and quantitative.
- d. Syllabi from courses offered.
- e. Student orientation packet
- f. Summary of student evaluations
- g. Summary of any problems in the course and how those will be resolved in future offerings.

2. Review

The materials will be reviewed by CEP and CIE before subsequent offerings. If concerns arise and the course will be offered in the future then a site visit may be necessary.

COMMITTEE ON PREPARATORY EDUCATION
Annual Report, 2009-2010

To the Academic Senate, Santa Cruz Division:

The Committee on Preparatory Education (CPE) met eight times during the academic year to deal with specific issues related to its charge. Its charge involves “any issue regarding undergraduate preparatory and remedial education and its administration. It supervises the Analytical Writing Placement Exam and Mathematics placement examinations. In consultation with the Writing Program, it proposes the means by which students may satisfy the University Entry Level Writing Requirement and it oversees Entry Level Writing Requirement instruction. In consultation with the Committee on Educational Policy, it maintains a continuing study of preparatory and remedial programs at Santa Cruz. It performs such other functions concerning preparatory and remedial education as may be assigned to it by the Academic Senate or by the Santa Cruz Division.”

We would put it this way: our committee focuses on the least privileged students at UCSC, students who face challenges such as being the first in their families to attend college, using English as a second language, and attending underfunded K-12 schools. These students often need preparatory courses such as Writing 20 and 21, Math 2, 3, and 4, and Applied Mathematics and Statistics 2, 3 and 5. Despite the unquestionable need for these courses, they are vulnerable. In the case of Writing courses, the Writing Program is not a department and has few tenured faculty. In the past more Math courses were available; instead of Math 2 and 3, three courses (Math 1, 2A and B) were offered. One possibility that has occurred to CPE members is that it might be desirable for these courses to be administered not by individual departments but under some other agency, such as (for example) the Vice Provost and Dean Undergraduate Education. However, the disturbing trend noticed in the 2008-09 CPE annual report continue: “Low-income, first generation university students perform academically less well than more privileged students when enrolled in the same classes. . . . The ELWR Core courses do not appear to be educating students equitably.”

The question CPE asks UCSC is this: Does UC/UCSC have a responsibility to try to equalize the education that students had before coming to a UC campus, in order to create equal chances for all UC students to meet their educational and personal goals? We assume that the response is “yes,” but we suggest that more explicit attention and proposed solutions need to be given to this issue. For example, other UC campuses have programs and staff for students whose first language is other than English; UCSC has no such program or staff, although UCSC ELWR Coordinator Sarah Parmeter, a member of CPE, serves on the UCOPE, English as a Second Language Committee.

The work of CPE is challenging because it is governed by complex regulations and depends on complex statistics. Fortunately the latter are provided by the excellent Learning Support Services unit, which keeps very careful and useful records, but both challenges make it desirable to have continuity in committee membership, which is often, as this year, not the case. Fortunately, we were supported by outstanding Academic Senate staff member

Roxanne Monnet, without whose knowledge and perspicacity we could not have done our job.

The work and thoughts of the Committee during the 2009-10 year are summarized below.

Examples of preparatory courses' vulnerability.

1. The year began with VPDUE Bill Ladusaw informing us that over the summer it was proposed that UCSC discontinue offering Math 2 for budgetary reasons. Math 2 is not required for any degree program at UCSC, yet hundreds of students need the course as preparation for Math 3. Faculty urged that Math 2 be offered in 2009-10, and it was. Over the course of the year, in fact, things improved. A "stretch" course version of Math 2 was proposed. VPDUE offered financial support, and the course will be considered by the Committee on Educational Policy. Problems remain, however; it is not clear, for example, that Math 2 is a satisfactory preparation for Math 3.

2. VPDUE Ladusaw also suggested dropping Writing 21, suggesting that those students who do not satisfy the English Language Writing Requirement (ELWR) after taking Writing 20 should take a course outside UCSC, either online or at a community college. CPE, helpfully informed by ELWR Coordinator Sarah-Hope Parmeter, pointed out that Santa Cruz Regulation 10.5.2 specifies that students must enroll in a UCSC course to satisfy the requirement. ELWR satisfaction rates have improved in recent years, and Coordinator Parmeter recommends that all instructors with writing in their large lower-division courses take a small writing sample early in the course to identify outliers and contact LSS. For further details see the CPE meeting minutes of 12/7/2009.

Learning Support Services. CPE devoted two meetings to detailed discussions with LSS Director Holly Cordova, who briefed us on ongoing trends of academic progress for the students served by her program. For EOP students these trends continue to be disturbing, as the CPE 2008-09 annual report noted: these students come to UCSC less prepared than non-EOP students and remain so as they continue through their UCSC education. Director Cordova is worried by reports from faculty that students do not know how to write, no matter how they have scored on ELWR or performed in Composition 1 or 2.

Modified Supplemental Instruction. This is a LSS program which supplements regular courses with extra section meetings for needy students. Students involved in Modified Supplemental Instruction pass with a higher grade than non-MSI in 75 percent of the cases. At the end of the academic year, CPE sent a letter intended to promote use of Modified Supplemental Instruction (MSI) in appropriate courses; the letter was cosigned by LSS Director Holly Cordova. The letter went to college provosts and department chairs, with a request that it be shared with all instructors.

Limiting student attempts at placement exams. In 2008-09, CPE agreed that students should be limited to three attempts at the Math placement exam. This year's CPE approved

the Mathematics Department's request that students be limited to two attempts to pass this exam.

Preparatory courses as pre-major requirements. A number of UCSC departments are "gated," that is, they require that students complete a preparatory course before being able to enroll in the major. Passing Math 3, for example, is a "gate" for about 55 percent of the majors. If access to those majors is to be equitable for all students it is important that students be given all possible support in passing "gate" courses. In some cases the official "gate" may not be the only or best possible option. CPE would like to follow up with the Psychology Department, for example, regarding Math course options for their students. It may be that some of the new general education courses that satisfy either the Mathematics and Formal Reasoning requirement or the Statistical Reasoning requirement would fill the need for what the department is hoping to achieve with their current Math requirement. How often Math 4 will be offered next year and how large the class will be appears uncertain. LSS Coordinator Cordova expressed interest in increasing partnerships between LSS and gated majors, and CPE strongly supports this partnership.

UC Commission on the Future. CPE discussed the recommendations of this commission which pertain to its charge. The recommendation that students attain their degrees in three years and the proposal to increase on-line instruction concern the committee, particularly the second. While effective on-line instruction can be an important component of learning, fully on-line versions of preparatory courses such as Math 2 are likely to decrease the success of the least-prepared students. We expressed our reservations to Academic Senate Chair Kletzer.

Recommendations for CPE 2010-11.

- Recommend to Psychology that they rethink having Math 3 as a preparatory requirement. Encourage them to consider new GE courses.
- Work with Learning Support Services to foster use of Modified Supplemental Instruction.
- Consider how best to ensure that students who enter underprepared for University level academic work are supported. A student survey might increase understanding of the issues for students.
- Consider needs associated with the terminal math requirements (degrees for which one Math course is required). Social Sciences might be encouraged to collaborate with the Physical and Biological Sciences Division and the School of Engineering to determine how the math needs for Social Sciences Majors will be met. See whether Math 4 can accommodate more students.

Respectfully submitted,

COMMITTEE ON PREPARATORY EDUCATION

Raquel Prado (F)

David Smith

Anna Tsing (W & S)

Mary-Kay Gamel, Chair

Nandini Bhattacharya, NSTF Rep

Sarah-Hope Parmeter, ELWR Coordinator

August 31, 2010

**COMMITTEE ON PRIVILEGE AND TENURE
Annual Report, 2009-10**

To the Academic Senate, Santa Cruz Division:

The Committee on Privilege and Tenure (P&T) met eight times this academic year. The Committee took part in an orientation in the fall with Chief Campus Counsel Carole Rossi and Academic Personnel Office Analyst Susan Fellows.

Policy Review

The Committee was asked to consider and respond to the following campus and UC policies and topics:

- Draft Academic Program and Units: Policy & Procedures
- Humanities Division Advisory Task Force on Reconstitution Report
- UC's Commission on the Future Initial Recommendations

Grievances

P&T received two grievances this year. The committee completed review of one and will resume investigating the second grievance in the fall.

Charges

There were no charges presented by the Administration this year.

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 provide 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%20Advisors0910.pdf

The Committee wishes to express its thanks and appreciation for the excellent Senate staff support provided by Pamela Edwards.

Respectfully submitted,

COMMITTEE ON PRIVILEGE AND TENURE

David Belanger
E. G. Crichton (F & W)
David Feldheim
Michael Loik
John Vesecky (W & S)
Karen Yamashita
David Brundage, Chair

September 13, 2010

COMMITTEE ON RESEARCH Annual Report 2009-2010

To the Academic Senate, Santa Cruz Division:

I. COR Activities Regarding Matters of Research Policy

A. Relations with the Vice Chancellor of Research (VCR) and Office of Research

The 2009-10 Committee on Research (COR) continued its interaction and coordination with VCR Bruce Margon, who attended a large number of COR meetings as a guest, participated in discussions, and on several occasions sought COR's input on matters of research policy. In addition, COR provided feedback to the campus workgroup on Research, chaired by VCR Margon.

B. Research Funding and Indirect Cost Recovery

There was much discussion this year, on campus and at UCORP, regarding the mechanisms through which research funding flows to the individual campuses. One issue that directly impacts UCSC is that educational fees are not returning to campuses in balanced percentages.

COR also discussed the need for greater transparency regarding Indirect Cost Recovery (ICR), and debated whether or not UC should be lobbying for a higher ICR rate, which is an issue that has been examined in some depth by several different working groups of the UC Commission on the Future. Overall, COR expressed concerns about increasing the ICR rate, which in effect makes it more expensive to do research. Increasing ICR will likely hurt small campuses, such as UCSC, because our campus' research infrastructure is not on a par with that at other UC campuses. However, one COR member did point out that an increased ICR rate would have a different impact, depending on the source of funds. For example, some funding agencies do not charge ICR against the PI's grant funds.

EVC Kliger approved COR's request (made at the urging of VCR Margon in Spring 2009) that from now on funds from awards coded as "private," but originating from federal sponsors, will be distributed by the same mechanism as direct federal sponsored research. This means that sub-awards that have underlying federal sponsors, even though arriving here from non-federal entities, will now generate the same return to the Divisions and the School of Engineering as do direct federal awards.

C. Research Strategies working group of the UC Commission on the Future

In fall 2009, a UC Commission on the Future was constituted with President Yudof and Board of Regents Gould as co-chairs. The charge to the commission was to examine how the University of California can best serve the state in years ahead and maintain access, quality, and affordability in a time of diminishing resources. To explore the many facets of this issue, five working groups were established. One of these workgroups was on "Research Strategies."

During the winter quarter, COR conducted consultations with Gail Hershatter (UCSC Professor of History, and member of the Research Strategies working group) and Mary Croughan (Co-Chair of the Research Strategies working group), to provide feedback on UCSC's specific concerns about research funding, the overall research enterprise, and UCSC-specific research issues. A list of the questions COR posed to the Research Strategies working group for consideration can be found in Appendix A. In May 2010, COR formulated its response to the first round of recommendations of the UC Commission on the Future; COR's response can be found in Appendix B.

D. Reviews of Divisional Research Units

COR discussed the five-year review report of the Institute for Marine Sciences (IMS). Overall, COR feels IMS is a well-run program, and one of the best functioning units on campus.

E. Resolution to Rescind Salary Reductions for lowest-paid faculty

At the Special Senate meeting on October 19th, the issue of using COR-funds (at some campuses) to backfill the salaries of the lowest-paid faculty came up. Chair Kolaitis clarified at the Senate meeting that, at least in the case of the Berkeley campus, COR was used as a vehicle to transfer funds from the Chancellor's Office to a group of lower-paid faculty in the form of summer stipends for research. This practice was cited in a resolution that came off the Senate floor that all newly-hired faculty members and all faculty members earning less than \$75,000 have their salaries supplemented.

COR reviewed this proposed resolution and decided to express COR's firm position that it is not appropriate for a Senate committee to be used as a "pass-through" vehicle in this way. Furthermore, COR does not support the use of COR funds, independent of their origin, to give out awards on a non-competitive basis.

II. COR Activities Involving the University Committee on Research Policy (UCORP)

A. MRU/MRPI Competition

In November 2008, VP Beckwith sent out a call for proposals for Multicampus Research Programs and Initiatives (MRPIs). All existing Multicampus Research Units (MRUs) were invited to apply for funding competitively, except for UCO Lick and White Mountain, which will participate in a future MRPI competition. UCSC submitted 20 proposals for new programs and existing MRUs with UCSC as the lead campus, and four such proposals were eventually recommended for funding. However, since MRPIs are a newly-created category, there are no procedures governing their establishment and disestablishment outlined in the UC Compendium.

COR has written to the Senate leadership, urging that UCOP move swiftly to implement the recommendations from the Report of the Task Force on the Compendium, namely to:

1. Establish a subcommittee to investigate and define MRPIs, and establish review and disestablishment processes for them.

2. Clarify and elaborate on processes for establishment, review, and disestablishment of MRUs, to provide guidance for how to handle existing MRUs.

B. Changes to IP Agreement

In a recent case between Stanford and Roche regarding patent acknowledgement, the court found in favor of Roche because the language used in the UC patent agreements was not as strict as the language used by Cetus, a company acquired by Roche. UC has moved to adjust the language of its patent agreements, and have all faculty sign a modified agreement.

III. COR Budget and Grants Programs

A. COR Budget

As a result of the budget crisis, COR has received a series of cuts to its permanent funding allocation. Cuts in 2008-09 (\$2900), 2009-10 (\$41,145) and assigned cuts for 2010-11 (\$45,900) have resulted in a total reduction of \$89,945 to COR's base funding in the past three years. Further cuts are possible if the budget situation does not improve.

Despite the cuts to the state funds COR receives as permanent funding, a change in the mechanisms for allocating overhead generated on private grants that have originating fund sources fully funded by the federal government has resulted in an increase of funds flowing to COR from other sources. This has helped to offset the cuts to state funds, but these amounts tend to fluctuate year by year, as they are tied to the external grants and awards UCSC researchers are able to secure.

The total amount of 2009-10 funds allocated to COR was \$489,524. 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 several 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 2009-10 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 quarter, whereas SMT awards were made throughout the fiscal year. COR also funded New Faculty Research Grants (NFRGs) in the fall quarter for newly-arrived faculty. Total funding in support of these programs was \$530,018 (Table 1). The amount expended by COR in support of research in 2009-10 that exceeded 2009-10 funding was made up by carry-forward from the preceding year. It should be noted that the FRG expenditures listed below were allocated by the 2008-09 COR but paid with 2009-10 funds.

Table 1. Summary of COR Research Expenditures during the 2009-10 Year

Category	Amount	Comments
FRG (awarded in Spring 2009 by the 2008-09 COR) & NFRG (awarded in Fall 09 by the 2009-	\$203,092	Paid with 2009-10 funds

10 COR)		
SRG (awarded in Spring 2010 by the 2009-10 COR)	\$213,680	Paid with 2009-10 funds
SMT (awarded throughout the year by the 2009-10 COR)	\$113,246	Paid with 2009-10 funds
Total expenditures	\$530,018	

As in 2008-09, the ‘basic’ award for FRGs and NFRGs was \$2,000 for untenured faculty and \$1,500 for tenured faculty. Due to the budget crisis, COR was unable to offer an additional \$500 for exceptional applications, as it had in the past. SRG awards ranged between \$1,500 and \$10,000, with an approximate average of \$8,000. SMT funding was limited to \$650, with up to \$1,000 available every third year.

The vast majority of FRG, NFRG, and SMT requests were funded in full. 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.

This year, COR received 45 proposals for the SRG competition, which represents a slight decrease in the number (53) of proposals received last year. COR received 155 proposals for the FRG competition. COR feels this decrease in funding requests represents what the committee feels is the most significant factor impacting faculty research—lack of time due to increased workload resulting from the fiscal crisis in the UC system that has been translated to, among other things, decreased administrative support, and fewer teaching assistants.

Given the overall high quality of the submitted proposals, COR felt that it was important to award as many SRG grants as possible. Many of the submitted proposals were towards the completion of important ongoing scholarly work, while others aimed at initiating new research projects or preparing proposals for major extramural grants. In view of the limited funds available, however, almost all successful SRG proposals were funded for amounts lower than those requested in the proposal.

Table 2. Summary statistics on the 2009-10 FRG and SMT programs.

Division	FRG apps funded	FRG amount funded	SMT apps funded	SMT amount funded
Arts	37	\$52,280	25	\$18,350
Engineering	3	\$5,500	7	\$5,950
Humanities	36	\$51,810	40	\$29,846
P&BS	18	\$25,272	16	\$12,200
SocSci	44	\$68,230	66	\$46,900
Campus	138	\$203,092	154	\$113,246

In Table 2, the FRG awards were made by the 2008-09 COR but, as noted earlier, they were paid with 2009-10 funds. In Table 3 below, the SRG awards were made by the 2009-10 COR and paid with 2009-10 funds.

Table 3. Summary statistics on the 2009-10 SRG program.

Division	SRG apps requested	SRG apps funded	SRG amount funded
Arts	9	7	\$46,180
Engineering	1	0	0
Humanities	6	5	\$26,000
P&BS	10	7	\$50,500
SocSci	19	12	\$91,000
Campus	45	31	\$213,680

In Spring 2010, COR also adjudicated the FRG awards for the 2010-11 academic year. Though these awards will be paid out of next year's budget, Table 4 outlines the awards granted by the 2009-10 COR.

Table 4. Summary statistics on the 2010-11 FRG program.

Division	FRG apps requested	FRG apps funded	FRG amount funded
Arts	33	29	\$45,695
Engineering	4	3	\$5,500
Humanities	36	31	\$44,500
P&BS	16	15	\$22,340
SocSci	39	32	\$48,821
Campus	128	110	\$166,856

IV. COR Events and Initiatives

In 2008-09, COR began planning to institute an annual Convocation on Research aiming to recognize high-profile external research awards and recognition earned by UCSC faculty during the previous academic year. The original plan was to have the first Convocation on Research take place during 2009-10. To this effect, COR wrote to the divisional deans and asked them for a list of external award recipients. In the fall quarter of 2009-10, COR

reviewed the input that had been received by the Deans up to that point and discussed the plans for instituting this Convocation. During the winter quarter, Chair Kolaitis attended a Council of Deans meeting with Senate Chair Kletzer, and was able to secure the support of all five divisional deans for the Convocation on Research.

Upon receiving the external award recipients from all Division, COR had a difficult time coming up with selection criteria that are applicable across Divisions. COR felt strongly that care should be given to determining what awards and honors should be included, as this will set a precedent for future Convocations on Research. Given that there was not much time left in the academic year and in order to give everyone ample time to review the lists, COR felt that it was better to defer this matter to the 2010-11 COR with the recommendation to ask the department chairs to identify which awards and honors should be included in the Convocation on Research, and then proceed with holding the first Convocation on Research during the academic year 2010-11.

V. Other COR Business

COR discussed and commented on several system-wide policies, and also discussed a number of other local issues, among them:

- Systemwide Review of Policy Leave Changes for Senior Management Group (SMG) (11/3/09)
- Report from the Workgroup on the Library (1/26/10)
- Report from Humanities Advisory Task Force on the Reconstitution (1/26/10)
- Formal Review of APM 241 & 246 (4/6/10)
- Final Report of the Joint Senate-Administrative Task Force on the Compendium (5/11/10)

VI. COR Representation

The COR Chair served as Vice Chair on the system-wide University Committee on Research Policy (UCORP), which met monthly, and COR member Fitnat Yildiz served as the campus representative on UCORP; furthermore, the COR Chair represented COR on the Senate Executive Committee, which met biweekly. COR member Scott Oliver represented the Committee throughout the year during most Instructional Technology Committee meetings.

