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NOTICE OF MEETING
ASSEMBLY OF THE ACADEMIC SENATE

Wednesday, February 12, 2014
10:00 am - 4:00 pm

California State University, East Bay
Oakland Professional Development & Conference Center
1000 Broadway, Classroom 2, Oakland, CA

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(1) Link to SB 195, California Postsecondary Education - State Goals: http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB195	
(2) Link to UC Accountability Report: http://accountability.universityofcalifornia.edu/	
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<u>Background Information:</u>	
(1) November 2013 Presentation to the Regents on Doctoral Education: http://regents.universityofcalifornia.edu/regmeet/nov13/e1.pdf	
(2) Minutes from Regents' discussion of presentation on doctoral education: http://regents.universityofcalifornia.edu/minutes/2013/edpol11.pdf	
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<u>Background Information:</u>	
(1) Link to UC's Response to the Moreno Report: http://www.ucop.edu/moreno-report/	
(2) See enclosed August 2013 letter from Academic Personnel Vice Provost Carlson regarding campus faculty salary equity plans and reports	
(3) See enclosed January 2014 letter from Academic Council Chair Jacob to Vice Provost Carlson regarding the historical context of the recommendation to revise APM 210-1.d	

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I. Roll Call

2012-13 Assembly Roll Call February 12, 2014

President of the University:

Janet Napolitano

Academic Council Members:

William Jacob, Chair
Mary Gilly, Vice Chair
Elizabeth Deakin, Chair, UCB
Bruno Nachtergaele, Chair, UCD
Peter Krapp, Chair, UCI
Janice Reiff, Chair, UCLA
Ignacio Lopez-Calvo, Chair, UCM
Jose Wudka, Chair, UCR
Kit Pogliano, Chair, UCSD
Farid Chehab, Chair, UCSF
Eric Matthys, (alt. for Kum-Kum Bhavnani, Chair, UCSB)
Joseph Konopelski, Chair, UCSC
George Johnson, Chair, BOARS
Donald Mastronarde, Chair, CCGA
Emily Roxworthy, Chair, UCAAD
Harry Green, Chair, UCAP
Timothy Labor, Chair, UCEP
J. Daniel Hare, Chair, UCFW
Robert Clare, Chair, UCORP
Donald Senear, Chair, UCPB

Berkeley (5)

Lowell Dittmer
Robin Einhorn
Leslea Hlusko
Nicholas Mills
Kristofer Pister

Davis (6)

Angie Chabram-Dernersesian
Gino Cortopassi
Richard Grotjahn
John Oakley
Ahmet Palazoglu
Jeffrey Williams

Irvine (4)

Olivier Civelli
John Lowengrub
Darryl Taylor
Craig Walsh

Los Angeles (8)

Christiane Barz (alt. for Hanna Mikkola)
Jennifer Krull
Purnima Mankekar
Frank Petrigliano (absent)
Ninez Ponce
E. Richard Stiehm (absent)
Christopher Tilly

Merced (1)

Paul Maglio

Riverside (2)

Bahram Mobasher
Ilhem Messaoudi Powers

San Diego (5)

Eduardo Macagano
Susan Narucki
Margaret Schoeninger
Jan Talbot
Steven Wasserman

San Francisco (4)

Jacque Duncan
Elyse Foster
Robert Nissenson
Russell Pieper

Santa Barbara (3)

William Davies King
B.S. Manjunath
Daniel Montello

Santa Cruz (2)

Donald Brenneis
Joel Ferguson

Secretary/Parliamentarian

George J. Matthey

MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE

June 12, 2013
MINUTES OF MEETING

I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met on Wednesday, June 12, 2013. Academic Senate Chair Robert Powell presided and called the meeting to order at 10:00 am. Senate Executive Director Martha Winnacker called the roll of Assembly members and confirmed that there was a quorum. Attendance is listed in Appendix A of these minutes.

II. MINUTES

ACTION: The Assembly approved the minutes of the April 10, 2013 meeting as noticed.

III. ANNOUNCEMENTS BY THE CHAIR

Apportionment of the 2013-14 Assembly. Chair Powell noted that the apportionment of the Assembly for 2013-14 is enclosed in the agenda; campus representation has not changed.

Parliamentarian. Former Assembly parliamentarian Peter Berck is serving as pro tem parliamentarian in the absence of the regular parliamentarian.

SB 520. Chair Powell stated that the Senate continues to oppose SB520 (Steinberg), which would require UC to provide credit for online courses offered by third-party providers. Senate opposition is based on the principle that it would cede authority for courses to an external entity and promote privatization of the University. He noted that the university administration has worked closely with the Senate in opposing this bill. The bill has passed the Senate and will be considered by the Assembly over the summer. We expect the governor to veto it if it is passed. The other bill on online education, SB 547 (Block) is in suspension. The Academic Council convened in Sacramento and testified at a hearing to voice its collective opposition to these bills.

President's Search. The UCR Chancellor search is coming to a close and a candidate is likely to be recommended to the Regents in July. The search for a President is proceeding according to schedule. An Academic Advisory Committee comprised of the chair and vice chair of the Senate, one representative from each campus and one at-large member, has had significant input in advising the Regental search committee.

State Budget Update. The budget news is positive and includes a \$125M base budget augmentation and \$125M deferred tuition and fee buyout. The augmentation earmarks \$10M for online education, funding for UCR School of Medicine, and initial funding for a new classroom building at UC Merced. In addition, lease-revenue bond debt on UC capital projects will be transferred to UC's budget and the University plans to restructure the debt at a lower rate in order to produce \$80M in revenue annually for ten years. Last year the legislature, students and some labor unions opposed this proposal, so it is a victory that it is included in the budget this year. Speaker Perez also is supporting a scholarship plan that would provide grants to students from families with income up to \$150K who do not qualify for financial aid. Finally, the governor has proposed a multi-year funding plan for UC, including an increase in the University's base budget over the next four years of 5%, 5%, 4% and 4%, respectively. While this is an improvement, it is not adequate to meet UC's mandatory costs, including funds for the employer contribution to UCRP.

The governor's proposed increase is contingent on UC maintaining current tuition levels.

UCRP. Chair Powell noted that a different set of rules for retirement will apply to employees hired after July 1 (the "new tier"). In addition, employee contributions to UCRP will increase from 5% to 6.5% and employer contributions will rise to 12%. Regental policy is that by July 1, 2018 there should be sufficient funding to cover the Annual Required Contribution (including unfunded liability, interest on the unfunded liability and Normal Cost), but UC is not on track to achieve that goal. Currently, there is an \$11B unfunded liability which will accumulate interest at an expected 7.5%, increasing the liability by \$750M per year unless we cover Normal Cost and the interest. The CFO proposed using excess liquidity in STIP to fund UCRP or to pay a portion of the interest on the unfunded liability. The finance and budget administrators at UCOP think this is a wise use, but the EVCs on the campuses have rejected it. UCFW will continue to raise this critical issue.

Faculty Welfare. There will be a 2% salary increase for faculty next year. UCFW had recommended 3% to off-set the employee contributions to UCRP, which will rise to 6.5% on July 1; faculty will still be 12 to 14% below the Comparison 8. Non-represented staff will receive a 3% raise, which UCFW supported. UCFW is advocating for a new total remuneration study of faculty. The last study was done prior to the resumption of employee contributions to UCRP.

IV. ANNOUNCEMENTS BY THE PRESIDENT

President Yudof. President Yudof stated that while UCOP has received 60 proposals to increase Professional Degree Supplemental Tuition, the governor is opposed to any tuition increase, as are some of the Regents. He has decided to review each of them and approve them on their merits. The governor and legislature have promoted a multi-year tuition increase with the proviso of a tuition freeze. If they raise UC's budget by only 4 or 5%, it will not be sufficient to meet mandatory cost increases and will lead to large tuition increases in a few years. He said overall, the University has weathered the budget crisis well. UC's rankings and faculty separations are in line with history, despite an \$860M budget reduction.

Q: Could you elaborate on how you see the relationship between UC and the state legislature?

A: The Governor has been our principal defender. UC is not the legislature's first priority. However, very few areas received increases and UC did. We need to continue our advocacy; we are strongest when our constituent groups, students and faculty, work on behalf of the University.

Q: Why is the legislature pushing SB 520 when the universities are against it?

A: Senator Steinberg is concerned about students having access to courses. This is not an issue at UC. He did not consult with us before he announced the bill. Although he has amended it several times in response to critiques, it remains unacceptable to UC.

Q: UCOE does not pay attention to what is going on at the campuses. Funding for online education should be used to develop the courses, not for marketing, platforms or assessment.

A: I agree with many of your critiques. UCOE was not a success. Faculty opposed it and it was not managed well. The new funding for online education will go to the campuses, but there has to be accountability. We need a platform to deliver courses across the campuses. We also need a systemwide course catalog to ensure that those courses are articulated and count toward general education or major requirements. UCOE's role will be to facilitate registration and the catalog. Course content will be determined and approved by the campuses.

Q: What advice will you pass on to your successor?

A: It is an interesting and exciting place to work. The research and scholarship of the faculty is phenomenal. It is not top-down management; you need buy-in and collaboration. UC needs a reformer. The University can not look the same as it did 10 years ago, but at the same time, we need the right pace of change. We need to restrain bureaucracy at UCOP and continue to push for multi-campus research collaborations and to work on diversity in admissions.

Q: What is the future of the Division of Agriculture and Natural Resources? What is the goal of moving

much of the ANR administration to Davis?

A: The University is very deeply committed to ANR. It provides a connection between outstanding research and public outreach. ANR is under-appreciated in the legislature, since the bulk of the population is along the coast. ANR is being moved to Davis to be closer to the faculty and where the work is being done. Similarly, we moved the Education Abroad Program to UCSB and Continuing Education of the Bar to UCLA. They are more effective by being located on a campus.

Q: What is the future of health benefits?

A: UC pays 85 to 90% of employee health care costs. We are not sure how the Affordable Care Act will change things. We think it may provide good health benefits for our students. In terms of pension benefits, UC is better off than it would have been, largely because of the influence of the Senate.

Q: Do you support lowering graduate tuition once students have advanced to candidacy?

A: Politically, I do not think we can have lower tuition for graduate students than undergraduates. However, we need to examine non-resident graduate tuition in order to remain competitive.

Q: Do you think we do an adequate job of informing the public of the value of UC?

A: When I arrived, we did little; now we do quite a lot. We have started social media campaigns, sent advocates to Sacramento, and placed ads in locations like the Oakland airport. The theme of the advertising campaign is how your day is made better by UC.

Q: What is the future of Self-Supporting Programs?

A: Due to the budget crisis, campuses are looking for ways to generate revenue. There is great pressure to increase SSPs for financial, not academic, reasons. The provost and faculty are working on developing a policy for standards for SSPs.

Q: UC is the premiere University in the world for astronomy. Thank you for your support and vision of the Keck telescopes. Can you provide an update on the Thirty Meter Telescope?

A: The TMT project is proceeding well. I went to China with UCSB Chancellor Yang and met with the premier to secure China's investment of \$150M. We are scheduled to sign the TMT agreement in two weeks. Our operating costs for Keck will decrease, and we can use those funds to invest in the TMT.

V. ANNOUNCEMENTS BY THE PROVOST

Innovative Learning Technology Initiative. The Governor earmarked \$10M of UC's budget augmentation for online courses that are available across campuses. Provost Dorr said that she has worked closely with the Senate Chair and Vice Chair to craft a grants program that is responsive to these external requirements, but protects and preserves UC quality and UC faculty decisions about what is best for UC students. Together, with a great deal of faculty input, they have produced a document describing the program that combines the governor's requirements for the \$10M and the priorities outlined by the participants in the meetings on online education that Provost Dorr hosted in the spring. Approximately 200 faculty, students, staff and administrators who are engaged in online education attended. This input was consolidated and another meeting with division chairs, EVCs, committee chairs from relevant Senate committees and staff was held to produce the final document enclosed in the Notice of Meeting. They have also almost finished providing feedback on the 125 Letters of Intent received and they intend to send an RFP soon. The criteria for ILTI emphasizes undergraduate, high-enrollment courses, courses that would be attractive across campuses that count for GE or major credit across campuses, and that could be offered frequently. She is aiming to figure out how to provide GE or major credit in a way that respects each campus' processes.

Q: What intellectual property agreement is required?

A: The campuses will handle intellectual property issues. The Office of General Counsel will provide a primer on standard IP agreements. UCOP will not hold the IP.

Q: This year we got \$10M for this initiative. Is there any commitment from UCOP to continue the effort if the governor does not continue to fund it?

A: The budget language indicates that we should submit a proposal for the 2014-15 budget. UCOP will support the hub even if the \$10M is not approved.

Q: How do you envision the face-to-face portion a hybrid course?

A: The faculty will describe what they want to do. The online element is what is being produced, not the entire course. These elements will then be available for other faculty to use.

Q: What is the process by which the hub will be designed, procured or staffed?

A: We are constituting a committee that has undergraduate deans, student affairs, registrars, etc., to discuss the functionality that should be part of the hub.

Q: How will you ensure that the courses will attract students?

A: We will place higher priority on proposals that provide firm indications that other campuses would use the course and give credit for it. If it is a course that is already taught on another campus, we will examine how often it is taught, enrollment, wait lists, etc.

Q: How will you decide between chemistry classes proposed by faculty on different campuses?

A: We may ask the proposers to collaborate. If there already is an online chemistry course, we will not rule out funding another course.

Q: How will courses be approved across campuses?

A: This is one of the challenges of orchestration. We want to ensure that there is a high probability that a course will be approved, but we will not wait for that process to occur. For courses that look promising, some funds will be allocated to pursue a preliminary assessment of the possibility for approval before we fully invest in them.

