

UNIVERSITY OF CALIFORNIA
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NOTICE OF MEETING
MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE VIA TELECONFERENCE

Wednesday, December 1, 2010
1:00 - 3:30 pm

To participate in the teleconference, contact your divisional Senate office for the location of a central meeting place.

If you are off-campus, you may call 1-866-740-1260 and key in access code 9879467#.

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IX. PETITIONS OF STUDENTS [NONE]

X. UNFINISHED BUSINESS [NONE]

XI. NEW BUSINESS

I. Roll Call of Members

2010-11 Assembly Roll Call December 1, 2010

President of the University:

Mark Yudof (absent)

Academic Council Members:

Daniel Simmons, Chair
Robert Anderson, Vice Chair
Fiona Doyle, Chair, UCB
Robert Powell, Chair, UCD
Alan Barbour, Chair, UCI
Ann Karagozian, Chair, UCLA
Evan Heit, Chair UCM
Mary Gauvain, Chair, UCR
Frank Powell, Chair, UCSD
Elena Fuentes-Afflick, Chair, UCSF
Henning Bohn, Chair, UCSB
Susan Gillman, Chair, UCSC
William Jacob, Chair, BOARS
James Carmody, Chair, CCGA
Francis Lu, Chair, UCAAD
Ahmet Palazoglu, Chair, UCAP
David Kay, Chair, UCEP
Joel Dimsdale, Chair, UCFW
Phokion Kolaitis, Chair, UCORP
James Chalfant, Chair, UCPB

Berkeley (6)

Daniel Boyarin
Robert Jacobsen (alternate for Steven Beissinger)
Thomas Laqueur
Mary Ann Mason
Bernard Sadoulet

Davis (6)

Richard Grotjahn
Joel Haas
Joseph Kiskis
Brian Mulloney
Terence Murphy
Krishnan Nambiar

Irvine (4)

Luis Aviles
Ulysses Jenkins
Tahseen Mozaffar

Los Angeles (8)

Paula Diaconescu
Malcolm Gordon

Jody Kreiman
Timothy Lane
Duncan Lindsey
Susanne Lohmann
Purnima Mankekar
Joseph Nagy

Merced (1)

Ignacio Lopez-Calvo (absent)

Riverside (2)

Thomas Morton
Albert Wang

San Diego (5 – 1 TBA)

Timothy Bigby
Sandra Brown
Lorraine Pillus
Peter Wagner

San Francisco (3)

Farid Chehab
David Gardner
Deborah Greenspan
Wendy Max

Santa Barbara (2)

Ralph Armbruster
Gayle Binion
John Foran

Santa Cruz (2)

Joseph Konopelski
Marilyn Walker

Secretary/Parliamentarian

Jean Olson

MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE

June 16, 2010
MINUTES OF MEETING

I. ROLL CALL OF MEMBERS

Pursuant to call, the Assembly of the Academic Senate met on Wednesday, June 16, 2010. Academic Senate Chair Henry Powell presided and called the meeting to order at 10:00 am. Senate Executive Director Martha Winnacker called the roll of Assembly members. Attendance is listed in Appendix A of these minutes.

II. MINUTES

ACTION: The Assembly approved the minutes of the April 21, 2010 meeting as noticed.

III. ANNOUNCEMENTS BY THE CHAIR

- Henry Powell, Chair of the Academic Assembly

Total remuneration study. Chair Powell announced that the total remuneration study has been drafted but not released. Its results show that total remuneration is not competitive for all employee groups, not just for faculty. UCFW reviewed the study's methodology and found it to be sound.

Timeline for review of Post-Employment Benefits (PEB) Task Force Report. Chair Powell noted that at the end of June, Randy Scott, the Executive Director of Talent Management and Staff Development in Human Resources, will provide the president with an executive summary of the recommendations of the PEB Steering Committee. In July, the Regents will hear about proposed rates for employer and employee contributions for next year, and a proposal addressing the amortization of the pension fund debt. Employee contributions are likely to rise to 3.5% with a 7% employer contribution in July 2011, and then again to a 5%/10% contribution in July 2012. In mid-August, the report will be released. In September, they will take action on those two items. In September and November they will hear presentations on the post-employment benefits options for the future recommended by the Task Force, and the president will make his recommendations to the Regents. A special Regents' meeting is likely to be scheduled in December at which the Regents may vote on these options. The Academic Assembly will meet on December 1. This timeline is subject to change.

Commission on the Future. Chair Powell stated that at the meeting of the Commission on the Future, Senate representatives were able to convey Senate positions due to the feedback and cogent analysis provided by the divisions and committees. Because of this feedback, the Senate played an influential role in the discussion. He addressed questions about why the Commission only addressed certain recommendations and about the origin of the "Expanded Recommendations." He noted that the Commission does not have bylaws or a set of procedures to govern its discussions and this was emblematic of the chaos that has characterized the Commission process. The Expanded Recommendations were not discussed at the Commission meeting. A member noted that the Assembly must guard against any body that would trespass on

the delegated authority of the Senate. Vice Chair Simmons stated that fortunately, the Senate response anticipated all of these recommendations, except semesterization. At the beginning of the meeting, the Senate response was distributed to the members. When the Senate took issue with the recommendations, they were not put forward for action. Several items were referred back to the Senate for development, giving us the responsibility and opportunity to address these issues. A member asked about the timeline and process for reviewing the new recommendations. Chair Powell stated that they will be distributed for review and the Senate will require adequate time for review before the Commission adopts any motions or and takes them to the Regents. He also anticipates that additional Commission meetings will take place in the fall. A member suggested that the Senate should recommend that the Working Groups be brought back into the process to review the new recommendations. He noted that some of the Extended Recommendations are iterations of the ones that the Working Groups considered and rejected. Chair Powell reported that the Commission made the following decisions: 1) to continue to explore the creation of online courses through a pilot program, which was approved by the Academic Council, contingent on obtaining external funding; 2) to develop strategies and mechanisms for increasing revenue from indirect cost recovery; 3) to ask the Senate to develop a plan for easing the transfer process; and 4) to rename “fees” as “tuition.” Members commented that the Commission has not put forth a long-term budgetary plan for maintaining the health of the university.

Transfer. Chair Powell stated that there is a perception in the legislature that it is difficult to transfer and that major prerequisites are different on all campuses. Two bills—SB 1440, which applies to the CSU, and AB 2302, which applies to UC—seem likely to pass. However, the real problem is capacity—UC already enrolls more transfer students than called for by the Master Plan. The president challenged the Senate to examine the transfer issue and to resolve whether there truly is a problem. Provost Pitts plans to convene faculty in popular majors to examine lower division programs and come to agreement within UC about core competencies. Simultaneously, the Intersegmental Committee of Academic Senates is planning to expand a common course identification project to identify common major prerequisites. Members engaged in a discussion of the advantages and problems with streamlining major prerequisites.

IV. ANNOUNCEMENTS BY THE PRESIDENT

Please see Appendix B for President Yudof’s remarks.

V. SPECIAL ORDERS [NONE]

VI. REPORTS OF STANDING COMMITTEES [NONE]

A. Academic Council

1. UCR&J ruling on Senate Regulation 474 **[INFORMATION]**
2. Nomination and Election of 2010-11 UCOC Vice Chair.
ACTION: Assembly unanimously approved the election of the UCOC Vice Chair as noticed.
3. Ratification of Council’s recommendation for Senate parliamentarian.
ACTION: Assembly unanimously approved the appointment of the Senate parliamentarian as noticed.
4. Ratification of 2010 Oliver Johnson Awardee.
ACTION: Assembly unanimously approved the recipient of the 2010 Oliver Johnson Award as noticed.

5. Announcement of Senate representative to UCRS Advisory Board **[INFORMATION]**
6. Notification of apportionment of 2010-11 Academic Assembly Representatives **[INFORMATION]**
7. 2010-11 Assembly meeting dates **[INFORMATION]**
8. Academic Council Recommendation to UC Commission on the Future

Chair Powell stated that the Academic Council's recommendation to the Commission on the Future will be distributed to the Senate for formal systemwide review. Given the magnitude of the budget problem and the university's \$14 billion liability for post-employment benefits, both of which will have a negative impact on the university's programs and operating budget, the Council recommended a) downsizing the University by temporarily downsizing the faculty and staff; b) foregoing new building and capital projects that are not absolutely essential for safety or core academic programs (such as at UC Merced); and c) ensuring that any new programs have a long-term funding stream or identify offsetting cuts in positions or programs to fund the new program. He noted that the Council vote was very close (8 to 7 with 2 abstentions). The recommendations stem from the principle that the University's guiding priority should be the maintenance of the quality of the research faculty, which establishes the prestige of the university. He noted that if that were lost, it would be very difficult to rebuild a quality faculty or the reputation of the University. He noted that many faculty are uncomfortable with stressing faculty remuneration as a priority over other UC employees, but the job of the Senate is to stand up for the interests of the faculty, and to protect the University. This recommendation is a short-term, tactical solution to protect the faculty and the University. The campus EVCs believe that it is more effective to use funds for recruitment and retention; this effectively means downsizing the faculty through attrition, rather than planning. It also means a reduction in research productivity that will have a negative impact on the quality of educational programs. The faculty must shape how downsizing proceeds. He noted that the University must make difficult choices, and the Senate should play a role by providing specific recommendations and advice. The Council recommendation is meant to begin this conversation. He hopes to get advice from the divisions about the specific impacts and implications of the recommendation for the campuses if it were to be implemented.

9. Los Angeles Division's recommendation.

UCLA Divisional Chair Robin Garrell introduced their division's Statement of Academic Senate Values and Recommendations. She stated that UCLA division developed this in response to problematic aspects of the Academic Council resolution, namely: 1) It does not reflect the views of the divisional chairs; 2) It overemphasizes faculty remuneration; 3) It too rigidly constrains capital construction, not allowing for the construction of projects that are funded by private donors or the federal government, and does not make an explicit exception for meeting the needs of UC Merced; 4) It was weakly endorsed, undermining its message; and 5) It does not reflect consensus on many issues among the faculty. The UCLA Statement aims to be broader and more nuanced and to find common ground among the divisions. It also is less aggressively self-serving by including staff as central assets to the University. It provides more leeway for capital projects, including spending funds for such things as establishing laboratories for new faculty. She asked the Assembly to endorse the UCLA Statement for submission to the president.

Assembly members discussed both the Council recommendation and the UCLA statement. A member noted that the UCLA statement includes a moratorium on new buildings, but not on capital projects (defined as construction spending in excess of \$750K), while the Council

resolution on capital projects is merely a recommendation, not a statutory provision. Vice Chair Simmons stated that Council needs opinions on the impact of implementing these recommendations on individual campuses. A member asked whether the UCLA statement should be considered as one response among many to the Council resolution, and asked about the opinions of other divisions. A member argued that the Assembly should not endorse either of the recommendations, but instead should send both out for review. Since the president referred the Council resolution back to the Senate, we have the opportunity to revise it and incorporate other suggestions from the campuses. Vice Chair Simmons spoke in favor of this approach, stating that the Council recommendation was meant to introduce a discussion of the difficult choices facing the University, and to put these stark choices before the Commission. UCLA Division Chair Garrell agreed to a substitute motion to send both documents for systemwide review. Several members spoke in support of the motion, noting that it would provide an opportunity to discuss and refine the recommendation, incorporating positive aspects of both documents. A member noted that there is tension between the Senate as an advocate for the faculty and the Senate as a participant in shared governance concerned with the good of the University. However, in this case, what is good for the faculty is critically important for the University. A member commented that in any recommendation about downsizing, it is important to allow flexibility. Some members spoke against the motion, arguing that the UCLA statement is merely a divisional position, and does not have equal status with a Council resolution. Vice Chair Simmons stated that a recommendation that emerges as a result of systemwide review will be stronger, and can be brought to the December 2010 Assembly meeting for consideration.

ACTION: Assembly voted to send both the UCLA statement and the Academic Council's recommendation to the Commission on the Future to the divisions and committees for systemwide review and comment.

10. Discussion of Senate response to the Commission on the Future

Assembly members engaged in a wide ranging discussion of issues raised by the Commission on the Future. One member expressed concern about the recommendations that the Academic Council conditionally approved; the Senate must ensure that its concerns are addressed in the implementation phase. Vice Chair Simmons stated that the Senate's voice was authoritative at the Commission meeting, and the administration recognized that the Senate is responsible for implementing the recommendations that are within Senate purview. Members also expressed concern about the scope and tone of the Expanded Recommendations. It is not clear when or if the Commission will discuss the new recommendations.

VIII. UNIVERSITY AND FACULTY WELFARE REPORT

UCFW Chair Shane White reported that the report of the Task Force on Post-Employment Benefits will be released soon. Faculty members serving on the Task Force are concerned that the updated total remuneration study shows that UC's salary and benefits are uncompetitive across all employee groups, and that under the proposed new tiers for retirement benefits, the University will be unable to recruit and retain faculty. He noted that Assistant Professors are the most disadvantaged group of all of the groups modeled. He stated that UCRP requires 20% of covered compensation; since the state currently is refusing to pay into the system (even though it pays into CalSTRS and CalPERS), the employer portion most likely will be provided by borrowing money from the University's own funds (the Short Term Investment Pool) at a lower

rate than available on the market. Chair Powell urged Assembly members to attend campus PEB briefings and to educate themselves about the options when the report is released.

IX. PETITIONS OF STUDENTS [NONE]

X. UNFINISHED BUSINESS [NONE]

XI. NEW BUSINESS [NONE]

The meeting adjourned at 4:00 p.m.

Attest: Henry Powell, Academic Senate Chair

Minutes Prepared by: Clare Sheridan, Academic Senate Analyst

Attachments: Appendix A – Assembly Attendance Record, Meeting of June 16, 2010
Appendix B – Remarks of President Yudof to the Assembly of the Academic Senate

DRAFT

Appendix A – 2009-2010 Assembly Attendance Record, Meeting of June 16, 2010

President of the University:

Mark Yudof

Academic Council Members:

Henry Powell, Chair

Daniel Simmons, Vice Chair

Christopher Kutz, Chair, UCB

Robert Powell, Chair, UCD

Judith Stepan-Norris, Chair, UCI

Robin Garrell, Chair, UCLA

Martha Conklin, Chair UCM

Anthony Norman, Chair, UCR

William Hodgkiss, Chair, UCSD

Elena Fuentes-Afflick, UCSF

Joel Michaelsen, Chair, UCSB

Lori Kletzer, Chair, UCSC

Sylvia Hurtado, Chair, BOARS

Farid Chehab, Chair, CCGA

Ines Boechat, Chair, UCAAD (absent)

Alison Butler, Chair, UCAP (absent)

Keith Williams, UCEP

Shane White, UCFW

Gregory Miller, Chair, UCORP

Peter Krapp, Chair, UCPB

Berkeley (6)

Daniel Boyarin (absent)

Suzanne Fleiszig (absent)

Fiona Doyle (alternate for James Hunt)

Anthony Long (absent)

Paula Faas (alternate for Mary Ann Mason)

Pablo Spiller (absent)

Davis (6)

Joel Haas

Brian Morrissey

Brian Mulloney

Krishnan Nambiar

John Oakley

David Simpson (absent)

Irvine (4)

Sheryl Tsai (alternate for Hoda Anton-Culver)

Luis Aviles

Kenneth Chew

David Kay

Los Angeles (9 - 1 TBA)

Paula Diaconescu

Malcolm Gordon

Jody Kreiman (absent)

Timothy Lane (absent)

Duncan Lindsey (absent)

Susanne Lohmann

Purnima Mankekar (absent)

Joseph Nagy

Natik Piri (absent)

Merced (1)

Nella Van Dyke

Riverside (2)

Manuela Martins-Green

Albert Wang

San Diego (4)

Salah Baouendi (absent)

Timothy Bigby

Sandra Brown

Stephen Cox (absent)

San Francisco (3)

David Gardner

Deborah Greenspan

Sandra Weiss

Santa Barbara (3 – 1 TBA)

Gayle Binion (alternate for Richard Church)

Henning Bohn (alternate for Chuck Bazerman)

Santa Cruz (2)

Mark Carr

Marc Mangel (absent)

Secretary/Parliamentarian

Peter Berck

Appendix B – Remarks of President Yudof to the Academic Assembly

- Thank you very much, Harry. It's a pleasure to be with you all again. I know these have been uncertain and unsettling times for all of us lately, but fortunately we've had some good news out of Sacramento since we last met.
- The Governor introduced a favorable May revise, restoring \$305 million cut from last year's budget, along with \$51 million for enrollment funding and full funding for Cal Grants.
- Both the Assembly and the Senate said they too wanted to make higher education a priority. Though they differed on the details, this is a big shift for us – the state is starting to get its priorities in order.
- That is, truly, huge progress for the University.
- We remain mindful of the difficult choices to be made during the budget process, especially with regards to social programs, but we now find ourselves in an enviable position.
- Our position is the result of strong advocacy over the past year. More than 13,000 emails went to legislators in support of the Governor's revise for UC. Our rally days, like March 1 with the students and April 27 with leaders from all three segments were hugely successful. And the individual work being done on a person-to-person basis – by me, by chancellors, by faculty, business leaders and student leaders – both in Sacramento and in our local communities around the state has made a difference.
 - I'd like to thank Harry for the strong priority he has placed on faculty advocacy. Your voices have made a difference.
- For the past year or so, we've been in crisis mode: compelled to take a series of desperate and temporary measures to dig our way out of a billion dollar hole.
- We're now at the point where we can –and must—look over the horizon and come up with some long term, sustainable ways of operating.

EFFICIENCIES

- As you know, we've already done much: restructuring UC's debt, improving strategic sourcing and e-procurement, seeking energy efficiencies, reorganizing the Office of the President.
- That's only the beginning. Over the next five years, I believe we can redirect hundreds of millions of dollars annually from administrative costs to the core academic and research missions of the university.
- There are many reasons why we must do this. Most immediately, the art of administration is the elimination of all excuses. It's our job to clear the landscape and prepare the platform by which our wonderful faculty and researchers and students perform their daily magic. The faculty are the backbone of this university and too many of you have seen your departments adversely affected by budget cuts. We owe it to you to redirect every dollar possible to the teaching and research missions you lead.
- These efficiencies we'll be talking about and chasing are not about shrinking the University. They are about preparing it to maintain its brilliance –much as a farmer pruning his trees or vines, to prepare them for robust and fruitful growth in the next season.
- None of this can happen without the full cooperation and collaboration of ten chancellors, CUCSA, represented groups, faculty, members of the community. There is much we can learn from each other and greater efficiencies to be found across many campuses working together.
 - For that reason, I've asked Nathan Brostrom and Peter Taylor to go to the campuses, to meet with their colleagues and consult with their partners. I hope that working together, we can find and test the best ideas with each other, find areas of collaboration and opportunity and push the boundaries of the project as far as possible.
- I know that seeking efficiencies has been the rage in the business world for years. There are those who will ask what's taken us so long. Here's why: Not all organizations, especially those in the social sector, can be run like businesses. This suggests by no

means we shouldn't borrow from the best practices of the best businesses, but the fact is, what we offer cannot be priced at a profit. Our metric is how we fulfill our public mission: to educate Californians, to generate new knowledge, to provide healthcare for all, including the needy.

- We're a special type of organization, trying to nurture creative thinkers, to educate students, to turn out the professionals, teachers and other leaders of our society. We are a relatively flat organization with shared governance. Our campuses have a great deal of autonomy. We have immensely complex social and legal responsibilities. In an era of scarcity, our goal must be to preserve the quality of the institution.
- My ultimate vision is that we're more accessible to Californians, in particular to low-income students; that we serve more students; that we make Herculean efforts to reflect the demography of our state, that we preserve not only the values, but also of the outcomes we have produced for the last century and a half. The question is how do we preserve those outcomes in an era of scarcity?

COMMISSION ON THE FUTURE

- The Commission on the Future is looking into these questions and is now deep into its work. We met earlier this week to review the first round recommendations submitted by the working groups, the Academic council and others.
- I forwarded the Academic Council's recommendations and your letter directly to the Commission.
- Commission examined your recommendations, including one to downsize the university. Others included enhancing the transfer, improving time to degree, establishing a multi-year fee schedule for students and continuing to explore online instruction.
- I'm happy to discuss these or any other topics of interest with you.

III. ANNOUNCEMENTS BY THE CHAIR

- Daniel Simmons

IV. ANNOUNCEMENTS BY THE PROVOST

- Lawrence Pitts

V. SPECIAL ORDERS [NONE]

VI. REPORTS ON SPECIAL COMMITTEES [NONE]

**A. Oral report on the Academic Council Special Committee on a Plan for UC
(Information)**

- Henry Powell, Chair, Special Committee

VII. REPORTS OF STANDING COMMITTEES

A. Academic Council

- Daniel Simmons, Chair

1. Strategic Planning for the University (Discussion)

B. Annual Reports (2009-10) (Information)

ACADEMIC COUNCIL ANNUAL REPORT 2009-10

TO THE ASSEMBLY OF THE ACADEMIC SENATE: The Academic Council is the executive committee of the Assembly of the Academic Senate and acts on behalf of the Assembly on non-legislative matters. It advises the President on behalf of the Assembly and has the continuing responsibility through its committee structure to investigate and report to the Assembly on matters of Universitywide concern.

During the 2009-10 year, the Academic Council considered multiple initiatives, proposals, and reports, and responded to all of the recommendations of the Working Groups of the UC Commission on the Future. Its final recommendations and reports can be found on the [Academic Senate website](#). Matters of particular import for the year include:

UC COMMISSION ON THE FUTURE

The Senate expended great effort participating in the proceedings of the UC Commission on the Future. Faculty members Anil Deolalikar (UCR), Cynthia Brown (UCSB) and Chair Henry Powell served as members of the Commission, and Vice Chair Daniel Simmons was an *ex-officio* member. In addition, 46 faculty members served on the Commission's five Working Groups. Numerous faculty on Senate systemwide and divisional committees comprehensively reviewed and commented on two sets of recommendations issued by the Working Groups. Finally, Senate faculty at each campus also had an opportunity to review the recommendations and many commented upon them. See the following links for detailed Senate responses to the [first round](#) and [second round](#) of recommendations.

In general, Council was disappointed that the recommendations did not offer a comprehensive vision of UC's future. Rather, they provided incremental, budget-driven solutions focused on efficiency. They tended to be driven by fiscal expediency, rather than be justified pedagogically. Council also was concerned that many of the proposals would undermine ordinary processes of University governance. Since the proposals lacked implementation details and evaluation of their costs and benefits, Senate endorsement of any of the recommendations will be contingent on further review of well-specified proposals.

BUDGETARY ISSUES

In July 2009, under the newly adopted Regents' Standing Order 100.4, the president declared a fiscal emergency and authorized furloughs systemwide to achieve budgetary savings. Contrary to Council's recommendation, the administration decided to prohibit campuses from implementing furloughs on instructional days. In November, Council wrote a [letter](#) stating that this decision undermined the distinctive mission of the University to pursue research as one of its three principal responsibilities.

The 2009-10 year began with a budgetary summit hosted by Interim Provost Pitts to familiarize Senate committee and divisional chairs with the fiscal challenges facing the University. In the

spring, Provost Pitts held regular teleconferences with a subset of divisional and committee chairs to brief them on budget issues.