VII. COR Senate Support

COR is deeply indebted to Committee Advisor Stephanie Casher, for her dedication, professionalism, and outstanding support. Her contributions were enormously important to the functioning of the Committee throughout the year

Respectfully submitted,

COMMITTEE ON RESEARCH

Elliot Anderson (F, W)

Ray Gibbs

Qi Gong (F)

Donna Hunter (F)

Jody Greene (W)

Melissa Gwyn (S)

Sharon Kinoshita

Scott Oliver

Paul Roth (S)

Holger Schmidt (F, W)

Vanita Seth

Fitnat Yildiz

Phokion G. Kolaitis, Chair

September 27, 2010

APPENDIX A

COR issues for consideration by UC Commission on the Future Research Strategies working group

- Is it possible to make the process of obtaining, receiving, and disbursing external funds simpler (i.e. removing some of the layers of bureaucracy associated with extramural funds and awards)?
- The current model for research is, to a large extent, a model geared, towards science and engineering. What does this leave for scholars in other areas? How do we enhance the infrastructure to support getting external funding for the Arts, Humanities, and Social Sciences?
- What is the commitment of the powers-that-be to funding in the Arts? There needs to be a greater understanding of how research in the arts (which is often in non-written forms) constitutes research. One way to achieve this is to ensure Arts representation on relevant committees/working groups.
- More transparency regarding the Indirect Cost Recovery (ICR) formulas, rates, and distribution. Can a small fraction of ICR be returned to PIs as an unrestricted funding source?
- Does the current formula that determines how tuition/fees get distributed to various campuses promote an equitable distribution of resources? (For example, it has been reported that UCSC gets .60 cents for every dollar, while UCSF receives \$4 for every dollar). Are fees collected in some campuses (and, in particular, at UCSC) being used to subsidize some of the larger sister campuses?
- How is graduate student support funded? Faculty find that nonresident tuition presents a barrier to recruitment. Furthermore, being able to offer attractive 4-5 year packages is of the essence in attracting top-tier graduate students.

- Tuition increases and grant funding – Can there be a grace period on the implementation of tuition increases? Some multi-year grants, which did not budget for astronomical fee increases, may see much more of their awards diverted from research activity to paying increased fees for students.
- Scholarly Communication and Intellectual Property – there seems to be a lack of understanding at local IP offices, and at UCOP, about what constitutes Humanities research and its dissemination.
- How is the Silicon Valley Initiative viewed by UCOP and other campuses? Are other UCs hostile to UCSC's expansion into this area, due to a perception of competition?
- Efforts must be made to strongly communicate that all UC campuses (and, in particular, UCSC) provide an undergraduate research experience that sets them apart from other state universities. It should also be emphasized that we don't support the delivery of research and instruction remotely.
- Addressing the way the budget crisis impacts the research enterprise via the cutbacks in services (Library hours, etc.) and the campus research infrastructure (staffing in the Office of Research).
- Funding to campus CORs is still very small, and getting smaller. At the very least, the funding we receive should be protected, if not enhanced.

APPENDIX B

May 11, 2010

Lori Kletzer, Chair
Academic Senate

Re: Commission on the Future Workgroup Recommendations

Dear Lori:

COR reviewed the recommendations from the Working Groups of the UC Commission on the Future, with a focus on the recommendations of the Research Strategies Working Group. The first thing that COR noted was the absence of a strong statement articulating the importance of research to the University, as well as the importance of supporting “curiosity-driven” research. Instead, much of the emphasis is on the utility of research and on short-term impact and deliverables. As a constituency, we need to be constantly advocating for research, and that point should be highlighted by the Research Strategies Working Group.

We also had the following comments:

- COR endorses Recommendation 1 (increasing transparency) and Recommendation 4 (streamlining risk management practices), though we feel that Recommendation 4 is somewhat unrealistic in the current budget climate, as staff are being cut back virtually everywhere to deal with the budget crisis.
- COR is concerned about increasing the ICR rate across the board, which in effect makes it more expensive to do research. Increasing ICR will likely hurt smaller campuses, such as UCSC, because they lack robust research infrastructure; furthermore, it may end up penalizing divisions (e.g., the Humanities) where the “cost” of doing research is considerably lower. Perhaps ICR rates should be differentiated across campuses, with larger campuses receiving a higher ICR rate, and smaller campuses retaining rates that are consistent with the infrastructure available.

It should also be noted that the case for increasing the ICR rate lacks thorough documentation and justification. Specifically, there is a general statement to the effect that other leading universities have increased ICRs, but no examples are given. A comparison to public universities of similar rank would be good to have, especially because COR members reported that they have reviewed proposals from places of similar rank to UCSC that have lower ICR. Also, it is stated that UC’s ICR should be “equal to or greater than” similar universities. Why greater than?

Finally, we wish to question the sentiment that "Nevertheless, it is important that the actual costs of conducting research be explicitly stated and recovered," which is repeated throughout the document. This is simply not true, unless we are a business. The State should not abrogate its commitment to fund research in the UC campuses, and UC should not give up on expecting the State to honor this commitment.

- COR feels there should be more emphasis on graduate education. Research relies on strong graduate programs, so anything that erodes the quality of graduate students we are able to attract is troubling. We would like to see concrete recommendations aimed at strengthening graduate education and recruitment (such as eliminating nonresident tuition for graduate students), and are very concerned about the proposal to increase graduate fees. We note that, at present, it costs about the same to hire a postdoctoral scholar as it does to hire a GSR, which is not a best practice for sustaining excellence in graduate education.

Outside of our specific purview, COR also had some concerns about the proposal to increase out-of-state undergraduate enrollments to generate more revenue for the campuses. What we find particularly troubling about this proposal to increase enrollment is the lack of discussion about capacity issues, space issues, reduced FTE, and ballooning student-to-teacher ratios. We should not be increasing enrollment if cannot ensure our students access to a *quality* education.

COR also feels that it is important to maintain UC as a 4-year institution. Proposals that advocate a 3-year pathway and/or online instruction run the risk of weakening the research experience of undergraduates, which is one of the major differences between the UC and the CSU.

Finally, COR strongly opposes differential fees by campus, which will inevitably result in the creation of tiers in the UC system and the erosion of research in the campuses that will be delegated to the lower tiers.

Sincerely,

/s/

Phokion G. Kolaitis, Chair
Committee on Research

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Annual Report, 2009-10

To the Academic Senate, Santa Cruz Division:

The Committee on Rules, Jurisdiction, and Elections (CRJE) met nine times in 2009-10. This report summarizes the Committee's work during the year.

Advice and interpretation of legislation:

No formal legislative interpretations were issued this year, and therefore none were reported to the Senate.

Review of proposed legislation:

SCB 4.3, SCB 8.4.1, SCB 9.1, and SCR 13.28.6: CRJE noted inconsistencies between Santa Cruz Bylaw (SCB) 4.3 and SCBs 8.4.1 and 9.1 regarding responsibility for conducting mail ballots. SCB 4.3 gives this responsibility to the Senate Secretary "under the supervision of the Committee on Rules Jurisdiction and Elections," whereas SCBs 8.4.1 and 9.1 give it to CRJE. CRJE concluded that the Secretary should conduct mail ballots under the supervision of CRJE and that the language of the Bylaws should be made consistent on this point. In addition, upon advice from and at the request of the Senate Executive Committee (SEC), CRJE also proposed amending the sections of SCB 8.4.1 and 9.1 that deal with the number of days allowed for requesting a mail ballot; it also proposed tying these days to the circulation of the Notice of Divisional Actions of the Santa Cruz Division or of the Executive Committee rather than to the distribution of 'minutes,' as was previously the case. Accordingly, legislation to this effect was proposed at the February Academic Senate meeting. After discussion, the proposal was referred back to CRJE with a request that language be added specifying that, although the Secretary conducts mail ballots, CRJE counts the votes. A new proposal, with language about counting votes added to the CRJE charge (SCR 13.28.6), was put on the agenda for the May Senate meeting. Quorum having been lost mid-way through the meeting, the CRJE proposal was not considered. It will be on the agenda for the first Senate meeting of the fall.

SCB 6.3: CRJE reviewed a change proposed by SEC to SCB 6.3 that would increase from ten to twenty-five the number of Senators required to call for a special meeting. CRJE noted a conflict with Senate Bylaw (SB) 75.B, which states that "a special meeting of a Division may be called for the purpose of considering a request for a referendum on an Assembly action, or for the purpose of discussing the subject matter of an announced referendum, upon written request of ten members of the Division to the Divisional Secretary." Since Senate bylaws take precedence over Divisional ones, CRJE recommended to SEC that it incorporate into its proposal the wording "except as provided for in SB 75.B." CRJE stated that if the revised proposal passed (and it did), it would then make a conforming change to SCB 8.5 to reflect the revised number.

SCR 9.2: CRJE reviewed an amendment proposed by SEC to SCR 9.2 that would make

narrative evaluations optional in undergraduate courses. The proposed amendment was found to be clear and not in conflict with existing legislation. CRJE stated that if the amendment passed (and it did at the April Senate meeting), it would then make conforming changes to other sections of the Senate Manual where the term “narrative evaluations” is used.

SCR 13: CRJE reviewed an amendment proposed by the Graduate Council (GC) to SCR 13 that would make narrative evaluations optional in graduate courses. Minor changes in wording were recommended for clarity; the proposed amendment was found not to be in conflict with existing legislation.

SCR 9.2: CRJE reviewed a proposal from two Senators for an “Enhanced Grades System” that would modify SCR 9.2 as amended at the April Senate meeting. The proposal was found to be unclear in several respects. CRJE made suggestions for changes in wording and in placement of the proposed legislation within Chapter 9 of the Santa Cruz Regulations.

Review of proposed Resolutions

Resolutions on faculty furloughs: CRJE reviewed five draft Resolutions related to faculty furloughs submitted by a Senator. CRJE found a lack of clarity regarding to whom the Resolutions were addressed and for that reason could not completely determine whether the proposed Resolutions were congruent with Senate Bylaws. Two of these Resolutions and a third, were subsequently voted on and passed at the October Senate meeting. CRJE was then asked by the Senate Chair to comment on the validity of the Resolutions. CRJE reviewed the Resolutions and found the third to be invalid on procedural grounds. It issued a report to the Senate containing its comments and its reasons for finding Resolution #3 to be invalid. (See <http://senate.ucsc.edu/rje/CRJEReptREOct19-09Resolutions.pdf>.) Eighteen Senators petitioned to hold a mail ballot on the Resolutions passed at the October meeting. After reviewing the names and signatures on the petition, CRJE confirmed the petition to be valid, but recommended removing Resolution #3 from the ballot. Agreeing with the committee’s recommendation, the Senate Secretary conducted a mail ballot on Resolutions 1 and 2 under the supervision of CRJE. CRJE counted the votes and confirmed that both Resolutions were approved.

Resolution on childcare: CRJE reviewed a Resolution to the UCSC Chancellor on childcare proposed by SEC. The Resolution was found to be clear and not in conflict with any legislation.

Resolution on budgetary transparency: CRJE reviewed a Memorial to the UC President on budgetary transparency proposed by SEC. The Memorial contained eight separate Resolutions. CRJE made suggestions for changes in wording in order to clarify to whom the separate Resolutions were addressed. The Memorial was otherwise found to be clear and not in conflict with any legislation.

Resolution on fiscal transparency: CRJE reviewed a Resolution on fiscal transparency

proposed by the Committee on Planning and Budget (CPB). CRJE found the Resolution to be a Memorial, since it was addressed to the UC President. Minor changes in wording were recommended for clarity. The Memorial was otherwise found to be clear and not in conflict with any legislation.

Committee on Committees elections:

CRJE found the proposed dates for the 2010 Committee on Committees (COC) elections to be compliant with Senate legislation. The nominating process for COC yielded two candidates for the two open positions. Consequently, CRJE found that a mail ballot election did not need to be held, as specified in SCB 11.4, which states that “if the number of nominees is equal to the number of spaces to be filled, all the nominees will be declared elected.” Therefore, the two nominees were certified to serve as members of COC for a two-year term beginning September 1, 2010.

Santa Cruz Division Manual updates:

To accommodate changes in the membership of the Committee on Teaching (COT) resulting from the elimination of an administrative position, CRJE approved two conforming changes to the charge for COT (SCB 13.29).

In light of the amendment to SCR 9.2, making narrative evaluations optional, CRJE made conforming changes to the Senate Manual in places where the phrase “narrative evaluations” appears.

In order to make them consistent with Senate Regulation (SR) 502, CRJE made conforming changes to SCR 10.2.2.2 and 10.2.2.3 regarding the transferability of General Education courses taken at another UC campus.

CRJE made several other minor editorial changes in the Senate Manual, correcting typographical errors, adjusting syntax for greater clarity, and adding words that had been inadvertently omitted.

Other issues:

During the year CRJE provided informal advice to individual Senators and Senate Committees on a variety of different matters.

The CRJE Chair provided informal advice to a Senator on the question of whether a minority report to a Senate committee’s Annual Report could be blocked if that minority report was found to violate the committee’s confidentiality agreement. The CRJE Chair gave his informal opinion that no grounds exist for editing or blocking the submission of a minority report and that while committee confidentiality agreements should be adhered to by all members, such agreements fall outside the Senate Bylaws and Regulations and as such are not subject

to CRJE authority.

CRJE provided informal feedback regarding faculty bylaws to a group of faculty proposing the establishment of an undergraduate major in Jewish Studies. CRJE advised that the bylaws be written in such a way as to insure that any topics under Senate purview (such as curriculum and governance, including, for example, discontinuation of the degree program) are voted on only by Senators.

CRJE provided informal feedback to a Senator regarding Legislative Ruling (LR) 8.95 and the question of whether and under what conditions the Division can assume authority given to a standing committee. CRJE (via its Chair) consulted with the Senate Chair on the question of whether there was need for a legislative change to deal with such situations. The informal opinion of the Senate Chair, with which CRJE subsequently concurred, was that no legislative change was needed.

CRJE considered an inquiry from a department Chair regarding SCR 9.3.1 with respect to grading of comprehensive exams and senior theses. SCR 9.3.1 states: "All comprehensive examinations and senior theses shall be graded honors (H), pass (P), or fail (F). Papers of students receiving H or F must be read by at least two readers." Since no "grade" of H exists at UCSC and since the UCSC grading system does not allow a P/F system for undergraduates, this language is outdated or at least unclear. CRJE discussed whether to change P/F to P/NP as a conforming change, but decided instead to write to CEP and ask them to consider the questions posed above and to propose changes to the legislation as appropriate. CRJE also recommended that CEP consider whether a possible solution to this problem, one that could be dealt with as a conforming change, might be to substitute the word "scored" for the word "graded" so as to indicate that the determination of honors for undergraduate comprehensive examinations and senior theses need not involve the award of a grade in any course. The Committee noted that language almost identical to SCR 9.3.1 also appears in SCR 13.1.2, where it applies to preliminary, qualifying and/or comprehensive graduate examinations.

CRJE considered an inquiry from the Chair of CEP regarding faculty authority over curriculum. The inquiry focused specific attention on Senate Bylaw (SB) 55A and the question of whether departments may delegate authority over curriculum to a department chair or department subcommittee. CRJE's view of this matter was that the Senate faculty of a department may vote to delegate curricular authority to the Chair or to a subcommittee, but that SB 55A makes clear that only Senators, not lecturers, may make those decisions. SB 55A states that departments may not be organized in such a way as to deny faculty the right to vote on substantial department matters, and curriculum is clearly one of those matters. In CRJE's view, each situation needs to be considered individually in order to determine whether faculty or department bylaws, MOU, or charters are currently on record.

CRJE reminded CEP and GC of the need to respond to requests sent to them by 2008-09 CRJE Chair Narayan in August 2009 regarding regulations that need changes in language, plus those in need of an approved variance to systemwide regulation or an update to an

existing variance. Both committees responded and asked for more time to consider some of the issues raised by Chair Narayan. In two instances (variance to SR 630.A for SCR 10.1.3, which allows for provost exceptions to senior residency, and variance to SR 900.A.2 for SCR 12.1.2, which spells out time toward academic disqualification), CEP endorsed the existing legislation and asked CRJE to request variances.

Senate Regulation 764, which set a limit on the number of special studies credits that a student could take during one term, was repealed. In light of this decision by the Academic Assembly, UCSC does not need to seek a variance for SCR 6.5 on special approval courses, as was reported in the CRJE Annual Report for 2008-09.

The Committee would like to thank analyst Roxanne Monnet for her invaluable help throughout the year.

Respectfully Submitted,

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

Jean Fox Tree
K.C. Fung (W,S)
Ira Pohl
William Scott
John O. Jordan, Chair

August 31, 2010

Committee on Teaching 2009-10 Annual Report

To the Academic Senate, Santa Cruz Division,

The Committee on Teaching (COT) met regularly every other week throughout the academic year to deal with the extensive agenda related to the charge to foster and promote good teaching, to recommend and evaluate methods of assessing teaching performance, to oversee instructional support services on campus, and to advise the Academic Senate as requested.

Change to COT Bylaws

At the October 27th meeting, COT voted to accept the following changes to the COT bylaws:

- Changing the name of the 'Center for Teaching Excellence' to the 'Center for Teaching and Learning'.
- Inviting the Director of Learning Technologies to "sit with" the committee, since the Director of Media Services position has been eliminated.

Center for Teaching and Learning

One of the mandates of the Committee is to provide direction to the Center for Teaching and Learning (CTL) in matters regarding COT business, and when required, in any matters concerning instructional support. In the absence of a permanent director for the Center, Jessica Fiske Bailey, Assistant Vice Provost of Undergraduate Education, was invited to sit with the Committee in the CTL director's stead. COT also consulted with Vice Provost and Dean of Undergraduate Education, Bill Ladusaw, in fall quarter, about his goals for the Center for Teaching and Learning, and his vision for the strategic reorganization of the teaching and learning infrastructure here on campus.

Instructional Improvement Program Grants

The Committee on Teaching is charged with adjudicating Instructional Improvement Grants. Adjudication of IIP grant proposals is a responsibility that COT takes very seriously and on which it spends a great deal of its time throughout the year. The COT made several significant changes to the Instructional Improvement Program (IIP) this year. It decided to concentrate its efforts on consulting on and adjudicating major grants and disbanded the mini-grant program. The committee determined that major grants could have a larger and more long-lasting impact on students and undergraduate education than mini-grants.

The Committee modified this year's call to solicit projects that addressed two new initiatives on campus—eCommons (aka Sakai, the new Learning Management System), and GE Reform. The committee hosted a pre-proposal workshop facilitated by COT members, a CTL representative, and a Sakai representative for

interested faculty members, to provide feedback and guidance to strengthen individual faculty proposals.

In reviewing the pre-proposals, COT noticed that many of the proposals request some form of course release. The committee discussed the advisability of funding course release in a climate where departments can barely offer enough courses to meet student need. COT decided that instead of granting course release to individual faculty members, it would grant the funds to the faculty member's department, specifically earmarked to support the proposed initiative. It is then up to the individual departments to determine the best balance between faculty release time and the curricular needs of the department.