Q: Will any of the funds be used for infrastructure needs on campuses?

A: Yes. But if we provide funding for infrastructure, the campuses will have to verify their uses of them, e.g., instructional designers.

Q: Many faculty will not want to adopt the online elements of courses developed by other people. In addition, some departments jealously guard who can teach a course.

A: This is why we will not fund a course unless we have departmental agreements. Some departments have restrictive cultures; others do not.

Q: What is the timeline for the hub?

A: We are launching a beta-hub, but the actual hub will not be ready for a year.

Academic Performance Indicators. Provost Dorr said that at a recent Regents meeting, both the governor and the chair of the Board of Regents suggested that in order to save money, faculty should teach more. His May budget proposal includes a set of measures that would have to be met in order for UC to receive increased funding in years 2-4 of the Governor's 4-year plan. In response, she worked closely with the Senate leadership and the president to reframe the narrative away from workload to performance and outcomes. At the May Regents meeting, she made a presentation that described the full range of faculty work, including teaching, and provided data on student outcomes, including time to degree, percentage of students who graduate, student opinion of their academic experiences, indicators on graduate students, and comparisons to public and private AAUs. The president, provost and EVP of Business Operations met with the governor and his advisors to discuss the written report prior to the Regents meeting. At the meeting, the governor asked good questions, such as what are predictors of time to degree and how can we make it possible for undergraduates to graduate in four years and help students who are less prepared succeed in college. In the fall, Provost Dorr plans to work closely with faculty to identify meaningful measures.

Comment: I was disappointed with the use of the old data on faculty workload. The student/faculty ratio is an aspect of faculty workload and should be included as a quality indicator.

A: We tried to get more recent data, but do not have it and time studies are expensive. We succeeded in moving the discussion from courses to Student Credit Hours. I agree that we need to emphasize quality.

Q: Have you been able to determine the impact of students changing majors in their time-to-degree?

A: Yes. That is one of the correlates of longer time to degree (double majors were not correlated). I will be working with Institutional Research to review a study they did a few years ago with one cohort, and will discuss doing it again. The Undergraduate Deans emphasized that it should be tallied by quarters or semesters enrolled, not by year. We also have data by major and by demographic predictors. We need to

do more to help students who take longer to get their degrees.

Q: Why does the University of Virginia do so well on certain measures?

A: The demographics of UVA's student body are different. They have very few Pell grant (low income) students. We also have 10 campuses, some of which educate students who come from very disadvantaged backgrounds. We will tell the story of UC's incredible success with low-SES students at the Regents meetings.

V. SPECIAL ORDERS

- A. Annual Reports.** Chair Powell noted that these three annual reports are presented as information, only, as required by [Bylaw 120.D.3](#). All other annual reports were submitted to the Assembly at its first meeting of the year, as required.

VI. REPORTS ON SPECIAL COMMITTEES [NONE]

VII. REPORTS OF STANDING COMMITTEES

A. BOARS Recommendation to Adjust Statewide Admissions Index [ACTION]

BOARS Chair George Johnson said that in 2009 when the new admission policy was adopted, BOARS discussed the appropriate balance between the statewide index and Eligibility in the Local Context. It decided the top 9% statewide of public high school graduates and the top 9% in each school would be guaranteed admission. The policy went into effect for applications for the 2012-13 year. In 2012, the index captured 10.5% of public high school graduates, and in 2013, it captured just over 11% of graduates. Clearly, the index is not accurate. BOARS proposes to recalibrate it based on the applicants for 2012 and 2013. If UC had used the proposed new index in 2013, it would have captured 9% of graduates. Approximately 2,100 applicants would no longer have been in the referral pool. The referral guarantee is for admission to a campus at which space is available, and only 2% (approximately 200 students) of those offered a referral enroll. The impact that a new index would have on the diversity of the applicant pool varies by category.

A: What is the potential impact of a new index on students who are applying now?

A: BOARS proposes to put the new index in place for fall 2014, so it would affect entering juniors, which is sufficient notice.

Q: How will this change long-term enrollment planning?

A: It may become a problem when Merced is no longer able to accept referrals, and that may be very soon. However, that is a separate issue; the University needs to discuss what to do about the guarantee. What BOARS proposes today is a technical fix to the index to capture the 9% that we intended.

Q: What effect will the change have on transfer students?

A: That is an interesting question. We have not examined whether students who are in the referral pool go to the CCCs or go to other institutions. Transfer students do have the option of the transfer guarantee if they meet the eligibility criteria.

Q: What percent of students meet the index but do not get admitted to the school of their choice?

A: 80% of students in the statewide index and ELC applicants were admitted to a campus to which they applied. 96% of those who qualified for both the ELC and Statewide pools were admitted to a campus to which they applied.

Q: Most of those eligible for the referral guarantee do not enroll. How much of an issue is the over-supply of guarantees?

A: It is not a big issue for many students, but it is a salient political issue. Comment: It would be helpful to extend the implementation timeline. Is there a downside to delaying it by a year?

A: BOARS is open to an amendment.

Comment: This is about GPA, not about course prerequisites, so it may not need to be delayed. We are

correcting a mistake and should do it now, as we have been admitting too many students.

A: We are changing the number of students who are eligible to be in the referral pool. Strong students will still be admitted at the same rate even if they are not eligible in the local context. It will change the distribution of the referral pool, not the distribution of admissions.

ACTION: Assembly approved BOARS' recommendation to adjust the systemwide admissions index.

B. BOARS Proposed Amendments to SR 478 [ACTION]

The proposal is to amend SR 478, replacing SciGETC with a new option that aligns with the state law (SB 1440) that requires that CSU accept Associate degrees for transfer and also mandated that they accept IGETC. Since SciGETC was not mentioned in the legislation, the Intersegmental Committee of the Academic Senates (ICAS) drafted a variant of IGETC for STEM majors. BOARS chose to rewrite the regulation to make it parallel to SR 424, the regulation on freshman admissions. It is less detailed than the current SR 478, broadly defining the subject areas and leaving the details of implementation to UCOP. At the April Council meeting, Senate divisions provided additional feedback, which has been incorporated in the proposal under consideration by Assembly.

ACTION: The proposed amendments passed by majority voice vote.

C. Academic Council [ACTION]

1. Nomination and Election of the 2013-14 UCOC Vice Chair

ACTION: The Assembly unanimously elected Edwina Barvosa (UCSB) as 2013-14 UCOC Vice Chair.

2. Ratification of 2013-16 Secretary/Parliamentarian

ACTION: The Assembly unanimously ratified G.J. Matthey (UCD) as its Secretary/Parliamentarian.

3. Amendments to APM 015

The proposed amendment to APM 015 responds to a U.S. Supreme Court ruling that the First Amendment allows public employees to be disciplined for criticizing their employer in public. Attorneys representing the University later used this argument in a lawsuit between the University and a member of the faculty. The attorneys argued that the faculty member could be sanctioned for his stance at a faculty meeting. UCAF then took up the issue and began the long process of bringing this revision of the APM to acknowledge an academic freedom right to speak on institutional issues even if they are not protected by the First Amendment. It establishes a clear principle that faculty have the right to engage publicly and in shared governance with institutional issues. The proposed amendments to APM 035 provide additional nuance to the prohibition on gender-based discrimination and adds a reference to military service that is now protected by law.

ACTION: Assembly approved the amendments to APM 015 and 035.

VIII. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]

IX. PETITIONS OF STUDENTS [NONE]

X. UNFINISHED BUSINESS [NONE]

XI. NEW BUSINESS [NONE]

The meeting adjourned at 4:00 pm.

Attest: Robert Powell, Academic Senate Chair

Minutes Prepared by: Clare Sheridan, Academic Senate Analyst

Attachments: Appendix A – Assembly Attendance Record, Meeting of June 12, 2013

Appendix A – 2012-2013 Assembly Attendance Record, Meeting of June 12, 2013

President of the University:

Mark G. Yudof

Academic Council Members:

Robert Powell, Chair
William Jacob, Vice Chair
Christina Maslach, Chair, UCB
Bruno Nachtergaele, Chair, UCD
Peter Krapp (alt. for Mary Gilly, Chair, UCI)
Linda Sarna, Chair, UCLA
Peggy O'Day, Chair, UCM (absent)
Jose Wudka, Chair, UCR
Guy Masters, Chair, UCSD
Farid Chehab (alt. for Robert Newcomer, UCSF)
Eric Matthys (alt. for Kum-Kum Bhavnani, Chair, UCSB)
Joe Konopelski, Chair, UCSC
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Ruth Mulnard, Chair, CCGA
Manuela Martins-Green, Chair, UCAAD
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John Yoder, Chair, UCEP
Daniel Hare, Chair, UCFW
Mike Kleeman, Chair, UCORP
Bernard Minster, Chair, UCPB

Berkeley (5)

Whitney Davis (absent)
Allen Goldstein
Jennifer Johnson-Hanks
Jeffrey Perloff
Patricia Zambryski

Davis (6)

Trish Berger
Theodore DeJong (absent)
Richard Grotjahn
Ahmet Palazoglu
Joe Kiskis (alt. for Saul Schaefer)
Jeffrey Williams

Irvine (4)

Elliott Currie
Christopher Leslie (absent)
Carrie Noland (absent)

Craig Walsh (absent)

Los Angeles (8)

Troy Carter (via phone, alt for Malcolm Gordon)
Jennifer Krull (via phone)
Timothy Lane (via phone)
Alan Laub
Susanne Lohmann
Joseph Nagy
Monica Smith (via phone)
Richard Steinberg (absent)

Merced (1)

Wolfgang Rogge (absent)

Riverside (2)

Richard Luben (absent)
Bahram Mobasher

San Diego (5)

John Hildebrand (absent)
Eduardo Macagano (absent)
Douglas Magde
Jan Talbot
Eric Watkins (absent)

San Francisco (4)

Jacque Duncan
Janice Lee
Errol Lobo (absent)
Robert Nissenson

Santa Barbara (3)

Vicki Scott (alt. for Ralph Archuleta)
Claudio Fogu (via phone)
Aranye Louise Fradenburg (via phone)

Santa Cruz (2)

Donald Brenneis
Joel Ferguson

Secretary/Parliamentarian

Peter Berck

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	▪ Patrick Lenz, Vice President, Budget and Capital Resources	
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B.	Annual Reports [2012-13] [INFORMATION]	

ACADEMIC COUNCIL ANNUAL REPORT 2012-13

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 2012-13 year, the Academic Council considered multiple initiatives, proposals, and reports. Its final recommendations and reports can be found on the [Academic Senate website](#). Matters of particular import for the year include:

BUDGETARY ISSUES

In April 2012, the faculty overwhelmingly endorsed a [Memorial](#) to the Regents requesting that they authorize public advocacy “in support of specific measures that will increase state revenues and specific measures that will prioritize funding for public higher education.” Subsequently, at its May, 2012 meeting, the Council endorsed Governor Brown’s ballot measure, which became Proposition 30 and in July 2012, all but one Regent present voted to support Proposition 30. In November 2012, Proposition 30 passed, which stemmed further cuts to the University. However, Governor Brown interpreted its passage to preclude any tuition increases, including Professional Degree Supplemental Tuition. Over the course of the year, the Academic Council engaged in an ongoing discussion of priorities for investment in the University’s academic programs, and UC proposed a budget for 2013-14 that proposes a [multi-year reinvestment](#).

In February, Council approved a response to the report of the Rebenching Budget Committee, which reflected the systemwide review and recommended that UCOP produce an annual report on the progress and status of Rebenching, and that the administration submit an implementation plan that spans two years, beginning in 2014-15 and updated biennially, in order to provide campuses with stability. Council further recommended that the weights assigned to students of various types be revisited in the initial evaluation and be adjusted biennially, if necessary. Finally, Council called for the development of a long-range enrollment plan. In August, Council issued a [letter](#) urging the Provost and Executive Vice President for Business Operations to ensure that all campus administrations fully engage the Senate in enrollment planning. In addition, as a result of that discussion, a joint Senate-Administration Enrollment Issues Work Group was formed to comprehensively examine challenges to long-range enrollment planning and enrollment planning in the context of rebenching.

A subset of Council members also participated in regular teleconferences held by Provost and EVC Dorr to brief them on budget issues.

FACULTY WELFARE

In June 2012, Council endorsed UCAAD’s proposal that individual campuses study the extent of any salary inequities on the campus and propose strategies to correct them, with plans of action for developing a study to be reported to UCAAD by November 15, 2012. UCAAD, UCAP, and UCFW evaluated the campus salary equity study plans and were highly critical of their quality, particularly the lack of detail on data collection methodology and the lack of consultation with the divisional Senates. Council issued a [letter](#) in May outlining specific suggestions for developing the studies, and requesting that the Vice Provost for Academic Personnel convene a committee to discuss common metrics and share best practices regarding

methodology and implementation strategies.

In February, Council wrote a [letter](#) to EVP Brostrom and Vice President of Human Resources Dwaine Duckett requesting that UCOP commission a study of total remuneration for faculty. In addition, based on UCFW's recommendation, Council [endorsed](#) the administration's recommendation to the Regents to increase the employee contribution to UCRP to 8% and the employer contribution to 14%, effective July 1, 2014, with the caveat that there should be a corresponding salary increase of at least 3% for faculty and non-represented staff to off-set recent increases in contributions and arrest further decline in faculty total remuneration.

In February, Council [wrote](#) to the Vice Provost for Academic Personnel regarding the results of a systemwide review of the Negotiated Salary Trial Program (NSTP). Council expressed disappointment that the NSTP did not address the Senate's concerns with APM 668, a prior attempt to design a negotiated salary plan. However, it did not oppose implementation of the trial program at the three designated campuses on condition that the respective divisional Senates agree in writing. Subsequently, one of the campuses proceeded with the trial in the face of objections from their divisional Senate.