Throughout the year, UCPB issued a series of papers assessing the larger budgetary framework, evaluating ideas that were suggested in various budget meetings, and suggesting alternatives. In February, it released a white paper on differential fees by campus and major and non-resident tuition, which was distributed for systemwide review. UCPB addressed the three issues in one paper because they all are driven by the imperative to find new revenues. Council felt that the three should not be linked, and chose to address the issues individually through the Senate review of the recommendations of the Commission on the Future Working Groups. In the meantime, UCPB also released the “[Choices](#)” report, which more comprehensively addressed many of the points in the white paper upon which there was agreement. Council decided to circulate UCPB’s “Choices” report widely as a draft for discussion in order to frame the discussion of these issues in the on-going review of the Working Group recommendations to the UC Commission on the Future. It also initiated a systemwide review of the Choices report. In June, Council endorsed the Choices report as a document that provides history, context and analysis supporting future discussion of next steps in the budget process.

In addition, UCPB and UCORP issued a report evaluating the University’s indirect cost recovery practices and advocating changes that would increase the revenues recovered (see Research, below).

FACULTY WELFARE

Since no monies were available to fund the faculty salary plan, Council began to focus on ensuring competitive total remuneration and protecting retirement benefits. In February, the Academic Council endorsed an [update](#) of the May 2009 “TFIR Recommendation to Assure Adequate Funding for UCRP” proposing that, absent state funds, the University could provide the employer contribution to UCRP by issuing Pension Obligation Bonds.

Senate members also served on the Steering Committee of the President’s Task Force on Post-Employment Benefits, which issued a recommendation for restructuring pension and retiree health benefits at the end of August. The faculty and staff members issued a dissenting statement and requested that the president also consider an alternative proposal that the Task Force discussed, but did not include as an option in its recommendation. The president agreed to consider this alternative.

The chairs of UCAP, UCFW, and UCPB recommended to the Academic Council that UC examine cost projections of different scenarios for returning salaries to competitiveness based on UC’s Comparison 8 institutions. A joint UCAP-UCFW-UCPB subcommittee met several times between December and May to review salary data provided by UCOP, as well as the costs associated with restoring competitive salaries. Those data highlight that the current faculty salary scales do not serve UC’s merit- or market-based goals to compensate faculty appropriately. The joint UCAP-UCFW-UCPB work group consulted with James Litrownik, Janet Lockwood, and Patricia Price from Academic Personnel, discussed the declining competitiveness of UC’s salary scales, and developed three recommendations. The report will be considered by the 2010-11 Academic Council.

ADMISSIONS

In January, BOARS issued a report to the Regents evaluating the extent to which the new SAT aligns with BOARS' January 2002 [principles for testing](#) and recommending that the Regents remove the provisional status of the SAT-R.

BOARS also wrote a memo, unanimously endorsed by Council, clarifying the [intent of the eligibility policy](#) approved by the Regents in February, 2009. The memo responded to critiques from external groups and outlined BOARS' expectations about the impact it will have on improving the fairness of the UC admissions process and increasing access to the University of California by opening the doors to a larger number of California students from every high school in the state. BOARS members spent considerable time on outreach to community groups explaining the policy and its expected impact.

In June, BOARS submitted a report on the [effectiveness of comprehensive review](#) from 2003 to 2009 to the Regents and, at the request of President Yudof, also completed a special report on holistic review admissions procedures.

Council also [rejected](#) a proposal to include earth, environmental and space sciences in the language of the Area 'd' laboratory science admissions requirement after being reviewed systemwide.

GRADUATE EDUCATION

In November, Council wrote a [letter](#) to President Yudof expressing concern about the impact of graduate student fee increases on students and academic departments and requested that the Regents reconsider fee increases. While this did not occur, the Working Groups of the Commission on the Future recommended that graduate students be shielded from future fee increases. CCGA also produced a [white paper](#) on the contributions of graduate students to research at the University of California.

In June, CCGA and UCPB commented on proposals for new professional degree fees and principles which should guide the approval or disapproval of such fees.

Council also authorized a new degree title, the Master of Professional Accountancy (M.P.Ac.).

UNDERGRADUATE EDUCATION

In February, Council [responded to the report of the Undergraduate Educational Effectiveness Task Force](#) based on a systemwide review of the report. Council supported the principle that any new campus-wide forms of assessment must remain under the control of the faculty, but was concerned that implementing assessment programs will be a burden on faculty time, and may not be feasible at a time of widespread budget reductions.

In May, Council [endorsed a pilot program](#) initiated through the Office of the President to create and evaluate online courses to ensure academic quality, contingent on the receipt of outside funding. In July, Council endorsed the [report of the Senate Special Committee on Remote and](#)

[Online Instruction and Residency](#), which was revised based on comments received via systemwide review. The report's conclusions and eight recommendations reflect the same sense of caution coupled with a willingness to proceed that the Academic Council expressed in its endorsement of the online learning pilot project.

EDUCATION ABROAD PROGRAM (EAP)

In 2008-09 a Joint Senate-Administrative Task Force convened to create a new business plan for EAP. The Task Force issued its report in June 2009, which recommended establishing a governance committee with Senate participation charged with devising a viable budget.

In November, Council [requested](#) that the position description for the UOEAP Executive Director be changed to require that an academic administrator who could qualify for a tenured faculty position on a UC campus be appointed and that it be reclassified at the level of a Dean (Associate Dean) or Vice Provost. In February, Council requested that the Chair or Vice Chair of the Academic Council be appointed to serve as Co-Chair of the EAP Governing Committee with the Provost in order to reaffirm that EAP is an academic program, appropriately overseen by faculty as part of the Senate's responsibility for courses and curricula. This request was denied.

In March, Council submitted its [comments](#) on the systemwide review of the report of the Joint Task Force on EAP. It reemphasized that EAP is an academic program that should remain under faculty oversight. The Senate's principal concerns about the restructuring of EAP focused on the composition and reporting lines of the EAP Governing Committee, fees, reciprocity students, and course-by-course articulation.

RESEARCH ISSUES

As noted above, Council formally objected to the decision to preclude campuses from implementing furloughs on instructional days because it undermines recognition of research as one of the three principal responsibilities of the faculty and distinctive mission of the University.

In April, Council unanimously endorsed the recommendations of a joint UCORP-UCPB report on the University's [indirect cost recovery](#) practices. The report recommended that UC review its current ICR model and make changes to it, including negotiating higher rates with federal agencies, reexamining the University's waiver policy for other funding sources, and increasing efficiencies.

The Academic Council found that the 2009 review of the Division of Agriculture and Natural Resources was not as rigorous as expected. Accordingly, Council asked the committees on Planning and Budget and Research Policy to develop [metrics that could guide future reviews](#) and the Division's strategic planning process. Council requested a response from DANR by November 2010 and recommended that this response be used as a benchmark for DANR's next five year review.

In July, Council requested that \$5M in uncommitted laboratory fee income be used to fund a small research grant competition or that the money be used as one-time funding for Graduate Student Health Insurance Programs, rather than to fund salaries of DOE employees with visiting appointments.

GOVERNANCE

In March, Council issued a letter to the president communicating its understanding of the role of [consultation](#) and the forms it should take in the exercise of shared governance. In light of the budgetary crisis and the decisions that may shape the future of the University, Council offered a set of guidelines for meaningful consultation.

In July, after a two-year review, Council approved revisions updating the Compendium, which outlines review processes for academic programs, units and research units. It will be forwarded to the administration for approval.

In June, Council recommended the establishment of a systemwide joint Senate-Administrative Task Force to pursue efficiencies in the compliance programs required by the University. It also recommended the establishment of parallel campus-based task forces to review the mandating authorities and justification, cost, design, and implementation of compliance efforts.

SENATE TASK FORCES AND SPECIAL COMMITTEES

Senate members participated on the following task forces and special committees:

- Special Committee of the Academic Senate on Remote and Online Instruction and Residency
- Task Force on Academic Senate Membership
- Joint Senate/Administrative Task Force on Revising the Compendium
- Joint Senate-Administrative Task Force on the Education Abroad Program
- President's Task Force on Post-Employment Benefits

REVIEW OF ADMINISTRATIVE PROPOSALS AND INITIATIVES

In January, the Council wrote to President Yudof strongly opposing [differential fees](#) by major. Although it was removed from the September Regents' agenda, Council initiated a systemwide review of the issue in anticipation that it would be a topic of consideration by the UC Commission on the Future. Council objected to the proposal because it was not adequately supported by data or sufficient information about implementation, could potentially erect barriers that will prevent students, particularly students from low-income families, from selecting certain majors, and would be a major departure from UC's "one University" tradition.

Council also reviewed proposed new [policies for Senior Management Group](#) personnel on absence from work, including transition leave, outside professional activities, and responded to proposed technical changes to the patent policy.

As noted above, Council endorsed a pilot program on online learning initiated by the Office of the President.

REVIEW OF THE ACADEMIC PERSONNEL MANUAL (APM)

Council reviewed and commented on the following changes to the APM:

- Technical revisions to APMs 015, Part II; 036-0; 140-33-b; 160, Appendix A; 230-20-h; 220-4-b; 310-317-c
- Revisions to APMs 241, 246, 245, 633, 242, 630 and 632 clarifying the role of faculty administrators.

SENATE BYLAWS

- The Assembly repealed SR 764, which had limited credit in special study courses to five units per term for undergraduates.
- The Assembly amended Senate Bylaw 140, B 4 and Bylaw 335, A 2 to conform with newly approved language in the University's non-discrimination policy by including sexual orientation and gender identity.

RELATIONS WITH OTHER GOVERNING BODIES

Joint Administrative/Senate Retreat

The Academic Council meets in alternate years with the Chancellors and with the Executive Vice Chancellors to discuss matters of joint concern. This year, Council members met with the Chancellors to discuss: 1) ethics and industry support for research; 2) shared governance and administrative-faculty relations; 3) community relations; and 4) program disestablishment and review.

The Regents

The Academic Council Chair and Vice Chair executed their roles as faculty representatives to The Regents throughout the year, acting in an advisory capacity on Regents' Standing Committees, and to the Committee of the Whole. Regent Gould attended the February Council meeting.

ICAS

Chair Powell also chaired the Intersegmental Committee of the Academic Senates, a group representing the faculty Senates of the California Community Colleges, California State University, and the University of California. The group was particularly active in advocacy efforts in the state capitol, joining forces, along with student leaders, to make multiple visits to legislators and other policymakers. The Senate chairs also testified at several hearings convened by the Joint Committee on the Master Plan, chaired by Assemblyman Ira Ruskin. ICAS also continued its coordination to improve the transfer process, agreeing to convene faculty across the segments in particular pilot disciplines to try to agree on content for major preparation courses. It approved updated competency statements for the mathematics skills expected of high school applying to California colleges, agreed to form a committee to update the science competency statements, and agreed to form a task force to reexamine the Area 'b' (English) admissions requirements in 2010-11.

SENATE POSITIONS ON STATE AND FEDERAL LEGISLATION

- After consultation with BOARS, UCAAD and UCEP, the Senate urged the University to remain neutral on AB 2047, which would authorize UC and CSU to consider “race, gender, ethnicity, national origin, geographic origin, and household income, along with other relevant factors” in undergraduate and graduate admissions “so long as no preference is given” because it would be difficult to implement, as written.
- The Senate opposed AB 2302 in its original form, which would have required the creation of a California community college (CCC) transfer degree and guarantee third year status at UC or CSU, and SB 1440, which would create an AA transfer degree in a student’s field for completing the Intersegmental General Education Transfer Curriculum (IGETC) or another transfer pathway. Senate representatives met with legislative advocates and provided substitute language more acceptable to the Senate that was accepted and amended into the bill.
- The Senate urged the University to strongly oppose AB 2400, which would authorize the Grossmont-Cuyamaca, San Diego, and San Mateo County Community College Districts to establish baccalaureate degree pilot programs.

ACKNOWLEDGEMENTS

We express our sincere gratitude to all members of the University of California Office of the President for their hard work and productive collaboration with the Academic Senate over the past year. In particular, we thank these senior UC managers who, as consultants to the Academic Council, were vital to our meetings: Mark G. Yudof, President; Provost and Executive Vice President Lawrence Pitts; Executive Vice President-Business Operations Nathan Brostrom; and Associate Vice President-Policy and Analysis Marsha Kelman.

Henry Powell, Chair
Daniel Simmons, Vice Chair

Divisional Chairs:

Christopher Kutz, Berkeley
Robert Powell, Davis
Judith Stepan-Norris, Irvine
Robin Garrell, Los Angeles
Martha Conklin, Merced
Anthony Norman, Riverside
William Hodgkiss, San Diego
Elena Fuentes-Afflick, San Francisco
Joel Michaelsen, Santa Barbara
Lori Kletzer and Susan Gillman, Santa Cruz

Senate Committee Chairs:

Sylvia Hurtado, BOARS
Farid Chehab, CCGA
Ines Boechat, UCAAD
Alison Butler, UCAP
Keith Williams, UCEP
Shane White, UCFW
Gregory Miller, UCORP
Peter Krapp, UCPB

Council Staff:

Martha Winnacker, Executive Director
Todd Giedt, Associate Director
Clare Sheridan, Senior Policy Analyst

UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF) 2009-2010 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Freedom (UCAF) met twice in Academic Year 2009-2010, to conduct business with respect to its duties as outlined in [Senate Bylaw 130](#). Highlights of the Committee's activities and accomplishments are noted in this report.

Hong vs. UC Regents

UCAF continued to follow the case of Hong v UC Regents which is currently in the 9th Circuit Court of Appeals. Dr. Hong is a former UC Irvine professor suing UC and individual administrators alleging that he was denied a merit increase due to complaints he raised in faculty meetings and in the context of shared governance. UCAF members remain concerned about the position taken by the University based on the Garcetti vs. Ceballos case. The Garcetti decision implied that faculty speech uttered in the context of shared governance is not protected and that faculty can be disciplined by the employer, narrowing the scope of First Amendment rights in the workplace. The Office of General Counsel met with the committee in March to explain the different positions taken by UC and the individual defendants. UCAF is also concerned about the implications of the case of Professor Renken from the University of Wisconsin-Milwaukee. Professor Renken had an NSF grant and criticized how his department was using the grant money. In response, the department returned the grant to NSF. The professor sued arguing that his First Amendment rights had been violated but the court did not agree.

Proposed Revisions to Definitions of Academic Freedom and Faculty Code of Conduct

As a result of UCAF's discussions about the Hong and Renken cases, the Committee agreed that the right of faculty to freedom of speech in shared governance should be clarified by amending APM 010-Academic Freedom and 015-Faculty Code of Conduct. UCAF members reviewed a paper from the American Association of University Professors entitled Protecting An Independent Faculty Voice which provides recommendations related to language that is needed to protect academic freedom. At the request of the UCD CAF, the AAUP and their counsel reviewed APMs 010 and 015 and concluded that the APM does not protect faculty when speaking about institutional governance matters. With assistance from the AAUP, the UCD CAF drafted revised language to incorporate into the APM. The proposal to revise APMs 010 and 015 was submitted to the Academic Council and approved for systemwide review in fall 2010.

Research Using Animal Subjects or Dealing with Politically Sensitive Issues

UCAF was asked by the University Committee on Faculty Welfare to discuss the attacks on researchers who use animal subjects. Because researchers who use animal subjects have recently been targets of especially high levels of harassment, threats to their academic freedom merit special attention. Members identified other sensitive issues including climate change, the Israel and Palestine issue where unreasonable pressures might be put on faculty to refrain from or modify their research activities or controversial

political views. Committee members agreed that their local academic freedom committees should monitor all of these issues.

Implementation of RE 89

UCAF continued to discuss the [compromise version](#) of RE-89 approved by the Regents in September 2007. The policy does not prohibit faculty from accepting funding from tobacco-affiliated companies, but requires each campus chancellor to establish a scientific review committee to advise the chancellor about any such funding proposal. In March 2009 UCAF sent letters to the University Committee on Research Policy and the University Committee on Committees recommending there should be Senate involvement in the appointment of campus review committees. UCAF learned that campus reports to President Yudof on implementation of RE-89 showed that no significant money from the tobacco industry is being used to support research. That no new proposals for funding were received in the first twelve months after RE 89 was passed indicates that the new procedures have discouraged UC researchers from seeking funding from the tobacco industry.

Additional Business

UCAF devoted part of each regular meeting to reports on issues facing local committees. Discussions included details about specific academic freedom cases at UC and other universities. Finally, UCAF occasionally consulted with the Academic Senate Chair and Vice Chair on issues facing the Academic Council and Senate.

Respectfully submitted,

Raymond Russell, Chair (R) Vicki Scott (SB)
Ronald Amundson, Vice Chair (B) Harold Pashler (SD)
Mary Beth Pudup (SC) Gregory Pasternack (D)
William Parker (I) Cameron Gundersen (LA)
Erik Menke (M) Roberta Rehm (SF)
Piotr S. Gorecki (R)
Kara Otto, graduate student (SB)
Samantha Lower, undergraduate student (I)
Harry Powell ((SD); Chair, Academic Senate, *Ex Officio*)
Dan Simmons ((D); Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Committee Analyst

**UNIVERSITY COMMITTEE
ON
ACADEMIC PERSONNEL
2009-2010 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Personnel (UCAP) had three meetings and one teleconference in Academic Year 2009-2010 to conduct business with respect to its duties as outlined in Senate Bylaw 135 to consider general policy on academic personnel, including salary scales, appointments and promotions, and related matters. The issues that UCAP considered this year are described briefly as follows:

Faculty Salary Scales

Year 2 of the four year systemwide faculty salary scale plan was not implemented due to the current budget situation, but UCAP continued to examine the salary comparisons. In December, Council charged a subcommittee of UCAP, the University Committee on Faculty Welfare and the University Committee on Planning and Budget with the task of considering faculty salary data and developing a recommendation regarding the future of the Faculty Salary Plan. UCAP received data from Academic Personnel in March showing the comparison of UC to the comparison eight. The data on the comparison 8 institutions show that the private institutions continued to show increases, the lag grew from approximately 9.5% to 11.2% this year as anticipated by Academic Personnel. UCAP reviewed various data models for bringing faculty back on scale and for raising the scales to market and the costs of the different models. The subcommittee met by teleconference in January and February, and held an in-person meeting in May. The subcommittee developed a set of principles to form the basis for the salary scales adjustment. The data from Academic Personnel on the comparison 8 institutions and the data models for fixing the scales were reviewed by the subcommittee during the May meeting. One of the questions is whether the scales can be fixed, but subcommittee members did agree that the salary scale system should not be abandoned and that UC faculty should be paid competitively. Subcommittee members' opinions differed on whether the four year systemwide salary plan should be resumed, with UCAP rejecting resumption of the plan at Year 2.

Consultation with the Administration

Janet Lockwood, Associate Director, Academic Personnel, Patricia Price Interim Director, Academic Advancement, and Jim Litrownik, Coordinator, Data Management, Academic Advancement served as consultants to UCAP. The committee was provided with regular updates about UC's budget and was kept abreast as plans to address the financial crisis were developed. Academic Personnel and UCAP both were interested in recruitment and retention in the face of the furlough program. Given the decentralized recruitment policies it is difficult to quantify a successful recruitment. For retention, there is an attempt to collect data on successful, unsuccessful, and preemptive retentions. It has always been difficult to identify the ultimate reason for a faculty member's separation, therefore Academic Personnel may collect anecdotal information. Academic Personnel has historical data which will be compared to the data collected this year to at least see if there was a significant increase in faculty departures during the 2009-10 academic year. Whether the furlough has a role in departure may be available at the

department level and teasing out whether the separation is because of the general budget situation or because of the furlough is important.

Other Issues and Additional Business

University Professor: In October 2009, in accordance with APM 260, UCAP nominated an ad hoc faculty review committee to review an appointment to the University Professor title proposed by a campus. In May 2010, UCAP members reviewed the ad hoc committee's recommendation and all case materials and forwarded a memo of strong support for the University Professor appointment to Provost Pitts.

In response to requests for formal comment from the Academic Council, UCAP submitted views on the following:

- The UC Commission on the Future
- University Committee on Planning and Budget Paper on Differential Fees
- Proposed Revisions to APMs 015, 036, 140, 160, 241, 246, 245, 633, 242, 630 and 632

Campus Reports

UCAP devoted part of each regular meeting to reports about issues facing local committees and comparison of individual campus practices. In these discussions, UCAP members touched briefly on the status of searches; responses to outside offers; special accelerations for retention or other reasons; retention; efforts to streamline processes.

Survey of CAP Practices

UCAP updated its annual survey of local CAP practices and experiences. The survey covers a wide range of topics, including the type and number of files reviewed by CAPs; CAP support, resources and member compensation; final review authority; CAP's involvement in the review of salary and off-scale increments at the time of hiring or in retention cases; and the use of ad hocs. UCAP considers the survey to be an important resource that helps the committee identify areas in which campus practices might be brought into closer congruence. This year the committee agreed that the results of the survey could be shared with people at the campuses including EVCs and CAPs.

UCAP Representation

UCAP Chair Alison Butler represented the Committee at meetings of the Academic Council and the Assembly of the Academic Senate.

Committee Consultations and Acknowledgements

UCAP benefited from regular consultation and reports from Janet Lockwood, Associate Director, Academic Personnel and Patricia Price Interim Director, Academic Advancement, who presented updates on the implementation of the salary scale plan and systemwide APM policies under review or being prepared for review, including possible policy changes to the Health Sciences Compensation Plan. Jim Litrownik, Coordinator, Data Management, Academic Advancement provided the committee with data analysis critical to UCAP's discussion about faculty salaries.

UCAP occasionally consulted the Academic Senate chair and vice-chair about issues facing the

Senate and UC, and the Senate executive director about Senate office procedures and committee business.

Respectfully submitted,

Alison Butler, Chair (SB) John Lindow (B)

Ahmet Palazoglu, Vice Chair (D) Katja Lindenberg (SD)

Robert Lehrer (LA) Robert Feenstra (D)

Maureen Callanan (SC) Patricia Cohen (SB)

Steven White (I) Thomas Harmon (M)

Julia Bailey-Serres (R)

Harry Powell ((SD); Chair, Academic Senate, *Ex Officio*)

Daniel Simmons ((D); Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Senior Policy Analyst

UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY ANNUAL REPORT 2009-10

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Affirmative Action and Diversity (UCAAD) met four times in the 2009-10 academic year. In accordance with its duties as outlined in [Senate Bylaw 140](#), UCAAD considered policies related to staff, faculty, and student diversity, as well as statistical data and other measures of those policies successful implementation. This year was the third full year of membership for UCAAD on the Academic Council. In February 2007, the Council unanimously approved the addition of UCAAD as a permanent standing member, and in May of that year, the Academic Assembly approved an amendment to [Senate Bylaw 125](#) that codified the addition. A summary of the committee's work is below:

Evaluating Contributions to Diversity for Appointment and Promotion (APM 210) Guidelines for all Academic Disciplines

UCAAD continued to discuss the implementation of the diversity revisions to APM sections 210/240/245 originally proposed by UCAAD in 2004, which took effect in July 2005. The APM policy governing faculty appointment and advancement (APM 210) was amended effective July 2005 so that faculty contributions to diversity would receive recognition and reward in the academic personnel process. UCAAD identified two recurring issues across the UC system: the apparent lack of will and the evident lack of understanding of how to effectively make use of the policy as significant impediments to the timely implementation of APM 210. Members considered the extent to which a model for monitoring the implementation of *UC Affirmative Action Guidelines for Recruitment and Retention of Faculty* developed by UCSF in 2002 could be modified and adopted by UCAAD to serve as the model for the UC system. The Committee discussed various ways to engage the campuses in a discussion of models; the need for local CAPs to orient their EVCs; the levels of responsibility and accountability for faculty, academic leaders, and administrators involved in each stage of the review process; and methods and tools in use at some campuses, e.g., annual meetings of local CAP and CAAD Chairs; action step templates, a separate category/question to the electronic dossier and "bio-bib" forms.