The committee awarded \$68,200 in funding (out of a total of \$79,510 requested). Criteria the committee used in adjudicating the proposals included impact on the implementation of *eCommons* and GE requirements, extent of faculty collaboration, integration of participatory learning techniques, and the willingness to mentor others on using the new Learning Management System.

Excellence in Teaching Awards

The Excellence in Teaching Awards recognize faculty who engage students through innovative course design, special learning techniques and materials, and their own personal qualities as teachers and mentors. Students nominate faculty and the COT selects awardees. From a pool of 20 eligible nominees, COT selected five faculty to receive the Excellence in Teaching Award for 2009-10, and one faculty member to receive the Ron Ruby Award for Teaching Excellence in the Division of Physical and Biological Sciences. In addition, three nominees were recognized with Honorable Mentions. The Excellence in Teaching Awards ceremony was combined with the Student Achievement Awards ceremony on June 4 and the awards were presented by Chancellor Blumenthal. The recipients were as follows:

Teaching Awards:

- Cyrus Bazeghi, Computer Engineering
- Jennifer A. Gonzalez, History of Art and Visual Culture
- Gey-Hong Gweon, Physics
- Catherine Ramirez, American Studies
- Susan Watrous, College Eight

Ron Ruby award:

- Richard Mitchell, Mathematics

Letters of honorable mention:

- Rodney Ogawa, Education
- Frank Ramirez, Language Program
- Gustavo Vazquez, Film and Digital Media

- Patricia Zavella, Latin American and Latino Studies

A letter of commendation for being selected by students to receive an award for their teaching was sent to remaining faculty who were nominated.

COT set a goal of increasing student nominations of exceptional faculty. The committee worked with Matt Palm, Student Union Assembly (SUA)'s Commissioner of Academic Affairs, to advertise the process among students in large classes and College governments and on Facebook. As a result of SUA's efforts and cooperation, COT received 24 nominations for 20 instructors. Nominees who had already received an Excellence in Teaching Awards within the last five years were excluded from consideration. Only nominees who were up to date in submitting narrative performance evaluations, as reported by the Registrar, were considered for an award.

The committee will continue to discuss ways to increase the number of submissions in the future, including sending the call for nominations out through the Student Affairs portal.

COT also discussed the creation of a "Lifetime Achievement Award" for teaching. Emeriti faculty would be eligible for this award, and ideally nominations would come from either COT or the department. The nominees would then be sent out to the alumni for voting. COT members were in strong support of creating an award to recognize longstanding excellence in teaching.

Annual Teaching and Learning Symposium

No Teaching and Learning Symposium was held this year due to the limited staffing in the CTL where the work of organizing the symposium resides. The committee did participate as a sponsor of several workshops for faculty on speaking up to bias, which were unfortunately not well attended.

Learning Management System (LMS)

Throughout the year, COT participated in training sessions and provided feedback on the new Learning Management System (LMS). In addition, several COT members participated on an individual basis in this process. The Learning Technology Group began Sakai implementation over the summer.

Miscellanea

Throughout the year, the committee also responded to the following system-wide and local issues:

- Campus Strategic Framework for Technology Planning
- Undergraduate Educational Effectiveness Task Force
- Joint Senate-Administration EAP Task Force Report
- Report on Remote and Online Instruction and Residency

- Report from Humanities Advisory Task Force on Reconstitution
- Commission on the Future Recommendations

On February 23rd, Pablo Reguerin, Executive Director of Retention Services, and Director of Educational Opportunity Programs, attended a Committee on Teaching meeting to talk about a reorganization in Student Affairs and the creation of a Retention Services unit.

Acknowledgements

The Committee would like to thank Jessica Fiske Bailey, Assistant Vice Provost of Undergraduate Education, who is charged with overseeing the Center for Teaching and Learning in this time of transition, and Jim Phillips, Director of Learning Technologies, for their invaluable contributions to the Committee. The Committee on Teaching also thanks Stephanie Casher for exceptional guidance and support during this academic year.

Respectfully submitted,

COMMITTEE ON TEACHING

Kate Edmunds

Dan Scripture

Daniel Selden (S)

Graeme Smith (S)

Hongyun Wang, Chair (S)

Victoria Gonzalez-Pagani, Chair (F,W)

REPRESENTATIVES

Jim Phillips, Director, Learning
Technologies

October 1, 2010

GRADUATE COUNCIL Annual Report, 2009-2010

To the Academic Senate, Santa Cruz Division:

Graduate Council Organization

Generally the Graduate Council (GC) met bi-weekly during the academic year, with a total of 17 regularly scheduled meetings over the course of the year. An additional ad hoc meeting with Social Sciences Dean Kamieniecki took place on October 27th. The voting membership of the Council comprised: Scott Brandt, Weixin Cheng, Robert Fairlie (S), Patricia Gallagher, (F, S), Jorge Hankamer, Robert Johnson, Athanasios Kottas, Catherine Ramirez, Craig Reinerman (F, W), Ted Warburton, with Sue Carter (Chair), and Vice Provost and Dean of Graduate Studies Tyrus Miller sitting *ex officio*. Meetings were also attended by Stephanie Casher of the Academic Senate, and Jim Moore of the Graduate Division; Graduate Student Association Representative Scott Medling; and LAUC Representative Paul Machlis. Guests included Social Sciences Dean Sheldon Kamieniecki, SOE Dean Art Ramirez, PBSci Dean Stephen Thorsett, Humanities Dean Georges Van Den Abbeele, Arts Dean David Yager, History of Consciousness Chair Barbara Epstein, Ocean Sciences Chair Andrew Moore, METOX Chair Karen Ottemann, COC Chair Diane Gifford-Gonzalez, and Andre Knoesen (GC Chair, UCD) and Jeff Gibeling, (Dean of Graduate Studies, UCD) via teleconference.

In her capacity as Chair, Sue Carter served as representative to the systemwide Coordinating Council on Graduate Affairs (CCGA), and the Senate Executive Committee (SEC). Jorge Hankamer, serving as Vice-Chair, occasionally attended SEC meetings in Chair Carter's place, when SEC meetings conflicted with CCGA meetings, and chaired the December 3rd meeting.

Several subcommittees met separately, both throughout and at particular moments in the year. The standing Subcommittee on Course Approvals included Scott Brandt, Patricia Gallagher (F, S), Robert Johnson (W), and Ted Warburton (W). During winter quarter, Sue Carter and Athanasios Kottas evaluated applications for the Cota-Robles Fellowship. In the spring, Weixin Cheng and Ted Warburton reviewed the President's and Chancellor's Dissertation Year Fellowship candidates, and Patricia Gallagher and Athanasios Kottas were central to the Outstanding Teaching Assistant competition.

Graduate Council also formed a subcommittee on Nonresident Tuition (Jorge Hankamer, Robert Johnson, and Tyrus Miller), a subcommittee on the Humanities Reconstitution (Craig Reinerman, Jorge Hankamer, Catherine Ramirez, Sue Carter) and a subcommittee examining Interdisciplinary Degree Program/Graduate Group policies and procedures (Sue Carter, Catherine Ramirez, and Ted Warburton).

Committee analyst Stephanie Casher provided invaluable support to the Council. She drafted all the agendas, minutes, annual report, routine reports, and provided valuable edits on all of the other documents coming out of GC. She also provided important background research and documentation on topics ranging from graduate groups to

designated emphasis policies, which greatly improved GC's ability to make sound decisions. Finally, she was invaluable in assuring that GC completed all its business in a timely manner.

1. New program proposals

The Council reviewed and provided feedback on a revised proposal for a Feminist Studies Ph.D. program. While most support the intellectual thrust of the proposal, GC felt the proposal needed to be updated to reflect the changes in available resources and FTE.

Chair Carter also met with the LALS Chair to discuss a possible pre-proposal for a Ph.D. program in Latino and Latin American Studies.

In June 2010, Graduate Council approved a proposal from Linguistics to offer a 3/2 pathway enabling students to complete the existing Linguistics B.A. and M.A. degrees within five years.

2. Graduate program review

As a result of a series of budget retreats conducted last summer, workgroups were formed to examine ways to create efficiencies in the various areas of campus, in response to the dwindling of resources. Graduate Council was charged with looking at the ways we evaluate program effectiveness, and recommending how to make our graduate programs stronger.

To conduct this review, GC divided itself into five 2-person teams. Each team was responsible for reviewing the graduate programs in their assigned division, and presenting their findings to the group. Graduate Council also invited all five divisional deans to meet with the committee during fall quarter, to get their views on the state of various graduate programs in their divisions. In addition, Chair Carter also met independently with the Department Chairs in the Social Sciences Division, the History of Consciousness faculty, and faculty in the Math Department.

Graduate Council prepared a report on their initial findings (See Appendix A), which will be circulated to the EVC, VPAA, Divisional Deans, and Senate Leadership. The report touched on the following issues:

- An overview of the strengths and weaknesses of programs in each Division, and suggestions for admissions deferrals until certain programs are stabilized.
- A set of proposed metrics to guide internal evaluations of "trouble programs," as well as criteria that would trigger such an internal evaluation outside of the 6-8 year external review timetable.
- Outlining a pathway to get to 15% graduate growth, and making the case for why it is important/critical to do this, even in the midst of a financial contraction.
- Next steps for the graduate programs that have been identified as being in trouble, which will include consultations with Department Chairs and Graduate Directors.

Graduate Council also participated in the external reviews of several graduate programs. External Reviews conducted during 2009-10 included Education, Feminist Studies, Film and Digital Media, and History. GC also responded to the draft charges for upcoming External Reviews in Applied Math and Statistics, Biomolecular Engineering, Chemistry and Biochemistry, Digital Arts and New Media, Earth & Planetary Sciences, Education, and Linguistics. GC also approved a one-year deferral of the American Studies External Review.

3. Designated Emphasis Policy

At the close of the 2008-09 academic year, Graduate Council drafted a new Designated Emphasis (DE) policy (see Appendix B), to replace the existing policy pertaining to Parenthetical Notations. Under the new policy, all programs wishing to offer a Designated Emphasis will establish a *single set of requirements for all students* regardless of their primary program of study. Any student who can satisfy the requirements is eligible to obtain a Designated Emphasis from any program.

The new Designated Emphasis policy was finalized and circulated to departments in December 2009. By the end of the 2009-10 academic year, all departments with existing parenthetical notations (with the exception of Anthropology and Sociology) had transitioned over to the new system. In addition, Graduate Council approved two new proposals for a Designated Emphasis:

- Politics (approved 1/28/10)
- Robotics and Control (offered by Computer Engineering; approved 2/25/10)

For a complete list of programs offering a Designated Emphasis, see Appendix C.

4. Graduate Program Changes

- In November 2009, CCGA approved the request from Biomolecular Engineering (endorsed by Graduate Council) to change the Bioinformatics program name to “Biomolecular Engineering and Bioinformatics.”
- In January 2010, GC approved the request from Bioinformatics to change the capstone requirement for the MS degree from a thesis to a one-quarter research project (with a required written report).
- In March 2010, Graduate Council approved the request from the Education Department to 1) revise degree requirements to incorporate the inclusion of 10 additional units to receive an emphasis/concentration 2) reduce the number of credits required for Ed.D. degree and 3) revise the Teaching Assistant requirement.
- In April 2010, GC approved the request from Chemistry and Biochemistry to reduce the number of required courses from six to five.
- In May 2010, GC approved a request from Film and Digital Media to revise their program statement to add reference to their newest sequence of courses in documentary production, and add language to describe the new Ph.D. in Film & Digital Media.
- In May 2010, GC approved a request from Digital Arts and New Media to adjust their curriculum to reflect 1) the move of DANM’s MFA thesis exhibition to the first week

of spring quarter 2) the start of the three-quarter long Collaborative Research Project group courses in winter quarter of the first year, and 3) admissions policy changes.

- In May 2010, GC approved a request from the Visual Studies Ph.D. program to add language allowing students to petition for exceptions to certain requirements if there is “reasonable cause,” and a reduction in the minimum number of graduate seminars required from 15 to 12.
- In May 2010, GC approved a request from METOX to change their grad degree requirements to include the addition of METX 205 (Scientific Skills, Ethics and Writing) as a required course (increasing the number of required courses from four to five), and the addition of documentation formalizing a departmental TA requirement for doctoral students of at least one quarter of TA work.
- In May 2010, GC approved a request from the Music Department to clarify their existing degree requirements.

6. Humanities Reconstitution

In January 2010, the Dean of Humanities released the report from the Humanities Advisory Task Force on Reconstitution, and solicited feedback from various constituencies, including all Senate Committees. Graduate Council appointed a subcommittee to provide deeper analysis of the recommendations in the report, and to address the critical situation in the History of Consciousness department (which will soon be down to 3 FTE).

The subcommittee outlined two primary tasks for Graduate Council: 1) Decide on an optimal configuration of the departments in the Humanities, and 2) Figure out how to most effectively implement recommendations. After hosting Humanities Dean Van Den Abbeele for an hour-long consultation, the subcommittee prepared a “Report on Interdisciplinary Graduate Programs in the Humanities” (see Appendix D), which was forwarded to the Humanities Dean.

7. Graduate Groups

In discussing the Humanities Reconstitution, Graduate Council wondered if a Graduate Group model would be an appropriate solution to some of the problems in the Division. Since the UC Santa Cruz campus does not really utilize the Graduate Group model (the only Graduate Group in existence is the fairly new Digital Arts and New Media program), to obtain more information about the benefits and challenges of the Graduate Group model, GC hosted a teleconference with UC Davis Graduate Dean Jeff Gibeling and GC Chair Andre Knoesen about their experiences with Graduate Groups at UC Davis.

After meeting with various campus stakeholders, Graduate Council decided that guidelines were needed if Graduate Groups, or Interdisciplinary Graduate Programs, were going to be effectively deployed on the UCSC campus. GC drafted guidelines for Interdisciplinary Graduate Programs (IGPs), i.e. Graduate Groups, and made edits based on initial comments provided by the then VPAA Galloway. A final draft of those guidelines are now available for circulation and further comment.

8. Narrative Evaluations and Grades for Graduate Students

Graduate Council began a discussion of possible modifications to the current policies governing graduate student grades and evaluations. Currently, graduate students do not receive grades (unless a student opts-in for a grade). Some departments, however, would like the power to mandate letter grades, or the S/U option, on a per course basis. In fact, some departments required their first year graduate students to take grades, even though this is not written into current policy. Some committee members also expressed frustration about the inability to append a + or - to any given grade, especially for graduate courses where a big difference exists in a students getting an A+ and A-, as one example. Also, some students, particularly at the master's levels, are disadvantaged for receiving fellowships due to lack of GPA. As one example, GC approved a request from Education to self-compute GPA's for their master's students so they could apply for fellowships. Finally, new professional master's programs will likely need to be able to require grades for some courses in order to be competitive with other programs.

As discussion unfolded, there was also strong support for a transition to an optional narrative, in line with the recent change in undergraduate policy. Instructors should be encouraged to take student needs into consideration when deciding whether or not to submit a narrative evaluation. There was also some discussion about what would happen if a student wanted to opt-in for a grade, in a non-grade required course.

Graduate Council settled on legislative changes that would 1) allow instructors to assign letter grades a "+" or "-" sign 2) grant graduate programs the option of *requiring* letter or S/U grades for any course they offer, 3) provide a method for computing GPA for graduate students, and 4) make the completion of a written narrative evaluation *optional*.

Chair Carter plans to submit revised legislation to Regulations 13.1 and 13.2 for consideration at the Fall 2010 Senate Meeting.

9. Graduate Student Support

Graduate Council discussed the USAP return to aid changes proposed by UCOP, which would alter the formula used to calculate how graduate student support is divided among the campuses. The current formula already disadvantages smaller campuses like UCSC, Riverside, and Merced, and GC is concerned that the reworked formula may only increase inequities. Chair Carter and Graduate Dean Miller co-authored a letter to the EVC, outlining Graduate Council and the Graduate Division's concerns about the proposal.

10. Other business

Graduate Council also discussed and commented on several systemwide policies and discussed a number of other local issues, among them:

- Draft Academic Programs and Units Policies and Procedures (10/29/09)
- Report on Remote and Online Instruction and Residency (12/10/09)
- UCPB Paper on Differential Fees and Nonresident Tuition (4/8/10): The Nonresident Tuition subcommittee discussed this issue, and submitted a response stating that 1)

NRT should stay on individual campuses to provide incentive for departments/programs to actively recruit and support nonresident students, and 2) NRT should be returned to graduate students and used to support Graduate Education.

- Commission on the Future Recommendations (4/8/10): Graduate Council's feedback was incorporated into CCGA's response.
- Final Report of the Joint Senate-Administrative Task Force on the Compendium: (5/20/10)

Graduate Council also approved the proposal for accepting the International English Language Testing System (IELTS) as an alternative to the TOEFL for international applicants.

11. Issues Carrying Over to 2010-11

The Council identified the following issues carrying over into the next academic year:

- Finalize revisions to Graduate Narrative Evaluations and Grading policy.
- Finalize guidelines for Interdepartmental Graduate Programs (IGPs), i.e. Graduate Groups.
- Monitor graduate programs on the GC "watch list."
- Professional Schools and graduate education at SVI
- Nonresident Tuition
- Capital Campaign for Graduate Education

Respectfully submitted,

GRADUATE COUNCIL

Scott Brandt

Weixin Cheng

Robert Fairlie (S)

Patricia Gallagher (F, S)

Jorge Hankamer

Robert Johnson

Athanasios Kottas

Catherine Ramirez

Craig Reinerman (F,W)

Ted Warburton

Sue Carter, Chair

Tyrus Miller, *ex officio*

Paul Machlis, LAUC Representative

Scott Medling, GSA Representative

October 22, 2010

APPENDIX A

**Graduate Programs at the
University of California, Santa Cruz:**

*June, 2010
Graduate Council*

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Executive Summary

During the 2009-2010 academic year, Graduate Council engaged in a review of all the graduate programs on campus to understand how to improve the quality of graduate programs in the context of decreasing budgets. The last such review took place in 1995, at a time when the budget was not such an overwhelming factor. This document is a work in progress, and is intended to provide some background for GC's discussions with the administration and other SEC committees on how to move forward on a short and long-term plan that combines faculty and administrative input. Critical to this process is an open line of communication while assuring confidentiality. In this draft, we have strived to achieve such a balance; however, we acknowledge that the urgency of this process and potential repercussions for the entire campus may require more openness. Section I of this document contains preliminary short-term suggestions, some of which will not make it into the final recommendations. However, we hope these ideas stimulate the administration and faculty to come up with other creative options for improving graduate education while cutting costs.

An overriding view of GC is that the budget cannot be balanced at the cost of graduate programs. Any decisions we make now must be made in consideration of the longer-term implications for our campus. In Section I, we discuss suggestions for financial savings based on FTE cuts that will minimize impact on graduate program quality, enrollments, and retention. Furthermore, GC's view is that the future of our campus requires that we now engage in planning that increases graduate student enrollment and retention. We recognize that this view may be in contrast to many views of the faculty and administration, especially with the immediate need to cut budgets. Consequently, Section II of this document focuses on GC's reasons for why increasing graduate student enrollment and retention are critical to UCSC's long-term future, and puts forth a tentative plan for how such growth could be reached given our resources and programs in the planning process. We further note that the sustainability of UCSC's Silicon Valley campus will require substantial professional graduate student growth.