Beginning in November, the Senate leadership engaged with CFO Taylor's office in an ongoing discussion of the proposed composite benefits rates. The Senate maintains that the proposed rates inappropriately overcharge faculty summer salaries and grants, and that assessing UCRP contributions against a grant or contract when the compensation is not covered by UCRP is fundamentally inequitable. Furthermore, UC should not restrict the number of benefit rate categories, and each campus should be able to determine its own rates.

ADMISSIONS

In September 2012, BOARS issued an [Update on Comprehensive Review in Admissions](#), as requested by the Board of Regents. The report reported on 2010-12, a period in which there were changes in eligibility (implementation of a 9% local context and 9% statewide guarantee as well as a new Entitled to Review category) and the institution of single score individualized review at a total of six campuses.

In June, the Assembly approved [BOARS' recommendation](#) to adjust the statewide freshman admissions index to more accurately identify the top 9% of California public high school graduates (the index identified nearly 11% of public high school graduates as eligible for a statewide).

The Assembly also approved BOARS' proposal to amend [Senate Regulation 478](#) to accommodate IGETC for STEM majors.

GRADUATE EDUCATION

In 2011-12, Council considered revisions to the existing policy on self-supporting graduate degree programs proposed by the administration. Responses to the review of the policy raised broad concerns. In response, Provost Dorr created two working groups with broad representation to rewrite the policies on Professional Degree Supplemental Tuition and one on Self-Supporting Graduate Degree Programs. Work on the draft policies is ongoing, and it is expected that they will be distributed for systemwide review in fall 2013.

UNDERGRADUATE EDUCATION

Online education captured the legislature's, governor's, and Regents' attention in 2012-13 and therefore become the focus of an enormous amount of the Senate's time and effort.

A Blue Ribbon Panel on the Online Instruction Pilot Project, which was approved by Council in June 2011, met throughout 2012, issued a report, which was transmitted to the Provost in February, 2013. This independent review of the program's evaluation component was highly critical of the methodologies employed, drop-rates and their causes, a lack of data collection on faculty workload, and a significant retreat from the original evaluation goals. In addition, Council remains concerned about issues relating to UC Online Education (UCOE). It issued a letter expressing reservations about the copyright agreement that UCOE requires of its instructors.

In response to Governor Brown's proposal to earmark \$10M from the state budget for the development of online courses, the Provost's office and Senate leadership closely collaborated on the Innovative Learning Technology Initiative (ILTI). The monies will be used to fund courses for matriculated students, only, developed by faculty with the support of their departments and approved through regular Senate course approval processes. A request for Letters of Interest was sent to all faculty to test the level of interest in online education. Subsequently, two conferences sponsored by the Provost, one in the north and one in the south, brought faculty, staff, students and administrators together to discuss the current status of online education in UC and chart pathways for the future. A follow-up meeting was held to summarize feedback that was then used to draft a formal Request for Proposals and was issued in late July.

In March, Senator Steinberg proposed SB 520, which would require campuses to give credit for online courses offered by third-party providers. Chair Powell and Vice Chair Jacob immediately released a [statement](#) strongly opposing the bill that was subsequently unanimously endorsed by the Academic Council. The letter was widely covered by the media and they also published several op-ed pieces. A hearing before the Senate Higher Education Committee was scheduled for April 24, the same date as the monthly Academic Council meeting. Council decided to meet in Sacramento to afford Council members the opportunity to testify. On the day of the hearing, Senator Steinberg introduced new amendments to the bill. However, he did not remove the provisions that would allow the privatization of a state-funded education, so Council and the University continued to oppose it. The bill passed the Senate Higher Education Committee, as well as the whole Senate. In August, Senator Steinberg decided to designate the bill as a two-year bill, effectively delaying its consideration.

RESEARCH ISSUES

Following the completion of UCORP's reviews of two Cal ISIs (Institutes for Science and Innovation), Council issued a [letter](#) suggesting ways to streamline the review process and improve its quality.

Council also considered changes to the section of the Compendium that addresses the appointment of MRU Directors, and made a recommendation to the Academic Planning Council.

GOVERNANCE

In January, President Yudof announced his intention to step down from the presidency. In accordance with Regents policy, the Chair of the Board of Regents asked Chair Powell to appoint an Academic Advisory Committee (AAC) of 13 faculty members to assist the Regental Special Committee to Consider the Selection of a President. The AAC met in person with the Special Committee three times and vetted a list of over 300 potential candidates. Chair Powell participated in interviewing the candidates and in the

selection process. When the announcement was made, he issued a [statement](#) on the nomination of Janet Napolitano as UC president supporting the choice and lauding the process.

SENATE TASK FORCES AND SPECIAL COMMITTEES

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

- Academic Planning Council
- Blue Ribbon Panel on the Online Instruction Pilot Project
- UC Online Education Advisory Committee
- Academic Advisory Committee (Presidential search)
- UCR and UCB Chancellor Search Committees
- Chancellor Review Committees
- California Open Education Resources Council
- Portfolio Review Group
- UC Copyright Ownership Policy Working Group
- Professional Degree Supplemental Tuition Working Group
- Self-Supporting Graduate Degree Program Working Group
- President's Privacy and Information Security Steering Committee

REVIEW OF ADMINISTRATION PROPOSALS AND INITIATIVES

Council responded to several proposals from the administration, both formal proposals and drafts. Based on a recommendation from the University Committee on Computing and Communications, Council issued a favorable response to the proposed [UC IT Accessibility Policy](#) as a statement of principle. It also supported a draft proposal to move the opening of applications to an earlier date, from October 1 to August 1 beginning in fall 2014, and responded to a range of options for changing UC's [financial aid policy](#), offering qualified support for one particular option, and requesting an annual report to BOARS analyzing the impact of any new strategy that is adopted.

REVIEW OF THE ACADEMIC PERSONNEL MANUAL (APM)

APM 015. In 2011, Council adopted a resolution by UCAF recommending the revision of APM 015 to incorporate freedom to address issues of institutional policy under the umbrella of academic freedom. The office of Academic Personnel proposed revised language for systemwide review to which Council responded in June 2012 and, with subsequent revisions, to a [final review](#) in February 2013. After consultation with the office of the President, General Counsel and Academic Personnel, Provost Dorr submitted to the Assembly, and the Assembly [approved](#), an amendment to section 015 of the APM in June 2013. In addition, Council and Assembly approved revisions to APM 035 to bring the APM into alignment with California law.

APM 210. Following extensive discussions between UCAAD and UCAP, Council recommended to Provost Carlson that her office initiate a systemwide [review of APM 210.1-d](#) to clarify its provisions on recognizing research, teaching and service that promotes diversity in merit reviews.

APM 241. Responding to a systemwide review of APM 241 that aimed to bringing APM 241-24 into compliance with Regental policy regarding the appointment of MRU directors, Council [opined](#) that the proposed language was problematic because it excludes the lead campus' Senate and/or administration

from the appointment process. Although Council could not agree upon possible alternate language, it did forward sample language for further refinement and consideration.

APM 600. Revisions to APM 600, which addresses salary administration, were proposed to update in order to facilitate the implementation of a systemwide payroll and shared service center. Council found that the format of the revisions made it difficult to determine what was being revised, and found that some sections generated controversy. Council [requested another review](#) in the fall, with a side-by-side comparison of the two versions and a clear rationale for the proposed changes.

APM 150. In April, Council requested that Vice Provost Carlson [initiate a review of APM 150](#) that clarifies that the non-Senate faculty member has a right to either a hearing before UCP&T (per Senate Bylaw 337), or to a grievance process outlined in APM 140; notifies them that they must choose between these two processes at the outset; and provides adequate time (30 days) for them to make this choice.

APM 430. In December, Council opined on a [proposed new section of the APM](#), APM 430, addressing Visiting Scholars. In May, in response to revisions to the proposed new section, Council [questioned the need for the section](#), as well as the inclusion of visitors in a document that governs UC academic personnel.

In addition, in December, [Council responded to a proposed new section of the APM, APM 700](#) (Leaves of Absence), questioning the need for new policy language, and suggesting that other sections of the APM can be used to handle presumptive resignation. In March, Council [replied](#) to a second round of review.

OPEN ACCESS

After extensive review, Council approved an open access policy for faculty publications that will be implemented on a pilot basis at three UC campuses beginning in November 2013 (UCLA and UCI will begin to use the repository; UCSF will retain its own policy, which it passed in May 2012). The policy was originally proposed by University Committee on Library and Scholarly Communication (UCOLASC) in August 2012, and underwent two rounds of review during the 2012-13 academic year. The responses from the campuses in January were critical of the details of the policy, but supportive of open access in general. UCOLASC agreed to revise the policy based on the input, particularly regarding the scope of the license grant and commercial use, and also drafted a memorandum of understanding, which was sent to the provost. Provost Dorr responded positively, assuring the Senate that the administration would partner with the Senate to implement the policy and that the University would not make commercial use of articles placed in the repository. The packet was sent for expedited review and Council voted in favor of adopting the open access policy at its July meeting.

The policy will give UC a limited, non-exclusive right to make published UC faculty scholarship freely available in an existing open-access online repository maintained by the California Digital Library (CDL). Faculty may opt-out of the open access license, or request a temporary embargo on the application of the open access policy, for any publication and for any reason, through a simple online mechanism. The trial program will help to resolve some of the implementation questions that arose during Senate review, particularly about the impact it could have on library and faculty research budgets and on faculty publication in certain fields. UCOLASC and the CDL will report to the Senate on the results of the implementation in May 2014, and again in fall of 2014. If any of the concerns expressed by faculty during the review come to pass and cannot be satisfactorily resolved, the Senate will determine by November 2014 whether to expand implementation to the remaining seven campuses, alter the policy, or revoke it.

RELATIONS WITH OTHER GOVERNING BODIES

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. In addition, Regent Varner attended the October Council meeting and Regent Kieffer attended the December meeting.

ICAS

The Intersegmental Committee of the Academic Senates is a group representing the faculty Senates of the California Community Colleges, California State University, and the University of California. Chair Powell served as Chair of ICAS this year. The group was particularly active in advocacy efforts and united to vigorously oppose SB 520, Senator Steinberg's bill on online education.

State Legislature

This year, both BOARS and UCORP held meetings in Sacramento to afford them the opportunity to communicate with legislators. In addition, in March, the Academic Council met in Sacramento and testified against SB 520 before the Senate Higher Education Committee.

SENATE POSITIONS ON STATE AND FEDERAL LEGISLATION

Council wrote to Associate Vice President of Federal Governmental Relations Gary Falle to urge him to [oppose](#) the draft High Quality Research Act, which would allow political review of the grant review process at the National Science Foundation.

In addition to Chair Powell's and Vice Chair Jacob's letter opposing SB 520, which was later endorsed by Council, the Senate office commented on the following bills: (1) Council [expressed concern](#) about AB 181, which would have authorized (but not required) any UC campus to establish a pilot program to enable a student to earn a UC bachelor's degree within three years of graduation from high school, at a cost to the student not to exceed \$20,000. It did not pass. (2) Council [offered comments](#) and concerns on AB 609, which would have required a state agency that provides funding for direct research to provide free online public access to final peer-reviewed and published manuscripts not later than six months after publication in peer-reviewed journals.

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 Aimée Dorr; Executive Vice President-Business Operations Nathan Brostrom; Vice Provost for Academic Personnel Susan Carlson; and Vice President-Budget and Capital Resources Patrick Lenz.

Robert Powell, Chair
William Jacob, Vice Chair

Divisional Chairs:

Christina Maslach, Berkeley
Bruno Nachtergaele, Davis
Mary Gilly, Irvine
Linda Sarna, Los Angeles
Peggy O'Day, Merced
Jose Wudka, Riverside
T. Guy Masters, San Diego
Robert Newcomer, San Francisco
Kum-Kum Bhavnani, Santa Barbara
Joseph Konopelski, Santa Cruz

Senate Committee Chairs:

George Johnson, BOARS
Ruth Mulnard, CCGA
Manuela Martins-Green, UCAAD
Harry Green, UCAP
John Yoder, UCEP
Daniel Hare, UCFW
Michael Kleeman, UCORP
Bernard Minster, UCPB

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Martha Winnacker, Executive Director
Todd Giedt, Associate Director
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UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF) 2012-2013 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Freedom (UCAF) met twice in Academic Year 2012-2013, 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.

APM 210

UCAF discussed language in APM 210 that suggests that faculty would be rewarded for conducting research on diversity and which potentially dictates the results of research. This is an academic freedom issue because one interpretation of the wording seemed to encourage people to draw specific conclusions from research that support diversity. The wording also raised concerns that individuals not conducting research on diversity would be penalized. It is not clear how APM 210 has been applied and it may vary across the campuses.

The Committees on Academic Personnel and Affirmative Action and Diversity independently considered this section of the APM this year and both proposed revised language. In April, Council discussed the language proposed by UCAAD and UCAP and adopted UCAAD's proposal. Council's proposed revision was submitted to Vice Provost Carlson who reported that no changes to APM 210 will be considered until next year. UCAF members agreed upon language that was presented to UCAAD in May for consideration.

Contentious Issues Forums

In addition to the [Statement in Support of Faculty Harassed by Opponents of their Research](#) prepared by UCAF last year, the committee decided that a public education component is needed to show what has been achieved as a result of the controversial research. UCAF is interested in finding an organization to sponsor and raise funds for public forums where controversial types of research are discussed. Individuals who represent all points of view about an issue should be involved and UCAF would like to ensure that the forums are used to encourage debate. There are a variety of logistical issues that will need to be addressed in order to support the implementation of the forums and it was agreed that UCAF should consult with the groups that host these activities on campuses already.