First Annual UC President's Sub-Report to the Regents on Diversity

President Yudof presented the first ever UC President's Sub-Report on Diversity to the Regents at their November 2009 meeting. UCAAD continued to discuss with Chief of Staff to the Provost Jan Corlett the need for measureable and easily accessible metrics and specified outcomes for the report; the inclusion of the Health Sciences, and updating of the 2008 Faculty Diversity in the Health Sciences Report; as well as the need for a dedicated survey to measure campus climate for faculty/staff at all UC locations. UCAAD also provided consultation to the Provost suggestions on specific actions that UC could initiate, at the campus or Systemwide level, to foster diversity and tolerance. In June, UCAAD Chair M. Ines Boechat was appointed as the Academic Senate's representative to the newly formed Presidential Council on Campus Climate, Culture and Inclusion.

Commission on the Future Recommendations

UCAAD discussed on multiple occasions the recommendations of the Commission on the Future. The Commission and its five working groups – on the size and shape of UC, its education and curriculum, access and affordability, and funding and research strategies – met throughout the year to consider, among other issues: the "right" size and shape of the University going forward; where it 2

should grow, or should it; educational delivery models that will both maintain quality and improve efficiency for UC's future; and how UC can maximize traditional and alternative revenue streams in support of its mission. UCAAD expressed concern about UC's ability to serve California students and underserved communities and overall unease with the report's indeterminate impact on diversity at this point. With regard to the forthcoming recommendation on quality contained in the report, UCAAD recommended that diversity – in all its facets – should be one measure of quality, in conformance with the UC Diversity Statement.

Resumption of the 2007 UC Faculty Pay Equity Study

The Committee was successful in securing the volunteer services of Emerita Professor and past UCAAD Chair Pauline Yahr to resume work on the study. UCAAD continued to monitor both the analysis and its implications and advocate for critical support from UCOP's Institutional Research and Communications unit for moving the project forward. Previously, UCAAD, in conjunction with Academic Advancement consultants initiated work on a system-wide pay equity analysis. The 2007-08 effort, led by former Vice Provost Nicholas Jewell, was to be the first UC-wide statistical report of pay practices by gender and ethnicity evaluated across divisions, schools, and departments. UCAAD worked with Academic Advancement to develop the best possible evaluative metrics and comparative standards. Difficulties in securing up-to-date and translatable payroll and personnel data, however, coupled with the departure of Vice Provost Jewell in fall 2008, have until now delayed any further work on the project.

UC Staff Diversity Council Report

The Regents convened several work groups to study diversity at the University, and four of the groups have issued their final reports: faculty diversity; graduate and professional school diversity; undergraduate diversity; staff diversity; and campus climate. The work groups conducted comprehensive assessments of University diversity in order to determine how well UC was meeting the needs of its diverse California constituencies ten years after the passage of Proposition 209. The combined report focuses on a broad range of staff diversity issues, including recruitment, retention and promotion, leadership commitment to staff diversity at each location, and systems for ensuring that best practices in support of staff diversity are woven throughout the fabric of the University. The committee will continue to follow closely implementation of the remediation efforts recommended by the various groups and as contained in UC Staff Diversity Council Report.

Implementation of the President's Task Force on Faculty Diversity

In continuation of business begun in 2006-07, UCAAD continued to monitor campus implementation of the recommendations from the President's Task Force on Faculty Diversity. UCAAD Vice Chair Francis Lu graciously continued to serve as the Academic Senate's representative to the Diversity Implementation Committee. In this capacity, he has provided UCAAD input on key issues including the Diversity Accountability Framework, the Diversity Data Collection, and the UCOP Diversity Coordinator job description, among others.

Other Issues and Business

At each meeting, UCAAD devoted a portion of the agenda to reports and updates from its members about issues facing local divisions and committees. These discussions included local faculty search committee practices and hiring data; the role of campus affirmative action officers; equity and career reviews; exit interviews; and campus climate issues and climate surveys.³

In addition to official communications related to the aforementioned topics, UCAAD submitted formal comments on the following policy review issues:

- Campus climate in the wake of several racially-motivated incidents on various UC campuses;
- University processes for dealing with hate crime incidents;
- UCBP position paper Differential Fees and Non-Resident Tuition;
- Education Abroad Program (EAP) Task Force final report;
- Report of Senate Special Committee on Online and Remote Instruction and Residency;
- Impact of the newly adopted UC freshman admissions policy;
- UCFW/TFIR recommendation on assuring adequate funding for UCRP; and
- Report to the Regents on Online Education.

Acknowledgements

UCAAD is grateful to have had valuable input from and exchange with these UCOP and campus consultants over the past year: Provost Lawrence Pitts; Vice Provost Sheila O'Rourke (UCB); Chief of Staff to the Provost and Diversity Project Coordinator Jan Corlett; Interim Executive Director Academic Personnel Pat Price; and Emerita Professor and Past Chair of UCAAD Pauline Yahr (UCI). They provided the committee with data, consultation and reports on numerous items and issues, including:

- Graduate and professional student academic preparation educational outreach;
- Legal obligations and responsibilities for faculty and student diversity in relation to both Proposition 209 and federal affirmative action regulations;
- UC programs and fellowships targeting diversity, including the President's Postdoctoral Fellowship Program; and
- Local conferences, summits, and symposiums addressing diversity.

The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCAAD meetings throughout the year.

Respectfully submitted: *M. Ines*

Boechat, M.D., Chair (UCLA)

Francis Lu, M.D., Vice Chair (UCD)

Margaret Conkey (UCB)

Monica Vazirani (UCD)

Raju Metherate (UCI)

Ruth Bloch (UCLA)

Cristían Ricci (UCM)

Linda Fernandez (UCR)

Beth Schneider (UCSB)

Bettina Aptheker (UCSC)

Carla Freccero (UCSC)

Judith Varner (UCSD)

Susan Kools (UCSF)

Kevin Finley (UCSB student)

Amber Gonzalez (UCSB student)

Henry Powell (ex-officio member)

Daniel Simmons (ex-officio member)

Eric Zárate (Committee Analyst)

**BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)
ANNUAL REPORT 2009-10**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Board of Admissions and Relations with Schools (BOARS) met ten times in Academic Year 2009-10 to conduct business with respect to its duties as outlined in [Senate Bylaw 145](#), to advise the President and Senate agencies on the admission of undergraduate students and the criteria for undergraduate status. In addition, BOARS has three subcommittees – Admissions Testing, Articulation and Evaluation, and Statistical Analysis – charged with reporting to the parent committee. The major activities of BOARS and its subcommittees, and the issues they addressed this year are outlined briefly, as follows:

REPORT TO THE BOARD OF REGENTS ON ADMISSIONS TESTING

Over the last three years, BOARS and its Testing Subcommittee have consulted the College Board, ACT Inc., and various testing experts to assess the degree to which the new SAT Reasoning Test (SAT-R) and ACT with Writing align with BOARS' January 2002 Testing Principles. In December, BOARS sent its final report, [Admissions Tests and UC Principles for Admissions Testing](#), to the Academic Council for review.

The report finds that while no national test currently satisfies all of BOARS' Testing Principles, the ACT with Writing and SAT-R tests comport better with them than the previously required tests. Moreover, the use of high school GPA with the tests increases predictive power of first year grades at UC. The report asks the Regents to remove the provisional status of the SAT-R, and recommends that UC prefer curriculum-based tests like the ACT, which are scored by achievement standards, and that UC signal this preference to applicants to help increase the number of California high school students who take the ACT. The report also articulates the role of UC's testing pattern in the new admissions reform policy and provides further rationale for the elimination of the Subject Test requirement in the policy. It identifies possible new policy paths for BOARS and UC to explore in the future to diminish reliance on standardized tests, including the adoption of a test optional policy; alternate ways of determining the 12.5% Master Plan target; and a possible curriculum-based California state-wide test that could satisfy curriculum standards and college eligibility. It recommends that BOARS continue to study and monitor the use of tests in UC admissions, revise its Testing Principles, and analyze four-year outcomes after the first cohort of students that submitted the new core tests graduates in 2010-11. Council approved the report for transmittal to the Regents.

REPORT TO THE BOARD OF REGENTS ON COMPREHENSIVE REVIEW

BOARS worked with the Office of the President and admissions committees at the nine undergraduate campuses to analyze Comprehensive Review (CR) policies, practices, and outcomes between 2003 and 2009 to determine the impact of each campus' application of the criteria on the pool of applicants and admitted students. BOARS completed its final report, entitled [Comprehensive Review in Freshman Admissions at the University of California, 2003-2009](#), in May. The Academic Council endorsed the report and its findings at its May 26 meeting, and BOARS Chair Hurtado presented it to the Board of Regents in July.

The report documents CR outcomes between 2003 and 2009, including academic indicators that show increases in academic quality and a wide range of demographic indicators

that show changes in diversity. It details the evolution of CR processes between 2003 and 2009, including advances campuses have made in evaluating students in the context of opportunity; in ensuring the quality, integrity, and efficiency of the review process; and in the use of readers. It discusses challenges ahead for the CR process, including the need to enhance efficiency but preserve quality in an era of budget reductions; the importance of maintaining access and affordability for residents; and the need to communicate with students about preparing for competitive admissions under the new admissions policy taking effect in 2012. Finally, it offers a number of recommendations to campuses for refining processes to meet the Guidelines for Comprehensive Review and several new principles for the use of criteria. The report asks campuses to collect more contextual information that will help identify academic and leadership promise and to place a higher value on ELC status. It notes that BOARS will work to ensure that no group, including the ELC 9%, is disproportionately represented in the referral pool or at a particular campus.

BOARS also spent a great deal of time internally and in discussions with UCOP on disparate impact in admissions and also took special note of disparate impact in the CR report and its recommendations.

RECOMMENDATIONS TO PRESIDENT YUDOF ABOUT COMPREHENSIVE REVIEW AND HOLISTIC ADMISSIONS

In March, President Yudof wrote to Senate Chair Powell and BOARS Chair Hurtado asking the Senate to consider policy revisions that would require campuses to adopt more consistent admissions processes, including best practices based in “holistic” review on the most selective campuses. President Yudof also joined the April BOARS meeting to ask BOARS to recommend a resolution about comprehensive or holistic review that will help project the new eligibility policy forward and increase the proportion of underrepresented groups on UC campuses.

BOARS sent its response to the President in June. The committee recommended that all selective campuses give serious consideration to using a holistic process, while noting that there are a variety of best practices that have helped campuses improve academic indicators and admit a more diverse student body. BOARS also recommended that as campuses become more selective they implement individualized review of all applicants and a more systematic evaluation of achievement in the context of opportunity with the help of electronic data on students’ schools, personal circumstances, and performance relative to the student’s peers. Finally, beginning in 2011, all campuses should receive the UCB and UCLA holistic review scores and devise a plan to generate a holistic score for the remaining 28% of applicants who do not apply to either UCB or UCLA to use at their discretion. For 2012 and beyond, campuses should explore the use of a common rating system based on a shared read of all files.

ADMISSIONS REFORM AND ITS DIVERSITY IMPACT

In January, the Academic Council endorsed a [memo](#) from BOARS responding to external groups worried about the potential impact of the admissions reform policy on diversity and the ability of their communities and constituencies to obtain a UC education. The memo addressed the specific issues raised by the groups, clarified BOARS’ intentions and goals, and articulated the committee’s perspective about the impact of the policy on fairness, access, and diversity.

The controversy arose after a set of simulations projected small declines in the admission of some underrepresented groups, and small increases in white student admits under the new policy. The simulations in question were one of several conducted the UC Office of Institutional

Research (OIR), and BOARS undertook a reanalysis with OIR using more realistic projections of applicants. In developing the policy, BOARS analyzed many indicators projecting potential shifts in the applicant and admit pool using different assumptions and methods. All are highly speculative and the last set of analyses project more race-neutral outcomes. It is difficult to predict admissions outcomes accurately, because projections are based on hypothetical variables, including applicant and campus behavior that include a high margin of error. Many other factors affect admissions outcomes, including constraints on enrollment and applicant behavior during an economic low.

UC and Senate leaders met with community groups, legislators, legislative staff, school counselors, and students, to discuss the simulations and explain the goals and intent of the policy. On February 2, BOARS Chair Hurtado and Senate Chair Powell testified at a hearing of the Joint Commission on the Master Plan for Higher Education. The next day, former BOARS chairs, current BOARS members, and UC's State Government Relations director met with staff from the education committees and ethnic caucuses of the California legislature to discuss the new policy. In March, BOARS sent responses to questions posed by a California Assembly member regarding the new policy. UC faculty also met with Los Angeles NAACP and Urban League representatives, UCLA Black Alumni leaders, the Asian American Pacific Legal Center, and other community organizations to discuss the admission record of African American students.

BOARS remains confident that the policy will improve the fairness of the admissions process and increase access to a UC education by giving more college-going California students an opportunity to have their accomplishments reviewed in the context of opportunities available to them and by removing discouraging barriers. It will make more of the best students available to UC and allow campuses to select from among them using comprehensive review, extending the opportunity of a UC education to many students who historically have not attended UC.

PREPARING FOR THE NEW ADMISSIONS POLICY

Subject Test Guidelines for 2012 and Beyond: In 2009, BOARS established guidelines for the use of SAT Subject tests in admission review after the tests become optional in 2012. Campuses may continue to recommend particular subject tests for admission to schools and majors, no student should be penalized in the admissions process for failing to take those tests. Chair Hurtado asked BOARS members to determine, with the assistance of local admissions committees, which subject test, if any, campuses will recommend for specific schools/majors. The information will appear on the *Preparing for Future Admission* website to help students and schools prepare for the policy changes.

Comprehensive Review Policies: BOARS noted that with the passage of the admissions reform policy, all campuses will have to become more selective and expand the use of comprehensive review as part of their selection processes.

Modifications to the Freshman Admissions Guidelines: BOARS reviewed several proposed modifications to the Guidelines for Implementation of University Policy on Undergraduate Admissions

Meetings with Admissions Committees: Chair Hurtado met with several admission committees over the course of the year to discuss their comprehensive review processes (UCSC, UCR) and the potential adoption of a single-score holistic review process (UCI and UCSD).

SYSTEMWIDE REVIEW OF PROPOSAL TO EXPAND THE AREA (D) LABORATORY SCIENCE ADMISSION REQUIREMENT TO INCLUDE EARTH, ENVIRONMENTAL, AND SPACE SCIENCES

In consultation with the Academic Council, BOARS assembled a packet of background documents to help facilitate the systemwide Senate review of a proposal to expand UC's Laboratory Science ('d') admissions requirement to include earth, environmental and space sciences (EESS). These included materials sent by EESS lobbying groups, BOARS' recommendations against the change, and a survey of UC Science, Mathematics, and Engineering chairs, conducted by the UCLA Higher Education Research Institute, regarding the importance of key high school courses to preparation for their introductory courses. In June, Council voted unanimously against expanding the Area 'd' language to include EESS, but also voted to direct BOARS to consider expanding language in the Senate regulations to include a description of alternative integrative approaches in meeting the laboratory science requirements. In July, BOARS responded to Council, unanimously opposing any changes to Senate Regulations. BOARS will continue to examine ways of clarifying the eligibility of interdisciplinary science courses as an admission pathway for 'area d'. In addition, BOARS will explore the development of curriculum workshops for high school teachers to improve EESS courses to become acceptable as college-ready courses for UC.

DIFFERENTIAL FEES AND NON-RESIDENT TUITION

In December, BOARS discussed a UCOP proposal to implement differential fees for upper-division engineering and business majors, and a suggestion from the University Committee on Planning and Budget (UCPB) that BOARS examine the proposal's specific potential impact on student access. BOARS expressed strong opposition to UCOP's proposal, noting that differential fees are inconsistent with UC's public mission; they would be difficult to implement effectively or provide sufficient funding as proposed; they would not directly benefit business and engineering students or departments; they could distort student choice and academic planning and reduce access for low-income and first-generation college students; and could open the door to the expansion beyond business and engineering. In response to UCPB's request, BOARS looked at the characteristics of engineering and business majors.

BOARS also responded to UCPB's Position Paper on Differential Fees and Non-Resident Tuition. BOARS supported increasing enrollment of non-resident undergraduates insofar as UC can maintain its Master Plan commitment to residents and in the context of appropriate enrollment funding from the state. BOARS opposed differential campus fees and noted that the policy allowing campuses to keep non-resident tuition (NRT) revenues could lead to unfair revenue differentials, as campuses vary in their ability to attract non-residents. BOARS expressed support for a limited amount of NRT revenue pooling to benefit instruction and non-resident recruitment at campuses generating less NRT revenue, as well as support for a specific cap on non-resident enrollment to limit the increase of funding inequalities between campuses.

CAREER TECHNICAL EDUCATION

BOARS discussed the Department of Education's goal that UC advance Career Technical Education (CTE) in California high schools by approving 10,000 academically rigorous CTE courses in fulfillment of the 'a-g' subject requirements for undergraduate admissions by the end of 2011-12. BOARS Vice Chair Bill Jacob drafted a document outlining BOARS' perspective on CTE and expressing support for *Multiple Pathways* movement, which offers college and career

pathways simultaneously. Vice Chair Jacob also worked with the UC Office of Admissions on a CTE task force, which was formed at the request of President Yudof after he met with CA Senate President pro Tem Darrell Steinberg, who asked UC to develop ten new CTE courses in math and science within one year. The Task force recommended approaches to be fleshed out at UC Curriculum Integration Institutes (funded by a grant from the California Department of Education) the first of which met at UCLA in May to develop rigorous CTE courses integrating mathematics curricula with the finance, business, and media arts industries. Four new CTE and math courses were developed at the institute and are moving toward area (c) approval. Two more institutes are planned for 2010-11, the first on English Language Arts and CTE, and the second with a likely science focus.

A second outgrowth of the CTE work was a recommended a-g policy change that allows for approval of blended courses. For example, a two-year course might provide a student one year area (c) and one year area (g) for CTE when both years are completed. BOARS approved this policy change at its June meeting and some of the new Curriculum Institute math courses will take advantage of this change.

UNDERSTANDING AND IMPROVING THE TRANSFER ADMISSION PATH

BOARS discussed the California legislature's request for UC and CSU to accept more Community College transfer students and to make the transfer and course articulation process more efficient and effective. Chair Hurtado represented BOARS on the Intersegmental Committee of Academic Senates, which discussed the development of an intersegmental common course numbering system for lower division major preparation courses, challenges related to increasing the alignment of general education and lower division transfer preparation requirements, and related legislation.

The Academic Council endorsed a BOARS suggestion that a working group of BOARS, UCEP, and UCOPE members explore the possibility that UC recognize the CSU "General Education Breadth" pattern, which would benefit prospective Community College transfers who could choose between IGETC and CSU's Breadth knowing they would be prepared for either institution. The working group will convene in 2010-11.

BOARS ARTICULATION AND EVALUATION (A&E) SUBCOMMITTEE

The A&E Subcommittee, chaired by BOARS Vice Chair William Jacob, and joined by Juan Poblete (UCSC) and George Johnson (UCB), was charged with reviewing issues dealing with high school preparation and the 'a-g' requirements. The Subcommittee met in December and in February (conference calls) to consider applications from on-line providers for a-g courses as well as selected courses submitted for a-g approval where faculty input is required. The subcommittee also discussed a variety of issues, among them changes in the Community College algebra course, online Community College courses, a common CSU-UC Lower Division General Education Pattern, transfer credit for military service, implementation of the 'c' and 'd' requirement, the ICAS Science Competency Statement, UC's Honors Grade Point Policy, and the English ('b') requirement. The Academic Council endorsed the subcommittee's request that an Area 'b' Task Force be convened to examine the English criteria descriptions in the UC Freshman admissions requirements. The Task Force will meet during the 2010-2011 year.

UC COMMISSION ON THE FUTURE

BOARS submitted responses to the first and second set of UC Commission on the Future recommendations. Chair Hurtado was a member of the Commission's Access and Affordability Working Group.

THE AMERICAN DIPLOMA PROJECT AND THE EARLY ASSESSMENT PROGRAM

Five UC representatives, including BOARS Vice Chair Bill Jacob and Admissions Director Susan Wilbur, attended the October meeting of Achieve Inc.'s [American Diploma Project](#), which is trying to bring states together to define standards for college and career readiness. In October, Provost Pitts joined BOARS to discuss concerns about a push to make CSU's Early Assessment Program the statewide standard of college readiness in California, require it of all high school 11th graders, and incorporate it into the state accountability model. Academic Council supported BOARS' memo of concern about Achieve's proposal to use the CSU Early Assessment Program (EAP) test as a universal indicator of "college readiness" in California in the absence of consideration of issues of curriculum and instruction in earlier grades. The memo also noted that BOARS could not support the description of the EAP as a "college readiness exam" until it sees additional information and analysis of EAP in relation to current placement and student outcomes at UC.

APPLICATION FEE REVENUE DISTRIBUTION

BOARS expressed concern about one detail of a plan to change the way UCOP is funded, specifically a proposal to return all application fee revenue generated by a campus to that campus, with a tag to identify it as fee revenue. There was concern that because some UC campuses are more likely to receive applications from students who qualify for an application fee waiver, the new funding model could create an inequitable allocation of fee revenue across campuses. As a result of these concerns, UC leaders agreed that fee revenue would be distributed to campuses based on number of applications received, regardless of the number of fee waivers granted to students applying to a particular campus.

JOINT MEETING WITH THE UC ADMISSIONS DIRECTORS

In July, BOARS hosted its annual half-day meeting with the UC admissions directors. BOARS and the admissions directors discussed topics of shared interest, including the transition to the 2012 admissions policy, the need to strengthen Comprehensive Review policies and procedures on all campuses, the letter to the President on holistic review; the status of the Shared Review project, the impact of proposed changes to application fee distribution policy; best practices for faculty involvement in admissions policy and the selection process; and opportunities for score sharing and other commonalities across campuses.

OTHER PRESENTATIONS

Regent Eddie Island joined BOARS in July. He challenged BOARS to reaffirm its commitment to diversity and inclusion and to think creatively about new solutions. First, Regent Island asserted that the referral system is unfair to students of color and that UC should end the referral system or develop a mechanism to distribute referral students more broadly across the campuses. Second, he argued that UC should establish clearer metrics, benchmarks, and timetables to define success for diversity and inclusion. Finally, he stated that there is a perception that UC's definition of merit allows some communities to have greater access than others. UC should think about a new definition of merit that weighs traditional academic measures and achievement in

context more equally. He said diversity is important not only because it is fair, but also because it enables UC to attract the best and brightest. UC cannot fully achieve quality without diversity.