In our initial investigations, we also noted that almost all of the departments that are of primary concern are those that are undergraduate-only or graduate-only. Fundamental structure flaws exist in such departments; it is difficult to retain and attract excellent faculty in undergraduate-only departments, and it is difficult to cost-effectively teach courses and/or provide sufficient funding/research opportunities for graduate students in many graduate-only departments. Consequently, we recommend that the university move towards a future where all undergraduate-only departments become engaged in graduate programs, and where all graduate departments either offer undergraduate degrees and/or are closely aligned with other departments that can offer such degrees. We also need to recognize that eliminating existing graduate programs in departments is tantamount to dramatically reducing the department's ability to engage in scholarly and research activity, the core mission of the UC system versus its CSU counterpart, and could ultimately lead to the disestablishment of the department.

I. Short Term Considerations

a. Size and Shape of UCSC departments & graduate programs

A recurring theme in our review of graduate programs was the impact of the overall cuts in FTE, current and planned, on the ability of a department to mount a successful graduate program. In addition, the graduate program also feeds into the quality of the undergraduate program for departments that teach large service courses. To put this into context, we need to consider the current size and shape of departments with respect to their undergraduate programs. We plot the budgeted (BJ) and payroll (PR) total FTE faculty and permanent FTE faculty by division in Figures 1. All data is taken from the UCSC planning and budget web site.

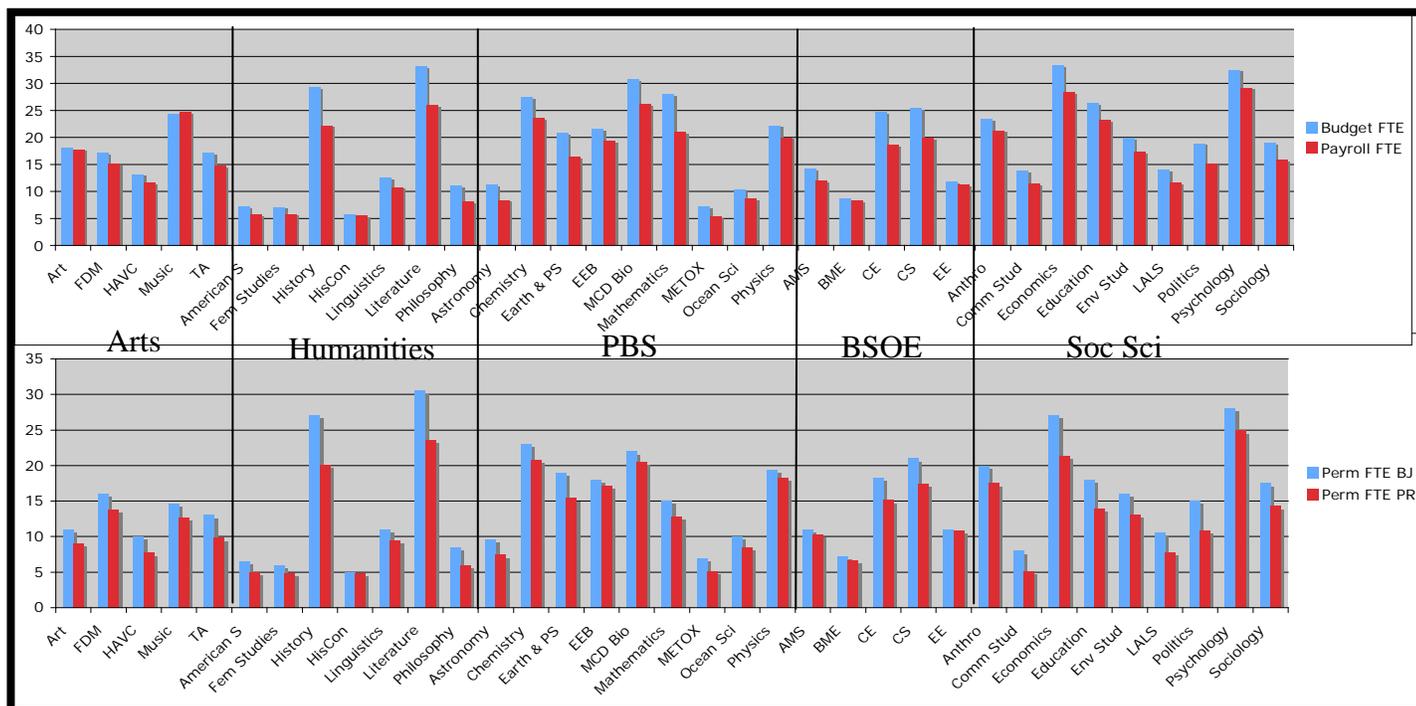


Figure 1: The total number and permanent number of budgeted (BJ) and payroll (PR) FTE for 2008-2009 academic year, sorted by division.

This graph pinpoints the greatest problem areas. Most notable is the Humanities division, which is dominated by two of the largest departments on campus (namely Literature and History) and four of the smallest departments on campus (American Studies, Feminist Studies, HistCon, and Philosophy). The challenges facing the smaller departments are the focus of the Humanities reconstitution. In contrast, the departments in the Arts division are relatively balanced, and GC did not identify any specific issues here outside of structural problems with the DANM graduate group. BSOE also has some small department sizes, but benefits from the strength of the faculty in the newer departments and the reduced size of its undergraduate service classes compared to other divisions. Outside of TIM (not represented on this graph), we did not identify any major concerns in BSOE. The smallest departments in PBS (namely METOX and Ocean Sciences) also face

potential challenges. Astronomy & Astrophysics is an exception here because it benefits greatly from Lick faculty who are not accounted for on this chart. We note that the relative size in permanent versus total FTE faculty are similar, with the notable exception of Music, Mathematics, and Community Studies who have large undergraduate FTE enrollments in comparison to the size of their permanent FTE. This suggests that problems could arise for all three departments if temporary FTE are cut substantially as part of the budget cutting process.

In Figure 2, we sort the departments by FTE size.

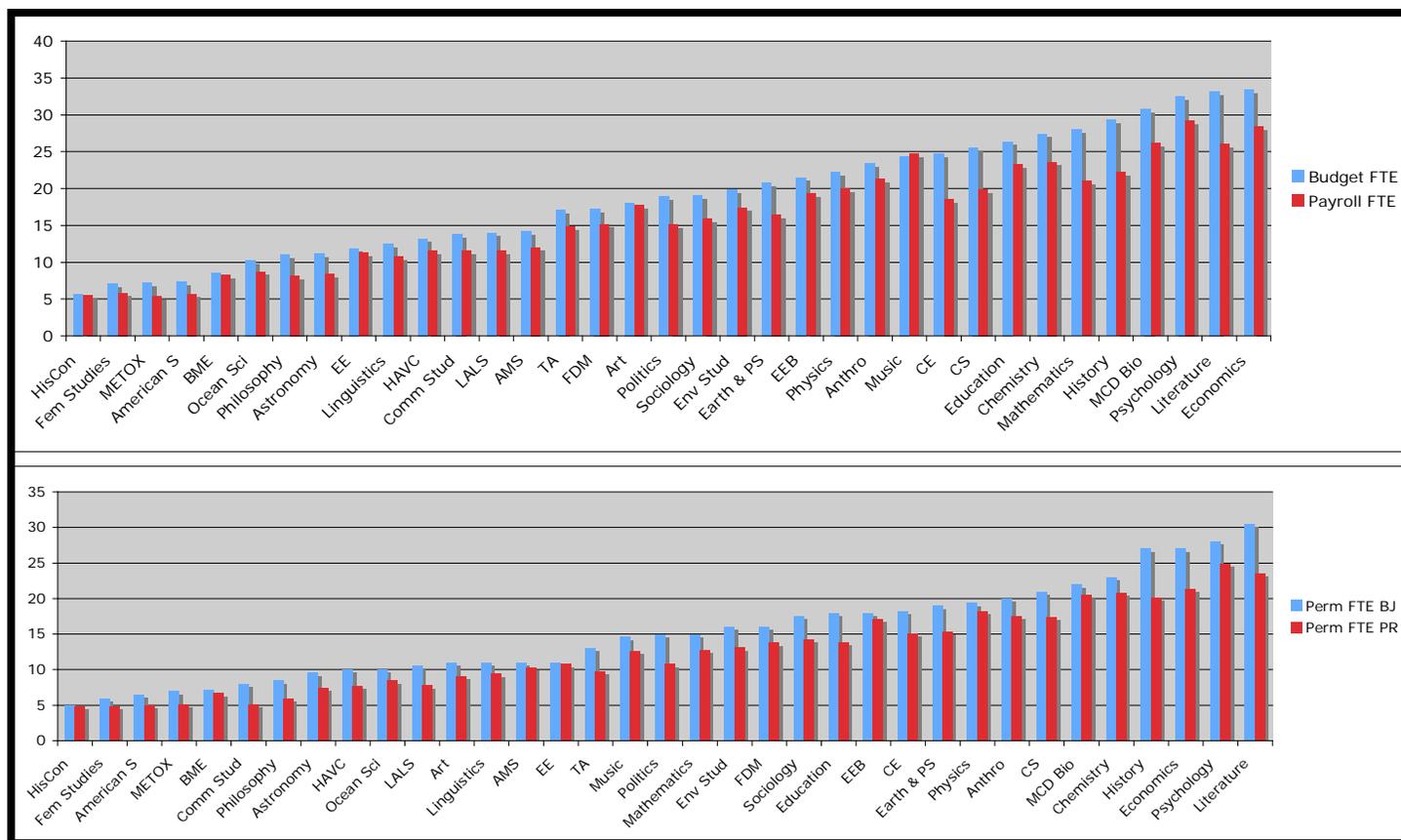


Figure 2: The total number and permanent number of budgeted (BJ) and payroll (PR) FTE for 2008-2009 academic year, sorted budgeted FTE size.

This graph reemphasizes what was already pointed out above that, with the exceptions of Biomolecular Engineering and Astronomy and Astrophysics, the smallest departments (Histcon, Feminist Studies, American Studies, METOX, Community Studies and Philosophy) are the ones facing some of the largest challenges. We note that Ocean Sciences faculty FTE is lower than reported here due to recent losses, putting it into an area of concern. However, we also note that the departments with some of the highest national rankings, namely Astronomy & Astrophysics and Linguistics, are also some of the smallest departments in terms of FTE size. Moreover, the campus has several relatively small departments in the Engineering School that are some of the campus' strongest new graduate programs. This comparison suggests that the size of FTE faculty, past a minimum

threshold, is not the most important determinant for the reputation and quality of our graduate programs.

To understand the impact of FTE size on graduate and undergraduate program size, we compare these graphs to the total number of undergraduate FTE and majors, total number of graduate majors, and finally to graduate Ph.D.'s awarded in 1 year. For these graphs, we took a two year average of the 2007-2008 and 2008-2009 data. For the undergraduate enrollment, we sorted by the total number of budgeted FTE, since the temporary faculty have the greatest impact on undergraduate students. For the graduate enrollment, we sorted by the number of permanent FTE, as these faculty typically interact more with graduate students.

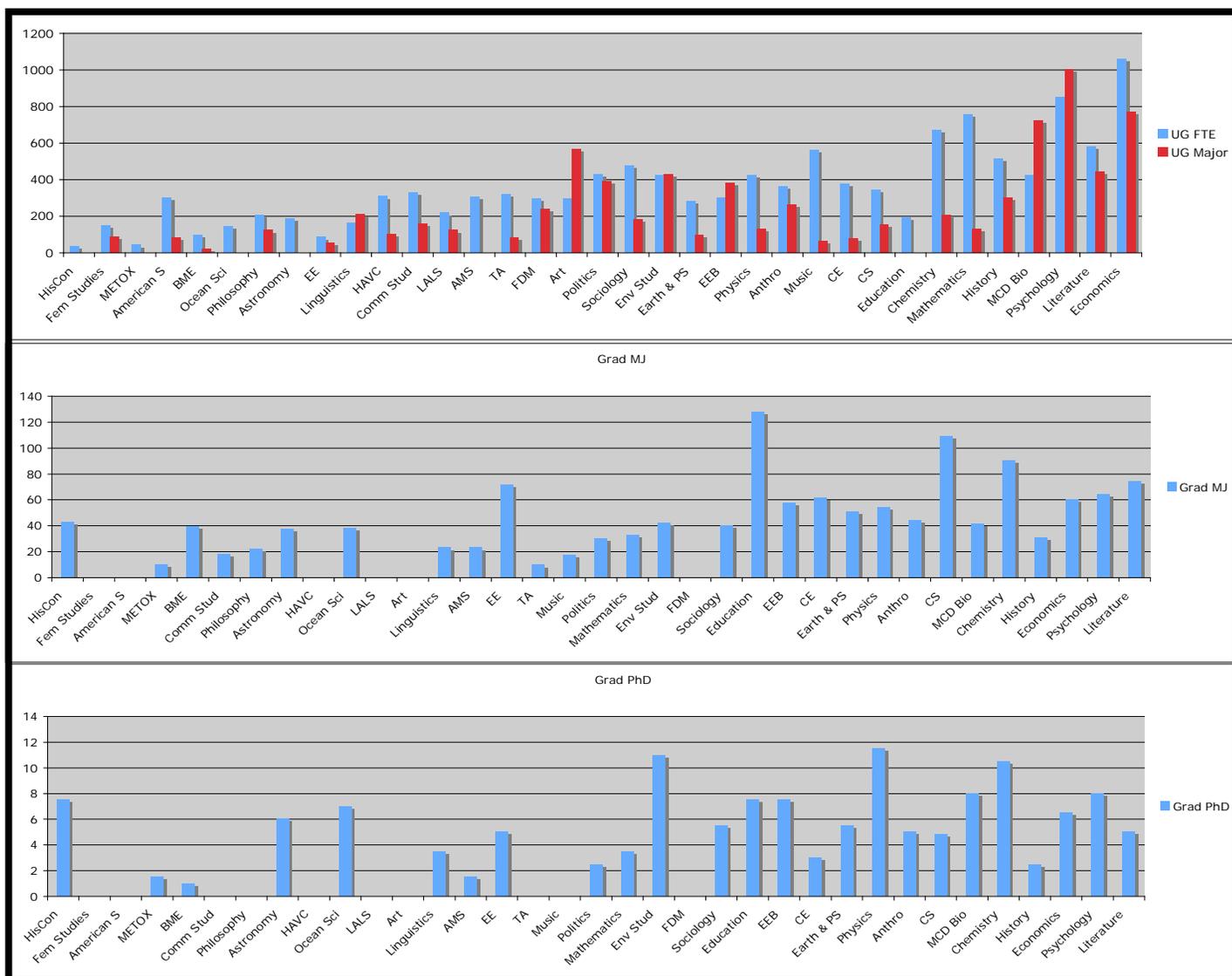


Figure 3: Top: The total number of undergraduate (UG) FTE and Majors, averaged between 2007-2008 and 2008-2009, sorted by the total number of budgeted FTEs in 2008-2009. Middle and Bottom: The total number of Graduate majors and graduate PhD degrees granted per year, averaged between 2007-2008 and 2008-2009, sorted by the total number of budgeted FTEs in 2008-2009.

We note that the newest graduate programs, such as BME, AMS, and Music, are underrepresented on these graphs due to large growth in the last year. This graph further emphasizes that the size, as well as the quality, of the graduate program is not necessarily directly related to permanent FTE size. In contrast, a clear correlation exists between department size and undergraduate FTE if we ignore graduate-only departments. This correlation reflects that the growth of FTE's was largely linked to undergraduate enrollment in the past. To fairly reflect how faculty FTE growth occurred, any cuts in FTE's should be linked to cuts in undergraduate, not graduate enrollments.

b. Repercussions of Suspending and/or Discontinuing Graduate Programs

While GC believes that any short-term changes need to be strongly linked to longer-term impacts, we recognize that the immediate need to cut costs may override such planning. However, we strongly assert that balancing the budget by suspending graduate programs may not result in the cost savings envisioned over the long term, and will lead to a decrease in UCSC's overall quality. If the suspension of a graduate program is done primarily for budget reasons and/or lack of FTE faculty growth, with no plans put forth for the restart of admissions, we need to recognize that such suspension will likely lead to the best faculty leaving the department and the eventual discontinuance of the graduate program. Arguments have been made for eliminating weaker graduate programs in order to strengthen stronger graduate programs, leaving the university with fewer, but hopefully better, graduate programs. The cost savings from eliminating graduate programs is mainly derived from cutting FTEs through slow attrition. While on the surface this may seem like the best option, other options exist to adjust for the decline in FTEs, as we discuss below. Several pitfalls exist in eliminating graduate programs, including:

1) Decrease in Graduate student enrollment and retention: "Stronger" departments are unlikely to be able to increase their graduate enrollments sufficiently to account for the loss of graduate students due to the closure of other programs. Several strong departments have already indicated the inability to find good positions for graduating students as a reason for not increasing graduate student enrollment. The lack of sufficient job prospects is likely to lead to retention issues. Furthermore, increasing graduate student enrollment in strong programs will lead to accepting weaker students who are less likely to be retained in the program. Departments are also already challenged to find the funding needed to support their existing graduate students. TAs could be shifted from graduate students in the weaker (discontinued) program to students in the strong program to encourage greater graduate enrollments; however, such a shift could easily lead to reduction in quality of undergraduate education which relies on TA's trained in the area. While one can also envision a shift in block funds, the overall block grants will decrease if graduate enrollment decreases. Therefore, cutting graduate programs will almost certainly lead to lower graduate student enrollment and graduation rates. It should be noted that UC schools that have greater graduate student enrollment and graduate program diversity than UCSC generally rely on less state support and have a greater overall ranking.

2) Potential disestablishment of the department: Disestablishing a department's graduate program will severely degrade the scholarly activity of the department as it will

lead to the loss of our best and most productive faculty who are able to find positions in departments that offer graduate programs. This departure of our best scholars will greatly weaken the department's research activities, and could lead to the department's disestablishment. Supporting faculty at UC salaries and UC teaching loads to primarily teach undergraduate courses is financially unviable.

3) Quality of undergraduate enrollments and research: The opportunities for undergraduate students to work directly with graduate students in a research environment sets us apart from other universities, a distinction that will be sacrificed by cutting graduate programs. The lack of viable graduate-level research opportunities for undergraduates in some departments will certainly decrease the quality of undergraduate student enrollments in the major, and the quality of undergraduate research.

4) Reputation of UCSC as a graduate institution: Cutting graduate programs will also degrade our overall reputation as a graduate school, something that UCSC is already struggling with. The overall quality of graduate student enrollment and retention is likely to decrease as many students apply to graduate programs largely based on the university's graduate reputation as a whole, rather than based on the reputation of one department. Moreover, graduate students frequently decide to attend universities that are better known for graduate education overall.

5) Decreased diversity of graduate programs: Cutting graduate programs in some areas will decrease the diversity of our offerings and hamper our ability to launch new interdepartmental graduate programs. In the changing employment environment, graduate programs will need to evolve to offer training in a more diverse set of areas, arguing against a model that relies on decreasing the diversity of graduate programs.

6) Moral and legal repercussions: It is clearly morally reprehensible to recruit and/or retain faculty into a department that offers a graduate program, and then later cancel the graduate program. Faculty may have turned down other positions in order to come to UCSC with the understanding that they would be involved in research activities with graduate students. Cutting their access to graduate students will have damaging impacts on their careers and will, at the very least, open up the university to substantial criticism that will impact future recruitment of faculty. Such a move may also open the university up to legal challenges.