Campus Climate and Harassment of Muslim and Arab Students

In March, UCAF discussed the concerted efforts being made by organizations outside the University of California to pressure the University to enact restrictions on the free speech rights of campus organizations and individuals advocating for the interests of Palestinians. The American Civil Liberties Union and the Ad Hoc Jewish Student Committee have both made statements pointing out the danger that these activities pose to free speech and academic freedom. The committee discussed how the campuses are responding to the issues of the harassment of Muslim and Arab students, noting that there have been hostile acts on either side. UCAF submitted a memo to Council in May urging the Senate take a strong position rejecting any efforts (whether originating outside the University or inside it) that would limit free expression by supporters of either the Israeli people or the Palestinian people.

Political Review to the Grant-Review Process at the National Science Foundation

In April, UCAF learned about federal legislation drafted by the Republican Representative Lamar Smith (Texas) that would require oversight of the scientific research process, which would in effect politicize decisions made by the National Science Foundation. [The High Quality Research Act](#) would require the director of the NSF to certify in writing that every grant handed out by the federal agency is for work that is "the finest quality, is ground breaking, and answers questions or solves problems that are of utmost importance to society at large; and ... is not duplicative of other research project being funded by the Foundation or other Federal science agencies." Additionally, the bill solicits recommendations for how to place similar restrictions on other federal science agencies. Citing this as a matter of concern to the scientific community, which relies on peer review to identify meritorious research, UCAF submitted a [letter to Council](#) urging the Senate to voice opposition on behalf of UC to congressional efforts to politicize the grant-review process.

The Special Nature of Universities with Respect to FOIA/PRA Requests

UCAF discussed the implications of Freedom of Information Act and Public Records Act for the University of California. The Freedom of Information Act and Public Records Act statutes are designed to create transparency for work that is done by people paid by the state but filing these requests is a technique being utilized by various political or business factions to punish faculty for conducting work with which they disagree. Unlike UC, Stanford and other private universities are exempt from PRA requests which are not doing the state's business. This has resulted in the chilling of relationships between UC faculty and faculty at private institutions, making collaboration difficult because the peers at the private institutions are afraid of information being disclosed in response to FOIA or PRA requests.

The UCLA CAF drafted a Statement on the Principles of Scholarly Research and Public Records Requests which aims to make clear how and why the academic enterprise is intrinsically different from other enterprises conducted for the benefit of the public. This CAF also developed a primer for faculty which provides guidance on how to respond to PRAs. UCAF members agreed that while some of requests will need to be handled on an ad hoc basis, it would be beneficial to have a systemwide policy on responding to these requests. The committee also agreed that it is also important to provide formal guidance to faculty so they understand what support the university will provide. UCAF may take up this matter again in the coming academic year.

The Future of Academic Freedom

One of the graduate student representatives to UCAF conducted a survey of students' understanding of academic freedom which found that the majority of the elected graduate representatives have a minimal understanding of academic freedom. A major question is how professors learn about academic freedom. A UCLA task force has worked on a document that defines academic freedom which will be considered by the campus Senate and it is hoped that this will eventually become a UC wide policy. UCAF members agreed that it might be difficult to come up with a definition of academic freedom and members also questioned whether each campus should have a unique definition. In the future, UCAF may ask each CAF to define academic freedom as it applies to professors and separately graduate students on their campus. This definition would be published at each campus and in the future, graduate students might be specifically taught about the issue.

Respectfully submitted,

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Mohana Amirtharajah (SF)
Jean-Daniel Saphores (I)
Stanley Awramik (SB)(alternate)
Thomas Morton (R)
Eric Nelson, graduate student (D)

Harold Pashler, Vice Chair (SD)
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David Woodruff (D)
David Steigmann (B)
Ronald Glass (SC)
Jessica Rubaii, graduate student (SC)

Bob Powell ((D); Chair, Academic Senate, *Ex Officio*)
Bill Jacob ((SB); Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Committee Analyst

**UNIVERSITY COMMITTEE
ON
ACADEMIC PERSONNEL**

2012-2013 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Personnel (UCAP) had four meetings during the Academic Year 2012-2013 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:

APM 210

APM 210 continued to be a major topic for UCAP this year. The issue is that the existing wording of APM 210.1-d can be read to say that those whose research discipline involves diversity and equity should be given some sort of "extra credit" in the review process because the University has taken a position that involvement of the faculty in diversity and equity issues is something to be favored. Many campus CAPs have wrestled with this matter since the current version of APM 210 was approved in 2005 and from UCAP discussions in October, it appears that at least one campus (UCSF) has wrestled with such favoritism. In contrast, at least two other campuses (UCB and UCSB) have issued guidelines for how the paragraph of concern is to be interpreted, insisting that no discipline is to occupy a favored position. The reason that APM 210 was revised in 2004/5 was that researchers into diversity and equity had complained that their discipline was not taken seriously; they inferred that at least some CAPs considered such research as inferior and discriminated against them. The language in APM 210.1-d was supposed to relieve any possible discrimination but its wording suggested to some that the University took the opposite position -- that such research should be favored during merit review.

In trying to find the right wording for this paragraph, there is a tension between making clear that research into issues of diversity and equity is to be treated equally to other academic disciplines (not favored or disfavored) and at the same time stating that the University is in favor of all faculty members being active in advancing diversity and equity and therefore placing specific wording favoring such activities in the APM. At the end of last academic year, UCAP proposed some wording that might be considered for inclusion into APM 210.1-d and at the beginning of this academic year, Council Chair Powell requested that UCAP and the University Committee on Affirmative Action and Diversity (UCAAD) work together to resolve this problem. Over the course of the year, UCAP members deliberated over alternative wording and also considered revisions proposed by UCAAD.

In March, Chair Green reported to Council that the two committees had come to agreement on the first part of the paragraph of APM 210.1-d that makes clear that research into issues of diversity is to be given the same respect in the academic personnel process as any other academic discipline but that an agreement was not reached on the final section of the paragraph that deals with mentoring and advising. UCAP and UCAAD submitted two separate proposals to revise APM 210.1-d to Council. Council discussed the differences between the two proposals and voted to adopt a compromise between them. In April, Council forwarded its [recommendation to the Vice Provost for Academic Personnel](#) that the second paragraph of APM 210.1-d be amended as modified by Council. UCAP members look forward to the administration's response to the revisions proposed by Council, including whether the proposed revision will need to be sent out for systemwide review. UCAP was not satisfied with a draft "White Paper" on this subject sent by UCAAD in May and more consultation is necessary before proceeding with this subject.

Proposed Open Access Policy

Last year, UCAP provided informal feedback to the University Committee on Library and Scholarly Communication about the proposed open access policy for UC and expressed support for the policy in a July letter to Council. The proposed policy was sent out for systemwide review in August and discussed by UCAP again during its December meeting. In its letter to Council, the committee outlined a variety of concerns,

including the worry that the policy is going to have a differential impact/burden on faculty from different disciplines. UCAP recommended that compliance with the policy should not be a criterion for personnel reviews/evaluations and that a funding mechanism should be available to faculty who incur added costs of publication by agreeing to open access.

Negotiated Salary Plan (Proposed APM 668)

In the fall, UCAP participated in the systemwide review of the proposed [Negotiated Salary Plan Trial Program](#) to be offered to eligible faculty on the general campuses. The committee commented on the original proposal in October 2011 and offered additional critical feedback in November 2012. UCAP members noted that the trial of the plan, as described, failed to address the problems with proposed APM 668 delineated in UCAP's original memo and raised multiple objections in UCAP's November memo to Council.

UCAP expressed concern about UCOP's failure to collect data to determine if there is a pressing recruitment and retention issue, instead of relying on anecdotal information. Connected to this is the report's lack of clarity regarding how the success or failure of this program will be judged. UCAP suggested that there be a measure of productivity before participating faculty receive the extra funds as well as after. The committee was particularly concerned about the absence of a plan to collect data about the impact on teaching load. The committee continued to have concerns about the impact the negotiated salary plan would likely have on the CAPs' workloads. Some UCAP members expressed concern about use of funds that do not carry full overhead as a source for salary augmentation. UCAP recommended that the trial address all of the objections the committee has raised or it should not be implemented. UCAP will monitor the results of the trial program.

Salary Equity Surveys

UCAP reviewed the campus salary equity survey plans during the March and May meetings. Committee members agreed that, while many of the CAPs do not look at salaries, all CAPs should be concerned about merit equity. The members also agreed that even if CAPs do not look at salaries, the impact of the step advances should be taken into consideration and CAPs should know about any systematic biases. UCAP was critical of those campuses which did not provide comprehensive plans and suggested that the campuses that have developed metrics and conducted some analyses could provide consultation. UCAP asked that the campuses share the issues related to equity that they uncover as well as what the response will be if they do find a lack of equity. The committee also suggested that the campuses should be asked to look at both how fast faculty progress through the steps as well as how well they are paid as they advance. UCAP also requested that the campuses provide firm dates and deadlines for when this work will be conducted.

APM 075

The proposed revision of APM 700 resulted in UCAP's review of APM 75, the policy regarding termination for incompetent performance. APM 75 refers to finding that a faculty member has been incompetent for several years and the committee suggests that the phrase "several years" should be defined. Currently, there is no policy that indicates when CAPs can notify a faculty member that a serious lack of teaching or research needs to be addressed. UCAP members noted that there may be differences at the campuses that really do require flexibility so perhaps "several years" can be defined in each campus's published academic review procedures for each year. The committee also agreed that from a legal perspective it might be helpful for campuses to be able to point to guidelines and that for purposes of due process it is important to have a clear time table. In May, UCAP members agreed to discuss APM 075 next year.

Other Issues and Additional Business

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

- Rebenching Budget Committee Report
- APM 600
- APM 430
- UC Online Education Copyright issues
- Proposed revisions to APM 700
- Proposed revisions to APMs 025 and 670
- Proposed new APM 671
- APM 241

- Senate Bylaw 55

Campus Reports

UCAP devoted part of each regular meeting to discussion of issues facing local committees and comparison of individual campus practices

UCAP Representation

UCAP Chair Harry Green 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 Susan Carlson, Vice Provost, Academic Personnel and Janet Lockwood, Manager-Academic Policy and Compensation, Academic Personnel. UCAP occasionally consulted the Academic Senate chair Bob Powell and vice-chair Bill Jacob about issues facing the Senate and UC, and the Senate executive director Martha Winnacker about Senate office procedures and committee business.

Respectfully submitted,

Harry Green, Chair (R)
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Andy Teel (SB)
David Kelly (M)
Lynn Pulliam (SF)

Robert Powell ((D); Chair, Academic Senate, *Ex Officio*), William Jacob ((SB); Vice Chair, Academic Senate, *Ex Officio*) Brenda Abrams, Principal Policy Analyst

University Committee on Affirmative Action and Diversity (UCAAD) Annual Report 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Affirmative Action and Diversity (UCAAD) met four times in person and one time via teleconference during the 2012-13 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 for successful implementation of those policies.

At the first meeting of the year (October 18th), the committee set forth a series of objectives for 2012-2013. Below is a summary of some of the accomplishments and some of the issues the committee handled over the past year.

Negotiated Salary Plan Trial Program

In November, UCAAD responded to the Academic Council regarding the Negotiated Salary Plan Trial Program. The committee expressed concerns about the possibly ambiguous basis for proposal endorsement. It felt that this lack of specificity left room for potential bias. UCAAD noted that the UCLA Public Health program of “delta requests” allowed for more competitive salaries and seemed to provide equal advantage to URM faculty. The committee also felt the the Negotiated Salary Plan Trial Program may not be the ideal vehicle for faculty retention. If it were to be adopted, it should include specific and explicit language with regard to equity.

Appointment of a UCAAD Liaison to BOARS

In October, UCAAD approached the Senate with the suggestion that it provide a committee liaison to BOARS; this suggestion was originally put forth by Vice Chair Jacob in the context of holistic review and student diversity. The committee felt that such a connection would provide a means for regular consultation between the two committees. UCAAD Vice Chair Emily Roxworthy agreed to serve as liaison.

Analysis of UC Pay Equity Study

Along with UCAP and UCFW, UCAAD reviewed the Pay Equity Study Plans submitted by the campuses. Overall, members expressed surprise at the lack of data analysis and implementation strategies in most of the plans. The Academic Council, having received similar messages from the other two committees, wrote a letter to the Vice Provost suggesting that a set of metrics be developed that would provide a consistent approach and allow for comparative analysis.

ADVANCE PAID

UC ADVANCE PAID is a program sponsored by the National Science Foundation to recruit, retain, and advance female faculty in the fields of science, technology, engineering, and mathematics. The Office of the President has been using the program funding to gather and analyze data that will explain the continued shortage of women and underrepresented minorities hired for faculty positions at UC. In 2012-13, the program hosted 2 day-long roundtables: one at UCI (Building Capacity for Institutional Transformation in the 21st Century: Women of Color in STEM and SBS Fields) and the other at UCR (Mentoring Faculty in an Inclusive Climate: Supporting Women and URM STEM Faculty at UC). Several members of UCAAD attended these workshops, and Chair Martins-Green was a member of the executive committee for the ADVANCE proposal.