OTHER REPORTS AND RECOMMENDATIONS

BOARS also issued formal views or letters on the following:

- *UCEP's Request to Rescind [SR 764](#) (November 2009)*
- *Adoption of the ICAS Statement on Competencies in Mathematics Expected of Entering College Students (November 2009)*
- *Opposition to the decision to defund the UC [StatFinder](#) website (January 2010)*
- *Proposed Addition to CTE Discussion in the a-g Guide (June 2010)*
- *Response to AB 2047 (March 2010, Submitted by Chair Hurtado and Vice Chair Jacob)*

BOARS REPRESENTATION

BOARS Chair Hurtado represented the committee at meetings of the Academic Council, Academic Assembly, Admissions Processing Task Force, the Intersegmental Committee of Academic Senates, and the Commission on the Future Access and Affordability Working Group.

CONSULTATION WITH UCOP AND ACKNOWLEDGEMENTS

BOARS benefited from regular consultation with Admissions Director Susan Wilbur and Vice President for Student Affairs Judy Sakaki, who provided regular updates about application, admission, and SIR outcomes, efforts to help schools develop rigorous CTE courses, transfer initiatives and legislation, and the 'a-g' certification process. Deputy Director of Institutional Research Samuel Agronow and Institutional Research Coordinator Tongshan Chang provided BOARS with ETR simulations and statistics related to applicant, admit, enrollment, persistence, graduation, and time to degree for the Comprehensive Review report. External Affairs Director Nina Robinson helped with the Comprehensive Review report and was consulted on many issues, and Associate Admissions Director Don Daves-Rougeaux provided insight into the high school course articulation process and the UC Curriculum Integration Institute.

Thanks also to the faculty who served as alternates for regular committee members: Darnell Hunt and Meredith Philips (UCLA); John Whiteley (UCI); Vivian-Lee Nyitray (UCR); and Patricia Robertson (UCSF).

Respectfully submitted,

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UNIVERSITY COMMITTEE ON COMMITTEES 2009-10 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Pursuant to Senate Bylaw 150, in 2009-10 the University Committee on Committees oversaw the appointment of chairs and vice chairs for each of the standing committees of the Assembly; oversaw the nomination of Senate members to serve on ad hoc or ongoing joint Senate-Administration committees and task forces; nominated Senate members to serve on the University Commission on the Future and its working groups; and authorized the Chair of the Assembly to appoint active members of standing committees to serve on joint committees and task forces subject to UCOC approval.

The Committee on Committees met twice in person and once by teleconference and communicated regularly through a listserv to conduct its business. We report on the major issues and accomplishments of the year.

Appoint Chairs and specified Vice Chairs of the Senate's Standing Committees.

At its Fall meeting the Committee on Committees appointed a member to serve as liaison to each standing committee. The liaison was tasked with gathering information from the chair, vice chair, and, where appropriate, members and committee staff on the committee's effectiveness in the current year. The liaison recommended one or more individuals to be considered for service as chair and, where required, vice chair of his/her designated committees in 2010-11. The committee reviewed these recommendations at its Spring meeting. Appointments to all required positions have been confirmed as of the date of this writing with the exception of the vice chair of UCOLASC.

Appoint members of Senate committees, subcommittees, or task forces that report to the Assembly. The ten divisional Committees on Committees nominated divisional representatives to the standing committees, although some nominations remain outstanding as of this writing, and the UCFW Health Care Task Force has not been fully populated. The University Committee on Committees appointed members for two-year terms, and the Chair issued letters of appointment specifying the term of appointment and describing the committee's charge.

Appoint Senate Representatives to Ad Hoc and Joint Senate-Administrative Bodies.

Commission on the Future: The University Committee on Committees responded throughout the year to requests to name Senate representatives to serve on ad hoc and joint Senate-Administration committees and task forces. Response to the largest such request, nomination of Senate members to serve on the Working Groups of the Commission on the Future, was already underway when Committee members took up their duties on September 1. The Committee identified over 40 qualified individuals. However, there was some confusion surrounding the process for appointing members of the Working Groups, since a number of Senate members who were not identified by UCOC were invited to serve and many of those who were so identified were not. UCOC expressed its concern about this process to the Senate Chair.

Administration-Senate committees: Where appropriate, UCOC asked the standing committees of the Assembly to identify current committee members to serve on ad hoc and joint bodies whose charge matched or overlapped those of the respective committees. UCOC used lists generated by this process, together with lists of previous members of those committees to nominate Senate members to serve on academic advisory committees and governing bodies for the reconfigured Education Abroad Program, Sacramento Center, UCDC, and the pilot project on online courses. In consultation with the relevant standing committees, UCOC nominated or approved Senate participants in the newly established Security Awareness Working Group; Privacy and Security Steering Committee. UCOC also identified Senate representatives to serve on an intersegmental task force on transfer; the Committee on Student Mental Health; the Academic Planning Council; the Accountability Advisory Group; and the Committee on Code of Conduct for Trademark Licensing.

Ad hoc task forces: In consultation with UCPB, UCFW, and UCAP, UCOC nominated representatives to serve on a joint Administration-Senate task force to consider alternative forms of compensation for faculty modeled on the Health Sciences Compensation Plan. In consultation with CCGA, UCOC nominated a representative to serve on the committee to design a Graduate Student Health Insurance Program.

Search & review committees: UCOC nominated Senate participants for search committees for director of UC Press, executive director of EAP, and director of the Lawrence Berkeley National Laboratory. UCOC also nominated at-large Senate participants for confidential quinquennial review committees for the Chancellors at Berkeley, San Diego, and Santa Barbara.

Oliver Johnson Award: UCOC solicited nominations from all ten divisions for the biannual Oliver Johnson Award for Senate service. After careful deliberation, the committee forwarded the names of two finalists to the Academic Council, which selected UCSC Chancellor and former Senate chair George Blumenthal as the 2010 recipient.

Inquiry to UCR&J: The Committee noted the difficulty in identifying appropriate members of the University Committee on Rules & Jurisdiction under the provisions of Senate Bylaw 205.A, which requires that two members be chairs of divisional committees on rules and jurisdiction and three members be at large and asked UCR&J for an informal opinion as to whether “Bylaw 205.A should be amended by, for example, modifying the prescription for the composition of UCR&J to specify “not more than” or “not less than” rather than absolute numbers.” UCR&J declined to opine as a body but forwarded the opinions of individual members. See attachment.

Challenges: In fulfilling its responsibilities, UCOC was challenged by the volume and ad hoc timing of requests. Rather than repeatedly attempting to mobilize members distributed throughout the ten divisions for repeated one-off tasks, it would be more effective to “bundle” requests on predictable timelines. The Committee did not explore whether it is possible to synchronize a regular cycle of nominations with the Administration’s needs to have Senate representation for multiple bodies. As the year progressed, UCOC also experienced increasing reluctance among Senate members to accept appointments, an apparent consequence of the combined effects of furloughs and increased teaching and administrative loads. UCOC also observed that the proliferation of ad hoc and joint committees carries at least the potential to reduce the effectiveness of the Senate’s standing committees in shared governance.

**UNIVERSITY COMMITTEE
ON
COMPUTING AND COMMUNICATIONS
ANNUAL REPORT 2009-2010**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Computing and Communications (UCCC) is charged by Senate Bylaw 155 to represent the Senate in all matters of instruction and research policy involving the use of information and communications technology and advising the president concerning the acquisition and use of information and communications technology. UCCC held two regular meetings and one web videoconference during the 2009-2010 academic year. Highlights of the committee's actions are outlined below.

Email

UCCC discussed the email systems used by students and faculty. Students at several campuses have transitioned to Gmail. The savings to the campus are minimal but the benefits to the students are valuable. After graduation, students will be able to retain their Gmail account if they want -- which is important to the alumni office. UCSC is in the early stage of implementing Gmail and 3,500 students have opted in so far. Students have not been forced to transition to Gmail and about 100 per week are transitioning to it. The student Gmail system does not have advertising. Google will eventually delete emails that have previously been deleted by the user. Faculty and staff will not switch to Gmail is related to the International Traffic in Arms Regulations (ITAR) and the fact that Google's servers may be based outside the United States. For research involving human subjects or that is governed by ITAR, a more secure system is required. Allowing access by outside individuals as a result of subpoenas is also an issue. A small ITLC task force will be looking at email systems and UCCC will want to monitor the outcome of their discussions.

Consultation with the Administration

David Ernst, Associate Vice President for Information Resources and Communications (IR&C), served as a consultant to UCCC. The committee received updates about the Shared Research Computing Services pilot project. The oversight board has been established and a number of faculty are members. The clusters have been installed at the UCSD supercomputing center and at UCB instead of NERSC. A primary goal is to determine what services are attractive to researchers so the need for them to have clusters of CPUs in their offices and labs is eliminated and to reduce the cost for heating and cooling. The project will be open to more principal investigators in the future and UCCC is hopeful that Humanities faculty will be included. UCCC also received reports on the decision support network which is led by the Institutional Research unit and a Middleware pilot.

Textbook Affordability

UCCC discussed textbook affordability and electronic textbooks. The use of open source textbooks should be considered and UCCC could promote this strategy. There needs to be a change with respect to how publishing in open source journals is recognized for promotion. UCCC may propose a meeting with the Academic Personnel and Library and Scholarly Communications committees.

Computer Labs

Computer labs provide students with access to specialized software and, in the context of the arts, the labs provide access to costly peripherals. It is difficult to get the funding for the peripherals, and the specialized needs across disciplines vary. The challenge at one campus is finding the staff to install and support the software. UCCC may want to consider the changes that will occur in the labs in the future. The plan at one campus is to discontinue purchasing computers since students will bring their own laptops and will instead focus on providing specialized hardware and software. Centralized secure hosting of data is the primary focus at a medical campus in response to HIPPA compliance.

Systemwide Committee on Privacy and Security

A volunteer from the committee was appointed to a new joint Administration-Senate committee on privacy and security, which will examine information and electronic communications policies in the context of contemporary best practices and technologies.

Additional Business

UCCC devoted part of each regular meeting to reports on issues facing local committees. Discussions included UC's budget and computing space.

Representation

The UCCC Chair, Anthony Joseph, served as a faculty representative to the Information Technology Leadership Council and as an *ex officio* member of the University Committee on Library and Scholarly Communications.

Acknowledgements

UCCC is grateful for the contributions made by its Office of the President's Information Resources and Communications (IR&C) consultants, Associate Vice President David Ernst.

Respectfully submitted,

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Martin Raubal (SB) Felix Wu (D)

Grant Vousden- Dishington, Undergraduate Student Representative (I)

Richard Schneider ((SF); Chair, UCOLASC, *Ex-Officio*)

Harry Powell ((SD); Chair, Academic Senate, *Ex Officio*)

Dan Simmons ((D); Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Senior Policy Analyst

**COORDINATING COMMITTEE ON GRADUATE AFFAIRS
ANNUAL REPORT 2009-10**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Coordinating Committee on Graduate Affairs (CCGA) met nine times during the 2009-10 academic year.

Reviews of Proposed Graduate Schools and Graduate Degree Programs

One of CCGA's primary responsibilities is to review all campus proposals for new graduate schools and graduate degree programs. A total of 15 proposals were submitted to CCGA for review throughout the academic year. Program reviews for proposals received by CCGA in the latter stages of 2009-10 were carried over into the 2010-11 academic year. The following table summarizes CCGA's disposition of these proposals as of August 2010.

Campus	School/Program Proposed	Lead Reviewer	Disp. Date	Disposition
UCD	M.S./Ph.D. in Nursing Science and Health Care Leadership	I. Tager	2/2/2010	Approved
UCSD	Joint Ph.D. in Engineering Sciences between UCSD and SDSU	V. Leppert	3/2/2010	Approved
UCSD	Master of Advanced Studies (M.A.S.) in Architecture-Based Enterprise Systems	M. Maduro	4/4/2010	Approved
UCB	M.P.Ac. (Public Accountancy)	G. Mimura	5/4/2010	Approved
UCSF	Ph.D. in Epidemiology and Translational Science	R. Goodhue	5/4/2010	Approved
UCSC	M.S./Ph.D. in Nano Engineering	S. Carter	6/1/2010	Approved
UCLA	M.A./Ph.D. in Chicana/o Studies	J. Carmody	6/1/2010	Approved
UCSF	M.S. in Dental Hygiene	S. Nelson	6/1/2010	Approved
UCI	M.S. Biological Sciences and Educational Media Design	S. Carter	–	Under review
UCM	Ph.D. in Psychological Sciences	R. Goodhue	–	Under review
UCB	M.A./Ph.D. in Film and Media	J. Carmody/ reassigned to S. Farmer 10/2010	–	Under review
UCM	Ph.D. in Qualitative and Systems Biology	M. Maduro	–	Under review

UCM	Ph.D. in Cognitive and Informational Sciences	M. Beattie	–	Under review
UCD	M.A./Ph.D. in the Study of Religion	C. Kello	–	Under review
UCD	M.S./Ph.D. in Energy	J. Hildebrand/ reassigned to D. Avalos 10/2010	–	Under review

CCGA worked on a number of key initiatives and issues related to graduate education over the course of the 2009-10 academic year, including:

CCGA Opposition to Further Increases in Graduate Student Fees

Historically, CCGA has been conscious of the negative impact of increases in graduate student fees on graduate education. In October, after much thoughtful discussion, CCGA concluded that the proposed fee increases put at considerable risk the affordability of graduate education at UC and the quality of faculty research. In a letter to Academic Council, CCGA urged President Yudof and the Regents to reconsider proposed fee increases to graduate academic students or mitigate them with compensatory mechanisms. CCGA proposed several solutions, which when added to the return-to-aid, would lessen the financial burden on faculty grants and departmental resources. These included: an increase in block grant allocations especially to the Social Sciences, Arts, and Humanities; an increase in the return-to-aid (RTA) to 60 percent for graduate academic students to encompass need and merit based allocations; establishment of a central fund at UCOP that the Medical Centers would contribute to support professional and graduate academic students; establishment and promotion of a philanthropy fund earmarked for supporting graduate academic students; and use of indirect costs revenues to support graduate education.

CCGA White Paper on the Value of UC as a Graduate Research Institution

Over the course of several meetings, CCGA discussed the value of UC as a graduate research institution. The discussion culminated in the crafting of a “[white paper](#)” on the value of the University of California as a graduate research institution and on the many reasons why graduate students are critical to UC. In the paper, CCGA calls for greater support of the University’s research mission, carried at its core by graduate students; a halt to the increases in graduate student fees; a concerted effort to attract graduate student funds from outside the University; and the extension of Cal Grants to graduate students involved in academic research activities. The paper’s appendices highlighted the steady contributions that graduate research at UC has provided to the state, the country and the world since its founding. The paper and its appendices, which were endorsed by Academic Council, were presented in-person to President Yudof at the March CCGA meeting.

Discussion with President Yudof on Graduate Issues

CCGA invited the President Yudof to attend one of its meetings and in a special appearance, the President came to the March CCGA meeting. CCGA engaged President Yudof in a discussion on graduate issues, which focused on 1) the increased need for the President to advocate for graduate education and to underscore the inter-relationship between undergraduate and graduate education; 2) issues associated with graduate student support and funding; 3) UC’s purview of

Professional Doctorates and relations with CSU; and 4) philosophical issues associated with the recent growth of self-supporting programs and how their cost is moving the University towards privatization of graduate programs. CCGA presented the President with a copy of its white paper on the value of UC as graduate research institution (see above).

Online and Remote Instruction and Residency

The topic of remote and online instruction was discussed by CCGA on multiple occasions. With regard to the report of the *Special Committee on Remote and Online Instruction and Residency*, CCGA surmised that it seemed inconceivable that online instruction would not compromise quality of education. CCGA members generally supported the establishment of “blended” programs over those offered entirely online and felt preserving UC quality in the delivery of instruction ought not to impede access to or inhibit the future development of online degree programs. CCGA was resolute however in its opposition to establishment of online-only doctoral programs. CCGA ultimately recommended that online campus courses be approved by the divisional committee on courses of instruction (COCI) and that Systemwide courses be subject to CCGA’s and/or UCEP’s usual review processes. In a separate discussion concerning a campus inquiry on the review and approval process for evening extensions of existing graduate degree programs, e.g., an Evening or Executive M.B.A. Program, CCGA discussed the extent to which such extensions have possibly become embedded in the approval of the originating in-resident M.B.A. program. The general consensus of the Committee in this case was that if the degree requirements of the proposed E-M.B.A. program are the same as those of the existing and previously approved M.B.A. program, then no further review is required beyond the local Graduate Council. Furthermore, CCGA concluded that a separate admissions process for a program such as the aforementioned E-M.B.A. would in effect constitute a substantive change in the nature of the program and therefore trigger the need for more extensive Systemwide review of the proposal as determined by the local Graduate Council.

Proposals for New Professional Degree Fees

At the request of the Provost, CCGA reviewed proposals for professional degree fees to be levied in the future. After much impassioned and far-reaching debate, CCGA members identified a set of principles that are applicable to graduate academic and professional programs. At the outset, CCGA pointed to a sharp distinction between information generated to create new knowledge as in academic research programs versus the application of knowledge to a singular domain or industry as in professional programs. CCGA cautioned about blurring the line between academic and professional degree programs. The proposals submitted indeed raise new questions and push the boundaries between these two types of programs. At this juncture, CCGA recommended that professional fee proposals be approved on a case-by-case basis. CCGA also called attention to the large-scale and long-term repercussions of adopting the professional degree fee model and advises that the potential downsides are multiple and could negatively change the character of the University in the future. CCGA felt that the proposals are premature at this time and strongly recommended that they not move forward until the above stated issues are resolved, e.g., the lack of a coherent policy for how they should be approved, an assessment of the potential downsides and a framework for how programs generate income to sustain academic excellence.

Commission on the Future Recommendations

CCGA reviewed the first set of recommendations from the work groups of the Commission on the Future. The Committee wrestled with how best to sort out the wide range of reactions and comments generated by each of the recommendations in the report, and CCGA members chose to focus on major themes of concern. CCGA members surmised that, as a whole, the

recommendations generally missed the mark and represented a poor basis for which to base decisions about the future of the University of California. The Committee rejected the report's apparent underlying notion of the University as an inefficient and underperforming institution whose ideas for how to educate people have seen better days. The recommendations were deemed to be reactive rather than innovative and reflected the absence of substantial bold proposals for how to change the status quo and move forward with fewer resources. In particular, members found the report woefully lacking a practical and comprehensively articulated plan to generate the resources needed to restore the University to its historic level of excellence. Numerous incongruities in the report were cited by the Committee. For example, the report contemplates creating a pathway for undergraduate students to complete degrees in three years while at the same time enhancing research opportunities. This seems antithetical and draws attention to the apparent lack of a coherent plan for the structure of research education at the undergraduate and graduate levels. Lastly, the report's failure to document the cost-effectiveness or educational soundness of the proposed recommendations and its piece-meal treatment of graduate education and graduate students were viewed as key weak spots by CCGA.

Revision to the 1996 Policy for the Establishment and Review of Self-Supporting Programs (SSPs)

A request, from then-Provost Rory Hume to past-Senate Chair Michael Brown, asked CCGA to discuss the self-supporting policy and provide comments with recommendations to Academic Council. After multiple discussions that involved CCGA members over 2008-09 and 2009-10, CCGA submitted a report to Academic Council summarizing its discussions and outlining its recommendations on salient points to be taken consideration when drafting the new 1996 policy. The CCGA report was endorsed by Academic Council and forwarded to the Provost.

WASC Review of Graduate Programs

CCGA invited the Director of the Western Association of Schools and Colleges (WASC) Ralph Wolff to a discussion related to the review and approval of new graduate academic programs. CCGA proposed that its review process be coordinated with WASC review since the CCGA approval of new graduate programs is comprehensive and extensive. Director Wolff heard CCGA's propositions and said he would take them into consideration while working closely with the emerging graduate programs at UCM. Furthermore, WASC welcomed the assistance of CCGA in these broader issues and as they relate to the definition of learning outcomes of graduate academic programs.

Response to the Two Reports from the Legislative Analyst Office (LAO)

CCGA submitted to Council a letter expressing its concerns over the criticisms outlined by the LAO over the establishment process of new schools and graduate programs. CCGA continues to advocate for a grass-root approach for the emergence to graduate programs and new schools rather than a top down approach as suggested by the LAO. CCGA agrees that the participation of the California Postsecondary Education Commission (CPEC) in reviewing school proposals ought to occur earlier rather than later in the establishment process.

Proposed Revisions to the Compendium

CCGA was invited to comment on proposed changes to the Compendium and did so both formally through the Senatwide review process and informally through its official representative to the

Compendium Task Force, Prof. Ken Rose (UCSB). Prof. Rose is the immediate past vice chair of CCGA and graciously volunteered his expert services to the year-long revision process.

UC Merced’s Interim Individual Graduate Program Authority

CCGA has reviewed on an annual basis UC Merced’s Interim Individual Graduate Program (IGP) Authority and approved the continued use of the IGP through the 2010-11 academic year.

Graduate Students Health Insurance Plan (GSHIP)

CCGA discussed with GSHIP Co-Chair and UCD Graduate Dean Jeff Gibeling proposed changes to consolidate graduate students health plans across all campuses. CCGA supported these efforts and wrote a letter to Academic Council to support these endeavors.

Reviews of Name Changes, Masters Degree Program Additions and Other Programmatic Matters

As shown below, CCGA considered several requests for name changes, consolidations, reconstitutions, discontinuances, of degree titles, programs, departments, graduate groups, or schools.

Campus	School/Program/Group	New Name/Group	Requested Action	Disposition
UCD	Biochemistry and Molecular Biology and Cell Developmental Biology	–	Consolidation	Approved
UCSC	Bioinformatics	Biomolecular Engineering and Bioinformatics	Name Change	Approved
UCD	M.S. in Integrated Pest Management	–	Discontinuance	Approved
UCLA	Specialization in Architecture and Urban Design Certificate	–	Disestablishment	Approved
UCLA	Disestablishment of M.A. in Urban Planning	Establishment of Masters of Urban and Regional Planning (M.U.R.P)	Disestablishment and Establishment	Approved
UCI	Ph.D. in the School of Biological Sciences	Ph.D. in Biomedical Sciences in the School of Medicine	Split and Name Change	Approved
UCLA	M.A. in Critical and Curatorial Studies	–	Discontinuance	Approved
UCSB	Composition of Dissertation Committees for JDP in Educational Leadership	–	Other	Approved

Acknowledgements

CCGA is grateful to have had valuable input from and exchange with these UCOP and campus consultants over the past year: Provost Lawrence Pitts; Vice President for Research and Graduate Affairs Steven Beckwith; Dean of Graduate Studies Jeff Gibeling (UCD); Director of Student Financial Support Kate Jeffery; Director of Graduate Studies Pamela Jennings; and Director of Academic Planning Todd Greenspan; Academic Planning Assistant Director Hilary Baxter; immediate past Vice Chair of CCGA Prof. Ken Rose (UCR); and past CCGA member Prof. Valerie Leppert (UCM). The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at CCGA meetings throughout the year.