GC recognizes that some of these pitfalls can be overcome with proper planning that focuses on ensuring that all faculty have access to graduate students and graduate-level research. Clearly, reorganization or restructuring of departments and/or divisions are promising means by which to achieve this, and GC is open to working with the administration to make sure such restructuring serves the needs of the graduate students, faculty, and the campus. To be successful, such changes must be facilitated at the EVC level, and must involve encouragement for departments and divisions to work together to instigate these changes.

c. Suggestions for Cutting Costs

GC believes other methods exist to support high quality graduate programs with fewer resources. Given that many of the UCSC graduate programs involve active participation by 10 or fewer faculty, we see no reason why successful undergraduate and graduate programs cannot be maintained in departments with fewer FTE if the undergraduate load can be properly balanced. While one can use statistics on the size of competitive departments at other universities as a reason for why a small graduate program at UCSC will never reach excellence, we find such arguments lack creative input into how we can offer a higher quality experience with fewer faculty. The ability to maintain such small graduate programs highly depends on the ability of the FTE to support both the undergraduate and graduate course curriculum. The budget is not normally within the purview of GC, so we hesitate to make any recommendations in this regard. Nonetheless, we make a few recommendations that could directly affect graduate education and which could be considered as a way to offer high quality graduate and undergraduate education while cutting costs.

1) *Modification of Graduate Course structure and Cross-listing of Courses:* One of the fundamental problems with small graduate programs is the inability to offer enough graduate courses with sufficient diversity of topics. Graduate courses are often offered with fewer than 6 students enrolled, a significant waste of FTE resources. A solution to this would be to set guidelines that would suggest limiting 5-unit graduate courses for specialty topics (i.e. those courses that are not required for all the graduate students in the program) that typically have fewer than 6 graduate students enrolled. While such courses could be offered as independent studies and/or tutorials on a volunteer basis, we recommend that the option of offering 2-unit seminar courses (one 80 minute seminar/week) or a 3-unit lecture course (one 120 minute lecture/week) that instructors would still get teaching credit for as a possible solution to this problem. A professor would therefore teach two graduate courses (a 2-unit seminar and 3-unit lecture) in replacement of a single 5-unit graduate course. These smaller, more focused, graduate courses could also enable a more diverse graduate curriculum for departments with small graduate student enrollments. We note that GC's role would be to provide guidelines only; the department chairs should be given the flexibility to assign faculty to courses as best meets the needs of the department and university. Cross-listing of graduate courses across departments and divisions could also be used to improve the efficiency and quality of graduate courses, while promoting interdisciplinary collaborations.

2) *Offering graduate courses through UC Extension:* Some of the more popular graduate courses could possibly be co-offered through UC extension as a method to bring in additional funding to the department through partial return on fees. To ensure these students get some direct faculty interaction and face-time, a faculty member could teach 2 of the 3 lectures/week on the main campus and 1 lecture/week at our Silicon Valley Initiative (SVI) campus (with remote instruction to the alternate location) *on a volunteer basis only*. This approach would also increase faculty engagement with UCSC's SVI campus, a necessity if SVI is going to be a successful enterprise. We note that this approach would

likely be most successful if the courses were tied to fulfilling the requirements of a professional master's degree.

3) Different teaching requirements for professors actively engaged in graduate and undergraduate research: The campus already engages partially in this practice by having faculty teach 3 or 4 classes depending on which department or division they are in. However, this practice does not work as well as it could because it does not distinguish faculty actively involved in graduate or undergraduate research *within* a department. This practice means that there is little incentive for faculty in departments to work with graduate students or raise external funds to support research and/or new educational initiatives. This practice also severely hampers the ability of professors that teach four classes to support their grant activities. While it may be too difficult to develop fair guidelines governing the number of courses taught, GC encourages the department chairs to exercise more authority in assigning courses that recognize the responsibilities of their individual faculty. Faculty who agree to teach more courses should have this weighed positively in any personnel action to offset deficiencies in research and/or service.

4) Postdoctoral Researchers and Graduate Students teaching Undergraduate Courses: Using lectureship funds to support postdoctoral and advanced graduate students to teach undergraduate core course would provide valuable teaching experience for postdoctoral researchers and graduate students who may desire future teaching positions. An additional benefit is that it would provide increased support for graduate programs since postdoctoral researchers and graduate students typically contribute more to graduate program quality than lecturers. For this practice to be effective, a mentorship and training network would need to be established between the faculty and the postdoctoral researchers and student lecturers to assure that the quality of undergraduate education is not impacted. Also, potential implications of the union contracts would have to be taken into consideration.

While GC has not engaged in a cost analysis with regards to the savings in FTE salary that could result from adopting some or all of the changes suggested above, we believe that such savings could be substantial over time through savings of FTE salaries, increased support for TAs and postdocs, and increased collection of fees, all while providing the time and incentive needed for faculty to successfully engage in graduate education. Such changes would not require cutting graduate programs on campus, although we anticipate the restructuring of departments and/or divisions is still needed to improve the overall quality and efficiency of our graduate programs. GC would be willing to work with the SEC committees and the administration to investigate the academic and budget implications of any of the above suggestions.

d. Graduate Program Evaluation

Graduate Council did not spend a lot of time during fall quarter discussing how graduate programs can be most effectively evaluated; however, considerable time was spent in spring quarter, 2009, and we refer to the recommendations made by GC at the time to improve the external review process so that graduate programs can be better

evaluated. Implicit in these recommendations is the introduction of a more formal internal review process.

1) External Evaluation: The external review process has been the best method that we currently have for evaluating graduate programs, as it involves looking at the program on the whole as it fits within the unique Santa Cruz environment and our overall smaller graduate programs, rather than comparing dissimilar programs as the NRC rankings do. However, we are concerned that the movement of most external reviews to an 8-year cycle may not provide enough evaluation for a small subset of graduate programs to adjust to changes. We suggest that an internal review, led by GC, may be needed in the intervening years between external reviews.

2) Internal Evaluation: A set of metrics needs to be established to determine whether an internal review of a graduate program is required. We recommend the following set of criteria:

- 1) A significant multi-year decrease in graduate student retention rate.
- 2) A significant loss of faculty that work with graduate students.
- 3) Low graduate student satisfaction or morale, identified on a biannual survey.
- 4) Graduate student admission issues, such as low selectivity and acceptance rate.
- 5) Upon request of Chair, Dean or GSA Representative.

GC will work with the Graduate Division to obtain and evaluate the required data on an annual basis. GC will lead the internal evaluation based largely on input from faculty and administrators on campus, but may call on external experts to consult on the best pathway forward for the graduate program.

e. Suspensions and Deferrals:

GC reviewed all the external reviews and met with all divisional Deans in order to assess whether graduate programs should be suspended or deferred.

1) TIM graduate program: Early on in the fall quarter, the admission of new graduate students into the TIM transfer program was deferred. GC supported the deferral of new admissions into the TIM program, and also supported transfer of graduate students already at UCSC into the program. Later in the quarter, the TIM program decided to proceed with new graduate admissions; however, we cautioned them to limit new graduate student enrollment until further planning takes place. GC will be carefully monitoring the TIM program and will take action if the department does not have a viable plan that will enable them to successfully launch a graduate program with its current FTE resources. The TIM program faces many challenges, both due to the size of its faculty and the need to bridge efforts across Santa Cruz's main and Silicon Valley campuses. More interaction with the Economics department would strengthen the TIM program and enable them to launch a business graduate program in Silicon Valley. However, the TIM faculty numbers are too small to successfully undertake many of the challenges ahead of them, and substantial numbers of new FTE are unlikely in the near term. GC suggests that the TIM program take this year for further planning on how to overcome this issue, and to focus their priorities.

GC is encouraged that the assignment of Marc Mangel as the Director of the TIM program will provide greater longer term security needed for the results of this planning process to be effectively implemented.

2) Arts Ph.D. programs: GC considered the deferral of the two new graduate programs in the Arts, namely Film and Digital Media and Visual Studies; however, Dean Yager made a persuasive argument with regards to the benefits of launching these programs now, the ability of these programs to be top notch graduate programs, and the potential availability of funds. We are also very encouraged that the Arts division is growing their doctoral programs. The Arts division has a strong cohort of faculty that could establish leading research programs that would strongly benefit from more access to graduate students. Also, the realignment of Shakespeare Santa Cruz to the Arts academic program strengthens the case for attracting excellent graduate students. Some uncertainty exists with regards to the potential interactions/convergences of the Ph.D. in Film and Digital Media, the DANM M.F.A., the Visual Studies Ph.D, and the Social Documentation Masters. Working out the best method to coordinate these programs to make UCSC one of the top universities for pursuing graduate studies in film should be a high priority. While a case could be made for suspension of graduate admissions while these details are worked out, such action could squander an opportunity to build leading doctoral programs in FDM and VS.

3) History of Consciousness Ph.D. program: HisCon has decided to suspend its admissions due to a substantial reduction in faculty, a decision GC supported. The anticipated number of faculty in HisCon, with no prospect for new faculty hires, leaves HisCon unable to sustain its graduate program in its current form. Two solutions exist to this issue. The first would be to reconfigure HisCon as an Interdepartmental Graduate Program (IGP) which would enable it to draw in faculty from departments across campus. The second solution involves transferring faculty directly into the HisCon department. GC supports the first option since it is unclear that a sufficient number of faculty could be transferred and, even if this was possible, whether such transfers would detrimentally impact the graduate programs in departments from which these faculty are transferring. Our understanding is that the HisCon faculty members largely support the 2nd option for several reasons, not the least of which is that it would require the least amount of time to implement, and GC respects their view on this. A third possible solution is a hybrid model between the two options. GC will continue working with HisCon and the division to find a solution in the coming months. We note that GC does NOT support any solution that would lead to the discontinuance of the HisCon graduate program.

4) History – European Track: History has decided to suspend admissions into the European track only due to a substantial reduction in faculty. GC supports this decision and hopes to work with History and the division to find a solution for modifying the European History focus with diminished faculty in that area.

5) Mathematics: The Mathematics department's reliance on TAs and lecturers makes it especially vulnerable to budget cuts made in the PBS division. After consulting

with Dean Thorsett and the Mathematics faculty, GC decided not to recommend suspension of the Mathematics' graduate admissions. At face value, such a suspension looks like a prelude to disestablishment of the program, and will certainly hurt the department in the shorter term by encouraging their most productive faculty to leave. The Mathematics faculty made initial arguments for how to continue their graduate program in light of reduced FTE growth and TA funding. GC has made recommendations for the Mathematics department to put together a new plan for their graduate program that can be successful with fewer FTE and financial resources. We will continue to monitor and work with Mathematics towards a long-term plan that will improve the overall quality of their graduate programs.

6) Philosophy: Graduate Council has already suspended Philosophy's graduate program for the upcoming academic year. While we have not received a plan or report from the current Philosophy chair that would prompt us to lift this suspension, we are encouraged by the appointment of Jorge Hankamer as Chair of the Philosophy department next academic year. GC is looking forward to working with the Philosophy department to develop a plan that would enable Philosophy to strengthen its graduate program and restart admissions next year.

f. Graduate Programs of Immediate Concern

The ability to grow graduate programs on campus, without the need of substantial university-funded FTE's, requires improving the existing graduate programs that are in jeopardy, as well as making structural changes that will enable all faculty to work with graduate students. The graduate programs that are of immediate concern are HisCon, Philosophy and Mathematics (due to lack of FTE growth) as have already been discussed above. Other areas of concern include Politics (due to low numbers of FTE), Ocean Sciences (due to low number of FTE), METOX (due to low number of FTE), and DANM (due to structural issues). The new Ph.D. programs TIM, Film and Digital Media, and Visual Studies also need to be carefully monitored by GC over the next two years.

1) METOX: Microbiology and Environmental Toxicology is a graduate-only department with exceptional faculty that are involved in many of the new graduate program proposals on campus; however, they have had issues attracting quality graduate students, which has threatened the viability and growth of their graduate program. METOX has largely solved this issue in the short term by the addition of "Microbiology" to their title; however, the ETOX portion may be below critical mass soon, leaving a department that is largely focused on microbiology. The division between microbiology and ETOX may be widened by the upcoming movement of some of their faculty into different buildings. GC has discussed this with the METOX Chair, and they are committed to staying as a graduate-only department as opposed to moving to an Interdisciplinary graduate program structure. We encourage the METOX faculty to continue to investigate the best model for their graduate program moving forward, taking into consideration the impact on their department if no FTE growth and retirements are realized.

2) DANM: DANM has had structural problems due to its operation as a graduate group. Several solutions have been proposed to solve this structural program. The report from the external review committee, and continued discussions among faculty, will be important for determining whether these issues are best solved by moving to an FTE-holding graduate group structure, or by offering the program through the Film and Digital Media department. DANM's experience has been helpful in Graduate Council's development of guidelines for interdisciplinary graduate programs (i.e. graduate groups), which include the ability for established programs to be FTE-holding. We note that DANM's relationship with the new Ph.D. program in Film and Digital Media, and with Social Documentation's MA graduate program, also needs to be worked out, a process that GC is willing to participate in as needed. A collaborative interdivisional structure for the film-based programs on campus is needed to assure that these graduate programs benefit from interactions with each other, rather than competing for resources and students, which could potentially hurt graduate program growth and quality.

3) Politics: The Politics department has a relatively young graduate program that has suffered from its inability to retain key faculty and hire new faculty (due to budget cuts), leaving them as one of the smallest department in terms of FTE that offers both an undergraduate and graduate degree. Nonetheless, Politics has done an admirable job of maintaining the quality of its graduate (and its relatively large undergraduate) program, despite its small size. Politics' ability to maintain this level of quality is something that should be rewarded, not penalized, as it is a model that other departments may be forced to adopt if the overall quality of UCSC is to be improved with fewer FTE resources. Furthermore, Politics is on an upward trajectory, with several successful young faculty hires that are coming up for tenure. They have also been successful in raising gift funds to support their graduate students. Limited FTE transfers from other departments should be considered as a means to strengthen the Politics graduate program. If cuts need to occur in Politics, we suggest that careful thought be put into the elimination of the Legal Studies major as a means to accomplish this. GC is open to working with Politics to understand how to maintain and improve its graduate program.

4) Ocean Sciences: The Ocean Sciences graduate program has the potential to be a flagship program on our campus, largely due to the excellence of its faculty and the resources at its disposal because of its proximity to the Monterey Bay. Nonetheless, it has lost several senior faculty to retirements or administrative positions in recent years, and is rapidly approaching an unsustainable size as one of the smallest departments on campus. Faculty exist in other PBS departments, such as EEB and EPS, as well as ENVS, that have substantial overlap with the Ocean Sciences graduate program and could provide UCSC with a very strong overall program in ocean sciences. The question that arose was whether the Oceans Sciences graduate program was most effective as a department-based program or an interdisciplinary graduate program. GC met with the Ocean Sciences Chair who presented a convincing argument that their department could be successful with the 7 FTE being projected. GC supported their desire to remain a department-based graduate program, and also supports their efforts to look into developing other programs (professional masters or undergraduate degree) that may enable future FTE growth.

g. Undergraduate Programs launching Graduate Programs

Several undergraduate programs—including Feminist Studies, American Studies, and LALS—want to launch graduate programs, but may not have the critical FTE needed to do so. In addition, one department, namely Community Studies, is in jeopardy of losing their graduate program. As the campus restructures, focus needs to be placed on these departments and programs.

- 1) LALS, American Studies, and Feminist Studies:** All faculty on campus should have the opportunity to engage in scholarly activities with graduate students. GC is therefore committed to faculty in undergraduate programs becoming involved in graduate education, either through interdisciplinary graduate programs or within their own department. Feminist Studies has a proposal for a Ph.D. program that is of high academic quality, but lacks the FTE resources to undertake. LALS is preparing to propose a new Ph.D. program in Latin American and Latino Studies, the first of its kind in the country, which could immediately have strong impact. They may need one or two additional faculty members (through transfers and/or hires) to make such a new program viable. If such transfers aren't pending, we encourage LALS to look at the interdisciplinary graduate program (i.e. graduate group) structure as a means of moving their proposal forward. Lastly, American Studies has had long-term discussions regarding the launch of a graduate program that would likely be accomplished through collaboration with other departments. This proposal was derailed due to changes in faculty focus, but needs to be revisited and encouraged to proceed. A focus of the reconstitution plan for the Humanities division should be to enable American Studies and Feminist Studies to have the ability to engage more fully in graduate education.

- 2) Community Studies:** Graduate Council has been following the developments in the Community Studies department with some concern. While the Social Documentation graduate program is likely to continue and possibly improve with the changes being proposed, it would do so at the demise of the Community Studies undergraduate program. GC finds it difficult to believe that this is the best solution for the campus moving forward, as it would effectively kill a valuable and popular campus undergraduate program. Instead, we suggest that a plan be put forth that will engage the Community Studies undergraduate program more actively with the rest of the campus as well as with graduate education. As one example, we note a great need for training undergraduate and Masters students in the area of community (or public) health. Such an interdisciplinary undergraduate program, formed primarily between MCD Biology and Community Studies with participation from other departments, would likely be of interest to health science and community studies majors interested in pursuing a career option in community or public health. The internship program and courses that Community Studies have already developed will be very valuable in making such a program effective. Such a program would also form the seeds of a graduate program in Public Health. Another potential area of campus growth where Community Studies could possibly

collaborate with other department includes community-led efforts in energy and resource sustainability. GC recommends that a committee be put together with representatives from each division that can work with Community Studies to put together a plan for stronger engagement with the other divisions on campus that may lead to new or expanded community-based programs with faculty engagement across divisions.

h. General Recommendations for Improving Graduate Program Quality

Several factors are common to all departments with regards to improving graduate programs. These include more effective and efficient graduate course instruction, time-support for faculty that are most involved in graduate education, better advertisement of graduate programs, support for nonresident students, narrative evaluations for graduate students, and improving graduate student retention.

1) More efficient and effective Graduate Course Instruction

As the number of lecturers and FTE are reduced, a solution needs to be found for more efficiently teaching graduate level courses. Several possibilities exist, including changing from a 5-unit to 3 or 2-unit offering for specialty courses, more cross-listing of courses, increased teaching requirements for faculty less involved in research or other scholarly activities, and training postdoctoral researchers and/or advanced graduate students to teach graduate courses. Some of these options are discussed above in Section Ib. Graduate Council plans on exploring these options and providing a report on the best alternatives.

2) Time-support for faculty to be more involved in graduate education

The current system is not set up to encourage faculty to be engaged in graduate education. Those faculty who are most engaged in graduate education can spend tens of hours per week writing grants to support students, mentoring graduate students, and helping students prepare papers and talks. In many cases, this work takes up the majority of the faculty member's time; however, they are still required to teach the same quality and quantity of classes and engage in as much service as faculty that are not actively involved in graduate education. If graduate program quality is to improve, we need to recognize and encourage faculty to participate in graduate education. A stronger enforcement of current policy and potential new policies need to be considered as methods for providing incentives.

3) Better advertisement of Graduate Programs

Many of our graduate programs appear to suffer from lack of sufficient advertisement, a problem that is likely to get bigger as new graduate programs are launched. While several methods exist to improve advertising, such as sending faculty to other schools to give talks and advertise the graduate program, participating in national graduate program meetings and workshops, and mailing graduate program announcements to colleagues, they mostly rely on faculty and/or department chair and graduate staff time, which is already stretched thin and can also vary widely on a yearly basis. A more centralized approach to program advertisement at the divisional level, coordinated through the graduate division, may be more effective at advertising not only the individual programs, but the strength of the

graduate programs in the division as a whole. Related programs could be advertised in a single graduate brochure sent to contacts identified by the departments involved, which would clearly increase the advertisement pool and also emphasize the opportunities across disciplines. Such clustered advertising may make the individual programs more attractive to those concerned about applying to the relatively small graduate programs characteristic of UCSC. Methods for how to most effectively advertise graduate programs needs to be an area of consideration moving forward.