Faculty Diversity Work Group Recommendations

The Faculty Diversity Work Group, a small body appointed by the President's Climate Council, forwarded its report and recommendations a year ago that were distributed for systemwide consultation. In December 2012, the working group assembled all responses and submitted a prioritized list for the Council to consider. UCAAD supported the workgroup's recommendations but also proposed expansion in some areas, particularly accountability. In June 2013, UCAAD submitted a letter to the Academic Council reiterating its support for the workgroup recommendations, with special emphasis on particular items. [June\MMG Diversity Endorsement Letter - FINAL.pdf](#) The Council approved the letter with one abstention, and forwarded it to the President.

APM 210.1.d

Throughout the course of the year, UCAAD and UCAP worked together to improve the efficacy of APM 210.1.d. This discussion was an outgrowth of complaints from several faculty members who argued that research in diversity is not given the same value as other types of research at UC. After extensive back-and-forth, the committees agreed on the language except for one specific aspect hence each committee submitted its own verbiage to the Academic Council. The Academic Council then reviewed both languages and was able to reach a consensus. The new language of APM 210.1-d was then forwarded to Provost Dorr for her consideration to send the new APM 210.1-d out for review by the divisions the coming year. UCAAD also felt strongly that the change to APM 210.1.d should be substantiated by a white paper that would underscore the importance of contributions to diversity. UCAP was approached by UCAAD to co-author such a paper, but declined. The committee agreed that UCAAD would continue this effort into next year.

Faculty Mentorship

In response to a presentation from Director Sheila O'Rourke of the President's Post-Doctoral Fellowship Program, UCAAD began to develop a white paper that would offer a framework for mentoring that the campuses could adapt for their individual constituencies. Outgoing Chair Martins-Green will continue this work in collaboration with Director Sheila O'Rourke during this coming year.

UC Campus Climate Survey

The University had tremendous response to the Campus Climate Survey. Close to 150,000 complete surveys were returned, with a high percentage of faculty response. Each campus will receive a draft report and will be able to respond and provide context for its outcomes. Systemwide findings will be given to the campuses in November, and the comprehensive survey results will be presented at the January 2014 Regents' meeting. Ultimately, all of the information will be public and available online. The President's Advisory Council on Campus Climate has been suspended until the new president determines how to use the survey data. Although UCAAD was not consulted in preparing the Campus Climate Survey, the committee looks forward to reviewing the data as it relates to equity, diversity, and inclusion.

President's Postdoctoral Fellowship Program

During Academic Council meetings throughout the year, UCAAD Chair Martins-Green strongly advocated the need to increase support for the Presidential Post-Doctoral Fellowship Program. The President has committed one-time money to specifically fund a large group of STEM fellows. The University will have 60 fellowships next year; heretofore, it has never had more than 45. The Vice Provost Susan Carlson has requested that this additional funding become a permanent part of the program.

Regents' Fellowship Proposal

At UCAAD's invitation, Regent Fred Ruiz attended the April 18 committee meeting. During his visit, Chair Martins-Green made an extensive presentation on a number of tactics and approaches to improve UC diversity, particularly of graduate students and faculty. In response to the presentation, Regent Ruiz asked the committee to develop language for a Regents' fellowship specifically to increase and build diversity in the UC teaching pipeline. In consultation with Director of Graduate Studies Pamela Jennings, UCAAD discussed some possible strategies and goals in developing the fellowship. Chair Martins-Green has worked with Ms. Jennings during the summer to prepare a document that describes a Hispanic Serving Institution Initiative that includes a Regent's Fellowship component. This document has been reviewed at UCOP to ensure that it conforms to proposition 209 requirements; it will be first sent out to the current committee for comments and then forwarded to incoming chair Emily Roxworthy for discussion with the incoming UCAAD committee, consultation with CCGA and then will be forwarded to the Academic Council.

Acknowledgements

UCAAD is grateful to have had valuable input from and exchange with these UCOP and campus consultants and guests over the past year: Regent Fred Ruiz, Provost Aimée Dorr, Vice Provost Susan Carlson, Diversity Coordinator Jesse Bernal, Academic Policy and Compensation Manager Janet Lockwood, Director of Graduate Studies Pamela Jennings, President's Post-Doctoral Fellowship Program Director Sheila O'Rourke, Academic Personnel Executive Director Nancy Tanaka, Administrative Coordinator Kate Jeffery, and UCB Vice Chancellor of Equity and Inclusion Gibor Basri. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCAAD meetings throughout the year. A special thanks to Martha Winnacker who stepped in to assist the committee during a difficult time and to Fredye Harms who quickly took over the duties of committee analyst Eric Zarate in the middle of the year.

BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS) ANNUAL REPORT 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Board of Admissions and Relations with Schools (BOARS) met ten times in Academic Year 2012-13 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. The BOARS chair also charged two subcommittees – Data Analysis, and Articulation and Evaluation – with reporting to the parent committee about specific topics, and set aside one hour of each committee meeting for subcommittee break-out sessions. The major activities of BOARS and its subcommittees, and the issues they addressed this year are outlined briefly, as follows:

ADJUSTMENT TO THE STATEWIDE ADMISSIONS INDEX TO IDENTIFY TOP 9% OF CA PUBLIC HIGH SCHOOL GRADUATES

On the recommendation of BOARS, the Assembly of the Academic Senate [approved](#) a recalibration of the statewide admissions index for freshmen applicants, needed to more closely capture the percentage of California public high school graduates who are identified as being in the top 9% of their class as specified in [Regent's Policy 2103](#). The new index adjusts the minimum UC Score for each weighted GPA range of 3.0 and higher required to earn the statewide guarantee. The new index will take effect for students who apply in fall 2014 to ensure that there is time to inform students and high schools about the change. The recalibration does not alter the “9x9” policy or the target of 9% of public high school graduates who should receive a statewide guarantee.

BOARS first saw the need for the adjustment during the 2011-2012 academic year, after reviewing data indicating that close to 11% of public high school graduates had been identified for a statewide guarantee by the current index. Indeed, that year UC admitted 12.1% of public high school graduates who met one or both of the 9x9 guarantees, which grew to 14.9% after adding those admitted through ETR. BOARS developed the current index in 2009 on the basis of data available from the most recent California Postsecondary Education Commission (CPEC) Eligibility Study for the Class of 2007, which included the best statewide data available at the time, but was an incomplete measure in that CPEC's figures were based on only a sampling of CA high schools. BOARS believes that the new index much more accurately identifies 9% of public high school graduates, and will be monitoring outcomes in the future.

As noted below, however, BOARS is concerned about UC's ability to maintain its historic guarantee of referral admission over the long-term. As the capacity of the UC system to accept more students decreases, more significant adjustments to the index – or the overall admissions policy – may be necessary to maintain this promise to California residents.

TRANSFER ADMISSION

BOARS strongly supports the transfer path and is committed to policies that help clarify the transfer process for California Community College (CCC) students interested in UC and that

improve their preparation for UC-level work. BOARS is also concerned about the small decline in UC transfer applications and enrollments that occurred the past two years following increases the previous five years, and anticipates that UC may face new legislative requests or mandates to improve transfer rates in the next academic year, and will need to respond accordingly. BOARS' efforts in the area of transfer admission from the past year are summarized below.

- ***Implementation of the New Transfer Admissions Policy***

The new transfer admissions policy [approved](#) by the Senate in June 2012 will take effect in fall 2014. UC transfer applicants from CCCs will be entitled to a comprehensive admissions review (though not guaranteed admission) if they complete (1) an “SB 1440” Associate of Arts or Associate of Science Degree for Transfer from a CCC in the relevant major or (2) a UC Transfer Curriculum in the relevant major, with a minimum GPA set by each campus; or (3) the current pathway specified in [Senate Regulation 476 C](#). In January, BOARS requested reports from each campus on the progress they are making to implement the policy—namely, efforts by departments and programs to define lower-division transfer requirements or review existing requirements in light of the systemwide UC Transfer Preparation Paths and the relevant CSU/CCC Transfer Model Curricula, and to develop a UC Transfer Curriculum that identifies the appropriate lower division major preparation for that program.

- ***IGETC for STEM Majors***

Following a systemwide Senate review, the Academic Assembly [approved](#) BOARS' revisions to Senate Regulation 478 governing the Intersegmental General Education Transfer Curriculum (IGETC). The revision introduces a new “IGETC for STEM Majors” option in Section 478.D.2.b, and eliminates the existing “SciGETC” option in the current Section 478.B.2.b (2). The IGETC for STEM sequence is needed to implement the new transfer admissions policy, because IGETC for STEM Majors, unlike “partial IGETC,” will be a variant of IGETC and conform to the provision in SB 1440 mandating that the new Transfer AA/AS degrees from CCCs include IGETC or CSU Breadth. Under IGETC for STEM Majors, transfer student intending to enter STEM majors may complete up to three of the IGETC sequence courses within one year after transfer, but only in the areas of Arts and Humanities, Social and Behavioral Science, or Foreign Language, and at most one course may be completed in each area. The revision also makes clear that “partial IGETC” allows any transfer to complete up to two of the IGETC courses after transfer with the exception of English Composition, Critical Thinking, or Mathematics/ Quantitative Reasoning. In addition to SR 478, the Assembly approved changes to several other Senate regulations that fall into the category of “bookkeeping” primarily associated with the new freshman admissions policy.

ASSESSING NONRESIDENT ADMISSIONS

- ***“Compare Favorably” Reports***

In June 2011, BOARS adopted a [policy](#) that non-residents admitted to a campus must “compare favorably” to California residents admitted to that campus. BOARS later issued [evaluation procedures](#) for campuses to follow during the admission process. These procedures are meant to ensure that campuses meet the compare favorably standard. The “compare favorably” policy also asked each campus to report annually to BOARS on the extent to which they are meeting the standard. Campuses submitted their first reports to BOARS this year, for the 2012 admissions cycle. Campuses used a variety of approaches in their assessments, and all indicated that they are

meeting the standard. BOARS reviewed data indicating that no single factor determines admission for either residents or nonresidents, but on average admitted nonresidents score higher on the academic index than admitted residents. BOARS recognizes the difficulty and complexity of making a true comparison between residents and nonresidents, as campuses do not have the same local context and achievement information for both applicant groups. As such, BOARS will not prescribe measures for how campuses must perform the assessment, but has suggested that in the future campuses may want to consider traditional academic indicators, to describe how they use comprehensive review to meet the standard, or to look for evidence of success after admission to UC. In any case, BOARS expects campuses to meet resident targets that sum to UC's Master Plan obligation, and to enroll non-residents on top of those targets according to the availability of space and the "compare favorably" rule.

- ***Campus Requirements and Procedures for Assessing Non-native English Speakers***

As campuses make plans to increase international student enrollments, they want to ensure that the students they admit have sufficient English skills to succeed academically and adjust to life on campus. BOARS reviewed individual campus requirements and procedures for the admission of non-native English speakers, including how campuses use scores from standardized tests such as the Test of English as a Foreign Language (TOEFL) to assess English proficiency. BOARS also reviewed data about the effect of the TOEFL score in the admission decision, its relative power in predicting 1st/ 2nd year persistence and UC GPA, and the extent to which the TOEFL exam and/or the minimum TOEFL score of 80 currently used by campuses are effectively assessing English language skills. In general, the analysis found that higher TOEFL scores correlate with higher UC GPAs, and students with TOEFL scores of 85 or above are more likely to earn a cumulative UC GPA of 3.0 or higher after their first or second year than are students who did not need to submit TOEFL scores. BOARS did not arrive at a definitive conclusion about the TOEFL, but expressed interest in studying the issue further toward a possible policy recommendation.

MATHEMATICS PREPARATION

- ***Transferable Quantitative Courses***

BOARS discussed several options for revising the Transferrable Course Agreement (TCA) Guidelines to clarify the faculty's expectations for the math competency of UC transfer students and the content of courses that fulfill the quantitative requirement for transfer admission. Community College faculty had asked UC to take a more explicit stance on UC policy requiring transfers to complete a one-semester quantitative reasoning (mathematics or statistics) course with Intermediate Algebra "or its equivalent" as a pre-requisite, in the context of alternative pathways to and through transferable math and statistics courses designed to help non-STEM majors who struggle with Intermediate Algebra to successfully complete a transferable course that fulfills the quantitative reasoning requirement. After extensive discussion at several meetings, BOARS voted unanimously in favor of maintaining the requirement for an intermediate algebra pre-requisite, but replaced the qualifier "or its equivalent" with a statement defining the prerequisite in terms of the Common Core State Standards for Mathematics. In July, BOARS approved a [Statement on Basic Math for All Admitted UC Students](#), which discusses the rationale for the decision in greater depth.

- ***Statement on High School Mathematics Curriculum Development under the Common Core State Standards***

BOARS recognized that the new Common Core State Standards for Mathematics (CCSSM) will require high schools to change their math curriculum substantially. In April, the committee approved a [statement](#) declaring its support for schools during the transition and reinforcing BOARS' support for both the traditional math sequence (Algebra, Geometry, Intermediate Algebra) and an integrated sequence as pathways to fulfill area "c." Both pathways are described in a [curricular framework](#) that accompanies the Standards themselves.

UNDERGRADUATE FINANCIAL AID FUNDING OPTIONS

BOARS reviewed a set of options from UCOP for modifying UC's student financial aid funding and allocation methodology. Although BOARS did not vote to endorse any one option, the committee expressed strong support for a policy-driven approach to financial aid that will allow UC to continue meeting its goal of providing financial accessibility to all admitted students regardless of income and its commitment to educating a high percentage of low-income and first generation students. BOARS also supported the development of an alternative needs analysis formula that will provide a more accurate view of parental resources than the current federal formula, and a new systemwide corporate fundraising effort to supplement UC's grant commitment. BOARS expressed reservations about the cost of implementing a so-called "Blue and Gold Light" program that would extend a version of the Blue and Gold Opportunity Plan further into the middle class.