Respectfully submitted:

Farid Chehab, Chair (UCSF)

Jim Carmody, Vice Chair (UCSD)

Ira Tager (UCB)

Rachael Goodhue (UCD)

Frederic Wan (UCI)

Steven Nelson (UCLA)

Christopher Kello (UCM)

Morris Maduro (UCR)

John Sutton (UCSB)

Susan Carter (UCSC)

John Hildebrand (UCSD)

Michael Beattie (UCSF)

Rob Martin (UCSD student)

Katherine Warnke-Carpenter (UCI student)

Henry Powell (ex-officio member)

Dan Simmons (ex-officio member)

Eric Zárate (Committee Analyst)

**UNIVERSITY COMMITTEE
ON
EDUCATIONAL POLICY
2009-2010 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Educational Policy (UCEP) met nine times in Academic Year 2009-2010 to conduct business with respect to its duties as outlined in [Senate Bylaw 170](#) and in the Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (the “[Compendium](#)”). The major activities of the committee and the issues it addressed this year are outlined briefly, as follows.

Online Education

Throughout the year, UCEP discussed the Academic Planning, Programs and Coordination unit’s online education initiative and pilot project. Aims of the pilot include learning whether there are opportunities that UC is not taking full advantage of and to determine if online instruction is an effective means to deliver courses across campuses. UCOP is proposing to raise dedicated funding that will be distributed as a result of a Request for Proposals (RFP) process to faculty who are interested in developing and delivering online courses. UCEP recommended that measurements should be made to determine if online courses are equally effective as a traditional course. UCEP also expressed concerns about students who need face to face interaction with faculty or who are not prepared for UC overall. A joint Administrative/Senate oversight body has been set up to advise Academic Planning, and there will be consultation with UCEP.

Course Approval

UCEP had a number of discussions about the process for approving courses for requirement credit when students take courses at locations other than their home department or campus, especially as this relates to the Education Abroad Program, the Language Consortium, UCDC and UC Sacramento. There are also issues related to registration. The committee considered if there is a way to streamline the process and decrease the burden on students. A system to track courses that have been approved to which faculty and students could refer may facilitate the approval process. In July, UCEP submitted a letter to the Chair of the Academic Council proposing a joint Senate-Administration Task Force on multicampus registration and the off-campus course approval process.

Education Abroad Program

UCEP discussed and commented on the Final Report of the 2008-09 Task Force on the Education Abroad Program. Two members of UCEP volunteered to serve on the EAP Governing Committee. The Governing Committee discussed decisions to closing several study centers and while it will not make decisions about the budget, it may be involved in determining how the cuts are distributed. One question that was not addressed by the Governing Committee is whether differential fees would be charged for some programs. A few programs are being considered for cuts, those where there are not enough students and those that are more expensive because of the nature of the program. An additional problem UCEP discussed was the process by which EAP-related credits can be approved to count toward a student’s major. An administrative process to handle approving the course for credit towards a major exists but puts a substantial burden on the students and is administratively cumbersome.

Days of Instruction

The Academic Council Chair requested that UCEP discuss issues related to whether it is feasible and/or advisable to try to better define what is meant by the term “days of instruction.” While the number of days of instruction has been set, an exact definition for what constitutes a “day of instruction” has been subject to different interpretations. Current UC policy has no definition of what constitutes an instructional day. UCEP discussed this issue at their December and February meetings this year and concluded that it is not necessary at this time to work toward a more specific definition of “days of instruction.” The committee believed that a certain degree of ambiguity might be beneficial in dealing with situations that might occur in the future, and that attempting to define the term too specifically might impose restrictions that would be inappropriate or undesirable for some situations. UCEP recommended that it would be better to leave the interpretation to the appropriate administrative and Senate bodies when the occasion arises rather than to try to anticipate what might be appropriate with more specific and potentially restrictive guidelines.

Arabic Without Walls

Regulation 544 makes a course offered at one campus count minimally as elective units at other campuses and a course can be brought to UCEP for approval as a systemwide course. An approved course would then be listed in the systemwide courses catalog. UCEP has authority for final approval of systemwide courses. The UC Language Consortium requested that UCEP approve the Arabic Without Walls course from UC Irvine as a systemwide course. The committee identified a number of issues including how the course would be listed, how students would be directed to the catalog, whether fees would be shared by the campus offering the course and the student’s campus, and whether the student will receive credit towards a major. UCEP members voted to approve Arabic Without Walls as a systemwide course, and requested a future report from the Language Consortium on the status of the course. UCEP’s policy for approval and listing of systemwide courses is not an official UC policy but will be sent to anyone interested in creating a systemwide course.

Course Identification Number System Project

During its April meeting, UCEP received a presentation on the Course Identification Number System from Michelle Pilati, Faculty Coordinator of the C-ID project and Barbara Love, UC Santa Cruz Articulation Officer and member of the C-ID Advisory Committee. The importance of active faculty participation in the C-ID project was emphasized and UCEP discussed potential mechanisms for increasing faculty members’ understanding of how they benefit from participating. Given current faculty workloads, the committee recommended that the course review should be as streamlined as possible. The committee recommended setting up the processes used by C-ID for course articulation to work in conjunction with the development of learning outcomes during the accreditation process. The committee also suggested establishing a mechanism for faculty to receive credit for service for participating in the C-ID project.

Affiliation with Student Affairs

In 2009 UCEP had proposed a revision to Senate Bylaw 170 that would have made issues of student welfare a more formal part of the committee’s responsibilities. The proposal was rescinded while under systemwide review at UCEP’s request when feedback pointed out an unintended consequence of the specific wording of the proposed change that would have decreased the scope of UCEP’s oversight and limited it to undergraduate education. In subsequent discussions of the intent of the bylaw change, UCEP determined that it was already

the committee that important student welfare issues were typically brought to, and that a formal inclusion of that activity in the bylaws was unnecessary and could lead to UCEP spending more time on student-related issues than was necessary or appropriate.

University Student Aid Program

Most of the money in USAP is from the educational fees. UCEP discussed whether it would be appropriate to give campuses more flexibility for USAP so the educational fee dollars could be used for other purposes or priorities as long as other specifically raised external funds, such as gifts, replaced those dollars for USAP. Concerns included compromising UC's ability to communicate about the efforts to find resources for additional financial aid to mitigate the impact of the fee increases and ensuring transparency in campus fundraising. Donors have expectations about how the funding is used. The committee decided that any change to the policy could not be pursued at this time.

Other Issues and Additional Business

In response to requests for formal comment from the Academic Council, UCEP also issued views on the following:

- Differential Fees
- Undergraduate Effectiveness Task Force
- Report of Senate Special Committee on Online and Remote Instruction and Residency
- Commission on the Future – detailed comments were made on the two sets of recommendations from the Commission on the Future work groups, as well as the recommendations from senior management and from the executive vice chancellors.
- Choices Report
- The Compendium: Universitywide Review Processes for Academic Programs, Academic Units, & Research Units
- Area “d” Admissions Requirements

UCEP touched on a variety of other issues related to the business of the Academic Council, Academic Assembly, the Intersegmental Committee of Academic Senates, and the work of campus Committees on Educational Policy.

UCEP Representation

UCEP Chair Keith Williams represented the committee at meetings of the Academic Council, and Academic Assembly, and regularly attended meetings of the Intersegmental Committee of Academic Senates. Chair Williams also co-chaired the Commission on the Future Education and Curriculum Work Group.

Committee Consultations and Acknowledgements

UCEP benefited from consultation and reports from Hilary Baxter Academic Planning Analyst, Academic Planning, Programs and Coordination. In addition, UCEP consulted the Academic Senate chair and vice-chair, who updated the committee on issues facing the Academic Council and Senate, and the systemwide Senate executive director, who spoke to UCEP about committee and administrative matters.

Respectfully submitted,

Keith Williams, Chair (D)

David Kay, Vice Chair (I)

Jose Wudka (R)

Constantin Teleman (B)

Peter Loomer (SF)

Gerardo Aldana (SB)

John Yoder (D)

Matthew Palm (Undergraduate student-Irvine)

Gregg Camfield (M)

John Tamkun (SC)

James Levin (SD)

Sherrel Howard (LA)

David Pan (I)

Jamel Velji (Graduate student-SB)

Harry Powell ((SD); Chair, Academic Senate, *Ex Officio*)

Dan Simmons ((D); Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Senior Policy Analyst

**UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
2009-10 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Under [Senate Bylaw 175](#), the University Committee on Faculty Welfare (UCFW) considers and reports on matters concerning the economic welfare of the faculty, including salaries, benefits, insurance, retirement, housing, and conditions of employment. UCFW held ten meetings and one teleconference during the 2009-10 academic year, and the major actions and discussions of ongoing issues are highlighted in this report.

UCFW has two key subcommittees with memberships independent of UCFW and with particular expertise in: (1) the University's Retirement System (UCRS) including its policies and its investments (the Task Force on Investment and Retirement, TFIR); and (2) the University's health plans for employees and retirees (the Health Care Task Force, HCTF). These committees monitor developments and carry out detailed analyses of questions and issues in their respective areas and report back to the parent committee, UCFW, for further action. UCFW is indebted to the extraordinary commitment and skills of our two chairs, Robert Anderson (TFIR) and Robert May (HCTF).

It is important to recognize that although this is the report of UCFW, the work done by the two subcommittees forms the basis of much of what is reported here. These subcommittees spend a great deal of time in consultation with systemwide Human Resources & Benefits (HR&B). Many of these consultants also regularly attend UCFW meetings and lend their expertise to our discussions. We are indebted to these consultants, and they are individually acknowledged at the end of this Report.

Post-Employment Benefits: The 2009-10 academic year was dominated by an investigation into redesigning post-employment benefits (PEBs) in order to lower costs and enhance their long-term fiscal stability. The investigation included both the University's annuity program and its retiree health provisions, and the committee consulted regularly with Provost Lawrence Pitts, Executive Vice President for Business Operations Nathan Brostrom, CFO Peter Taylor, and Vice President for Human Resources and Benefits Dwaine Duckett. The work of UCFW's two task forces proved invaluable both to UCFW and to the wider Senate community throughout the year. TFIR, in particular, showed leadership in presenting viable alternatives in plan design and funding mechanisms. For example, TFIR first posited the use of Pension Obligation Bonds to lower UCRP's unfunded liability, and ensuing discussion led to the administration to propose STIP borrowing for the same function, but with the added benefit of still lower interest.

The ethos of UCFW infused the PEB process through many of the Senate representatives to the PEB task force working groups: UCFW Chair White, immediate past chair Helen Henry, previous past chair James Chalfant, TFIR Chair Anderson, and HCTF Chair May all participated actively and were lead authors of the Dissenting

Statement. That Statement argued in favor of maintaining the current practice of offering an annuity whose rates are not determined in consideration with Social Security (and which was embraced in concept by President Yudof in his final recommendations).

Commission on the Future: UCFW followed the work of the UC Commission on the Future with great interest, and opined on its recommendations. UCFW was of the opinion that the recommendations did not reach far enough nor did they challenge the assumptions of the current operating philosophies strongly enough; UCFW saw no guiding strategy emerge from the Commission on how to rank-order equally compelling priorities in an era of zero-sum funding. The committee looks hopefully to the product of the Academic Council Special Committee on a Plan for the University of California being chaired by immediate past Council Chair Henry Powell.

Budget, Budget Advocacy, and Budget Strategy: UCFW received regular updates from Budget Vice President Patrick Lenz. UCFW was gladdened to learn UC was successful in removing rider language from an education bill stating that the legislature had no intent or obligation to contribute to UCRP. While the amount specified for UCRP contributions still remains low, this is an important step in restoring robust state support for the University as a whole.

UCFW also lauded the work of her sister committee, the University Committee on Planning and Budget (UCPB) for its “Choices Report”, which helped put the competing priorities of the University in perspective. While UCFW remains committed to the principle of competitive total remuneration as the decision-rule for most budget decisions, putting the cost of those convictions in comparative perspective is helpful for all. UCFW further thanks UCPB for its close cooperation in the development and analysis of PEB financing options and for their year-long support of UCFW positions on this crucial topic.

Compliance Concerns and Risk Abatement Efforts: UCFW has long been concerned with the increasing onus of compliance and training programs. The committee welcomed Senior Vice President Sheryl Vacca, Office of Ethics, Compliance, and Audit Services, and her message that compliance should be user-friendly. UCFW anticipates the results of the systemwide compliance audit and the streamlining and efficiency improvements expected to result. UCFW was also interested to learn that risk prevention efforts are being reviewed, again with the goal of reducing interference and confusion. UCFW recommended, and the Council endorsed, the creation of a joint task force to help see these initiatives to completion.

“Family Friendly” Policies:

Fee Waivers: UCFW explored again the viability of offering fee waivers to dependents of University employees, and the committee was joined by the Staff Advisor-Designate to the Regents Juliann Martinez and Chair of the Council of University of California Staff Assemblies (CUCSA) Lin King. UCFW continues to recognize the value of fee waivers, but still could not recommend funding them over other

considerations; nonetheless, UCFW will continue to monitor this issue and will support viable options.

Child Care Facilities: UCFW heard that two campuses significantly scaled back their local child care facilities. UCFW opposed these cuts, noting concerns of younger faculty, graduate students, and other economically disadvantaged members of the University community. The Council declined to lend its support in opposition of these measures, citing the need for local autonomy.

The Berkeley campus, however, began a pilot program on back-up child care, and UCFW looks forward to hearing the outcome.

Human Resources and Benefits Communications: UCFW was instrumental in clarifying communications regarding imputed income and benefits contract language. The political reversals of fortune surrounding same-sex marriage in the state left many uncertain as to their status regarding taxable income, such as whether dependent insurance premium payments were available on a pre-tax basis. UCFW helped draft more effective communication on the topic, such that more precise and sensitive language could be used.

Similarly, the change in placement of the University's standard health and welfare insurance indemnification clause caused concern to many who inferred that UC might opt-out of its agreements on a whim. Consultation indicated that the content of the language had not changed from previous years, and that the intent of the language is to allow University flexibility should an insurer renege, not that UC was reserving the right to cancel policies or policy subsidies.

UCFW also cautioned HR&B against moving forward with revisions to compensation policies for certain senior managers out of concern that the political environment would prove toxic to efforts to streamline the awarding of bonuses and incentives, however standard such practices might be in general industry. The policies were deferred one cycle and subsequently implemented.

Cash Compensation Issues:

Salary Scales: UCFW, together with the University Committee on Academic Personnel (UCAP) and UCPB, jointly recommended the development of an updated plan to restore the faculty salary scales to a competitive foundation. This followed from the abandonment of the previous 4-year plan, which was set aside due to budgetary considerations. The current call asks for range adjustments as well as increases to off-set reinstatement of contributions to UCRP, in addition to restating support for the principles of the salary scales and their restoration as soon as fiscally possible.

Health Sciences Compensation Plan (HSCP): UCFW members with appointments at the medical centers continued to work closely with the Office of Academic Personnel and Vice Provost Susan Carlson in drafting new regulations for the HSCP. The working group achieved consensus on the draft, but full review will not occur until the fall. UCFW will continue to monitor this situation and participate as much as possible.

Alternate Compensation Plans: At the behest of the provost and in response to some at the campuses, the Office of Academic Personnel has also been charged to

investigate compensation plans similar to HSCP for other disciplines, such as business, engineering, and the biological sciences. UCFW remains to be convinced of the merits of the proposals, but has participated in planning meetings nonetheless. The project is in its infancy still, and UCFW will continue to monitor developments.

Additionally, UCFW met with Senior Vice President John Stobo from the Office of Health Sciences and Services, and the committee consulted with UCPB Chair Peter Krapp, UCAP Chair Allison Butler, and immediate past chairs and TFIR members Helen Henry and James Chalfant.

Finally, in addition to submitting opinions and recommendations on the topics above, UCFW opined on matters relating to changes in the health and welfare insurance offerings, the status of the Mortgage Origination Program funding pool, and the impact of the furlough program on ladder rank faculty.

Acknowledgements: As is clear from the above Report, and even a casual reading of the minutes of our meetings, UCFW simply could not do its work without the highly collegial relationships that we enjoy with our colleagues in the Office of the President. Those whose fruitful collaboration we gratefully acknowledge include: from Human Resources & Benefits, Randy Scott, Mark Esteban, Michael Baptista, Gary Schlingen, Dennis Larsen, Joe Lewis, Ellie Skarakis, and Dwaine Duckett; from Academic Personnel, Janet Lockwood, Pat Price, and Susan Carlson; from the Budget Office, Patrick Lenz and Debbie Obley; from the Office of Loan Programs Ruth Assily and Dan Sampson; from the Treasurer's Office, CIO Marie Berggren; from Academic Affairs, Provost Lawrence Pitts; and representatives of our external consultants from Mercer, Deloitte, and Segal. Finally, we are particularly grateful for the involvement, support and guidance from the Senate leadership, Chair Henry Powell and Vice Chair Daniel Simmons.

Respectfully yours,

UCFW 2009-10

Shane White, Chair
Joel Dimsdale, Vice Chair
Yale Braunstein, Berkeley
Lisa Tell, Davis
Saul Schaefer, Davis Alternate
William Parker, Irvine
Mitchell Wong, Los Angeles
Sean Malloy, Merced
J. Daniel Hare, Riverside
Farrokh Najmabadi, San Diego

Jean Ann Seago, San Francisco
Kostas Goulias, Santa Barbara
Douglas Morgan, Santa Barbara Alternate
Suresh Lodha, Santa Cruz
Robert Anderson, TFIR Chair
Robert May, HCTF Chair
Charles Hess, CUCEA Chair
Kenneth Feer, Analyst

**UNIVERSITY COMMITTEE ON INTERNATIONAL EDUCATION
ANNUAL REPORT 2009-2010**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Responsibilities and Duties

Per [Senate Bylaw 182](#), the University Committee on International Education (UCIE) is primarily charged with 1) considering and reporting on matters of international education referred to the Committee by the President of the University, the Academic Council, the Assembly, a Divisional or any Senate Committee; and 2) continuing review of the Education Abroad Program and its policies. As part of its charge, it consults with the University Office of Education Abroad Program (UOEAP) on future program development, including modification of the programs of existing Study Centers, establishment of new Study Centers, and disestablishment of EAP programs. The committee also oversees the formal review of programs and advises the President on the appointment of Study Center Directors. UCIE met in-person four times and held one teleconference during the 2009-10 academic year; the committee's key activities and accomplishments are highlighted in this report.

EAP Program and Study Center Closures, Suspensions, Terminations, Reconsolidation, Relocations, and Transfers

Due primarily to the current funding and budgetary environment, UOEAP closed or suspended the following study centers (SCs) and programs. In other cases study center director (SCD) positions were either eliminated or transitioned to a UC faculty consultant (FC) or a local director (LD), which lowered costs. *It should be noted that UCIE did not necessarily give explicit consent to all closures and consolidations.*

Program, Study Center or Director	Country	Action(s)	Implementation Date		
			09-10	10-11	11-12
Buenos Aires SCD	Argentina	SCD eliminated; consolidated with Chile SCD	X		
Melbourne SC	Australia	SCD eliminated; to FC		X	
Univ. of Tasmania Immersion Program, Hobart	Australia	Closure		X	
Rio de Janiero SCD	Brazil	SCD eliminated; to FC and LD	X		
Rio de Janiero, Bahia SC	Brazil	to LD	X		
Concepcion SC, Santiago	Chile	Closure	X		
University of Concepcion Language & Culture Program, Santiago	Chile	Cancellation	X		
Beijing/Shanghai SC	China	SCD eliminated; to LD			X
San José SC	Costa Rica	Closure		X	
University of Costa Rica Program, San Jose	Costa Rica	Closure		X	

Denmark/Sweden SCD	Denmark/ Sweden	SCD eliminated; to FC	X		
Program, Study Center or Director	Country	Action(s)	Implementation Date		
			09-10	10-11	11-12
France SCD	France	1 SCD eliminated	X		
CIEE Critical Studies, Paris	France	Closure	X		
University of Grenoble	France	Closure	X		
Berlin	Germany	Reconsolidation			
Göttingen SC	Germany	Closure	X		
Georg-August, Göttingen	Germany	Closure of undergraduate programs		X	
Kwame Nkrumah University S&T Program, Kumasi	Ghana	Closure	X		
Budapest SC	Hungary	Closure		X	
Eötvös Loránd Univ., Budapest	Hungary	Closure		X	
Central European Univ., Budapest	Hungary	Closure		X	
Delhi SCD	India	SCD eliminated; to FC		X	
Padova SC	Italy	Closure	X		
Siena SC	Italy	Closure		X	
Siena Language & Culture	Italy	Relocation to Florence		X	
Doshisha University Program, Kyoto	Japan	Suspend Year Program			X
Mexico City SCD	Mexico	SCD reduced to .5 time	X		
Morelia	Mexico	Suspension	X		
San Nicolás de Hidalgo Univ. of Michoacán Program	Mexico	Suspension	X		
Mexico-US Comparative Program at UC Ctr	Mexico	Cancellation		X	
Utrecht SC	Netherlands	Closure		X	
University of Leiden Program	Netherlands	Closure		X	
University of Maastricht Psychology Program	Netherlands	Closure	X		
Wageningen University Ag. & Env. Science Program	Netherlands	Suspension	X		
Moscow Study Center/Director	Russia	Closure/SCD eliminated		X	

International University Program, Moscow	Russia	Closure		X	
South Africa SC	S. Africa	2 to 1 LD at Capetown			X
University of Natal Durban Program	S. Africa	Suspension	X		
Program, Study Center or Director	Country	Action(s)	Implementation Date		
			09-10	10-11	11-12
University Natal Pietermaritzburg Program	S. Africa	Suspension			X
Pietermaritzburg & Durban Programs	S. Africa	Closure			
Spain SCDs	Spain	SCDs consolidated to 1 SCD		X	
Granada SCD	Spain	SCD eliminated	X		
University of Alcalá Hispanic Studies Program	Spain	Closure	X		
Joint Summer Int'l Relations Program	Sweden	Closure	X		
UK SCs: UK/I London Bloomsbury, Cal House, & Edinburgh)	UK	3 SCDs to 1 SCD (09-10); SCD to FC (10-11)	X	X	
University of Durham	UK	Closure			X
Univ. of London, Royal Holloway	UK	Closure		X	
University of Sheffield	UK	Closure	X		

Likewise, UOEAP either terminated or did not renew the following agreements with the following institutions:

Agreement	Country	Action	Minutes
University of Tasmania Agreement	Australia	Non-Renewal	11/5/2009
Leiden University Agreement	The Netherlands	Termination	11/5/2009
Durham University Agreement	United Kingdom	Termination	11/5/2009
Royal Holloway, University of London Agreement	United Kingdom	Non-Renewal	11/5/2009

EAP Program Development

In addition to the followed new program approvals, UCIE also considered a new nine-week summer intensive elementary Japanese language program at Intercultural Institute of Japan, but ultimately rejected the proposal. UCIE also endorsed the report from UOEAP's Japan Reorganization Work Group, which recommended consolidation/simplification of its complex Japan program options and locations. UCIE also approved the specific recommendation coming out of this report to reinstate UOEAP's relationship with Waseda University (see below).