4) Nonresident tuition

The high cost of nonresident tuition has long been discussed as a source of problems with regards to graduate student quality and diversity at UCSC. Some programs, such as International Economics and Engineering, rely heavily on foreign students for the quality of the program. GC's understanding is that nonresident tuition is completely returned to each of the campuses; therefore, each campus has control over the use of nonresident funds. The question that needs to be addressed is whether the current use of nonresident funds really promotes quality graduate education, or whether such funds are better used to offset departmental costs of accepting nonresident students into graduate programs. The use of funds in the latter case would almost certainly increase the number of nonresident graduate students on campus, increasing graduate program quality and diversity. Movement on this issue requires the decoupling of undergraduate and graduate nonresident tuition in the campus and UCOP accounting, and the direct use of graduate nonresident tuition to increase support for nonresident graduate students and the departments that support them.

5) Narrative Evaluations for Graduate Programs

While of less critical importance than the previous topics, the effectiveness of narrative evaluations for graduate courses has been a topic of discussion for some time. These discussions have focused on balancing demands on faculty time versus improving the graduate program quality. GC has legislation proposed that would make Narrative Evaluations optional for graduate students, in alignment with the recent changes in undergraduate Narrative Evaluations.

6) Grades for Graduate Courses

With the increase in number of Masters students on campus, the inability of graduate programs to require letter grades for some of these students impedes the student's ability to get fellowships and also impacts their job placement and acceptance into doctoral programs that require GPAs. In some cases, this policy also makes it more difficult for programs to access student progress. In contrast, instructors are forced to assign letter grades to students that request them, even though a letter grade may be entirely inappropriate for the course being offered. Consequently, GC has legislation proposed that would allow graduate program faculty to require letter grades or the S/U option for courses offered by their program. This legislation also adds +/- to option the grades of A and B to offer faculty more flexibility in grading.

7) Graduation rates for graduate students

While some focus has been placed on increasing graduate student enrollment, such an approach would be a failure without increasing graduation rates for graduate students at an equivalent, or even greater, rate. GC plans to work with the Graduate Division to understand the factors that impact graduate student retention and time-to-degree, and identify practices that may be implemented to increase the graduate student graduation rate.

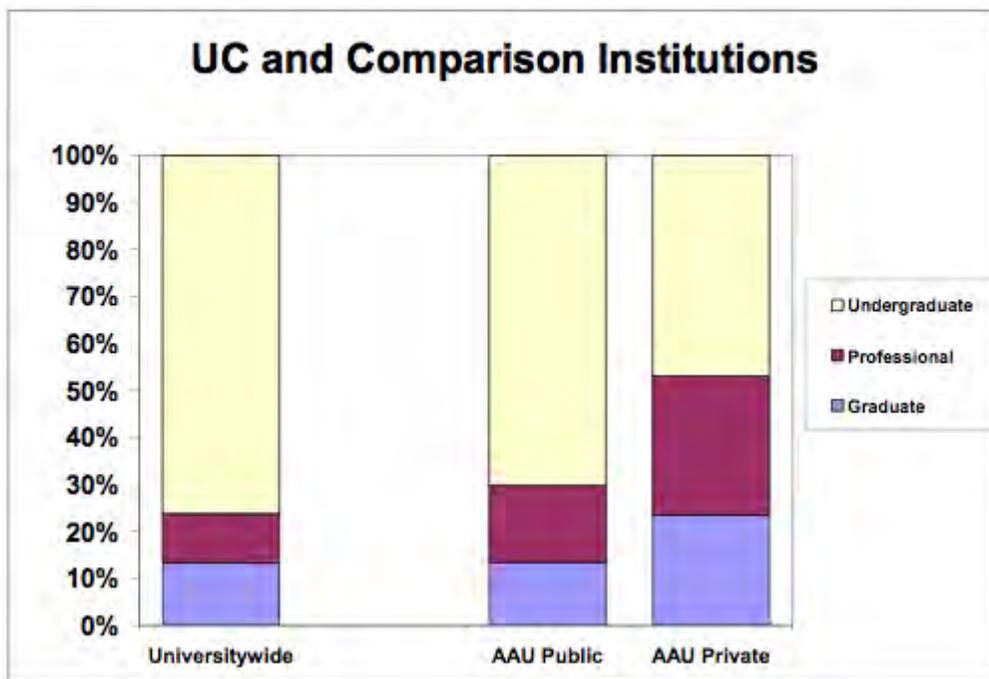
II. Long-term Vision for Graduate Programs

While undergraduate enrollments will flatten or possibly decline, the UC system is planning to increase graduate enrollment, and has funding allocated to achieve graduate enrollment growth. For UCSC to be part of this growth, we need to present a viable plan for how such growth will increase the overall quality and reputation of our university. We also need to understand where such growth can take place that is consistent with FTE resources.

a. Current status of Graduate Programs

The University of California Annual Accountability Report provides a wide range of data to assess the status of graduate programs (UC-wide and campus-specific) compared to representative public and private AAU institutions. Since the 1960s, undergraduate enrollment has increased 3x faster than graduate education, resulting in the decrease of graduate and professional students from roughly a third of all enrollments to 22% in Fall, 2008.

Indicator 6.8
Graduate, Professional and Undergraduate Degrees Awarded – UC and Comparison Institutions, 2006-07



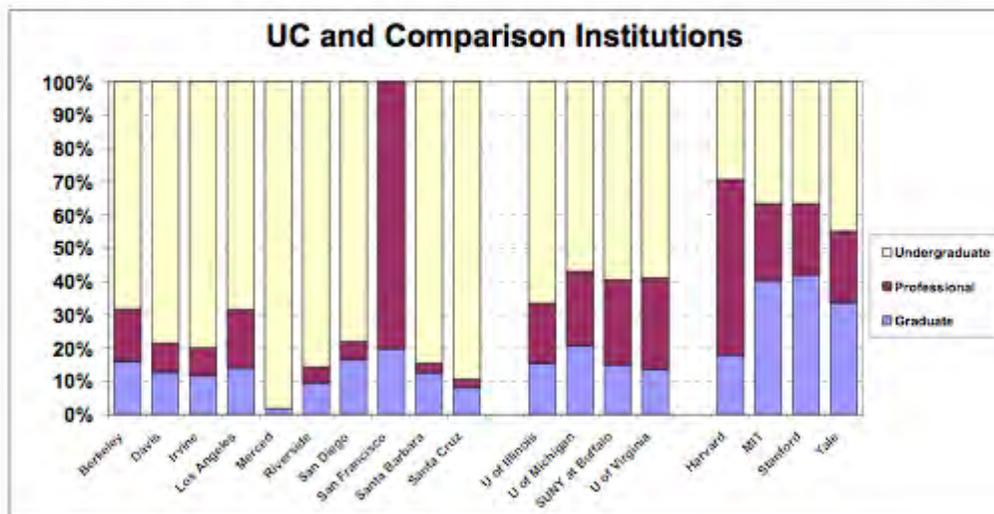
Source: IPEDS Completions Survey.

This effect has resulted in the UC's graduate and professional student body being a lower percentage of overall enrollment compared to competing institutions. If the comparison is limited to AAU Public institutions, the graduate student population is very similar, but UC still lags significantly behind in Professional degrees. This effect may be

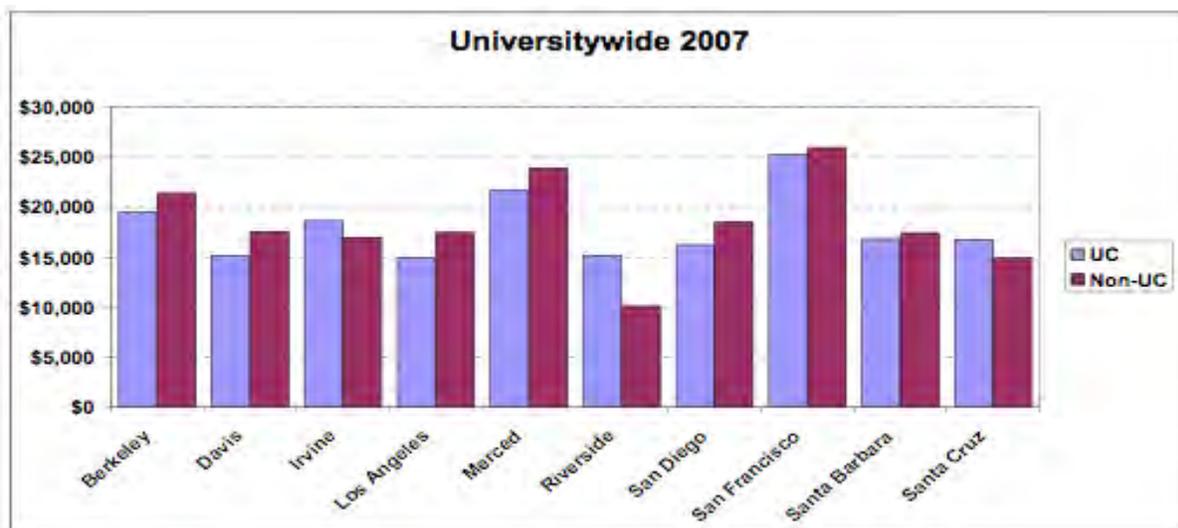
partly due to the fact that the CSU's offer many of the professional degrees in California's higher education system.

To highlight what these numbers mean for UCSC, the breakdown of graduate and professional programs per campus is shown below. With the exception of Merced, UCSC has the smallest percentage of overall graduate student enrollment of any UC campus, and lags behind all UC's in offering professional degrees. Moreover, with the exception of UCSB and UCR, UCSC has a 50% lower percentage of graduate and professional student enrollment compared to other campuses. We note that UCSB appears to have very similar graduate program composition as UCSC, and may be a useful campus for further study to understand how UCSC can change its overall rankings and size without dramatic changes in overall graduate program structure. Nonetheless, these statistics perpetuate the image that UCSC is largely an undergraduate institution.

6.8 (continued) Graduate, Professional and Undergraduate Degrees Awarded – UC and Comparison Institutions, 2006-07



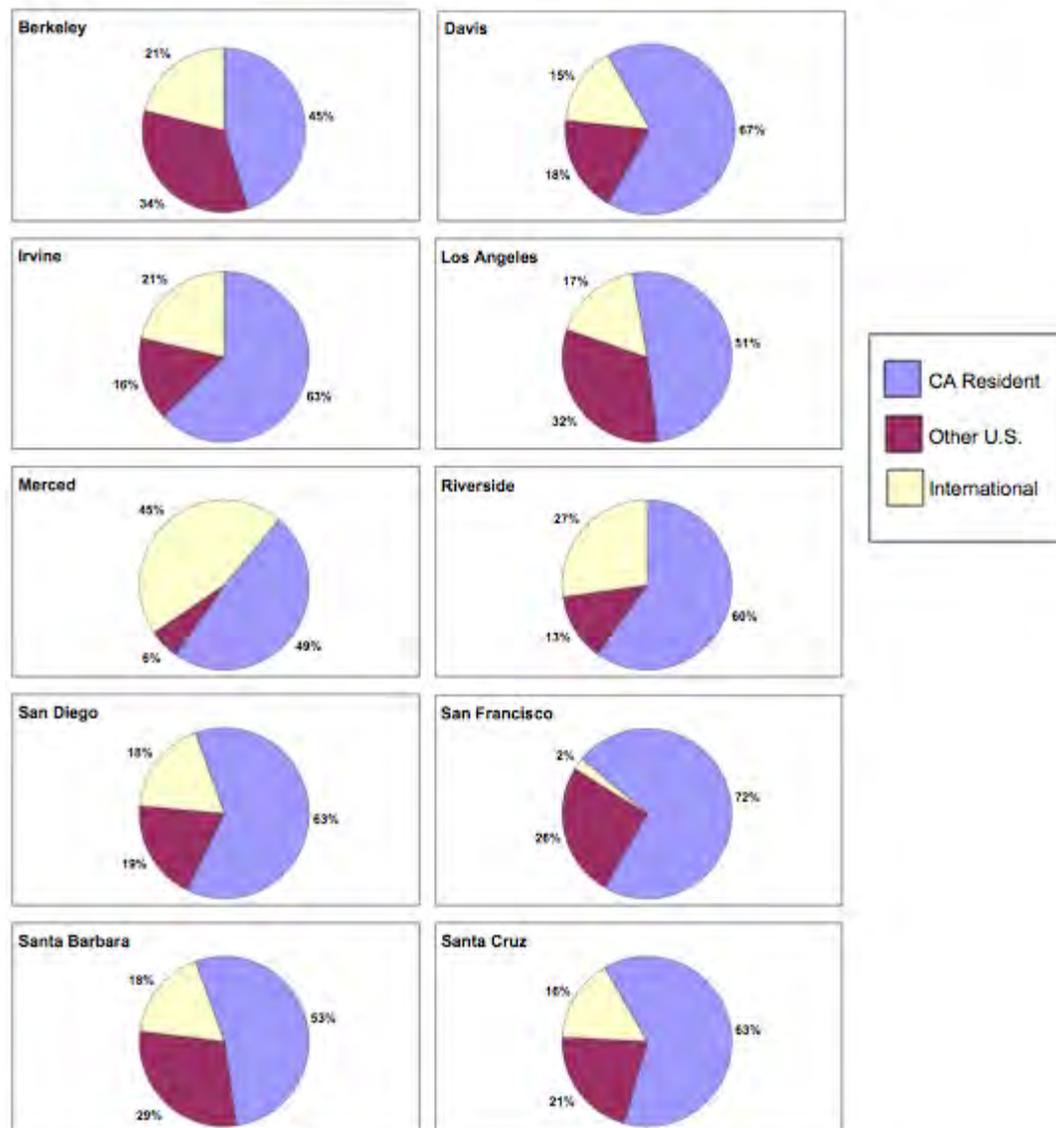
UCSC faculty have long used the size of the graduate student stipends as a reason for why graduate students turn down our offers. We show below the average graduate student stipends offered by UC campuses system wide, compared to the offers provided by non-UC institutions. With the exception of the universities that have large professional schools, UCSC's offer is comparable to other UC schools, and greater than competing offers at non-UCs. Nonetheless, this large stipend is offset by the higher cost of living at UCSC.



Discussions have also focused on needing to attract more international students. As shown below, the ratio between CA resident, UC non-residents, and international students is relatively balanced across campuses, with exceptions being UCB, UCLA, and UCM. Therefore, neither the size of stipend nor the ability to attract non-resident students are reasons for why UCSC's programs are smaller than the rest of the UC institutions. The most noticeable difference is the number of academic FTE at UCSC, the lowest in the UC system outside of Merced.

The size of the graduate student body, relative to undergraduate body, has been decreasing as a percentage for many years. If this trend continues, we risk the chance of becoming known almost solely as an undergraduate institution (in the UC system) which is sure to impact our ability to attract excellent graduate students, as well as potential longer term repercussions. Moreover, UCSC may start becoming indistinguishable from a very expensive CSU in the public perception. While considerable discussion is needed with regards to the size and shape of UCSC (in addition to the entire UC system), **GC recommends that we construct a plan to reach the 15% graduate student body that has served as a goal for nearly a decade.** If we don't do this, then we should abandon this goal and understand the consequences of such abandonment. While we could question the wisdom of the 15% number, it provides a place to start for planning purposes and would put us at least comparable to UCSB and UCR, although well behind the other UC schools and UC's comparative AAU institutions.

6.7 (continued) Geographic Origin of New Graduate and Professional Degree Students, Fall 2008



b. Growth Plans based on Projected Enrollments of 17,000 student-body enrollment

Our enrollment (Fall 2009) is 16,763 students, including 348 off-campus students. Of these, 1,504 are graduate students (or 9% of the student body). If we assume limited campus growth to 17,000, a graduate student body of over 2500 students would be required to reach 15%. Since this involves adding 1000 graduate students, undergraduate enrollments would have to be reduced by nearly 800 students to obtain these numbers. Reducing our undergraduate enrollments to state-funded undergraduate students only while decreasing time-to-degree would provide a means to reach this reduction. Given the limited growth of FTE expected, the graduate student growth may have to be comprised by some of the professional graduate programs that could support FTE positions through return on graduate student fees. Such programs could constitute a majority of the planning

for graduate programs/schools in Silicon Valley. We also anticipate some graduate student growth by enabling primarily undergraduate programs (i.e. LALS, American Studies, Feminist Studies) to launch new graduate programs. Finally, we anticipate that the Engineering and Art division's newest graduate programs that are just now getting off the ground may be a source for significant graduate program growth.

To start the planning process, GC has generated a very rough Table outlining what would be needed to add an additional 1,000 graduate students. We note that these numbers are purely guesses based on proposals currently in the pipeline, and will clearly change with time. The point of this exercise is to determine whether the addition of 1000 graduate students is a reasonable goal for UCSC to be pursuing.

Growth in graduate student body	PBS	BSOE	Soc. Sciences	Humanities	Arts
Doctoral Programs	+60	+100	+50	+60	+120
Professional Masters & Other masters/certificates	+110	+250	+150	+20	+80
Total	170	350	200	80	200

Physical and Biological Sciences:

Doctoral: The PBS division's doctoral student body is the largest of all the divisions; however, at best, it has been at a steady state for the last decade. Therefore, GC does not anticipate much growth except in programs that are already relatively small. In particular, the stabilization of the METOX graduate program could result in a substantial increase in graduate students in that program. If graduate student placement warrants it, the potential exists for more limited growth in the other two graduate-only departments, namely Ocean Sciences and Astronomy, due to the high quality of these programs and their relatively small size compared to other PBS programs that also offer undergraduate degrees. Finally, we anticipate some small growth in Earth Sciences and MCD Biology, and the new PBSE (Biomedical Sciences and Engineering) Ph.D. program. All together, an increase in 60 doctoral students (i.e. 12 graduate students/year assuming 5 years) is reasonable across these 5 programs given that METOX and PBSE have both grown substantially over the last year. New interdisciplinary graduate programs in Public Health and/or Environmental Sciences may also lead to growth in Ph.D. programs.

Masters: The PBS division has great potential for launching academic or Professional Master's programs. Potential programs include Public Health, Ocean Sciences, Applied/Engineering Physics, and Energy/Environmental Science, as well as participation in Science Education. We caution that any effort to launch a master's program in environmental areas must coordinate strongly with ENVIS to avoid duplicating that program's efforts and weakening the ENVIS graduate programs. We anticipate that these master's degrees could result in an additional 120 PBS graduate students (i.e. 50 masters students/year at an average time to degree of 2.5 years). We note that many of these programs could be offered in Silicon Valley, and designed to be "self-supporting," which would enable some new FTE appointments supported by fee remissions.

Baskin School of Engineering:

Doctoral: The BSOE doctoral student body is on a strong upward projection due to the new graduate programs in BME, AMS, TIM, and EE. We anticipate that both BME and AMS could reach a steady-state doctoral student body of 40 to 50 doctoral students. Electrical Engineering could also increase their doctoral student body if ideas to move into Power, Environmental and/or Water Engineering develop. In addition, the new TIM program has yet to take in its first graduate student body, and could eventually grow to a steady state of 40 doctoral students. All together, we anticipate a potential increase in doctoral students in the School of Engineering of 100 students.

Masters: The BSOE has been leading campus efforts to establish Professional Master's programs. They have several such programs in the works, including programs lead by CE, TIM, EE and AMS. The Silicon Valley Center will require a substantial graduate student body that is likely to be mostly professional master's due to both financial and location considerations. Consequently, a goal of 250 additional master's students (mostly professional) is not only possible, but also a necessity if UCSC's efforts in Silicon Valley are going to be sustainable. We note that the planned Graduate School of Business/Management could also increase these numbers, but this is discussed under the Social Sciences Division.