REBENCHING AND ENROLLMENT MANAGEMENT

BOARS submitted views to the Academic Council in November about the [budget rebenching project](#). BOARS noted the financial incentive campuses have under the new Funding Streams budget model to enroll non-residents, and, potentially, to under-enroll residents. BOARS felt it would be critical for UC to establish an enrollment management process that sets enforceable resident enrollment targets to ensure UC meets its Master Plan obligations to California residents. In May, UCOP briefed BOARS on the campuses' fall 2013 enrollment targets for freshmen, transfers, and nonresidents; UCOP's efforts to work with the campuses to set long-range enrollment plans; and its efforts to negotiate an overall enrollment target with the state that is consistent with state funding, capital and human resources, and UC's Master Plan obligation. BOARS will continue to monitor the development of the long-range enrollment plan to ensure these goals are met.

FUTURE OF THE REFERRAL GUARANTEE

BOARS grew increasingly concerned about the future of the referral process after UC Merced, currently the only campus accepting students from the referral pool, indicated that it will no longer be able to accommodate all referral students as soon as next year. BOARS is concerned that in the near future, UC may get to the point where there is no campus with available spaces in order to meet the Regent's policy that students who are eligible statewide or through ELC and "who are not admitted to any campus where they apply will be offered admission at a UC campus with available space." BOARS is aware that referral, which has been treated as an implicit guarantee since until now space has always been available at least at one campus, has symbolic importance to many Californians and practical importance to those who enroll at UC through this route, and considers its potential abandonment to be a serious matter. BOARS believes it will be important for all stakeholders, including the new UC president, to consider the meaning and importance of the referral option, the effect of its elimination, and possible solutions for preserving it. A short-term fix will not be sufficient to solve the problem. BOARS

notes that the issues are complex and politically sensitive. Although the state is not funding enrollment and capital facilities growth at a level needed to sustain resident access in proportion to population growth and demand, and UC policy is clear that the “9x9” guarantee is valid only to the extent that space is available, not everyone agrees that we are at the point that all campuses are at capacity.

ONLINE EDUCATION

BOARS discussed how UC admissions may be affected by new online education initiatives, including UC’s Innovative Learning Technology Initiative (ILTI) and the emergence of Massive Open Online Courses (MOOCs). Chair Johnson and Vice Chair Aldredge attended a systemwide working meeting hosted by the UC Provost in April to discuss UC’s goals for online education and the use of funding set aside in the Governor’s budget for the development of online educational technologies for matriculated undergraduates. UCOE Interim Director Keith Williams attended one BOARS meeting to brief the committee on the development of the ILTI and the UC Online Education program. BOARS felt the online format could make sense for large enrollment introductory gateway courses and could give more students access to less commonly taught subjects, but also expressed concern about the quality and integrity of online courses, the level of instructor contact a student enjoys in an online course compared to a traditional course, and the relevance of the online model to disciplines such as the health sciences.

ASSESSING FRESHMAN ADMISSIONS OUTCOMES FOR REPORT TO THE REGENTS

To complete the thorough analysis required for a scheduled report to the Regents about the new freshman eligibility reform policy, BOARS worked with the Office of Admissions and Office of Institutional Research to evaluate data about student cohorts who applied to UC, were admitted, and who submitted Statements of Intent to Register (SIRs) for fall 2013, in an attempt to capture any changes resulting from the new policy and to ensure that it is working as the Senate intended and expected.

BOARS reviewed systemwide and campus-specific admissions data for various student cohorts, and compared fall 2012 and 2013 outcomes to the past for such indicators as GPA and SAT score, residency status, ethnicity, First Generation College status, and high school API ranking. BOARS paid particularly close attention to data on applicants and admitted students from the expanded Eligibility in the Local Context (ELC) pool and the new Entitled to Review (ETR) pool. Late in the year, to complement the admissions data, the BOARS chair requested an analysis of the success of students admitted under the policy in 2012 as measured by first-term UC GPA, persistence, and probation status (GPA < 2.00) by admissions path (ELC-eligible, statewide-eligible, and ETR).

Although BOARS found evidence that the new policy is meeting the faculty’s original goals of removing unnecessary admissions barriers, broadening access to California students, and maintaining academic quality, BOARS also found reason for concern in the poorer overall probation and persistence outcomes for students admitted to UC through the ELC and ETR paths. BOARS intends to study in more depth the extent to which these outcomes are unusual or statistically significant in the context of differences normally observed from year to year among various categories of students. The report BOARS plans to submit to the Regents in fall 2013 will discuss these outcomes and observations in detail.

JOINT MEETINGS

- ***February 1 Meeting with Legislative Staff in Sacramento***

In February, BOARS hosted a half-day joint meeting with staff members from the legislature and Governor's office at the UC Center in Sacramento to discuss current topics in freshman and transfer admissions; the effect of holistic review and the new eligibility criteria on admissions outcomes; nonresident admission; UC's commitment to the transfer path; the Master Plan for Higher Education; UC's continuing capacity and ability to maintain the referral guarantee; and the prospects for a new bill to develop accountability measures for the State's higher education segments. The joint meeting generated positive feedback. BOARS members and their legislative guests appreciated the opportunity to engage on issues that are so visible and important to the California public.

- ***May 3 Meeting with the CSU Admission Advisory Council***

BOARS and the California State University Admission Advisory Council held their bi-annual half-day joint meeting in Oakland on May 3. BOARS and the AAC discussed recent freshman and transfer application and admission outcomes for UC and CSU, efforts to improve the transfer path, including Senate Bill 1440 (Associate Degrees for Transfer) and UC's new transfer admission policy; how the segments might collaborate to encourage Career Technical Education teachers to integrate appropriate academic content into their courses to meet 'a-g'; the impact of the Common Core and Smarter Balanced Assessment on the higher education segments; and strategies for enhancing the advising information provided to prospective and continuing students

- ***June 28 Meeting with the UC Admissions Directors***

BOARS and the UC campus admissions directors held their annual half-day joint meeting at UCOP in Oakland in June. BOARS and the directors discussed the ongoing transition to the new admissions policy, outcomes from the new policy, views and concerns about the implementation plan for the new transfer admissions policy, non-resident enrollment, score sharing, financial challenges, and recruitment and outreach efforts of residents and non-residents, and future options for meeting the referral guarantee.

BOARS ARTICULATION AND EVALUATION (A&E) SUBCOMMITTEE

The A&E Subcommittee (*Ralph Aldredge (chair), Monica Lin, Henry Sanchez, John Park, June Gordon, Daniel Widener, and Angela Arunarsirakul*) was charged with reviewing issues around high school preparation, the "a-g" requirements, and selected courses submitted for "a-g" approval where faculty input is required. The Subcommittee met monthly during regular BOARS meetings and held additional conference calls to conduct business. It provided valuable input into a UCOP project to convene working groups of faculty from across the system to review and clarify the evaluation criteria for high school courses that satisfy the 'a-f' subject requirements for freshman admission.

BOARS DATA ANALYSIS SUBCOMMITTEE

The Data Analysis Subcommittee (*George Johnson (chair), Michael Treviño, Lynn Huntsinger, Patrick Farrell, Dorothy Wiley, Michael Beman, Mindy Marks, Lee Bardwell, and Lilia Meltzer*) met monthly during regular BOARS meetings. It led the effort to review options for adjusting the statewide admissions index to align UC admissions outcomes and the guarantee pool with

Master Plan expectations, and related projected outcomes and effects on different populations of students.

RESPONDING TO LEGISLATION

On behalf of BOARS, Chair Johnson sent the Academic Senate legislative analyst views on several proposed state bills, including [AB 1025](#), requiring the higher education segments to accept College Level Examination Program (CLEP) tests for unit credit; [AB 181](#), instituting a pilot program to allow high school graduates to earn a three-year baccalaureate degree at UC for no more than \$20,000; [SB 524](#), establishing a Pathways Curriculum Task Force to develop a voluntary curriculum that K-12 could use to inform students about higher education opportunities in CA; [SB 520](#), establishing a process through which UC students who are unable to enroll in classes they need to graduate could gain credit for courses taken through for-profit third-party providers of MOOCs and [SB 547](#), requiring the segments to develop or identify high demand lower division online courses that are transferable under IGETC.

OTHER BUSINESS AND BRIEFINGS

- **Proposal to Adopt an Earlier Application Opening Date:** BOARS supported a recommendation made by the Systemwide Strategic Admissions Taskforce (SSAT) to move up the opening of the UC application from October 1 to August 1, beginning in fall 2014 for the fall 2015 application cycle. The Academic Council distributed the proposal to Senate divisions for feedback.
- **SWANA Campaign:** Vice President Sakaki briefed BOARS on a student-led initiative to add a “Southwest Asian and North African” (SWANA) checkbox with 34 ethnic subcategories to the UC application. BOARS supported the effort as a way to enhance students’ right to self-identify and sense of social belonging, and also allow UC to gather more diversity data.
- **Treatment of Magnet Schools in the ELC Program:** BOARS discussed the characteristics of “magnet” high schools and programs in the context of UCOP’s practice of calculating separate 9% benchmark GPAs and ELC cutoffs for individual magnet programs that operate within high schools.
- **Universitylink:** BOARS discussed Universitylink, a proposed UCSD program that would give admission preference to low-income transfer students at nine San Diego area community colleges who fulfill specific academic requirements. BOARS discussed the proposal in the context of its [2004 decision](#) that campuses should not interpret “selection criterion #14” as allowing a preference for freshmen applicants based on their geographic proximity to a campus. That decision did not specifically address such preferences for transfers. Some campuses were opposed to some elements of the proposal and BOARS was unable to arrive at a consensus view about Universitylink before the end of the year.
- **Smarter Balanced Assessment Consortium (SBAC):** Associate Director Monica Lin briefed BOARS on the Smarter Balanced Consortium, a multi-state effort to develop an assessment system for testing college and career readiness in English language arts and math that is aligned with the Common Core State Standards.
- **Course Validation Options:** BOARS discussed validation options for a deficient grade in high school Geometry required for the area ‘c’ pattern, and whether a deficient grade might be validated with a standardized examination score in addition to a subsequent advanced

math course. BOARS recommended that the validation options for all “a-g” areas be revisited and/or clarified in the near future.

BOARS REPRESENTATION

BOARS Chair George Johnson represented the committee at meetings of the Academic Council, the Academic Assembly, and the Admissions Strategic Operations Steering Committee. He also attended meetings of the Intersegmental Committee of Academic Senates (ICAS) to discuss issues of shared concern to the UC, CSU, and California Community College faculty. Chair Johnson attended a meeting at UCOP with the vice president of the College Board to discuss the Board’s plans to redesign the SAT. He and other UC faculty and administrators represented UC at an intersegmental meeting in Sacramento that discussed implementation of the new Smarter Balanced Assessment system.

ACKNOWLEDGEMENTS

BOARS collaborated closely with the systemwide Office of Admissions and benefited from regular consultations with Director of Undergraduate Admissions Michael Treviño, who updated BOARS about application, admission, SIR, and enrollment data for freshmen, transfers, and non-residents; UC’s admissions messaging; campus-based concerns; and other issues. Director Treviño also worked closely with the Data Analysis Subcommittee. Associate Director Monica Lin attended each meeting to brief BOARS on high school ‘a-g’ course certification issues, the UC Curriculum Integration Institutes, Smarter Balanced Assessment Consortium, and other topics. She also worked closely with the A&E Subcommittee. Associate Director Shawn Brick attended each meeting to discuss transfer policies, initiatives, and legislation; feedback from counselor conferences; and efforts to update the ASSIST website. BOARS also received valuable support and advice from Vice President for Student Affairs Judy Sakaki; Tongshan Chang from the Department of Institutional Research, who provided the committee with critical analyses; High School Articulation Coordinator Nina Costales, who worked with the Articulation & Evaluation Subcommittee; and Special Assistant to the Executive Vice President Kate Jeffery and Director of Student Financial Support David Alcocer, who briefed the committee about the financial aid options. Thanks also to the faculty who attended meetings as alternates for regular committee members: Belinda Campos (UCI), Robert Gurval (UCLA), Richard Rhodes (UCB), and Rena Zieve (D).

Respectfully submitted,

George Johnson, Chair (B)	June Gordon (SC)
Ralph Aldredge, Vice Chair (D)	Patrick Farrell (D)
John Park (SB)	Daniel Widener (SD)
Lee Bardwell (I)	Lilia Meltzer, Graduate (LA)
Michael Beman (M)	Angela Arunarsirakul, Undergraduate (LA)
Henry Sanchez (SF)	Robert Powell, <i>ex officio</i>
Steven Clark (R)	William Jacob, <i>ex officio</i>
Dorothy Wiley (LA)	
Lynn Huntsinger (B)	Michael LaBriola, Committee Analyst

UNIVERSITY COMMITTEE ON COMMITTEES ANNUAL REPORT 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Responsibilities and Duties

Pursuant to [Senate Bylaw 150](#), in 2012-13 the University Committee on Committees (UCOC) 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; 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. UCOC met twice in person, and four times by iLinc video conference. 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 October meeting UCOC appointed a member to serve as a 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 for 2013-14. The committee reviewed these recommendations at its April meeting. Appointments to all but two positions have been confirmed; UCOC continues to work on appointing the UCAAD vice chair. UCOC also was not successful in appointing a new UCCC chair. As a procedural change for UCOC, members agreed that committee liaisons should send a short final report to the UCOC committee analyst after both the chair and vice chair had been confirmed. This should become a standing practice in future years.

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. Subsequently, UCOC appointed members for two-year terms, and appointment letters, which specify the term of appointment and describe the committee's charge, have been issued. UCOC successfully populated the Senate Working Group on the Changing Teaching & Publication in Context, and made a replacement appointment to the OIPP Blue Ribbon Panel.