Program	Host Institution/Third Party Provider	Country	Action	Minutes
Botswana/Tanzania	CIEE	Botswana/Tanzania, Africa	3-Yr. Pilot	5/13/2010
Florence	UOEAP/ACCENT	Italy	Relocation	5/13/2010
Israel			Reinstatement	
Istanbul Summer	Boğaziçi University	Turkey	New Program	5/13/2010
Russia	CIEE	Russia	Transfer**	5/13/2010
Waseda Agreement	Waseda University	Japan	Reinstatement	5/13/2010

UCIE Comments on Proposed Budget Funding Models A, B, & C

At its October 2009 meeting, Director Cowan presented UCIE with three possible and potential budget models with respect to the amount of annual General Fund monies that UOEAP receives. Briefly, these are Model A, which retains EAP’s current General Fund support at \$3.7M (20% of the total budget); Model B, which cuts EAP’s funding by \$2M (5% of the total budget); and Model C, which cuts EAP’s General Fund support to \$0. In response, UCIE sent a letter to Council that gave only marginal support for Model A, but not to any of the other models, as such cuts will cause serious irreparable damage to UCEAP. UCIE also recognized the discriminatory effects that these proposed further cuts would have on UC’s smaller campuses, such as Riverside, Merced, Santa Cruz, and even Santa Barbara. Some of the smaller campuses with high levels of EAP participation will not be able to absorb the unforeseen costs resulting from over-simplified and incomplete budget models.

Final Report of the UCEAP Task Force

With respect to this report, UCIE made the following comments:

1. UCIE is concerned that the already implemented new budget model for UOEAP fails to guarantee support for campus-based EAP efforts, including recruitment, advising, orientation, and support.
2. The new budget model provides no guarantees that any return-to-aid components of the newly assessed EAP supplemental fees will actually be used to offset costs to EAP students.
3. Reciprocity students are vital to both the University’s stated internationalization priorities and our ability to help keep costs to UC students from skyrocketing. UCIE is troubled by the Task Force report’s implication that reciprocity agreements are dispensable.
4. UCIE calls for an explicitly *representative* composition of the newly appointed EAP Governing Committee, to include the central EAP constituents, notably from all of the campuses.
5. UCIE supports UCPB’s position that the new director of EAP should be an *academic* position.
6. Though there are no doubt economies to be achieved in UOEAP’s operations—some of which may be related to moving it to a campus—certain proposed cuts seem misguided. For example, UCIE’s own investigation of current practices suggests that course-by-course “articulation” is not something that UOEAP currently performs.

EAP Governance Committee

UCIE's representatives on the EAP Governance Committee were UCIE Chair Errol Lobo and Kalju Kahn (UCSB); Vice Chair John Haviland will continue to serve on the Governance Committee in 2010-11. The EAP Governing Committee, which emerged out of the UCEAP Task Force, is responsible for financial issues, as well as the general guidance of EAP. UCIE retains oversight over academic course and program approvals.

UOEAP Executive Director Posting/Search

In November 2009, UCIE members sent a letter to Academic Council Chair Harry Powell supporting UCPB's view that this position should be filled with an academic who could qualify for a tenured faculty position at the University. The committee's opinion echoed that of UCPB in that 1) it is important for EAP to remain under the purview of the faculty; and 2) even as UOEAP moves toward a self-supporting budget model, preserving EAP's academic nature is paramount. Members also agreed with UCPB that this position should be reclassified at the level of a Dean (Associate Dean) or Vice Provost. UCIE Chair Lobo actively served on the search committee, and Vice Chair John Haviland reviewed the short list of final candidates. In early August 2010, Professor Jean-Xavier Guinard (UCD) was appointed as the new Associate Vice Provost and Executive Director for UCEAP, effective October 1, 2010.

UCIE Comments on the Committee on the Future Recommendations

UCIE commented on the Committee on the Future first-round recommendations in May 2010. Generally speaking, UCIE was disappointed with the scope and orientation of these preliminary recommendations, and was particularly discouraged by the lack of a recommendation devoted to international education. Specifically, little attention was paid to "internationalization" as a priority for the future of the university as a whole, and nothing on education abroad programs (whether through campuses or UOEAP) as part of our educational mission. UCIE's comments on specific recommendations follow below:

- *Education and Curriculum's Recommendation #1* [a pathway for undergraduate students to complete degrees in three years]: UCIE opposed this recommendation on the grounds that such a program would virtually eliminate the possibility of study abroad for students. As an alternative to a three-year program, UCIE suggested a program that would entail a three-year study at a home campus and one year of study abroad.
- *Size and Shape's Recommendation #1 and Funding Strategies' Recommendation #6* [increasing non-resident enrollments including international students]: UCIE conditionally endorsed this recommendation, noting its reservations about how international student enrollments are to be increased. Committee members remarked that not all international students are of the same quality, nor contribute to diversity in the same way. Simply admitting foreign students who can pay non-resident tuition would improve neither the quality nor the diversity of the UC student body; it would only increase the number of affluent foreign students from certain geographic regions.
- *Size and Shape's Recommendation 5* [eliminating administrative redundancies across the UC system and promoting efficiencies wherever possible]: In connection to this recommendation, UCIE noted that UOEAP is a good example of such centralization, but at the same time, is illustrative of the gap that one sees between theory and in practice. The committee acknowledged

the general perception that UOEAP was not efficiently run: the consolidation of function, even in this modest scale, may have worked to increase bureaucracy, not efficiency.

UOEAP's Marketing, Outreach, and Retention Strategies

UCIE endorsed UOEAP Interim Director Cowan's recommendations on marketing, outreach, and retention, which is built on the following principles:

- Enhance the EAP website, thereby making it possible for students to begin and complete their EAP application on one website/place;
- Provide "helpdesk" assistance to applicants;
- Admit students directly to some of EAP's programs, thereby shortening the wait time from submission of application to admission;
- Offer incentives to UC campuses to increase EAP participation; and
- Involve EAP overseas offices in recruitment.

Formal Program Reviews

Director Cowan agreed to a UCIE request that UOEAP provide follow-up reports one year after a formal review is completed. Members approved the following formal program review reports in 2009-10: FU-BEST (Berlin, Germany), Madrid, Singapore, and Taiwan. With respect to the FU-BEST review, UCIE formally commented that the FU-BEST program does not consistently provide a strong foundation for further language study or greater engagement with German culture upon a student's return to the States. The committee also found that the program could better integrate student contact with German students.

Miscellaneous Proposals

UOEAP Interim Director Cowan presented the following white papers to UCIE over the course of the year:

- Proposed UCIE-UOEAP Consultative Protocols
- UOEAP's Outreach and Retention Strategies (see above)
- UC Faculty Governance of, Management of, and Involvement in EAP

2010-11 UCIE Formal Review Committees

Members approved the following programs to be formally reviewed in the 2010-11 academic year: Australia, China, Korea, and New Zealand.

Selection of Study Center Directors

UCIE did not select any study center directors in 2009-10. However, UOEAP is beginning recruitment for six new study center directors for 2011-13: in China, Spain, France, Egypt, Mexico (one semester) and Chile/Argentina.

Acknowledgements

UCIE wishes to acknowledge the contributions of its principal consultant, UOEAP Interim Director Michael Cowan. Committee members also praised Michael for his significant contributions to EAP over the past two years, as well as for his adept leadership of UOEAP in these difficult times.

Respectfully submitted:

Errol Lobo, Chair (UCSF)
John Haviland, Vice Chair (UCSD)
Paulo Monteiro (UCB)
Phillip Rogaway (UCD)
Richard T. Robertson (UCI: Fall 2009)
Volodymyr Bilotkach (UCI: W/S 2010)
Olga Kagan (UCLA)
Cristián H. Ricci (UCM)

Yang Ye (UCR)
Geoffrey Manley (UCSF)
Kalju Kahn (UCSB)
Debra Lewis (UCSC)
Henry Powell (Council Chair, ex-officio)
Daniel L. Simmons (Council V. Chair, ex-officio)

Todd Giedt (Analyst)

**UNIVERSITY COMMITTEE
ON
LIBRARY AND SCHOLARLY COMMUNICATION
2009-2010 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Library and Scholarly Communication (UCOLASC) met three times in the 2009-2010 academic year to conduct business in accordance with its charge, outlined in [Senate Bylaw 185](#), to advise the president about the administration of University libraries. Highlights of the committee's major activities are outlined briefly below.

Report on Journal Negotiations

Ivy Anderson, Director, Collection Development & Management at the California Digital Library reported on recent negotiations with journal publishers for systemwide subscriptions. The major journal expenditures are \$20 million a year, approximately two thirds of the library budget. Many publishers worked with UC to help reduce costs in response to the budget situation and as a result, costs of the 77 routine contracts renewed this year were reduced or kept the same in the negotiations. Significant cuts in the cost of journal subscriptions will need to be made. UCOLASC learned about the UC Scholarly Communications Sustainability Initiative, a multiyear initiative to reduce major licensed contract expenditures and increase the number of high quality open access journal publishing options.

Director Anderson discussed the contract with Nature. The cost of this journal increased significantly over the course of several years until CDL was able to get a contract with a good cost. The contract with Nature will be renegotiated and CDL has been notified that the subscription cost will quadruple because the current contract is not sustainable for the publisher. In May, UCOLASC worked with the University Librarians to write a joint letter that was distributed to UC faculty which included recommendations on how they can help and noted that it might be necessary to cancel the Nature subscription.

Concern about Library Budgets

UCOLASC learned about the reduction of the libraries' operations budgets as a result of the cuts in state funding to UC. Library budgets have been cut by as much as twenty percent and future cuts are being explored. There have also been substantial reductions in library hours at many of the campuses. Discussions about consolidating or eliminating libraries have occurred. Special collections have been closed and specialized staff have separated from UC.

Google Booksearch Settlement Agreement

In August 2009, the unanimous members of the Academic Senate submitted a letter to the District Court judge overseeing the Booksearch Settlement Agreement which was drafted by Pamela Samuelson, Richard M. Sherman Distinguished Professor of Law; Director, Berkeley Center for Law & Technology, Boalt Hall. The letter detailed a number of concerns about the original settlement agreement the judge was asked to consider. A hearing was postponed after the Department of Justice objected to components of the agreement. The DOJ raised approximately fifteen issues related to key provisions in the settlement agreement. A brief status conference was held in October 2009 and the Court granted a preliminary approval of an

amended settlement agreement in November 2009. The court held a Fairness Hearing on February 18, 2010, but supervising judge Denny Chin has not yet issued a ruling.

The committee noted that the concerns expressed in Professor Samuelson's letters have not been addressed in the revised agreement. If the settlement agreement is not approved it is unclear what will happen next and UCOLASC should also consider how the issue of orphan books can be handled. Dan Greenstein, Vice Provost Academic Planning, Programs, and Coordination, joined UCOLASC in October to report on UC's ongoing digitization project with Google Books, reporting that two million volumes had been digitized at that time. The digital copies of in copyright books given back to UC are governed by copyright laws. The project will result in lower costs for interlibrary loan. The digitization project is an important element of UC's collection management strategy. UC has a separate cooperative agreement with Google for the digitization of books and CDL was negotiating on eleven aspects of the agreement for the amendment in October. The terms of the settlement agreement are reflected in the contract with UC. UCOLASC expressed concerns about the advertising that will appear when using the Book Search tool and will have further discussions about this issue. The committee will continue to monitor the Google Book Search Settlement Agreement and digitization project.

Reshaping Scholarly Communication Website

Margaret Phillips, an Electronic Resources Librarian at UCB and co-chair of the Scholarly Communication Officers Group joined UCOLASC in February to provide an update on the work that was done in preparation for a revision of the Reshaping Scholarly Communication website (<http://osc.universityofcalifornia.edu>). Some of the information on the website will be archived or updated. The California Digital Library will support the website and the Scholarly Communication Officers Group, with input from UCOLASC, will manage the information on the site.

Open Access

UCOLASC also focused on the Fair Copyright in Research Works Act, H.R. 801. The bill introduced by John Conyers (MI) on February 3, 2009 and referred to the House Subcommittee on Courts and Competition Policy on March 16, 2009 would eliminate the National Institutes of Health's (NIH) PubMed Central repository and prevent other federal research funding agencies from adopting similar open access policies. UCOLASC is in favor of the Federal Research Public Access Act (S. 1373) which would require specified federal funding agencies to mandate open access to journal articles resulting from their grants after an embargo of six months. Although the Act has not moved forward in the past six months, it has generated interest at research universities, library associations and researchers. There is a parallel effort on the House side of Congress looking at open access. A roundtable on scholarly publishing which was convened in June 2009 by the House Science and Technology Committee published a report in January 2010. The Office of Federal Government Relations has been in communication with the legislative staff about UC's support of open access legislation and specific areas of concern in S. 1373. UCOLASC will monitor the progress of this bill next year.

eScholarship Report

Catherine Mitchell, Director of eScholarship Publishing at the California Digital Library joined the committee in February to report on the status of eScholarship. eScholarship was launched in 2002 as an effort to provide a repository for postprint. Using eScholarship has been voluntary.

Goals were to invest in new models of scholarly communications and save monographs. There are 2000 UC Press ebooks available to UC, 500 of which are available to the general public. In 2007 there was an assessment of eScholarship and a plan to reposition eScholarship was developed. One strategy was to build publishing technology that could be used throughout the system. Authors who use eScholarship retain their copyright and articles that have been peer reviewed have been identified. eScholarship fills a gap in programs that are not served by traditional/commercial publishing models or for publications lacking significant funding support and the services provided by eScholarship are free. Since October 2009 there has been a notable increase in the use of eScholarship. Extended services will include developing a platform for undergraduate publications and multi-media publishing. The committee recommended that undergraduate work could be supported in a format that is parallel to the eScholarship repository.

Input to the UC Commission on the Future Research Strategies Workgroup

A co-chair of the Research Strategies Workgroup solicited input from the University Librarians and UCOLASC about issues related to the libraries such as cuts to collections, the CDL, and cuts to library hours or services. Feedback to the Workgroup included the need to highlight the libraries' role in data curation, the importance of interlibrary loan to global research and the availability of materials in major foreign languages, and the need for physical storage and access to resources. It was also noted that UC should position itself as a leader in open access, making work available by eliminating barriers to access. Finally, the Workgroup was advised that there needs to be consistent and stable funding for the libraries that takes inflation into account.

Joint Meeting with University Librarians

UCOLASC met with the University Librarians in February to discuss common topics of interest, including open access, regional library facilities, and the development of library search technologies ([WorldCat](#)).

Campus Reports

UCOLASC devoted part of each regular meeting to member reports about issues facing divisional Senate library committees. In these discussions, faculty members touched on library budget and space issues; iTunes University and the YouTube websites; library IT infrastructure; the future form of libraries; open access activities; and eScholarship.

Committee Consultations and Acknowledgements

UCOLASC acknowledges the contributions of its administrative consultants and guests. The committee benefited from consultation and reports from University Librarians Convener Brian Schottlaender (UCSD), University Librarian and Assistant Chancellor Karen Butter (UCSF), California Digital Library Executive Director Laine Farley, Vice Provost, Academic Information and Strategic Affairs Dan Greenstein, and Librarians Association of the University of California President Lucia Diamond (UCB). UCOLASC also occasionally consulted the Academic Senate chair and vice chair about issues facing the Academic Senate.

Respectfully submitted:

Richard Schneider, Chair (SF) Elise Knittle (SC)
Shane Butler, Vice Chair (LA) Ignacio Lopez-Calvo (M)

John C. Baez (R) Stefan A. Tanaka (SD)
Carroll Seron (I) Andrew Waldron (D)
Alan Weinstein (B) Lee Ann Baxter-Lowe (SF)
James Frew (SB) Garrett Liles (Graduate student-D)
Mary Nguyen (Undergraduate student-I)

Anthony Joseph ((B); Chair, UCCC, *Ex-Officio*)
Harry Powell ((SD); Chair, Academic Senate, *Ex Officio*)
Daniel Simmons ((D), Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Committee Analyst

**UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)
ANNUAL REPORT 2009-2010**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) met ten times in Academic Year 2009-10, including one conference call, to conduct business with respect to its duties – to advise the President and other agencies of University Administration on policy regarding planning and budget and resource allocation – as outlined in [Senate Bylaw 190](#) and in the *Universitywide Review Processes for Academic Programs, Academic Units, and Research Units* (the “[Compendium](#)”). The major activities of UCPB and the issues it addressed this year are outlined briefly, as follows:

UCPB set out this year to lead the Senate’s response to the deteriorating state and University budget situation. The Committee took active positions regarding the budget and responded quickly to a series of administrative proposals intended to address shortfalls. UCPB monitored the progress of budget negotiations in Sacramento; analyzed UC’s budget choices and “plan B” budget scenarios; received high-level briefings from senior administrators on UC’s debt strategy and potential options for post-employment benefits design; tracked the implementation and impact of furloughs; discussed appropriate metrics for space planning and capital construction; reviewed factors contributing to the growth of UC administration; examined and commented on pension benefits and total remuneration; analyzed opportunities for achieving local and system-wide budget efficiencies; assessed the degree to which local budget committees have access to information and input into budget decision-making; and worked with other Senate committees on issues of common interest and concern.

THE CHOICES REPORT

Many of the topics UCPB investigated and commented on during the first half of the year later formed the basis of a chapter or section of the March 2010 *Choices Report*, which followed UCPB’s earlier well-regarded publications, the *Cuts Report* (2008) and *Futures Report* (2006). Indeed, *Choices* was the culmination of UCPB’s 2009-10 discussions about the future of the University of California. It lays out a range of issues related to UC budget and planning, analyzes potential options for cuts and their impact, and addresses a series of budgetary trade-offs and alternatives on matters of fee policy, cross-subsidization, salaries and benefits, faculty workload, indirect cost recovery, administration, and a number of potential efficiencies and new revenues.

The Academic Council endorsed the *Choices Report* in June, after a systemwide Senate review, as a document that provides history, context, and analysis supporting Senate and Administration discussion of next steps in the budget process. The Academic Council also charged an ad hoc committee to prepare a summary of comments received in the systemwide review of the report. UCPB expects to continue discussing the concrete implementation of various recommendations from the *Choices Report* on the campuses, particularly in matters of Senate involvement in the budget process on each campus, and in thorough and ongoing reviews of space planning, administrative growth, faculty salaries and benefits, appropriate metrics for faculty workload across campus, research funding, and campus base budget allocations. The *Choices Report* was submitted to UC President Yudof, the UC Regents, the system-wide UC Academic Senate, the UC Chancellors, and the members and work groups of the UC Commission on the Future. See <http://www.universityofcalifornia.edu/senate/ucpb.choices.pdf>.

UCRP AND POST-EMPLOYMENT BENEFITS

UCPB believes a competitive Defined Benefit plan encourages the renewal of faculty and staff and has been a major contributing factor to UC's excellence. UCPB actively sought this year to understand and confront the issues and problems facing the UC Retirement Program, and to engage in a conversation the options being considered by the President's Post-Employment Benefits Task Force for modifying UC retiree health and pension benefits. UCPB member James Chalfant served as an at-large member of the UCFW Task Force on Investment and Retirement (TFIR) and as a member of the Post-Employment Benefits Task Force. TFIR Chair Robert Anderson joined several UCPB meetings to discuss TFIR's analyses and recommendations. Randy Scott, Dwaine Duckett, Peter Taylor, and Nathan Brostrom also visited UCPB to present and discuss the preliminary recommendations of the Task Force. In March, UCPB released a Statement on Post-Employment Benefits in which it encourages decision-makers to focus on the fundamental goal of preserving UC excellence and faculty total remuneration rather than cost savings, and calls on the Senate to oppose any proposal for benefits re-design that changes the future accrual of pension benefits for current employees, noting that such a move could spur an exodus of faculty and staff.

SENATE-ADMINISTRATION BUDGET SUMMIT

On March 31, members of UCPB, the Academic Council, and the administration met in Oakland for a budget "summit" hosted by the Provost. The intent was to arrive at a consensus about the budget options on the table and how to manage the crisis. There were presentations from the Budget Office about funding streams, from External Finance about UC's debt programs, and from Human Resources about future post-employment benefits scenarios. Chair Krapp introduced UCPB's *Choices Report*, and the UCFW chair presented UCFW's views on post-employment benefits. Although no decisions were made at the event, discussion continued in a series of monthly follow-up teleconference meetings.

UCFW'S FISCAL CRISIS MITIGATION OPTIONS

In May, the Senate vice chair asked UCPB to collaborate with UCFW on a resolution emphasizing the primary importance of maintaining competitive total remuneration and post-employment benefits for current faculty, and recommending three fiscal crisis mitigation options: downsizing the university by reducing the number of employees, including faculty, through attrition; instituting a moratorium on non-essential construction projects; and requiring Chancellors to identify specific offsetting FTE cuts in other programs when they propose a new academic program. UCPB responded in writing to UCFW, and a UCPB-UCFW subcommittee crafted a joint memo that attempted to synthesize the committees' points of agreement. Although UCFW and UCPB shared similar concerns about a lack of leadership on the budget and a sense that campuses have been unwilling to recognize the seriousness of the crisis and make tough decisions, UCPB opinion was split on calling for a new construction freeze, and that memo failed a UCPB vote; however, the UCFW recommendations ultimately formed the basis of an Academic Council recommendation to the UC Commission on the Future.

INVESTIGATION INTO NON-ACADEMIC FTE AND SALARY GROWTH

Administrative growth at UC over the past decade outpaced both student enrollment growth and faculty headcount. Indeed, ladder rank faculty is the only major group of employees that did not keep pace with student numbers. Given that ladder rank faculty directly carry all three parts of UC's mission, this decline raises questions. UCPB continued its investigation into the growth of academic

and non-academic personnel and salaries and the factors driving non-academic personnel growth. Staff from the Office of Institutional Research (IR) joined UCPB's October and February meetings to present and discuss data on FTE and salary growth between 1997-1998 and 2008-2009, which UCPB had requested to aid its investigation into the expansion of management and executive positions.

In preparing its own analysis of these data, IR focused on the role of hospitals, auxiliaries, and research as the main drivers of employee growth, along with and advances in technology requiring a more technically qualified workforce. Yet UCPB notes that the number of non-medical center employees in the MSP category, paid from General Funds, increased by 125% with earnings increased, in constant dollars, by 192%. And far more MSPs were added in the institutional support functional area than in the research area. IR may attribute this increase in MSPs to "increased professionalization of the workplace" - but that is merely a reiteration of the fact that there are more than twice as many senior managers as there used to be. The IR report also did not disaggregate ladder rank faculty from lecturers and instructors. Over the same period, student numbers increased by 33% while ladder rank faculty increased by 25%. UC added 56,178 students but only 1,900 ladder-rank faculty members – a marginal student-faculty ratio of 30:1.

UCPB issued a follow-up request for data on the growth of non-academics and academics over time proportional to a per-patient or per-student ratio. IR communicated its view that these might not be useful metrics unless the salaries and FTEs are restricted to instructional sources. In addition, staff growth in some auxiliaries is not a function of faculty or student growth, and research might contribute to staff hiring. In June, IR began to disaggregate academic employee data; provided a breakout of total salaries and FTE for ladder-rank faculty and lecturers; and salary and FTE data to distinguish SMG, MSP, and PSS administrators working in academic departments. IR reiterated that they see themselves unable to support UCPB's request for campus-level data or data comparing the growth of non-academics and academics over time proportional to a per-student and per-faculty member ratio.