Social Sciences:

Doctoral: The Social Sciences doctoral student body has seen the most growth of any division, largely due to the launching of several excellent programs in the late 1990's; however, most of these programs have now reached a steady state. An exception is the new Education Ph.D. program. LALS is also poised to propose a very strong graduate program that could reach a steady-state of 30 doctoral students. Together, these two doctoral programs, combined with small increases in other departments, could lead to an increase in the Social Sciences doctoral student body of 50 (~ 8 graduate students/year at ~6 years time-to-degree).

Masters: The Social Sciences has opportunities to expand into offering Professional Master's, lead by its Economics department. While the proposed School of Management has been proposed as the major vehicle for this, the current budget is not conducive to launch such a program without a substantial private donation. However, GC does not believe this should hinder the Economics department from moving forward with plans, in collaboration with TIM, to launch a professional business degree, primarily in Silicon Valley. An MBA-like program would also enable the hiring of more FTEs (supported on return of fees). The Economics department also offers an Applied Economics and Finance master's program that has issues with viability, but may be substantially strengthened by moving it to Silicon Valley. The Education department also has plans to expand its program offerings in Silicon Valley by offering training to students who may want advanced training to teach in the STEM field. This program could attract a substantial number of recently graduated STEM BS students, as well as current teachers who wish to expand their education. Together, all of these master's programs could result in an increase in master's students of 150 (i.e. ~50 students/year assuming ~3 years to degree).

Humanities:

Doctoral: The Humanities division has been hit hard by the financial crisis, giving up a large number of FTE positions and putting several of their departments at risk. This has severely hurt HisCon, which has been historically one of the largest graduate programs on the UCSC campus. Having said this, Humanities has the potential for increasing their doctoral body due to the desire of two of their primarily undergraduate programs—American Studies and Feminist Studies—to launch graduate efforts. Feminist Studies has a long standing Ph.D. proposal that has received high marks on academic excellence, but also relies on new FTE's that are unlikely to be forthcoming. However, a large number of affiliated faculty could form an interdisciplinary graduate program (i.e. graduate group) with Feminist Studies faculty to launch the doctoral program without new FTE. In addition, American Studies has had interests in the past for being more involved in and/or launching a new graduate program which could be facilitated by working with faculty across the division. Together, these doctoral programs have the potential to increase the overall doctoral body in the Humanities by 60 doctoral students (i.e. 10 students/year with a 6 year time-to-degree). The ability of these departments to do this will largely be based on the outcome of the reconstitution of the Humanities division.

Masters: The potential of the Humanities division to launch professional master's programs may not be as significant as some other divisions; however, we encourage the Humanities to think creatively on this endeavor, particularly involving programs that could benefit from interactions with Silicon Valley. We are aware of a proposal by Linguistics to offer a 5-year BA/MA, as one example. Here, we set a modest goal of 20 additional master's students, but that estimate may be overly conservative.

Arts:

Doctoral: The Arts division will likely see the largest increase in new doctoral programs of any division due to their lack of doctoral programs in the past. The Arts doctoral programs include the recently approved Film and Digital Media and Visual Studies Ph.D. programs, as well as the relatively new Music Ph.D. program. In addition, Theater Arts has long-term ambitions to launch a Ph.D. program. These programs all have the potential to be excellent and highly popular graduate programs, and we anticipate that growth of doctoral programs in the Arts could reach 120 doctoral students (i.e. 20 graduate students/year with a time-to-degree of 6 years).

Masters: The Arts already has active masters and certificate programs, but there is potential for significant growth. In particular, Theater Arts is planning a new M.A. and the DANM program is doing an excellent job at placing students, and could expand its master's program in collaboration with other divisions and departments. Professional master's opportunities may also be envisioned in collaboration with Engineering that would take advantage of opportunities in Silicon Valley. Overall, we encourage Arts to consider a growth in master's programs to 80 additional students (i.e. 30 students/year at ~2.5 years time-to-degree).

c. Financial Considerations

Examples in the UC system suggest that increasing graduate enrollments, particularly in professional areas, will increase overall funding for UCSC. This is a necessity if UCSC is to survive funding cuts that may occur in the future due to poor state finances. UC schools that have large graduate programs are the ones that also have the least amount of state support. Consequently, they are able to absorb budget cuts better than UCSC. Larger graduate student enrollment increases scholarly activity, and therefore leads to awarding of more external grants. UC schools that have higher graduate student populations also receive greater return-on-fees. Graduate students also tend to consist of a larger fraction of nonresidents whose fees are returned at a much higher rate (nearly 100%) to the university, as are fees collected through professional master's programs. As UC tuition increases, the only thing that warrants an undergraduate or master's student to spend more money to attend UCSC, rather than a CSU, is our reputation as a research and graduate institution. As a consequence, UC schools that have large enrollment of graduate students in professional and academic programs have a greater ability to raise funding from non-state sources and adjust to budget cuts.

The UC system is already planning for growth in graduate education and has some funds set aside for this growth, although it isn't sufficient for the full growth projections. Clearly, these extra costs need to be carefully considered in growing the graduate program. We note that half of this growth is due to programs already approved (TIM, BME/Bioinformatics, ASM, EE, VS, and FDM) and primarily budgeted for. We anticipate that nearly half of the additional doctoral students may be supported by external funding, largely in the PBS and BSOE divisions. Moreover, we can anticipate that increasing the doctoral student body by over 400 graduate students will lead to significant increase in external funding opportunities that will lead to greater return to the university in the form of graduate student and postdoctoral support. Finally, the additional graduate programs provide an opportunity to raise private donations and foundation support.

For the master's programs, the vast majority of the 600 increase will be in professional programs offered by BSOE, PBS, and Social Sciences. For these programs to be viable, they will require a large return-of-fees for faculty and staff support; however, we anticipate that some fraction of the fees will be returned to the university to pay for facilities and other affiliated costs. In addition, faculty supported by these programs will bring in external grant funding, some of which will be returned to the university in the form of graduate students support. Also, these programs will likely produce a new group of Alumni that may be more able and more willing to donate funds to the university in the future. Professional programs in Silicon Valley will raise awareness of the quality of UCSC research, which should lead to more funding for the university from industry and foundations. Finally, the presence of graduate programs in Silicon Valley may attract a stronger foreign student population that will increase collection of non-resident tuition, as well as increase the diversity of our graduate student body. Overall, in the absence of additional university-supported FTE, we do not anticipate that the increase in the masters students will add a significant financial burden on the university and may, in fact, generate funds. Clearly a careful budgetary analysis needs to be performed for both the projected increase in doctoral and master's students.

e. Professional Program Guidelines

Given the lack of UCSC experience, specific guidelines need to be formulated and distributed to faculty who may be interested in proposing professional (self-supporting) graduate programs. Imperative to these proposals will be the need to assure that such professional programs fulfill the academic focus of the university, and provide graduate students career-advancing opportunities and future employment in the area of training. Moreover, any plans for professional programs may be subject to decisions at the UCOP level that involve distinguishing between professional programs offered by the CSU's versus the UC's as well as guidelines for professional programs. Before GC can move forward on developing guidelines for "self-supporting" graduate programs, the campus needs to define what self-supporting graduate programs are, and determine a financial model that will make such programs viable. GC would certainly be willing to engage the administration and faculty in this process.

f. Silicon Valley Graduate Programs

Plans for Silicon Valley graduate programs have been limited to just a few existing programs (TIM, Network Engineering) and the new School of Management. A concerted effort needs to be aimed at introducing faculty to the opportunities in Silicon Valley, and engaging all divisions in proposing potential graduate programs there. Any future planning documents for the campus MUST include plans for graduate programs in Silicon Valley or we run the risk of failing to capitalize on our best opportunity for growing graduate education and the university's reputation. This effort will require all five divisional Deans to be engaged in the process, exploring how this can positively (rather than negatively) impact the current graduate programs on campus. To make this happen, a significant amount of faculty time will be needed in the early planning stages, which could take the form of faculty release time. GC should work with the Silicon Valley Initiative, as well as faculty across the division, to help formulate plans for graduate programs offered in Silicon Valley.

APPENDIX B

Graduate Degree Annotations at UCSC

Approved by Graduate Council on December 3, 2009

Effective December 15, 2009

Introduction

This document describes the two types of degree annotations available to graduate students at UCSC. It replaces and supersedes earlier policies and terminologies used in the *2008-2010 General Catalog* and before, and brings UCSC usage and practices into closer agreement with the rest of the University of California. In addition to describing the annotations, this document also explains how students fulfill the requirements for them, and how departments propose them to Graduate Council for approval.

The two types of annotations are called *concentrations* and *designated emphasis*. Broadly, these are as follows:

1) *Concentrations* denote areas of specialized curriculum, training, and research within a given department or degree-granting program.

2) *Designated Emphasis* denotes a broadening of training that comes from adding course work, training, and/or research work from an *external* department¹, degree-granting program, or cross-departmental grouping of faculty who together offer a designated emphasis. Example: a PhD in Literature with an Emphasis in Feminist Studies. In this case, the extra training to obtain the Emphasis is offered by the separate Feminist Studies Department, not Literature.

Note: Previously, the term parenthetical notation (“parentheticals”) was used generically to describe both concentrations and emphases. However, this term was not clearly described or consistently applied. After December 15, 2009, the terms concentration and designated emphasis will be clearly distinguished, and the generic “parenthetical notation” will no longer be used.

The two new types of annotations are now further described.

¹ Departments that would like to offer a Designated Emphasis *internal* to their department may petition Graduate Council for an exception to policy.

Concentrations

Concentrations are easier to manage since no additional coordination between departments and/or degree-granting programs is required. Graduate Council wishes to keep the paperwork and monitoring requirements of concentrations to a minimum. The elements of the concentration are as follows:

- 1) The requirements for a concentration are developed and defined within each degree-granting program.
- 2) Minimum requirements are a significant body of research work in the area of the concentration, a minimum number of courses (number to be determined by the degree-granting program), emphasis on the area of concentration in the qualifying exam, or a combination of these. As long as this rule is observed, the proposed concentration does not need to be reviewed and approved by Graduate Council.
- 3) The requirements to fulfill a concentration should not add additional degree requirements beyond those already in place to fulfill the basic degree. Any additional requirements would constitute a program revision and require additional review by the Graduate Council. In general, the development of concentrations within a program should be done within the parameters of the existing program requirements and thus not require Graduate Council review.
- 4) The decision to award a student the concentration will be made by the department chair, the faculty graduate director, or an appropriately constituted faculty committee drawn from the degree-granting program, according to departmental procedure.
- 5) The concentration is an informal annotation; no notation of it appears on the student's transcript or diploma. However the student will have the right to note the concentration in his/her curriculum vitae using the words "a degree in XXXX with a concentration in YYYY." The department may refer to the student's degree with the concentration noted, and writers of letters of reference may note the concentration when referring to the student's degree.
- 6) The responsibility for keeping records of students who have received concentrations rests with the degree-awarding department or program. No records of concentrations will be kept by the Registrar.
- 7) The availability of concentrations will be noted in each program's description in the *General Catalog*. Each concentration and its requirements will be described, and a summary of all concentrations will be given in the Fields of Study summary table at the beginning of the catalog. It is the responsibility of departments to review and update the catalog text pertaining to concentrations, so that current practice is officially recorded.

Designated Emphasis

A Designated Emphasis (DE) generally involves the cooperation of two degree-granting programs. The program that provides the courses and training in the subject of the emphasis is called the *offering program*, and these programs are said to *offer emphases*. A program whose students utilize the courses and training from the emphasis in its degree program is called the *coordinating program*, and these programs are said to *coordinate emphases*. In the example of Literature above, the program description could say, "Ph.D. students in Literature may wish to consider the designated emphases in x, y, z; students must have the designated emphasis approved by the graduate director / graduate committee as well as meet the requirements of the emphasis."

Designated Emphases are official UCSC credentials, and as such their requirements must be reviewed and approved by the Graduate Council. **To simplify the process, we henceforth require that all programs wishing to offer a designated emphasis will establish a single set of requirements for all students regardless of their primary program of study.** This uniformity of emphasis requirements for students in all coordinating departments is a major change that will reduce record-keeping and approvals. It differs from older practice, where each coordinating and each emphasis-offering department negotiated *separate agreements* with each other on the content of their joint "parenthetical notations."

The elements of a Designated Emphasis (DE) are as follows:

- 1) Requirements will typically include more than one of the following elements:
 - A. Course work in the offering program
 - B. Offering program faculty membership on qualifying or thesis committee
 - C. Significant writing, research, teaching, presentation, or production in the discipline of the offering program
- 2) The requirements for the DE will be set by the emphasis-offering department and designed to be generally applicable to students from any coordinating department.
- 3) Departments proposing a DE must explicitly address the resource implications of the proposed emphasis and include confirmation from the Divisional Dean of resource-neutrality or a commitment of resources to support the DE sustainably. The DE requirements and resource implications must be reviewed by Graduate Council for approval.
- 4) The coordinating department will approve student requests for the DE annotation through departmental graduate approval procedures, and the emphasis-offering department will certify completion of the DE requirements.
- 5) The DE is a formal credential, and records will be kept of it on the student's transcript in the Registrar's office and on the student's diploma. The words used will be "a degree awarded in XXX with an emphasis in YYY." The parenthetical notation will no longer be used.

6) The offering of DE programs will be noted in the *General Catalog*. The DE requirements will be specified under the offering program's description. Programs may wish to include in their catalogue descriptions the option of pursuing designated emphases, and point students towards suggested possible emphases, according to disciplinary affinity and program history.

Any change to the approved requirements of a designated emphasis must be re-approved by the Graduate Council.

Transition to the new requirements

To facilitate transition to the new system, the Graduate Council will establish a sub-committee to evaluate present parenthetical degree notation MOUs for each serving program and, if necessary, suggest ways to transform these into a single set of DE requirements. Preliminary review suggests that, with a few exceptions, offering departments have already streamlined their requirements to a considerable extent, and we anticipate that the requirements can be fully homogenized with a minimum of extra effort.

Current graduate students also have "catalog rights," which are the right to graduate under the degree requirements and degree terminology that were outlined in any catalog from the time they enter, up to the time they graduate. Students who either cannot or do not wish to be covered by the new system have the right to invoke the previous requirements as they would have applied to them.

Requests to offer a Designated Emphasis - Procedures

Departments and programs wishing to establish/offer a Designated Emphasis should submit the following documents to the Graduate Council for approval.

- Proposal for a Designated Emphasis, including a single set of requirements for all students regardless of their primary program of study. The proposal should be accompanied by a cover letter stating the rationale for offering the DE, and addressing the issue of resources required to run the DE. If no additional resources are required, this should be stated. If additional resources are required, they should be described, and the source of support for these resources should be identified.
- Letter of endorsement from the Divisional Dean, confirming resource-neutrality of the proposed DE, or a commitment of resources to support the DE sustainably.

The complete proposal should be forwarded to the Graduate Council, with a copy to the Vice Provost and Dean of Academic Affairs (VPDAA).

Please direct any questions, comments, or requests to establish a Designated Emphasis to the Graduate Council Analyst, Stephanie Casher (scasher@ucsc.edu; 459-2259).

APPENDIX C

Graduate Degree Annotations at UCSC

A *Designated Emphasis (DE)* denotes a broadening of training that comes from adding course work, training, and/or research work from an *external* department, degree-granting program, or cross-departmental grouping of faculty who together offer a designated emphasis. The following programs offer a Designated Emphasis:

- American Studies
- **Anthropology (PENDING)**
- Ecology and Evolutionary Biology
- Education
- Environmental Studies
- Feminist Studies
- Latin American/Latino Studies (LALS)
- Literature
- Philosophy
- Politics
- Robotics and Control
- **Sociology (PENDING)**
- Statistics
- Visual Studies

Please contact the each department directly for their Designated Emphasis requirements.

Note: Previously, the term parenthetical notation (“parentheticals”) was used generically to describe both concentrations and emphases. However, this term was not clearly described or consistently applied. After December 15, 2009, the terms concentration and designated emphasis will be clearly distinguished, and the generic “parenthetical notation” will no longer be used.

APPENDIX D

February 19, 2010

To: Georges Van Den Abbeele, Dean of Humanities
From: Graduate Council

Graduate Council Report on Interdisciplinary Grad Programs in the Humanities

Dear Georges,

The Humanities Division Advisory Task Force on Reconstitution (ATFR) Report discusses various possibilities for consolidating the small, interdisciplinary graduate programs in the Humanities so as to ensure their continued viability in some form. The Graduate Council has carefully considered that Report. What follows here are the Graduate Council's response and recommendations.

Under present political and economic circumstances, the Humanities are vulnerable and their vital role in the general educational mission of UCSC is at risk. We begin our consideration of how to go about consolidating and strengthening graduate programs in the Humanities with three basic principles which apply across all divisions:

A. *At a research university, all faculty should have the intellectual freedom to pursue their scholarly interests, regardless of institutional or organizational form.*

B. *At a research university, all faculty should have the opportunity to participate in graduate education.* Under existing and anticipated resource constraints, this right must come with the responsibility to teach undergraduate courses; graduate-only programs introduce undesirable inequalities, fail to generate teaching assistantships needed to support graduate students, and in any event are no longer affordable.

C. *To be able to do their scholarship and teaching, all faculty must be members of functioning departments* (i.e., administrative units sufficiently robust to plan curricula, advise students, conduct personnel reviews, etc.).

1. It is desirable to preserve the Feminist Studies, American Studies, and History of Consciousness programs as distinctive centers of excellence that have achieved national and international reputations. However, these programs are interdisciplinary and can be independent of departmental configurations.

2. Under current and anticipated resource constraints, Feminist Studies, History of Consciousness, and American Studies are all too small to be viable departments or to

mount graduate programs. Feminist Studies and American Studies have only undergraduate programs and cannot at present achieve the critical mass necessary to launch graduate programs. History of Consciousness has only a graduate program, and without significant undergraduate enrollments cannot gain the teaching assistantships needed to support its graduate students. Both situations seem unhealthy.

3. The Graduate Council concludes first that this status quo is unacceptable, and second that since the campus will be unable to expand these too-small departments to viability in the current and foreseeable fiscal climate, there will need to be fewer departments.

4. The Graduate Council considered two basic options for shrinking the number of departments:

A. Reconfigure the three small departments into one broad new department with one or more graduate and undergraduate programs;

B. Eliminate the three small departments and disperse their faculty to other existing departments while preserving both interdisciplinary graduate and undergraduate programs in new forms.

5. The Graduate Council finds Option A untenable for several reasons. First, the proposed new department might still be too small if some faculty shifted to other departments. Second, even if no faculty left, the new department might remain too small to effectively manage all the graduate and undergraduate programs under its organizational umbrella. Third, such a new department would likely lack the programmatic vision and intellectual coherence necessary to manage multiple curricula, conduct personnel reviews across disciplines, and plan for the future.

6. The Graduate Council recommends Option B, under which non-departmental ways to preserve interdisciplinary graduate and undergraduate programs would have to be found. This could take the form of Interdisciplinary Graduate Groups (IGG). There are viable models for such IGGs at other campuses (e.g., Culture and Theory at UCI and Cultural Studies at UCD).