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

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(s) matched or over-lapped those of the respective committees. In that spirit, UCOC nominated, appointed, or confirmed representatives to serve on a number of joint Administration-Senate task forces and other groups. These included the UCEAP Governing Committee, the Portfolio Review Group (PRG), the UC Riverside Chancellor Search Advisory Committee, the UC Copyright Ownership Policy Working Group, and the Cross-Campus Enrollment System (CCES) Work Group.

Academic Council Special Committee on Agriculture & Natural Resources

UCOC amended the current charge of Academic Council Special Committee on Agriculture & Natural Resources (ACSCANR) to allow the chair or vice chair of the Academic Council to serve a two-year term as chair of ACSCANR, similar to ACSCOLI. The committee also appointed Carol Lovatt (UCR) to the Program Council and Robert Innes (UCM) as the new at-large member on ACSCANR.

Editorial Committee

UCOC made the following appointments to the Editorial Committee: Stanley Brandeis (UCB) – Anthropology, Pashaura Singh (UCSB) – Religious Studies, Greg Clark (UCD) – Economics, and Andy Scull (UCSD) – Sociology.

Bylaw 128.C Amendment

UCOC proposed an amendment to Bylaw 128.C to cover the case of a member of one divisional committee who is selected to serve as a chair on systemwide committee. Bylaw 128.C had precluded service as the chair of systemwide committee while simultaneously serving as a member of the corresponding divisional committee. UCR&J opined that service would be precluded, in order to prevent conflicts of interest, and such a conflict could arise if the Chair of the systemwide committee serves on a divisional committee. UCOB resolved this issue by amending [Bylaw 128.C](#) in the following manner: “The Chair of each of the above committees shall be an at large member, who is a former, but not a present member of any [the] corresponding committee of any Division.” Academic Assembly subsequently passed this amendment at its April 2013 meeting.

Respectfully submitted:

Mitchell Sutter, Chair (UCD)	Edwina Barvosa (UCSB)
Martha Conklin, Vice Chair (UCM)	Andrew T. Scull (UCSD)
Susanna Elm (UCB)	Paul Garcia (UCSF)
James Chalfant (UCD)	Elizabeth Abrams (UCSC)
Bert Semler (UCI)	Robert L. Powell (Council Chair, ex-officio)
Willeke Wendrich (UCLA)	William Jacob (Council Vice Chair, ex-officio)
Ajay Gopinathan (UCM)	Todd Giedt (Senate Associate Director/Analyst)
Mariam Lam (UCR)	

**UNIVERSITY OF CALIFORNIA ACADEMIC SENATE
UNIVERSITY COMMITTEE ON COMPUTING AND COMMUNICATIONS**

ANNUAL REPORT 2012-2013

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 one meeting during the 2012-2013 academic year. Highlights of the committee's actions are outlined below.

UC Online Education

UCCC was briefed by Interim Director Keith Williams about the implementation of UC Online Education. UCOE began before massive open online courses (MOOCs) began to hit the news. Committee members felt that by partnering with the commercial providers offering MOOCs, UC will have an opportunity to influence decisions about online courses. Members were interested in the metrics that will be used to determine the success of UCOE. The committee also suggested that UC might want to invest in a UC-branded learning management system.

Senate's Online Instruction Pilot Project Blue Ribbon Panel Report and Recommendations

UCCC received a report from Diane Harley, the Chair of the Senate Blue Ribbon Panel on online education. The Panel convened one year ago and reports to UCEP. The Panel has tried to keep track and make sense of the efforts of UCOE. A report from the UC Evaluation Center at UCSB was provided in August which included only a summary of information about the courses. A critical analysis was written by the Panel and in November, the Panel recommended that development of new courses should be stopped until data on the current courses offered was received. A final interim report was received in December but the Panel still has a number of outstanding questions. There are concerns about methodology and the evaluation has not addressed big picture issues such as faculty workload. Chair Harley indicated that UCCC could help figure out what technical infrastructure is needed for the delivery of online courses.

Information Security and Privacy Initiative and IT Accessibility Policy

Stephen Lau, the Systemwide Information Management and Technology Policy Director at UCOP, met with UCCC to discuss the Information Security and Privacy Initiative and the Information Technology Accessibility Policy. The Initiative started two years ago and involved a cross-section of people from UC. The workgroup's report is almost finalized. One recommendation will be to review all information security policies in the near-term and to review privacy policies at a later date. Several security policy frameworks and standards have been reviewed, and UC will likely adapt ISO.

Lucy Greco, chair of the Electronic Accessibility Leadership Team (EALT) and UCD CIO and Vice Provost Pete Siegel, a member of the ITLC, joined the meeting by phone to discuss the IT Accessibility Policy. The draft policy is the result of significant informal discussion at the campuses. UCCC provided feedback on the policy. UCCC members felt that the positive way the accessibility policy has been created will be appreciated by faculty. The committee noted that UC faculty members who offer online courses outside of UC are still required to meet accessibility standards. Currently there is no comprehensive list of the types of things that create barriers to accessibility, and UCCC suggested that even a short list of the top five things faculty should be aware of would be helpful.

Additional Business

UCCC devoted part of the meeting to reports on issues facing local committees.

Representation

UCCC Chair Chalfant was a faculty representative to the Information Technology Leadership Council (ITLC), which consists of the campus Vice Chancellors for IT and Chief Information Officers. ITLC focuses mainly on administrative computing issues. Chair Chalfant was also 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 Technology Services consultants, Interim CIO Mark Cianca and Systemwide IT Policy Director Stephen Lau.

Respectfully submitted,

Jim Chalfant, Chair (D)

Sreenivas Jammalamadaka (SB)

Anthony Joseph (B)

John Mamer (LA)

Jacob Thomas (Graduate Student Representative (SB))

Gregory Beran (R)

Gregory Laughlin (SC)

Lizhi Sun (I)

Chris Kelty ((LA); Chair, UCOLASC, *Ex-Officio*)

Bob Powell ((D); Chair, Academic Senate, *Ex Officio*)

Bill Jacob ((SB), Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Principal Policy Analyst

Coordinating Committee on Graduate Affairs (CCGA) Annual Report 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Per Senate bylaw 180, the Coordinating Committee on Graduate Affairs (CCGA) advises the the President of the University and all agencies of the Senate on all matters regarding the promotion of research and learning related to graduate education. One of CCGA's chief responsibilities, as delegated by the Regents, is the authority to review and approve all campus proposals for new graduate programs and schools that require approval of the President. In addition, CCGA establishes basic policies and procedures for coordinating the work of the various Graduate Councils and Divisions; recommends to the Assembly minimum standards of admission for graduate students; reviews standards and policies applied by Graduate Councils, and policies concerning relations with educational and research agencies; and approves UC graduate courses as system-wide courses to be listed in Divisional catalogues.

Review of Proposed Graduate Degree Programs

During the 2012-13 Academic year, 15 proposals were submitted to CCGA for review; of these, 11 were approved, 0 were rejected, and 4 were left to carry over into the next academic year:

Campus	School/Program Proposed	Lead Reviewer	Disposition Date	Disposition Status
UCB	M.Eng. in Bioengineering	M. Vanderwood	12/5/2012	Approved
UCB	Master of Information and Data Science (MIDS)	D. Agrawal	6/5/2013	Approved
UCD	M.S. in Pharmaceutical Chemistry	Y. Seo	2/6/2013	Approved
UCI	Ph.D. in Public Health	D. Mastronarde	5/1/2013	Approved
UCI	Ph.D. in Informatics	V. Leppert and D. Agrawal		Under Review
UCM	M.S./Ph.D. in Applied Mathematics	Y. Seo		Under Review
UCM	M.A./Ph.D. in Interdisciplinary Graduate Group in the Humanities	B. Schumm		Under Review
UCM	M.A./Ph.D. in Political Science	K. Ng	5/1/2013	Approved
UCR	Ph.D. in Art History	J. Nagy	2/6/2013	Approved
UCR	Self-Supporting Master of Finance	D. Mastronarde	2/6/2013	Approved
UCSB	Interdepartmental M.A./Ph.D. in Dynamical Neuroscience	A. Chisholm	12/5/2012	Approved
UCSB	M.S. and Combined Five-Year B.S./M.S. in Actuarial Science	D. Mastronarde	10/10/2012	Approved
UCSB	Master of Technology	J. Heckhausen	4/3/2013	Approved
UCSC	M.S. in Games & Playable Media	M. Olsson	4/3/2013	Approved
UCSF	M.S. in Healthcare Administration & Interprofessional Leadership	B. Schumm	2/6/2013	Approved

Review of Proposals for Changes and other Programmatic Matters

During the 2012-13 year, CCGA approved nine requests for name changes, reconstitutions, transfers, conditions, disestablishments, discontinuances (TCDDs).¹

Campus	Program Name	Change	Disposition Date
UCD	Genetics Graduate Group	Integrative Genetics and Genomics Graduate Group	August 2013
UCI	Pharmacy and Toxicology	Pharmacological Sciences	January 2013
UCM	Social and Cognitive Science IIGP Emphasis	Social Sciences IIGP Emphasis	January 2013
UCI	Environmental Technology	Environmental Health Science	April 2013
UCM	Mechanical Engineering and Applied Mechanics IIGP Emphasis	Mechanical Engineering IIGP Emphasis	April 2013
UCM	Physics and Chemistry IIGP Emphasis	Physics IIGP Emphasis	April 2013
UCSB	Geological Sciences	Earth Science	April 2013
UCSB	MS in Geophysics	Discontinued	April 2013
UCSB	Speech and Hearing Programs	Discontinued	August 2013
UCLA	Executive MBA in Cooperation with the National University of Singapore Executive MBA in Cooperation with the Universidad Adolfo Ibáñez	Global Executive MBA for Asia Pacific Program Global Executive MBA for the Americas Program	June 2013
UCM	IIGP Umbrella Renewal	N/A	June 2013

Professional Degree Supplemental Tuition (PDST) and Self-Supporting Programs (SSPs)

The Professional Degree Supplemental Tuition (PDST) Task Force met regularly over the year; one of its primary concerns has been ensuring that total professional degree fee charges do not exceed those in comparable institutions. Financial aid and affordability components of the policy still pose many questions, the most pressing of which concerns whether to include a specific percentage of return-to-aid in the policy.

Similarly, discussions surrounding self-supporting programs (SSPs) or self-supporting graduate degree programs (SSGDPs) continue to progress, but have yet to be resolved. Committee members expressed dismay at the high percentage of revenue surrendered to private partners in some SSP contracts. The committee also voiced concern that the original CCGA guidelines – which required that every SSP be reviewed by UCPB – have been completely and repeatedly disregarded.

UCLA Anderson School of Business

In 2011-12, the UCLA Anderson Graduate School of Management (AGSM) requested permission to convert its full-time, state-supported MBA program to self-supporting status. After careful review of the proposal, CCGA concluded that the program did not conform to the intent of the self-supporting policy, due in part to ambiguity within that policy. This concern – coupled with the committee's substantive reservations regarding the lack of meaningful and complete review by the divisional Senate – prompted CCGA to suspend its final review until an

¹ TCDD actions are defined as:

- 1) Transfer – Moving a program or unit into another one that subsumes it;
- 2) Consolidation – Combining two or more programs or units to form a new unified program or unit;
- 3) Disestablishment – Eliminating an academic unit or research unit; and
- 4) Discontinuance – Eliminating an academic program.

explicit policy regarding such conversions could be developed. Despite considerable effort by the Provost, the Academic Council, the CCGA Chair, and others, a policy for SSPs was not completed during the 2012-13 year. However, President Yudof approved the Anderson School conversion as submitted in a June 24 letter to the University.

Status of 2012-13 State Legislation Relevant to CCGA

Bill	Author	Title	Language	Position
SB 195	Liu	California Postsecondary Education: State Goals. (Accountability)	Amended (5/24); passed out of the Senate	Watch
SB 259	Hancock	Higher Education Employer-Employee Relations Act: Employees (Graduate Student Researchers' Employment)	Introduced ; held in suspense in the appropriations committee.	Opposed
SB 520	Steinberg	Student Instruction: California Online Student Incentive Grant Programs. (Online Courses)	Two-Year Bill.	Opposed
SB 547	Block	Public Postsecondary Education: Online Courses. (Online Courses)	Amended (5/01); held in suspense in the appropriations committee	Watch

Issues of Note Within UC

In Absentia Policy

Since 2009, the Office of the President's policy is that leaves of absence for graduate students can no longer to be granted for academic reasons. The *in absentia* policy, which remains in place, is valid only for activities outside of California. Changes to the in-state/out-of-state requirements for the *in absentia* policy have been suggested, with the University deans largely in favor of such a change.

Proposed Trial of the Negotiated Salary Plan

At its November meeting, CCGA discussed implementation of the Negotiated Salary Plan at UCLA, UCI, and UCSD. CCGA generally concurred with some (though not all) of the concerns that were raised by various agencies during the systemwide review of APM-668. The committee was disappointed with the report's lack of mitigation and monitoring for those concerns. CCGA members strongly recommended to the Senate that extensive data and metrics be tabulated during the Salary Plan's four-year trial period. Once that data is compiled, it should be independently reviewed.

Rebenching

Also at its November meeting, CCGA considered the Report of the Rebenching Budget Committee. Members supported the idea of developing a more transparent and equitable process for allocating funds to the campuses. However, they expressed concerns on several issues, which they shared with the Senate via a letter to Chair Robert Powell.

CCGA Handbook Revision

No revisions were made to the Handbook this year, however, items to be revised are being collected.