FUNDING STREAMS AND BUDGET "RE-BENCHING"

In November, Associate Vice President for Budget Debora Obley and Operating Budget Director Michael Clune presented the findings of a comprehensive analysis of UC revenue sources and the process by which the major pieces of State funds, student fees, and other revenues are generated and allocated to the campuses. In July, they updated UCPB about a developing proposal to change the way the campuses and UCOP are funded and to "re-bench" the historical per-student ratio of state funds allocated to campuses general fund allocation formulas, which over time accumulated very significant per-student funding imbalances across the system. UCPB also received regular updates about the "funding streams" and "re-benching" projects from VP Nathan Brostrom and EVP Lawrence Pitts, who asked UCPB to consider principles to guide UCOP's efforts. In July, UCPB submitted a memo to Council recommending principles for the use of revenues from educational fees, non-resident tuition, indirect cost recovery, and the operation and maintenance of the campus physical plant in the General Fund campus allocations, as well as the role of funding for graduate students and line item funding for organized research units. UCPB's memo included advice about the timing of the transition; the distribution of new incremental state funds; the need to establish appropriate weighted formulas that account for doctoral, master's, and undergraduate programs; the danger of establishing new inequities if non-resident enrollment grows disproportionately in the

absence of a cap; and the need for transparency and fairness in campus base budget allocation. In July, Council agreed to submit UCPB's Principles to the group that Provost Pitts convenes this fall to discuss "re-benching".

INVESTIGATION INTO UC'S DEBT PROGRAMS

At the October and February meetings, Chief Financial Officer Peter Taylor and Executive Director of External Finance Sandra Kim joined UCPB to discuss UC's borrowing programs and their goals for using debt to finance long-term capital assets and short-term projects. Nathan Brostrom joined UCPB in January and May to discuss UC's strategies to enhance debt capacity and efficiency, a new asset management tool for the Short Term Investment Pool, and a long-term initiative to restructure campus financial systems funded through commercial paper. On several occasions, and in the *Choices Report*, UCPB expressed concern that campuses continue to issue more debt to fund construction of dormitories and other buildings at a time when enrollments are not growing. Members encouraged EVP Brostrom to spend time at each campus to learn more about their financial situations. They encouraged UCOP to consider pension obligation bonds as a means to address the unfunded liability of UCRP, and to postpone new capital construction, except at UC Merced, which has a critical need for facilities to attract faculty and students. The committee's view is that even if capital construction is funded through debt or from a non-state source, filling new buildings with activity draws considerably on General Funds, whether by way of utilities and laboratory set-up costs, or salaries and benefits.

DIFFERENTIAL FEES AND NON-RESIDENT TUITION

In October, UCPB recommended that the Senate oppose differential fees by major, citing unanticipated consequences for educational quality, access and diversity, and the public character of UC. The Academic Senate has long opposed any kind of UC stratification and privatization. In January, UCPB expanded on these views in a position paper that makes connections between differential fees by major or by campus, non-resident enrollment, and non-resident tuition (NRT) revenue, which UCPB argues all promote campus stratification. Just as differential campus fees undermine the notion of UC as "one university," NRT has this same effect because individual campuses have unequal capacities to recruit and generate revenue from non-residents. UCPB's view is that financial incentives to campuses to increase non-resident enrollment impose a political cost on the entire system, as well as a financial cost on campuses that are not able to attract as many non-residents, because it shifts resident enrollment and the cost of over-enrollment to other campuses that could see an unexpected spike in yield. UCPB asks UCOP to plan for reducing unfunded enrollment to zero and allowing campuses to maintain capacity by enrolling more non-residents, but suggests that NRT, and by extension any differential revenue, could be centralized and allocated to systemwide priorities, like faculty salaries and the UC Retirement System. The systemwide Senate review of UCPB's paper revealed a consensus against differential fees by campus and major, but the NRT issue was contentious. Chair Krapp withdrew the paper, noting that its agreed-upon sections are covered in the *Choices Report*.

ONLINE EDUCATION

In November, UCPB submitted a memo to Council about the possible expansion of online education at UC, citing a draft prospectus for a proposed systemwide pilot project and the report of the Special Senate Committee on Remote and Online Instruction. This memo also became the basis for a section of the *Choices Report* addressing online instruction. UCPB notes there that remote and online

instruction should be evaluated first and foremost for any real increase in the quality of instruction so as to fulfill the university's mission. Pointing to a series of (costly and failed) precedents at other top US universities, UCPB challenges unrealistic assumptions that online instruction could yield budget savings and increase access, or that online environments are comparable to classroom interactions.

RESPONSES TO RECOMMENDATIONS OF UC COMMITTEE ON THE FUTURE WORKING GROUPS

UCPB submitted responses to the first and second set of UC Commission on the Future recommendations. UCPB Chair Krapp and member Carol Lovatt were members of the Funding Strategies Working Group and briefed UCPB regularly about its deliberations. UCPB also met with UCSC Chancellor George Blumenthal, who was co-chair of the Size and Shape Working Group, Mary Croughan, who co-chaired the Research Strategies Working Group, and Keith Williams, who co-chaired the Education and Curriculum Working Group.

GRADUATE EDUCATION AND RESEARCH FUNDING

Vice President for Research and Graduate Studies Steven Beckwith joined the January meeting to discuss graduate student and research funding issues—specifically, UC's indirect cost recovery (ICR) practices and a draft report from the UC Task Force on Planning for Professional and Doctoral Education (PDPE) documenting how UC is falling short of its graduate education goals. UCPB agreed that faculty should insert themselves more actively into the campus planning process to ensure that each campus sets, and regularly reviews, realistic goals and expectations for graduate education as part of the campus strategic planning process. Again, meaningful ongoing Senate involvement in that local and systemwide planning process is crucial for shared governance to work. – In May, Director of Student Affairs Kate Jeffery briefed UCPB about existing guidelines for the use of graduate student financial support funds, the underlying rationale for the use of systemwide funds, and proposals from the Council of Vice Chancellors for modifying the guidelines to provide more flexibility.

UCPB-UCORP SUBCOMMITTEE ON INDIRECT COST RECOVERY

Chair Krapp, Vice Chair Evan Heit, and Warren Gold participated in a UCPB-UCORP subcommittee charged by the Academic Council to update the Senate's investigations into UC's indirect cost recovery practices, particularly practices that may hinder UC's ability to recover the indirect cost of research. The subcommittee met several times over the phone and conferred with Vice President Beckwith and former Senate Chair Mary Croughan. The subcommittee's [April report](#) concluded that UC is not recovering the full indirect cost of research conducted on the campuses; that current ICR practices are confusing, obscured, cumbersome, and technically challenging; that ICR funds are increasingly important to the UC budget, yet increasingly spread thin and over-committed; and that when UC is unable to recover the true costs of research, it strains other funding sources and the campus community. It recommended clarifying ICR accounting and explanations, renewing efforts to raise UC's negotiated rates, revisiting UC's waiver policy, and examining ways to increase efficiencies. Council endorsed the recommendations and forwarded them to the President for adoption.

UCPB-UCORP SUBCOMMITTEE ON DANR REVIEW METRICS

James Chalfant, John Ellwood, and Carol Lovatt were UCPB's representatives to a joint UCPB-UCORP subcommittee charged by the Academic Council with developing queries to help facilitate critical thinking by the Division of Agriculture and Natural Resources (DANR) about its strategic

vision and how to attain it, to help DANR generate a more compelling academic review. In April, the final subcommittee [report](#) recommended additional, more rigorous metrics to guide future academic reviews and the Division's strategic planning process. Council endorsed these recommendations unanimously.

FACULTY SALARIES SUBCOMMITTEE AND COMPENSATION STEERING COMMITTEE

The Academic Council established in September that the Senate's top budgetary priority should be the restoration of competitive benefits and salaries. Thus in December, the chairs of UCPB, UCAP, and UCFW recommended to the Academic Council that UC examine cost projections on different scenarios for returning salaries to competitiveness based on UC's "Comparison 8" institutions. A joint UCPB-UCAP-UCFW subcommittee met several times between December and May to review data provided by UCOP on the salary lag and the costs associated with restoring competitive salaries. Those data highlight the fact that the current faculty salary scales do not serve UC's merit- or market-based goals to compensate faculty appropriately. The salary scales provide the foundation for UC's system of peer-review, and are therefore a cornerstone of UC's excellence. By allowing the scales to become obsolete, UC has put at risk the very character of the University. The scales lag the market considerably; for instance, UC's base salary for Professor IX, a very senior step many faculty do not achieve, is now below the *average* salary for the Professor rank among the Comparison 8. Actual UC faculty salaries lag considerably behind the Comparison 8—for 2009-10, the average lag is 13.3% for Full Professors, 15.2% for Associate Professors, and 9.2% for Assistant Professors. Chair Krapp, Jim Chalfant, and Brent Haddad represented UCPB on the joint senate subcommittee. – In addition, Donald Senear represented UCPB on a Joint Senate-Administration Compensation Plan Steering Committee, which examined a framework that tries to encourage individual general campus faculty to draw from grant funds to supplement their salaries.

SYSTEMWIDE REVIEW OF THE COMPENDIUM

UCPB agreed that the University should examine all proposals for new programs, schools, and entities not only on the basis of their individual merits, but also in the context of long-term systemwide planning—particularly their impact on FTE and other programs within the campus and across the system, and their ability to address state need and demand. UCPB also believes that the Compendium should prescribe a resource review during campus-level undergraduate program reviews or when a campus wants to add an item to the five-year perspectives.

COMPARISON OF CAMPUS BUDGET ACTIONS AND COMMUNICATIONS

Most campuses were forced to implement short-term cost saving measures this year that included staff hiring freezes, cancelled faculty searches, and delayed plans for new programs and facilities. UCPB members shared information about the impact of local budget cuts in these areas and on the impact of furloughs. Members also compared thoughts about how faculty on each campus perceived the quantity and quality of information their administration was providing to the campus community about budget cuts and strategies for reducing budget deficits. Members also discussed specific areas on their own campuses that were either losing money or that lacked adequate support from the state or other funding sources, and thus strain campus resources and are unsustainable in the new budget reality. UCPB hopes that such suggestions can help guide partners in the process internally. UCPB continues to be concerned that many campus administrators remain in denial about the seriousness of the UC budget situation.

UC ACCOUNTABILITY FRAMEWORK

Vice Provost Dan Greenstein joined the November meeting to discuss the [2009 UC Accountability Report](#), and the online education pilot initiative. Vice Chair Evan Heit was UCPB's representative on the joint Senate-Administration Accountability Advisory Group, which provided guidance to the vice provost about a new rendition of the report. UCPB notes that UC can do a better job of selling its research as a value-added to the state, and could view the Accountability Framework as a marketing tool. Yet the state tends to fund UC primarily on the basis of undergraduate education and teaching and is more concerned about how to improve efficiencies in undergraduate education than about graduate education and research.

UCPB noted that UC routinely collects such measures as degrees per filled senate faculty FTE, or average student credit hours per instructor; but urged that UC must also look at the ratio of a school's operating base budget to its student credit hours, and at how total school expenditures per faculty FTE, or per student FTE, compare across campus. Although any productivity metric is always merely a proxy, it can be shown, for instance, how enrollment-based revenues (from state funds and student fees) accrue to campuses, and how grants and contracts accrue to the units that are best positioned to benefit from them. UCPB observed that some high-enrollment units on the campuses see little money spent on their research, or on their base budget allocation, to the considerable benefit of certain low-enrollment units with much higher faculty salaries and research expenditures. This tends to be obscured when the Accountability Framework focuses on research expenditures. If one takes seriously what students pay UC, and what the state provides UC per enrollment, then one cannot afford to deny basic facts about enrollment-derived revenues and workloads. Finally, UCPB has long been recommending that OP adopt as a key metric net State funds per enrollment (i.e., net of health sciences, MRUs, and agricultural field stations). Such a metric, "Net State Funding per Budgeted Enrollment," normalized to remove from the numerator State fund allocations to health sciences (different basis, applicable to four general campuses), MRU/MRPIs (which serve a system-wide mission), and Agricultural field stations (historically line-item funded), would also remove health sciences enrollments from the denominator.

UC EDUCATION ABROAD PROGRAM

In October, UCPB reviewed three proposed budget models for the UC Education Abroad Program (UCEAP) and expressed concern that further cuts would compromise the integrity of EAP's academic mission and threaten the academic viability of the program, although it was also clear to UCPB that UCEAP needed to improve procedures, cut costs, and increase efficiencies, expand its reach, offer more research-oriented exchanges, improve coordination of the study centers, and provide the actual academic services that faculty want internationally. In November, UCPB commented on the final report of the Joint Senate-Administrative Task Force on UCEAP, noting strong support for EAP as an essential component of UC's academic program and academic excellence, but recognizing that changing circumstances necessitate thorough review of UC's education abroad programs. UCPB also noted that EAP's future director must continue to be academic administrator who has or can qualify for a tenured faculty position at UC. David Lopez and Jean Bernard Minster served as UCPB's representatives on the UCEAP Governing Committee established by the Provost.

CALIFORNIA LEGISLATIVE ANALYST OFFICE REPORTS

UCPB reviewed two California Legislative Analyst Office (LAO) reports—*The Master Plan at 50: Improving State Oversight of Academic Expansions* and *Greater Than the Sum of Its Parts—Coordinating Higher Education in California*—which call for increasing the state’s influence in and control over the development and approval of new programs and schools at UC and CSU. UCPB rejected the LAO’s recommendations, noting that a top-down state role in UC’s academic mission is an inappropriate intrusion that would send California higher education down a road to mediocrity, and urged the Senate and Administration to oppose any attempt to remove UC’s autonomy and constitutional independence.

CONSULTATIONS AND INTERACTIONS WITH UCOP

For the most part, UCPB enjoyed fruitful, informative, candid interactions with UCOP administrators. Vice President for Budget Patrick Lenz joined each meeting to update the committee about budget negotiations in Sacramento, UC Retirement Plan funding, the suspension of bond funding supporting UC construction and research projects; UC’s advocacy efforts; and other UC-specific budget matters. Associate Vice President for Budget Debora Obley and Director of Operating Budget Michael Clune gave thoughtful, informative presentations about the budget allocation process and campus funding model. Randy Scott, Nathan Brostrom, Peter Taylor, and Larry Pitts joined several meetings at UCPB’s request to share high level updates and observations about UC’s pension obligations and debt programs, contingency scenarios for UC’s budget expectations, and a plan to move UC campuses toward common administrative systems and increased strategic sourcing contracts, shared service centers, and e-procurement. Other administrators responded to UCPB requests with timely, informative data. For their part, UCPB members asked thoughtful, probing questions and challenged administrators to do more to communicate UC’s chronic under-funding and demonstrate the real consequences of state defunding on student fees, enrollment, and programs. However, UCPB was not permitted access to all slides from the “Funding Streams” PowerPoint presentation in November, due to concerns about further distribution of the data absent a clear context. UCPB members also were repeatedly frustrated and disappointed with the efforts of the Office of Institutional Research to provide information about FTE growth. UCPB understands and respects the importance of confidentiality, as well as the demands placed on an understaffed UCOP, but believes that having access to accurate and complete data is necessary for UCPB to consult meaningfully with UCOP on the budget. The Senate and administration, as always, should work together to foster understanding.

OTHER ISSUES AND ADDITIONAL BUSINESS

In response to requests for comment from the Academic Council, UCPB also issued formal views on the following issues and proposals:

- *Professional Degree Fee Proposals (May)*
- *State Assembly Bill AB 2400 (authorizing selected community college districts to establish baccalaureate degree pilot programs)*
- *Letter from UCORP Appealing COR Cuts*

LOOKING AHEAD TO 2010-11

Vice Chair Heit will leave UCPB to serve as 2010-11 Merced division chair, and James Chalfant and Jean-Bernard Minster will lead UCPB in 2010-11 as chair and vice chair. UCPB will play an active role next year in helping UCOP and the Senate confront difficult choices in terms of both short-term

and long-range budget planning resulting from the reduced state funding to UC. UCPB will continue to advocate that UCOP develop a plan addressing short-term possibilities for generating revenue and increasing efficiencies that does not involve salary cuts, a long-term strategy for restructuring the funding model, and a political strategy for restoring the Master Plan. We remain focused on budgetary planning that will maintain the quality of education, research, and service throughout the 10 UC campuses. UCPB will endorse no plan for UCRP that further erodes compensation and benefits for UC faculty, whose total remuneration is already uncompetitive.

UCPB REPRESENTATION

UCPB Chair Krapp represented UCPB at the Academic Council, the Academic Assembly, the Provost's Advisory Group for Budget Strategies, and the Academic Council Special Committee on Laboratory Issues. UCPB Chair Krapp also served on the Academic Planning Council and the Joint Administration-Senate Leadership Group. Vice Chair Evan Heit was UCPB's representative on the joint Senate-Administration Accountability Advisory Group. David Lopez and Jean Bernard Minster served as UCPB's representatives on the UCEAP governing board; Donald Senear represented UCPB on a Joint Senate-Administration Compensation Plan Steering Committee; and James Chalfant represented the Committee on the Post-Employment Benefits Workgroup. Chair Krapp continued to represent UCPB on the Task Force on Planning for Doctoral and Professional Education (PDPE). James Chalfant, John Ellwood, and Carol Lovatt were UCPB's representatives to a joint UCPB-UCORP subcommittee charged by the Academic Council with developing queries to help facilitate critical thinking by the Division of Agriculture and Natural Resources (DANR) about its strategic vision. Chair Krapp, Vice Chair Evan Heit, and Warren Gold participated in a joint UCPB-UCORP subcommittee charged by the Academic Council to update the Senate's investigations into UC's indirect cost recovery practices. Chair Krapp, Jim Chalfant, and Brent Haddad participated in the UCPB-UCAP-UCFW subcommittee charged by the Academic Council to address the widening faculty salary lag.

ACKNOWLEDGMENTS

UCPB acknowledges the valuable contributions of the following regular committee consultants and guests: Provost Lawrence Pitts; Vice President for Budget Patrick Lenz; Executive Vice President Nathan Brostrom; Vice Provost for Academic Information and Strategic Services Dan Greenstein; Vice President for Research and Graduate Studies Steven Beckwith; Director of Student Financial Aid Kate Jeffrey; Chief Financial Officer Peter Taylor; Associate Vice President for Budget Debora Obley; Operating Budget Director Michael Clune; Executive Director of External Finance Sandra Kim; Executive Director, HR Strategic Planning & Work Force Development Randy Scott; Chancellor George Blumenthal, co-chair of the Gould Commission's Size and Shape workgroup; former Senate Chair Mary Croughan, co-chair of the Gould Commission's Research Strategies workgroup; Keith Williams, co-chair of the Education and Curriculum Working Group; TFIR Chair Robert Anderson; Director of Institutional Research Kathleen Dettman; and Institutional Research Content Director Rosemary Chengson.

Thanks also to the faculty who served as alternates for regular committee members: Daniel Weiss (UCSF) and Marc Mangel (UCSC).

Respectfully submitted:

Peter Krapp, <i>Chair</i> (UCI)	Evan Heit, <i>Vice Chair</i> (UCM)
James Chalfant (UCD)	Michael Colvin (UCM)
John Ellwood (UCB)	Warren Gold (UCSF)
Brent Haddad (UCSC)	David Lopez (UCLA)
Carol Lovatt (UCR)	Jean-Bernard Minster (UCSD)
Jane Mulfinger (UCSB)	Donald Senear (UCI)
Henry Powell, <i>ex officio</i>	Daniel Simmons, <i>ex officio</i>
Christopher Childers, Undergraduate (UCSD)	Michael LaBriola, Committee Analyst

UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION ANNUAL REPORT 2009-10

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Preparatory Education (UCOPE) met twice and the UCOPE-ESL (English as a Second Language) Advisory Group met once during the 2009-10 academic year. Both groups considered matters in accordance with its duties as set forth in [Senate Bylaw 192](#), which state that UCOPE shall advise the President and appropriate agencies of the Academic Senate on the broader issues related to preparatory education, including the language needs of students from diverse linguistic backgrounds; monitor and conduct periodic reviews and evaluations of preparatory and remedial education; to supervise the *University of California Entry Level Writing Requirement* (UC-ELWR), and to establish Universitywide standards for the *University of California Analytical Writing Placement Examination* (UC-AWPE); monitor the implementation of [Senate Regulation 761](#) (Remedial Courses) on the campuses. A summary of the committee's activities and accomplishments follows below:

UC Analytical Writing Placement Examination

- **Administration and Budget.** UCOPE members reviewed the implementation of the UC-AWPE vis-à-vis reports from Sue Wilbur, Director of Undergraduate Admissions. The UC-AWPE has had a history of structural deficits, as the costs to administer, score and manage the program exceed the revenue generated by its current fee structure. The Committee provided feedback on possible cost-cutting measures, such as shifting the current paper-based scoring to an on-line reading system; reducing the frequency of exam development to every three years; increasing fees; and implementing various cost-containment strategies. In addition, by shifting the 2010 “Big Read” to an on-line system for reading, scoring and reporting AWPE outcomes, the University can potentially save about \$400K over the next four years and become self-sufficient by 2014. UCOPE will continue to closely monitor this issue and to work with Director Wilbur to ensure that AWPE standards are not compromised by future cost-cutting measures and that the pedagogical and curricular consequences associated with on-line scoring are carefully considered.
- **Review and Selection of the 2010 Analytical Writing Placement Examination Essays.** In January, UCOPE members selected the essay to be used in the 2010 UC-AWPE administration, in accord with Senate Regulation 636B.1. The selection is an annual event led by UCOPE Consultant George Gadda (UCLA).
- **Norming of AWPE for 2010.** In April, UCOPE members reviewed sample essays to ensure that norming procedures used in evaluation of the 2010 AWPE exam would be consistent with SR 636A and SR 636B.1 This session is an annual event led by UCOPE Consultant George Gadda (UCLA).

The Achieve Project

UCOPE members discussed UC's involvement with the Achieve Project, an inter-segmental state and national project focused on improving state standards and assessment instruments for K–12 mathematics and English language preparation. Several UC faculty members are engaged in the Achieve Project which has generated many positive outcomes and resulted in fruitful collaborations across the higher education segments (UC/CSU/CCCs) and nurtured dialogue beneficial to all the partners in defining college readiness and how readiness is assessed. UCOPE member Jan Frodesen (UCSB) serves as one of the two UC delegates to the Achieve Project.

UCOPE English as a Second Language (ESL) Advisory Group

The UCOPE-ESL Advisory Group met once this year. Advisory Group Chair Robin Scarcella (UCI) reported that almost every member expressed deep concerns regarding how the UC budget situation is impacting ESL programs and services on the campuses. The Advisory's Group's thoughtful discussions inspired the crafting of a "white paper" on support for English language support programs and services (see below).