Undergraduate programs in both Feminist Studies and American Studies should be preserved as interdisciplinary majors, emphases, or tracks in an extant department. With regard to graduate programs, both Feminist Studies and American Studies should have the option of forming Interdisciplinary Graduate Groups, either individually or as parts of a larger, merged IGG with History of Consciousness. We note that the deeply interdisciplinary character of the History of Consciousness program has meant that many of their graduate students already draw upon faculty from a wide range of other departments, so moving to an IGG format would not constitute a jarring rupture from existing practice.

Decisions as to where faculty will be relocated will have to take into careful account both the preferences of each faculty member and their training, publications, and teaching history. Faculty who move should be assured that their personnel cases will be handled fairly and judged according to appropriate criteria in the new department. They should also have the option to move their FTE across divisions.

Any such reconfiguration plan will require institutional flexibility and fluidity. Hybrid organizational forms will likely need to be created in which existing departmental and programmatic membranes become more permeable. Specially tailored memoranda of understanding will be required to make clear the curricular and administrative lines of responsibility. The Graduate Division and indeed the campus will have to commit to supporting the IGG framework in order to preserve the reputational capital that has been built by the distinguished faculty in each of these three departments.

The Graduate Council understands that such changes will be challenging. While it will be difficult for some faculty to lose departmental identities in which they may be invested, those who move their FTE to a new department stand to benefit from being in a stronger institutional niche, and departments receiving such faculty stand to be enriched by new members and new IGGs. The Graduate Council is convinced that the new configurations stand the best chance of allowing Feminist Studies, American Studies, and History of Consciousness not only to survive but potentially to do *more* of the scholarly work that they wish to do than they can under present conditions.

**Graduate Council
Amendment to Section IV Graduate Program
Chapter 13 Grading and Transmission of Records**

To the Academic Senate, Santa Cruz Division:

Graduate Council is proposing amendments to Section IV, Chapter 13, that covers graduate grading and transmission of records. The 5 changes include adding the option of +/- on grades A and B and + on grade C for graduate courses, giving graduate programs the option of requiring S/U or letter grades for any of their graduate courses, enabling official GPAs to be calculated for students who have letter grades for at least 25-units of graduate courses, making narrative evaluations instructor optional for graduate courses, and fixing a timeliness issue with regard to grade changes for graduate courses. All of these changes bring graduate grading policy more in-line with undergraduate grading policy, fix existing policy that is unenforceable and/or inconsistent, and provide additional options for graduate programs to effectively evaluate student performance in graduate courses.

Current wording	Proposed wording
<p>13.1 Grading. A13.1.1 Graduate students in graduate or undergraduate courses shall be graded S, U, or I. The quality of work awarded a grade of S shall clearly merit certification of satisfactory progress towards the Master's or Ph.D. degrees.</p> <p>13.1.2 All preliminary, qualifying and/or comprehensive graduate examinations shall be graded Honors (H), Pass (P), or Fail (F). Papers of students receiving H or F grades will be read by at least two readers.</p> <p>13.1.3 Graduate students have the option of receiving a letter grade of A, B, C, D or F instead of S or U in any graduate course or any undergraduate course for which undergraduate students have the letter grade option. The grades A or B shall be awarded for satisfactory work. A graduate student receiving a grade of C or D will not be able to use the credit for that course to satisfy any course requirement for a graduate degree in the Santa Cruz Division.</p>	<p>13.1 Grading. A13.1.1 No Change</p> <p>13.1.2 No Change</p> <p>13.1.3 Graduate students have the option of receiving a letter grade of A, B, C, D or F instead of S or U in any graduate course or any undergraduate course for which undergraduate students have has the letter grade option. The grades A or B shall be awarded for satisfactory work. A graduate student receiving a grade of C or D will not be able to use the credit for that course to satisfy any course requirement for a graduate degree in the Santa Cruz Division. <u>Letter grades A-F, shall be awarded for graduate students in the manner and with the meanings prescribed in SR 780, except that the grades A and B may be modified by plus (+) or minus (-) suffixes</u></p>

and the grade C may be modified by plus (+). A graduate student receiving a grade of C, D or F will not be able to use the credit for that course to satisfy any course requirement for a graduate degree in the Santa Cruz Division. A graduate program has the option of requiring letter grades or S/U grades for any graduate course offered by the graduate program.

13.1.3B Grade points per credit shall be assigned by the Registrar as follows: A = 4; B = 3; C = 2; D = 1; F=0. I, W, or IP = none. "Minus" grades shall be assigned three-tenths grade point less per credit than unaffixed grades, and "plus" grades (except A+) shall be assigned three-tenths grade point more per credit. The grade of A+ shall be assigned 4.0 grade points per credit, the same as for an unaffixed A, but when A+ is reported it represents extraordinary achievement. The grade point average (GPA) for graduate students is determined by dividing the number of grade points earned by the number of credits attempted for a letter grade. The number of grade points earned for a course equals the number of grade points assigned multiplied by the number of course credits. Only letter grades are used for computing a graduate student's grade point average. Graduate students must have taken at least 25 credits of their graduate courses as letter grades in order to receive an official GPA for their degree.

13.1.3C The Registrar is authorized to change a final grade upon written request of an instructor, provided that a clerical or procedural error is the reason for the change. Grade changes (except for I and IP) must be submitted to the Registrar within one year from the close of the quarter for which the original grade was submitted.

<p>13.1.4 The grade of I may be assigned when a student's work is of passing quality but is incomplete. A student may not repeat a course in which a grade of I has been received, except after approval of a petition by the Graduate Council. The student is entitled to replace this I grade by a passing grade and to receive credit provided he or she completes the work of the course by the end of the third quarter following that in which the grade I was received unless the instructor or department specifies an earlier date. Under extenuating circumstances, a petition for extension of this time may be granted by the chair of the department concerned upon recommendation of the instructor.</p>	<p>13.1.4 No Change</p>
<p>13.1.5 A grade in a single course extending over two or three terms of an academic year may be given at the end of the course. This grade will then be recorded as applying to each of the terms of the course. A student satisfactorily completing only one or two terms of a course extending over two or three terms of an academic year for reasons of illness or transfer, shall be given grades for those terms. In this context, SCR A9.1.7 shall apply to graduate courses.</p>	<p>13.1.5 No Change</p>
<p>A13.1.6 Graduate students may repeat courses in which they received a grade of C, D, F or U. If a student repeats a course in which he or she received a grade of C or D, the credits are only counted once. The most recently earned grade will determine whether a degree requirement has been met. No course may be repeated more than once without prior written approval of the Dean of Graduate Studies.</p>	<p>A13.1.6 No Change</p>
<p>13.2 Evaluations.</p>	<p>13.2 Evaluations.</p>
<p>13.2.1 Each instructor in a graduate course shall prepare a written evaluation at the end of the term for each graduate student in his or her class, who takes the course for credit. A written evaluation of a preliminary, qualifying, or comprehensive examination</p>	<p>13.2.1 Each instructor in a graduate course shall prepare a written evaluation at the end of the term for each graduate student in his or her class, who takes the course for credit. At the end of the term, each instructor</p>

<p>may be provided by the relevant department. Non-credit seminar courses do not require written evaluations.</p> <p>13.2.2 The Registrar shall send student transcripts outside the institution only as requested by the student concerned. Only courses and grades will be sent unless the student expressly requests that narrative evaluations be included, in which event the Registra must senrd all evaluations. (Am 1 Aug 84)</p>	<p><u>teaching a credit-granting course shall have the option to prepare a written evaluation for any student.</u> A written evaluation of a preliminary, qualifying, or comprehensive examination may be provided by the relevant department. Non-credit seminar courses do not require written evaluations.</p> <p>13.2.2 No Change</p>
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Respectfully submitted,

GRADUATE COUNCIL

Scott Brandt
 Weixin Cheng
 Robert Fairlie (S)
 Patricia Gallagher (F, S)
 Jorge Hankamer
 Robert Johnson
 Athanasios Kottas
 Catherine Ramirez
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 Ted Warburton
 Sue Carter, Chair

Tyrus Miller, *ex officio*
 Paul Machlis, LAUC Representative
 Scott Medling, GSA Representative

August 31, 2010

COMMITTEE ON RULES, JURISDICTION AND ELECTIONS
Amendments to Bylaw 8.4.1, 9.1, and 13.28.6

To the Academic Senate, Santa Cruz Division:

The Committee on Rules, Jurisdiction and Elections (CRJE) is proposing changes to Santa Cruz Division Bylaw (SCB) 8.4.1, 9.1, and 13.28.6 in order to make the days by which to submit petitions for mail ballots match for these two Bylaws, and to make clear who conducts mail ballots versus oversees them in the Santa Cruz Division.¹ The Senate Executive Committee (SEC) has asked that the number of days needed for a mail ballot be reduced from 21 to 14 for reasons discussed below.

Days allowed for requesting mail ballots

In 2003 the days given in SCB 8.4.1 on Referendum changed from “not later than 21 calendar days after the Minutes of the Divisional Senate meeting reporting such action have been placed in the mail” to “not later than 21 calendar days after the Notice of Divisional Actions of the Santa Cruz Division or of the Executive Committee has been circulated to the Division either by mail or through direct electronic communications.”

CRJE finds that the rationale for changing the days to match the Divisional Action Report applies also to SCB 9.1. Here is the relevant quote for the 2003 justification: “Currently, the deadline for submitting petitions requesting a mail ballot referendum on an issue decided at a Divisional Senate meeting is tied to the distribution of the ‘minutes’, without specifying whether they are draft minutes or approved minutes. Draft minutes really have no official status, and minutes of a meeting have taken as long as a year to be approved. Instead, we are proposing that the deadline for such petitions be tied to the Notice of Divisional Actions, which our Secretary must distribute to all Senate members within two weeks after each meeting. It is only divisional actions which are subject to referenda, and this change would require that referenda be initiated in a timely fashion after the Division has acted.” The justification for that change to SCB 8.4.1 as submitted to the Senate in February 2003 is attached in Appendix A.

SEC has recommended that the number of days for submitting a petition for a mail ballot be reduced from 21 to 14. As indicated in their letter to CRJE, “The 21 day time frame was initiated at a time when the distribution of draft minutes was issued by hard copy. Now that the Divisional Action Report (DAR), which is distributed electronically, sets the timeline for a petition in motion, a shorter time line for submitting such a petition seems sensible. Over the past decade, many Senate timelines have accelerated in consideration of the availability of electronic distribution. This shorter period would more rapidly allow the Senate to understand the status of its own business—meaning that the decision made at the meeting stands or that it is subject to a ballot.”

¹ Please note that a minor editorial change was made to the first sentence of SCB 8.4.1 since it appeared in the April Senate Meeting Call.

Conducting versus overseeing mail ballots

CRJE finds what appears to be a conflict in the language of SCB 4.3 which says that the Secretary “conducts all elections and all mail balloting in the Santa Cruz Division, under the supervision of the Committee on Rules, Jurisdiction, and Elections” versus SCB 8.4.1 which says “the Committee on Rules, Jurisdiction, and Elections shall conduct a referendum by mail ballot” and SCB 9.1 which says “The mail ballot referendum will be conducted by the Committee on Rules, Jurisdiction, and Elections.”

The Committee recommends that the Senate Secretary be designated to conduct all mail ballots with CRJE overseeing them.

For clarity and consistency in counting of ballots, CRJE proposes that language similar to SCB 11.3 on elections be added to SCB 13.28.6. SCB 11.3 states: “The Committee on Rules, Jurisdiction, and Elections determines the dates on which Divisional elections should be held, counts or appoints tellers to count the ballots, and certifies the results to the Chair of the Santa Cruz Division.”

Current wording

Proposed wording

Current wording	Proposed wording
<p>SCB 8.4.1 Referendum. Upon petition by at least 25 members of the Santa Cruz Division, the Committee on Rules, Jurisdiction, and Elections shall conduct a referendum by mail ballot on any specific action of the Santa Cruz Division or of the Executive Committee acting for the Santa Cruz Division. Such a petition must be submitted not later than 21 calendar days after the Notice of Divisional Actions of the Santa Cruz Division or of the Executive Committee has been circulated to the Division either by mail or through direct electronic communications. The results of such a mail ballot referendum are deemed conclusive. The Santa Cruz Division may not reconsider for a period of one year a question substantially the same as that decided by the mail ballot. [DLI 1996.10C and 1996.10E]</p>	<p>SCB 8.4.1 Referendum. Upon petition by at least 25 members of the Santa Cruz Division, the <u>Senate Secretary, acting under the supervision of the Committee on Rules, Jurisdiction, and Elections.</u> Committee on Rules, Jurisdiction, and Elections shall conduct a referendum by mail ballot on any specific action of the Santa Cruz Division or of the Executive Committee acting for the Santa Cruz Division. Such a petition must be submitted not later than 21 14 calendar days after the Notice of Divisional Actions of the Santa Cruz Division or of the Executive Committee has been circulated to the Division either by mail or through direct electronic communications. The results of such a mail ballot referendum are deemed conclusive. The Santa Cruz Division may not reconsider for a period of one year a question substantially the same as that decided by the mail ballot. [DLI 1996.10C and 1996.10E]</p>

<p>SCB 9.1 Definition: A "Memorial to the Regents" is a declaration or petition addressed to the President of the University of California for transmission to The Regents. A "Memorial to the President" is a declaration or petition to the President not intended for transmission to The Regents. A "Memorandum" is a so-designated declaration or petition addressed to other than the President or The Regents, such as to the Chancellor of Santa Cruz or to the campus's representatives to the Assembly. [SB 90, SB 85]</p>	<p>SCB 9.1 [No change to paragraph 1]</p>
<p>The Division may submit Memorials to the President of the University of California and may initiate Memorials to The Regents on matters of Universitywide concern to be submitted to The Regents through the President. [SB 90B]</p>	<p>[No change to paragraph 2]</p>
<p>Memorials to the Regents, Memorials to the President, and Memoranda may be sent forward only after approval in a mail ballot by a majority of members of the Division eligible to cast votes, unless the decision not to conduct a mail ballot is made by the Santa Cruz Division at a Regular or Special Meeting at which the language of the ballot proposal shall be presented. If the Division decides against holding a mail ballot, a mail ballot will nevertheless be held upon petition of 25 voting members of the Division. Such a petition must be submitted not later than 21 calendar days after the Minutes of the Divisional Senate meeting reporting such action have been placed in the mail. The mail ballot referendum will be conducted by the Committee on Rules, Jurisdiction, and Elections in accordance with Universitywide Senate procedures [SB 95]; approval of the referendum by a majority vote shall constitute direction to the Division to send the Memorial to the Regents, Memorial to the President, or Memorandum forward.</p>	<p>Memorials to the Regents, Memorials to the President, and Memoranda may be sent forward only after approval in a mail ballot by a majority of members of the Division eligible to cast votes, unless the decision not to conduct a mail ballot is made by the Santa Cruz Division at a Regular or Special Meeting at which the language of the ballot proposal shall be presented. If the Division decides against holding a mail ballot, a mail ballot will nevertheless be held upon petition of 25 voting members of the Division. Such a petition must be submitted not later than 21 14 calendar days after the <u>Notice of Divisional Actions of the Santa Cruz Division or of the Executive Committee has been circulated to the Division either by mail or through direct electronic communications.</u> Minutes of the Divisional Senate meeting reporting such action have been placed in the mail. The mail ballot referendum will be conducted by the <u>Senate Secretary under the supervision of the</u> Committee on</p>

<p>SCB 13.28.6 The Committee supervises all Divisional elections. It supervises voting on propositions submitted to the Santa Cruz Division by mail ballot.</p>	<p>Rules, Jurisdiction, and Elections in accordance with Universitywide Senate procedures [SB 95]; approval of the referendum by a majority vote shall constitute direction to the Division to send the Memorial to the Regents, Memorial to the President, or Memorandum forward.</p> <p>SCB 13.28.6 The Committee supervises all Divisional elections. It supervises voting on propositions submitted to the Santa Cruz Division by mail ballot. <u>The Committee counts or appoints tellers to count all ballots.</u></p>
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Respectfully submitted,

COMMITTEE ON RULES, JURISDICTION AND ELECTIONS

Jean Fox Tree
K.C. Fung
Ira Pohl
William Scott
John O. Jordan, Chair

May 5, 2010

APPENDIX A

UNIVERSITY OF CALIFORNIA, SANTA CRUZ

AS/SCP/1368-5

SENATE ADVISORY COMMITTEE Proposed Amendment to Bylaw 8.4.1, Referendum

To: The Academic Senate, Santa Cruz Division

Continuing its review of Santa Cruz Divisional Bylaws begun last year, the Senate Advisory Committee would like to propose an amendment to bylaw 8.4.1, which is intended to enhance the efficiency and clarity of Divisional operations. We discuss below, the background and rationale for the change. For these reasons, the Senate Advisory Committee urges the enactment of the following bylaw amendment to the Divisional bylaws.

The following bylaw amendment will fix difficulties with our current rules regarding referenda. Currently, the deadline for submitting petitions requesting a mail ballot referendum on an issue decided at a Divisional Senate meeting is tied to the distribution of the “minutes”, without specifying whether they are draft minutes or approved minutes. Draft minutes really have no official status, and minutes of a meeting have taken as long as a year to be approved. Instead, we are proposing that the deadline for such petitions be tied to the Notice of Divisional Actions, which our Secretary must distribute to all Senate members within two weeks after each meeting. It is only divisional actions which are subject to referenda, and this change would require that referenda be initiated in a timely fashion after the Division has acted.

This change clarifies the prohibition regarding whether a matter can be reconsidered by the Division within one year of a referendum. It precludes such reconsideration only for substantially the same question, allowing for conforming amendments, and it eliminates the phrase “unless authorized to do so,” since it is unclear who has the power to provide such authorization.

Current	Proposed
<p>8.4.1 Referendum</p> <p>Upon petition by at least 25 members of the Santa Cruz Division, the Committee on Rules, Jurisdiction, and Elections shall conduct a referendum by mail ballot on any specific action of the Santa Cruz Division or of the Advisory Committee. Such a petition must be submitted not later than 21 days after the Minutes of the Santa Cruz Division or of the Senate Advisory Committee reporting such legislation or decision have been placed in the mail. The results of such a mail ballot referendum are deemed conclusive. The Santa</p>	<p>8.4.1 Referendum</p> <p>Upon petition by at least 25 members of the Santa Cruz Division, the Committee on Rules, Jurisdiction, and Elections shall conduct a referendum by mail ballot on any specific action of the Santa Cruz Division or of the Advisory Committee. Such a petition must be submitted not later than 21 days after the Notice of Divisional Actions Minutes of the Santa Cruz Division or of the Senate Advisory Committee reporting such legislation or decision have has been placed in the mail. circulated to the Division either by mail or</p>

<p>Cruz Division may not reconsider such action for a period of one year unless authorized to do so. [DLR 1996.10C and 1996.10E]</p>	<p><u>through direct electronic communications.</u> The results of such a mail ballot referendum are deemed conclusive. The Santa Cruz Division may not reconsider such action for a period of one year unless authorized to do so <u>may not reconsider for a period of one year a question substantially the same as that decided by the mail ballot.</u> [DLR 1996.10C and 1996.10E]</p>
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Respectfully submitted,

SENATE ADVISORY COMMITTEE

Dave Belanger, Secretary
Sandy Faber, COC
Carol Freeman, CEP
Carolyn Martin-Shaw, P&T
Bob Meister, CPB
Alan Richards, CAP
Tony Fink, CAFA
Steve Thorsett, COR
Faye Crosby, CFW
Quentin Williams, GC
John Lynch, Assembly Rep
Alison Galloway, Vice Chair
George Blumenthal, Chair

January 10, 2003