White Paper on Support of English Language Support Programs and Services

UCOPE enthusiastically endorsed the Advisory Group's "white paper" that urges the University to fully fund academic English support course work and services as a part of the students' academic curricula. In the paper, UCOPE makes a strong case for providing the majority of the coursework and services to students on campus during regular academic terms through academic programs rather than through extension programs, summer session, and community colleges. UCOPE forcefully argues that UC's English language support services should be supported and not outsourced. When students are unable to improve their proficiency in academic English, it affects the health of entire campuses, undermining the students' ability to contribute to campus programs. Moreover, it puts at risk the academic stature of the University and affects future student recruitment efforts. Students who are unable to receive the English language support they require may fail to progress academically, spend additional time to degree, or not receive UC diplomas with the English proficiency necessary to advance in their later careers. They may even end up tarnishing the reputation of the University. UCOPE also maintains that UC students should not be charged additionally for services that were previously available to them as part of their tuition package. Neither the campuses' domestic students (who face rising tuition costs and who are often low income, first-generation college students) nor international students (who are already experiencing the financial drain of rising tuition costs) can afford to be singled out in this manner by the University. They should not be asked to bear a larger share of the burden of the State's budget crisis. These students, who are regularly admitted to the University, are often among the brightest and most diligent of UC students. Requiring them to enroll in costly summer, extension, or community college courses to develop their English proficiency marginalizes them from the mainstream of the university and undermines their academic progress. UC's students, native English-speaking or not, expect and deserve to be taught by UC faculty.

UCPB Choices Report

UCOPE discussed the UCPB *Choices Report* which highlights and evaluates the budgetary choices facing the University. The Committee focused their commentary on Recommendations Nos. 9 and 13. With regard to Recommendation No. 9, UCOPE, while supportive of *increasing diversity by recruiting non-resident students*, reaffirmed that the English language support needs of non-resident students must be dually considered and sufficiently resourced. With regard to Recommendation No. 13, UCOPE *recognizes that online education will not substantially cut cost*. There was cautious support for this recommendation with much concern expressed for more research and assessment. In particular, members cited the need for ongoing assessment of the appropriateness of online courses for preparatory/developmental writing and math course and more generally for at-risk populations such as first-generation college students who may particularly benefit from face-to-face interaction. In general, UCOPE felt that all too often the perspective of faculty on what it is like to teach in the classroom and how this relates to online education was absent in the equation. As a final point, the Committee felt that online courses should be held to same standards for academic rigor as conventional courses.

Other Issues and Business

In addition to official communications related to the aforementioned topics, UCOPE considered and in some cases submitted formal comments on the following policy issues under review:

- Transfer Report implementation;

- Commission on the Future recommendations; and the
- Newly adopted UC freshman admissions policy.

UCOPE also devoted a portion of each meeting for reports and updates from its members about issues facing local divisions and committees. These discussions included reports by members on the impact of the budget situation on preparatory English and math programs on their respective campus, with attention given to any areas of concern for UCOPE or that might call for action by the committee in the future. Reports by the UCOPE Chair about Intersegmental Committee of the Academic Senate (ICAS) meetings and especially its annual Legislative Day held in Sacramento were also discussed.

Acknowledgements

UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: Director of Undergraduate Admissions Susan Wilbur; UC Student Academic Services; Jeanne Hargrove, Analytical Writing Placement Examination and High School Articulation Coordinator, UC Student Academic Services; UCLA Writing Program Director and Chair of the Analytical Writing Placement Examination Committee George Gadda; and the Chair of the UCOPE-ESL Advisory Group Robin Scarcella. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCAAD meetings this year.

Respectfully submitted:

Jonathan Alexander, Chair (UCI)
Steven Axelrod, Vice Chair (UCR)
Susan Schweik (UCB)
John Bolander (UCD)
Sherrel Howard (UCLA)
Virginia Adan-Lifante (UCM)
Jan Frodesen (UCSB)
Ross Frank (UCSD)
Leslie Zimmerman (UCSF)

Mary-Kay Gamel (UCSC)
Alan Leung (UCM student)
Samuel Negatu (UCSB student)
Henry Powell (ex-officio member)
Daniel Simmons (ex-officio member)
Eric Zárate (Committee Analyst)
**See Chair for UCI representative*
**See Vice Chair for UCR representative*

**UNIVERSITY COMMITTEE ON PRIVILEGE AND TENURE
ANNUAL REPORT 2009-10**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

In accordance with [Senate Bylaw 195](#), the University Committee on Privilege and Tenure (UCP&T) considers general policies involving academic privileges and tenure. The committee also constitutes special Hearing Committees for disciplinary cases and maintains statistical records of the grievance, disciplinary and early termination cases taking place on each of the campuses. As has been its custom in recent years, UCP&T conducted all of its business remotely and did not convene for any face-to-face meetings in 2009-10. The Committee, through routine communications sent by the UCP&T Chair, stayed informed of emergent issues and stood ready to respond as needed.

Acknowledgments

UCP&T gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: Senior Counsel Fred Takemiya (Office of the General Counsel), and Academic Personnel Vice Provost Susan Carlson; and Academic Personnel Interim Executive Director Pat Price. The Committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCP&T this year.

Respectfully submitted:

Ronald Gronsky, Chair (UCB)

Andrew Chan (UCD)

Michael Lofchie (UCLA)

Teodor Przymusinski (UCR)

William McGinniss (UCSD)

Frederic Waldman (UCSF)

Robert Hilman (UCM)

Sarah Fenstermaker (UCSB)

David Brundage (UCSC)

Henry Powell (ex-officio member)

Daniel Simmons (ex-officio member)

Eric Zárate (Committee Analyst)

**Vice Chair, Berkeley and Irvine positions were not filled in 2009-10*

UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2009-10

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research, for formulating, coordinating, and revising general research policies and procedures, and for advising the President on research. During the 2009-10 academic year, UCORP met eight times, six times in person and twice via teleconference. This report briefly outlines the committee's activities.

UCORP INITIATIVES

1. UCORP Handbook

Continuing the effort began last year, Chair Miller refined the members' guide that includes organization charts from relevant Office of the President units, an acronym glossary, and overviews of shared governance and university administration.

2. COR Networking

Campus committees on research (CORs) have historically operated in isolation from one another. It was proposed that part of UCORP's work should be greater integration of the campus counterpart committees so that best practices could be more easily established and greater understanding between the divisions could be fostered. Including topics such as administration participants in meetings, internal grant procedures and budgets, and charge and scope, a spreadsheet was created to help illustrate the convergences and divergences between the campus CORs. This table received its annual update and was included in the aforementioned committee handbook.

RESEARCH POLICY ISSUES

1. Compliance

UCORP continued its analysis of University compliance requirements. Consultation with the systemwide Office of Risk Services was promising, as several new efforts are projected. Also important clearly defining the different realms of "compliance" from "safety." The University's compliance programs monitor participation in state-mandated programs such as the sexual harassment prevention program, while safety efforts are designed to prevent injury.

2. Researcher Safety

UCORP began work to streamline safety programs that often generate inconsistent feedback. Researchers are often subject to more than one inspection, depending on their funding source and work, but they feedback received does not always align. Establishing guidelines and reducing redundant inspections is a high priority for both faculty and administrators.

3. Indirect Cost Recovery

UCORP collaborated with the University Committee on Planning and Budget (UCPB) on an investigation into indirect cost recovery. The joint working group met via teleconference, with UCPB taking the lead in this effort. Both parent committees endorsed the final report, and submitted it to the Academic Council. The main recommendations include securing a

higher reimbursement rate from cognizant agencies and taking a more thoughtful approach to the use of waivers. These are echoed in the recommendations issued by the Commission on the Future (see below).

4. Furlough and Budget Cut Impacts

2009-10 saw Universitywide furloughs. UCORP sought to ensure that the research arm of the University's tri-fold mission was not shortchanged, but feels it was unsuccessful, given administration dicta to protect instruction days preferentially. Further, UCORP felt that locally administered budget cutting options targeted research: local Committee on Research budgets were slashed or taxed at higher rates. As a result, fewer travel grants and summer research grants were available on many campuses. Nonetheless, the attention brought by UCORP to these events is thought to have had some positive impact as some campuses COR funding was restored.

LABORATORY ISSUES

1. Fees

Last year, following the transfer of management of the Department of Energy (DOE) national labs to a limited liability corporation (LLC), UC faced the question of how to allocate the management fees generated by partnering in the LLC. In conjunction with the Office of Lab Management and the Office of Research and Graduate Studies, an RFP was developed, a competition held, and winners announced. The winning projects were to contain at least one principal investigator from UC and demonstrate unique input by the labs.

In 2009-10, the lab fees collected by UC exceeded the scheduled allocations from the previous RFP. At the same time, however, the funding excess was not sufficient to issue a new RFP. It was determined that these funds could not be "banked" in the current fiscal and political environment, so alternate methods of expenditure were explored. UCORP recommended summer research grants or graduate student stipends, although the final outcome has yet to be determined.

2. Governance and Morale

Transition to the LLC administrative model has been difficult for Lawrence Livermore and Los Alamos National Laboratories. Reports indicate a collapse of morale that is more systemic than can be simply attributed to differences in management styles. For example, lab employees have filed litigation regarding changes to their pension plan, and employee turnover remains high. ACSCOLI will continue to monitor events and will keep UCORP apprised.

3. LLNL Open Campus

The Lawrence Livermore National Lab floated plans to construct an industrial park near the Lab. The proposed site currently houses a UC Davis field office, but the plans do not retain this collaborative front. UCORP was concerned that UC would lose its proximate toe-hold at the labs if the plan went ahead as is. The issue remains unresolved.

ACADEMIC REVIEWS

1. Division of Agriculture and Natural Resources

Last year, UCORP excitedly received and reviewed the long-awaited academic review of the Division of Agriculture and Natural Resources (DANR), and the accompanying review of the University's Cooperative Extension program. Unfortunately, the committee identified several shortcomings in the review, which were communicated to the Academic Council along with suggested next steps. Still, the committee welcomed the new strategic vision and leadership under the division's new vice president, and UCORP looks forward to developing a better relationship with DANR.

This year, UCORP followed up on its recommendations by generating, in collaboration with UCPB, specific metrics by DANR could measure and report statistical findings. This list was conveyed to DANR via the Academic Council, and UCORP awaits a benchmarking exercise.

2. CITRIS

UCORP reviewed the review protocol for the California Institute for Science and Innovation, Center for Information Technology Research in the Interest of Society (CITRIS). UCORP echoed its previous Cal ISI review protocol suggestions calling for more statistical data and critical analysis.

3. Commission on the Future

This year, the President and the chair of the Regents established a group charged to explore and recommend goals, and methods of achieving those goals, to enable UC to maintain its excellence and access during an era of diminishing state support. The Commission established several working groups, and UCORP focused its attention on the Research Strategies Working Group (RSW), of which Irvine Representative Crawford and San Diego Representative Schoeninger were members. The RSW was led by former Academic Council Chair and current ORGS Executive Director Mary Croughan. The committee consulted monthly with RSW Chair Croughan, and opined both informally and formally on its recommendations. While UCORP supported many of the recommendations, such as increasing indirect cost recovery efforts and the promulgation of a UC research vision statement, many members were concerned that the scope of the recommendations was less grand than the groups' charge. The committee also felt that even the final recommendations were too limited, generally, and continued to neglect graduate students, particularly. Final action on the recommendations has not yet been taken.

4. UCPB's "Choices" Report

UCPB continued its tradition of issuing analyses of the systemwide budget situation. This year's report, the "Choices" Report, outlined the many trade-offs the University currently faces due to a stagnant and declining budget. UCORP could not endorse the Report in its entirety, and chose not to undertake a point-by-point rejoinder. Instead, UCORP recognized the value of the Report in catalyzing discussion and framing issues. Considered jointly with the Commission on the Future work, the "Choices" Report helped foster lively and in-depth debates.

5. The Compendium

The Compendium governs universitywide review processes for academic programs, academic units, and research units, and is undergoing decadal review. The task force charged with this undertaking revised all sections except that governing MRUs (see below), which was held aside due to its complicated and delicate nature. The Academic Council

subsequently charged UCORP 2010-11 with revising this last section. UCORP withheld endorsement of the completed changes.

CONSULTATION WITH THE OFFICE OF THE PRESIDENT – OFFICE OF RESEARCH AND GRADUATE STUDIES

1. ORGS Restructuring

This year, ORGS largely finished its organizational changes. Some programs and departments were merged, while others were disbanded. The major differences from before include the creation of transactional units, one designed to shepherd RFPs and another designed to administer the grants awarded. ORGS-run research efforts, such as TRDRP, operate as before, but with new reporting guidelines. New offices will oversee, among others, enhanced efforts to raise the research profile of UC.

2. MRU/MRPI

2009: Completing a process initiated in 2006, ORGS finalized and issued an RFP for open competition for the University's multi-campus research unit (MRU) funds; the new process operates under the name "Multi-campus Research Programs and Initiatives" (MRPIs). UCORP noted several concerns with the new process, highlighting insufficient Senate consultation regarding established procedures for the dis/establishment of formal MRUs. UCORP will evaluate closely how well the anticipated roll-out time-frame impacts Senate procedures. It remains unclear what will happen to any new awardees (and their funding) who are not designated as official MRUs.

2010: Many of the substantive concerns regarding this process remain. Non-funded and non-disestablished MRUs were given 12-18 months to find alternate funding or close; Compendium processes remain circumvented. Funded but still-not-yet-established MRPIs operate outside of the governance of the Compendium. Talks on aligning Senate expectations and administration capacities were tabled pending revision of the Compendium (see above). UCORP will return to this topic next year.

CORRESPONDENCE REPORT

In addition to communications relating to the aforementioned topics, UCORP opined on the following items of systemwide import:

- Proposed changes to the APM
- Online and Remote Instructions Proposals
- Differential Fees Proposals

UCORP REPRESENTATION

The Chair, Vice Chair, or another committee member or liaison represented UCORP on the following systemwide bodies during the year: Academic Assembly, Academic Council, Academic Council Special Committee on Lab Issues, Academic Planning Council, Commission on the Future, Council on Research, the Technology Transfer Advisory Committee, and the Compendium Review Task Force. Throughout the year, UCORP's representatives provided updates on the activities of these groups.

ACKNOWLEDGEMENTS

UCORP is grateful to its consultants, who have provided invaluable information and perspective to the committee: Steven Beckwith, Vice President for Research and Graduate Studies); Ellen Auriti, Executive Director of Research Policy Analysis and Coordination; and Glenn Mara, Associate Vice President for Lab Management.

UCORP also wishes to thank its invited guests, campus alternates, and student representatives for their participation and support.

Respectfully submitted, UCORP 2009-10:

Greg Miller, Chair (UCD)
Phokion Kolaitis, Vice Chair (UCSC)
Steven Glaser, UCB
Mike Kleeman, UCD
John Crawford, UCI
Hans Schollhammer, UCLA
Yarrow Dunham, UCM
Kimberly Hammond, UCR
Margaret Schoeninger, UCSD
Roland Henry, UCSF
David Stuart, UCSB
Fitnat Yildiz, UCSC
Laura Serwer, Graduate Student Representative (UCSF)
Mengfei Chen, Undergraduate Student Representative (UCI)
Kenneth Feer, Senior Policy Analyst (UCOP)

VIII. UNIVERSITY AND FACULTY WELFARE REPORT

1. President's Proposal on Post-Employment Benefits (Information)



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University of California Community

Dear Colleagues:

I am writing to share with you the recommendations I plan to discuss in November with the UC Board of Regents about changes to the University's post-employment benefits programs.

When I established the Post Employment Benefits Task Force, I made clear that the proposed changes needed to satisfy two critical objectives: Help address our financial challenges, and preserve good post employment benefits in support of UC's commitment to excellence and in recognition of the vital role our faculty and staff play in the quality and delivery of UC's service to the public. I believe these recommendations achieve these goals.

As you know, for the past two months senior UC leaders and I have been engaged in extensive discussions with faculty, staff and administrators about how to ensure the financial sustainability of UC's retiree health and pension programs while still providing attractive retirement benefits.

Those discussions are continuing, but the feedback we've received to date has been very consistent, particularly as it relates to the design of a pension tier for future faculty and staff.

My recommendations – which have the support of the chair and vice-chair of the Academic Senate, UC's Staff Advisors to the Regents, and leadership of the Council of UC Staff Assemblies – reflect that feedback.

In short, I am proposing a new pension program for future employees hired after July 1, 2013 that will preserve good pension benefits while also reducing UC's long-term costs. Many elements are similar to the current UCRP program, including:

- A defined benefit or "pension" plan;
- A five-year vesting period;
- A pension benefit formula based on an employee's highest average compensation over 36 months; and

- A maximum pension benefit equal to 100 percent of an employee's working salary.

There are also some distinct differences that make it a more conservative pension plan than the State of California offers its employees, including proposals to raise the minimum retirement age from 50 to 55 and the retirement age for maximum pension benefits from 60 to 65.

I will also recommend that we no longer subsidize survivor benefits and that we eliminate the option of a lump sum cash out.

This recommendation does not affect pension benefits for current UC employees, or those hired between now and July 1, 2013 – only future employees.

The annual cost to UC and its future employees for this proposed new pension program is 15.1 percent of annual payroll, 2.5 percent lower than the 17.6 percent that our current UCRP pension program costs UC and its faculty and staff.

New employees and UC will together pay the full 15.1 percent cost of the new plan, with future faculty and staff contributing 7 percent of annual pay and UC paying 8.1 percent.

I think this is a very fair and balanced approach, and one that, if adopted by the Regents, will allow UC's retirement benefits to continue to be an important component in attracting and retaining excellent faculty and staff.

Although the new pension tier would affect future employees, I will also recommend changes to our retiree health program that will directly affect current faculty and staff.

Most notably, I will propose that the Regents adopt in full the recommendations from the Post-Employment Benefits Task Force on changes to our retiree health program including:

- Reduce UC's contribution to retiree health premiums over time to a floor of 70 percent;
- Change retiree health care eligibility rules, effective July 2013, so that UC's contributions to retiree health care premiums are offered on a graduated scale based on years of service and employee age at retirement;

- Allow faculty and staff to remain under the current retiree health care eligibility rules if, on July 1, 2013, they have five years of UCRP service credit and their age and years of UC service together equal 50 or greater.

I will also recommend a course of action to erase the UC Retirement Plan's \$12.9 billion unfunded liability.

One of the most important components of that plan requires UC to increase its annual contributions to the UCRP by 2 percent per year, until UC is contributing roughly 20 percent of annual payroll to UCRP.

There is no question that without state funding support, it will be difficult for UC to find the resources necessary to contribute such a large amount to the UCRP each year. But given the size of our current unfunded pension liability, it is essential that we find a way to do so.

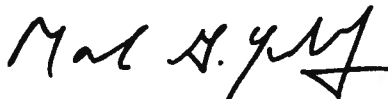
Although the state has not yet agreed to pay its share of the UCRP, we have made some important strides on that issue this year, and we will continue to press our case in Sacramento. In the meantime, we must take sensible action now to address our unfunded liability.

The Regents will hear and discuss my proposals at their board meeting in November, and will possibly take action at a special meeting in December. The full details on my recommendation will be contained in a Regents item that will be in available early November.

In closing, I want to thank you for your thoughtful input and suggestions on these difficult issues. And I encourage you to stay involved. Together we are doing the hard work that is essential to preserving this great institution.

With best wishes, I am,

Sincerely yours,



Mark G. Yudof
President

**A RESOLUTION OF THE UC ACADEMIC COUNCIL
RESPONDING TO RECOMMENDATIONS OF THE
PRESIDENT'S POST EMPLOYMENT BENEFITS TASK FORCE
Adopted October 27, 2010**

Whereas:

- Agencies of the Academic Senate have carefully reviewed the recommendations of the Post Employment Benefits Task Force Report;
- Senate agencies have reached a substantial consensus on almost all aspects of the PEB Task Force recommendations;
- A competitive pension plan that allows employees a comfortable, secure retirement is a crucial element of the University's benefit structure;
- Adequate protection against the erosion of purchasing power by inflation is an essential aspect of retirement security;
- Retirement benefits are a significant component of each employee's total remuneration;
- The University cannot recruit or retain an excellent workforce without competitive retirement benefits;
- Current cash compensation is seriously uncompetitive across almost all groups of University employees;
- A pension plan's provisions must be clear enough so that employees can make informed choices in their retirement planning;
- The University's practice of providing identical retirement benefits to faculty and staff has made a substantial contribution to employee morale, recruitment and retention;
- Benefits accrued to date within UCRP cannot be reduced, and the University must eliminate the unfunded liability within UCRP over time;
- The choice among the three Options makes little or no difference to the cost of UCRP to the University's operating budget for the next twenty years, and a modest difference after twenty years; and
- Although President Yudof has announced a decision recommending a modified Option C, the Academic Council wishes to provide a complete response to the report of the President's Task Force on Post-Employment Benefits;

Be it Resolved that:

- The Academic Council advises that increased employee contributions to UCRP require implementation of a plan for competitive faculty and staff salaries, with the understanding that prior to the implementation of benefit reductions or increases in employee contributions, there shall be offsetting or larger increases in cash compensation;
- The Academic Council opposes an employee contribution in excess of 7% for current employees who stay under the current plan terms;
- The Academic Council supports the recommendation of the Finance Work Team to quickly fund the Annual Required Contribution, using STIP borrowing and other appropriate means, to manage the negative impact on the operating budget of the amortization of the unfunded liability;
- The Academic Council supports Option C as the superior design for a new tier benefit plan for new employees;
- The Academic Council opposes Option A, on the grounds that it is severely uncompetitive across essentially all employee groups;
- The Academic Council recommends against adoption of any pension design integrated with Social Security, despite the theoretical merit of such plans in providing level income replacement, because the complexity of the plans and the uncertainty about the future evolution of Social Security prevents employees from making informed choices in their retirement planning; thus, the Council recommends against Options A and B;
- The Academic Council recommends against separating staff from faculty, in a plan with a lower employer normal cost, because of the risk to employee morale, and because there is no competitive justification for providing a lesser pension benefit to staff;
- The Academic Council recommends against separating staff from faculty, in a plan with lower age factors, because of the risk to employee morale, and because staff have clearly expressed a desire to have higher retirement benefits, with the cost born by higher employee contributions; and
- The Academic Council's support of a new tier pension plan is contingent on the provision of adequate inflation protection to retirees, either by adopting the reduced annual COLA and guaranteed ad hoc COLA provisions specified in Option C, or by retaining the full guaranteed annual and nonguaranteed ad hoc COLA provisions currently in UCRP.

2. Council Resolution on Faculty Salaries (Action)

Background and Rationale

In August, a joint subcommittee of UCAP, UCFW and UCPB members made recommendations to restore the faculty salary scales in order both to make faculty salaries more competitive and to strengthen the salary scales and merit review system. In September and October, the Academic Council voted unanimously to endorse the following resolutions.

1. To prevent further decline in UC's excellence, it is absolutely critical that UC budget proposals include specific provisions not only for faculty merit increases, which should be explicitly funded, but also provision for resumption of a Faculty Salaries Plan that restores competitive total remuneration over a defined period, beginning in 2010-11.
2. In recognition of the resumption of contributions to UCRP, in April 2010, we recommend a range adjustment of no less than 2%, effective for the 2010-11 academic year.
3. The Academic Council recommends a subsequent increase in the form of a 3% range adjustment in total salary (base plus off-scale) and market adjustments equivalent to 2% of the faculty salary budget. This partition is intended to continue the process toward a return to a viable salary scale.

ACTION REQUESTED: Endorse the three Academic Council resolutions to restore faculty salaries.

IX. PETITIONS OF STUDENTS [NONE]

X. UNFINISHED BUSINESS [NONE]

XI. NEW BUSINESS