Acknowledgements

CCGA is grateful to have had valuable input from and exchange with these UCOP and campus consultants and guests over the past year: Provost Aimée Dorr, Vice President for Research and Graduate Affairs Steven Beckwith, Director of Graduate Studies Pamela Jennings, Director of Academic Planning Todd Greenspan; Academic Planning Assistant Director Hilary Baxter, Chair of the Council of Graduate Deans Tyrus Miller, and Diversity Coordinator Jesse Bernal. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at CCGA meetings throughout the year.

**UNIVERSITY COMMITTEE
ON
EDUCATIONAL POLICY
2012-2013 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Educational Policy (UCEP) met eight times in Academic Year 2012-2013 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.

UC Online Education (UCOE)

Driven largely by the explosive interest in online technologies to increase accessibility, decrease times to completion, enhance the educational experience, and reduce costs to higher education, most of UCEP’s work this year was related to online education. At the beginning of the academic year UC’s online education program was primarily directed towards enrolling non matriculated students for financial reasons. This business model abruptly changed following the emergence of free, online courses from world class universities. With the obvious enthusiasm of the Regents, the intrusion of legislation into curriculum, and the financial encouragement of the governor, online technologies would play a significant role in delivering a UC education. UCEP opined on academic issues related to the role and implementation of online courses at UC.

One of UCEP’s functions is to approve undergraduate courses for listing in a system-wide catalog (SB 170.B.3). In the first half of the year UCEP received thirteen requests for system-wide designation from instructors of online courses at five campuses. Applications were assigned two reviewers who evaluated the proposals and presented their critiques and opinions at the next UCEP meeting. Any questions that the reviewers might have regarding a proposal were typically emailed to the instructor prior to the meeting so that they could be clarified before the reviewer’s report. This allowed the majority of applications to be approved in less than a month; two were reviewed and approved over a weekend. All thirteen applications were approved for system-wide designation.

The application process is described in the 2011-2012 UCEP [Guidelines for Systemwide Courses](#). These guidelines were written in the expectation that system-wide courses could include a large number of non-matriculated students and much of the document was focused on ensuring that non matriculated students do not supplant enrolled students. As the priority shifted back to enrolled students who are allowed to take any course on any campus for unit credit (SR 544), the criteria for designating courses as system-wide were not well established.

UCEP opined at length on whether or not some courses needed to be differentially called out in a system-wide database and if so, what role should UCEP play in the process. Some committee members argued that UCEP needed to play an active role in evaluating courses for content and delivery, others thought course review needs to be solely at the local campus level with the role of UCEP being largely administrative. And lively discussions were had on the criteria for designating a course as system-wide. UCEP agreed on three criteria for designating a course for a system-wide catalog. The first was that the course had been approved on the campus from which it originated. The consensus was that campus courses committees were the gatekeeper for ensuring excellence in teaching. The second criteria was that system-wide courses should increase accessibility for UC students and facilitate their degree completion. This can be done by offering a course that provides additional or alternative times of instruction or offer a subject not available on all campuses. The third criterion is that system-wide courses should be taught on more than one campus and that it was incumbent on the instructor to facilitate cross campus articulation.

Council considered the criteria for systemwide courses in July and voiced several concerns. The primary question was whether UCEP should have any role in designating a course for system-wide listing. In general UCEP felt there was a role for the Senate in insuring that the quality of courses not suffers when offered across many campuses and that the course can be easily enrolled by students at any campus.

The Blue Ribbon Panel appointed to review the evaluation of the Online Instruction Pilot Project (OIPP) received the Evaluation Summary Report Year 1 from the UC Evaluation Center in October. A memo from the Panel, submitted to Council and forwarded to Provost Dorr in February, posed serious and critical questions about OIPP and the evaluation activities conducted on Phase I of the Pilot as described in the UCEC report. The administration has not responded formally to the Panel's memo to date. In a meeting with the Senate leadership in July, the Interim Director of UCOE reported that a series of reports from UCEC will be ready starting in September 2013. The Senate leadership has been informed that UCEC's principal investigator is leaving UC and it is presently unclear what type of evaluation will be undertaken as UCOP launches its new Innovative Learning Technology Initiative. Members of both UCEP and the Blue Ribbon Panel will look forward to learning more about the plans for evaluation next year as details become available.

Western Association of Schools and Colleges Handbook Revision

Last year, UCEP produced two important documents for WASC's consideration, a [White Paper](#) on peer review as a tool for external validation and a [practical proposal](#) for adapting the program review process UC has already developed to meet the needs of accreditation review. In November, UCEP was joined by telephone by Jackie Donath, the Chair of WASC's Policy and Planning Committee, for a discussion about the draft revised WASC Handbook. From UCEP's perspective, the most controversial matter was related to WASC's conversation about the meaning and integrity of the degree and the ways institutions will demonstrate their understanding of the standards for the common elements of the degree. UCEP members emphasized that graduate programs should not be treated the same way as undergraduate programs. The committee suggested that WASC should think more about specialization as it establishes review teams and recommended that there be standards for who is on the review team. WASC was set to vote on the revised Handbook in February and it remains to be seen if there is any improvement when the next UC campuses participate in the process. ICAS is concerned that language about general education being struck is a signal that WASC no longer supports general education programs, and UCEP shall monitor this.

Rebenching

UCEP considered the Rebenching Budget Committee Report in November and provided feedback to Council. Members agreed that bringing historically underfunded campuses to higher levels is a good idea and an important step, but felt that the rebenching proposal was flawed. UCEP concluded that the proposed formula utilized to calculate per-student funding is too simple and that campuses have different funding needs that cannot be quantified at the level of an individual student. The committee felt that students at one campus should not be considered more valuable than students at another UC campus. Additionally, UCEP members were concerned about the ability to conduct long-range campus level planning if a dramatically different budget approach was introduced following a change in UCOP leadership. Members felt that it would be important for campuses to have the ability to undo rebenching if the need so arose in the future.

Senate Regulation 760 – Credit in Courses

In June, the chairs of the divisional Committees on Education Policy were contacted by UCEP regarding a requirement by WASC that all the institutions it accredits must provide a reasonable and transparent formula that describes the manner in which course credits are awarded. Senate Regulation [SR760](#) provides a very broad description of how credits are awarded but it is, however, too vague to meet these new requirements. UCEP discussed this issue and proposed two scenarios for moving forward: 1) UCEP could develop a unit definition that would be applied systemwide, or 2) each division would establish

their own definitions of unit credit. UCEP put these options to the divisional CEPs and three expressed a preference for adopting their own local regulation. UCEP agreed that this will give the division's maximum flexibility and, in addition, more time for implementation for those campuses whose accreditation review comes later in the WASC cycle. Nevertheless Council instructed UCEP to develop a unit definition based on the amount of work committed to a class and be independent of how many weeks the course meets (semesters or quarters). The definition of a course unit will be delegated to next year's committee.

Time to Completion

Following a September discussion by the Board of Regents about reducing time to degree, UCEP was asked by the Senate Chair to discuss potential strategies, some of which UC already does or has prioritized. Committee members agreed that UC is doing well but that it would be worthwhile to look at ways students are moving through and determine if there is anything else that can be done. In December, UCEP members completed an informal poll that identified three areas that progress could be made with time to completion: 1) increase the number of course offerings, 2) increase options for course time and venue, and 3) implement effective transfer of credits across campuses. The committee expects that online system-wide courses may help reduce time to completion by offering more courses at alternative times. The transfer of credits across campuses is currently being worked on by UCOP and divisional registrars.

Other Issues and Additional Business

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

- Funding for Undergraduate Aid
- UCOE Copyright Issues
- Compendium changes

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 John Yoder represented the committee at meetings of the Academic Council, and Academic Assembly, and regularly attended meetings of the Intersegmental Committee of Academic Senates. Chair Yoder also participated on the UC Online and Senate Leadership group.

Committee Consultations and Acknowledgements

UCEP benefited from consultation and reports from Hilary Baxter, Associate Director, Academic Planning, Programs and Coordination; Keith Williams, Interim Director, UCOE; Shawn Brick, Associate Director, Transfer Admissions Policy; Monica Lin, Associate Director of Undergraduate Admissions; and Nancy Purcille, Transfer Articulation Coordinator.

In addition, UCEP consulted the Academic Senate chair and vice-chair, who updated the committee on issues facing the Academic Council and Senate.

Respectfully submitted,

John Yoder, Chair (D)
Charles Anthony Smith (I)
Nicholas Sitar (B)
Tamara Alliston (SF)
Jeanette Natzle (D)
Troy Carter (LA)
Jonathan Ly (Undergraduate student-M)

Tim Labor, Vice Chair (R)
Cristian Ricci (M)
Tracy Larrabee (SC)
Leslie Carver (SD)
Seeta Chaganti (D) (alternate)
David Lea (SB)
Mona Vakilifathi (Graduate student-SD)

Bob Powell ((D), Chair, Academic Senate, *Ex Officio*)
Bill Jacob ((SB), Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Principal Policy Analyst

UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW) 2012-13 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 nine in-person meetings and one teleconference during the 2012-13 academic year, and the major actions and discussions of ongoing issues are highlighted in this report.

UCFW has two key task forces with memberships independent of UCFW and with particular expertise in: (1) the University of California 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 task forces monitor developments and carry out detailed analyses of questions and issues in their respective areas and report back to, UCFW, for further action. UCFW is indebted to the extraordinary commitment and skills of our task force leadership, Shane White (TFIR) and Robert May (HCTF). These two task forces spend a great deal of time in consultation with systemwide Human Resources (HR). Many of these consultants, along with others from Academic Personnel and the Office of the Budget 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:

In December 2010, the Regents approved a new tier for UCRP, and UCFW and TFIR have closely monitored the development of its planning documents and its implementation. UCFW discussed the algorithm used for "grandfathering" employees in the 1974 Tier, and as a result, an additional 700 employees were included.

UCRP funding levels and employee and employer contribution rates were frequently discussed during 2012-13. Employer contribution rates went to 12% and employee rates went to 6.5% on July 1, 2013. The expectation remains that the employer rate will reach 18% in three more years, and employee rates will top out at 8% next year. UCFW reiterated its position that raising employee contributions absent off-setting salary increases was a hardship on many, noting again that UCRP contributions and other mandatory increases have exceeded recent pay increases. President Yudof decided that faculty and non-represented academic employees would receive a 2% increase to their salary scales; non-represented staff employees would receive a 3% increase. However, some stakeholder groups argue those rates would hinder the ability of the University to address the growing student-faculty ratio, recruit and retain qualified employees, and react in a timely fashion to emerging crises. The target funding level of 90% has also come under scrutiny as some feel that 80% is adequate. UCFW remains committed to meeting Modified ARC (Normal Cost plus interest on the unfunded liability) until 2018

and Full ARC thereafter according to the Regents' timeline, and shared with Council its advice, including various proposals to invest excess liquidity to achieve those goals.

The HCTF developed a primer for Medicare eligible faculty designed to help educate them on their choices they face and the differences in claims procedures that Medicare imposes. As Medicare rates are tied to income level, some faculty may see additional premium costs.

HEALTH AND WELFARE BENEFITS:

Following the work of the Health Care Benefits Working Group (HCBWG) last year, the administration decided to undertake a complete rebid of University health and welfare coverage. HCTF was informed of the process and participated in the re-bid process for the selection of the health care administrators starting in 2014. A significant change in UC's offerings will include a new self-insured option. The development of this program, its network, and its funding received much discussion, and UCFW issued a memorandum to HR calling for expanded "Tier 1" coverage for UC locations without proximate medical centers. The decision-making deadline for these programs overlapped with the start of the new academic year, so we do not yet know the impact Senate feedback had. The final changes will be made public during Open Enrollment, and HR is expected to conduct campus-based "Town Halls" to educate employees. It is estimated that a substantial portion (30% or more) of UC employees will need to change their health care plans during the 2013 Open Enrollment period.

UCFW also lobbied in defense of the Health Care Facilitators (HCFs), a program the committee helped to create over a decade ago. Due to new budget approval processes, the HCFs were defunded. HCTF and UCFW compiled data and anecdotes to illustrate the importance of the program, and persuaded the administration to reinstate funding. Out-year funding remains a concern, however, especially as many locations move to centralized or shared services. The Office of the President has centralized its Retirement Administration Service Center (RASC), but questions remain regarding Divisional access to records and the center's knowledge of local resources.

Also as a result of the new budget processes, a new method of assessing benefits costs to contracts and grants was explored, the "Composite Benefits Rate". With the goal of simplifying the process, it was proposed to create a limited number of categories for benefits cost assessment, rather than identifying a specific rate for each individual employee. Senate members identified a cross-subsidy that significantly disadvantaged summer salary recipients by assessing UCRP costs even though that salary is not UCRP-eligible. UCOP initially led negotiations with the federal government's Department of Costing Analysis, but the Senate encouraged local action when that process seemed to stall. Direct negotiations between UCB and the government were successful: Both UCB and UCD now charge only "limited" benefits on summer salary, a rate that excludes UCRP, and other campuses are expected to follow. UCFW will continue to monitor the situation closely, as negotiations remain fluid between UCOP, the campuses, and the government.

UCFW endorsed a recommendation from the Riverside division to expand the types of events that would allow employees to take advantage of the Family Medical Leave Act (FMLA) and would "Stop the Clock" for tenure calculations during those events. Academic Personnel are drafting language for evaluation in the fall.

EDUCATIONAL DELIVERY MODES:

Online education has been in development for a number of years, and UC's foray into the medium has been fitful. Campus-based online programs have been successful, but the current effort to expand online education to non-matriculated students and to allow for greater cross-campus enrollment has not yet met similar success. Concerns about cost, delivery platforms, and the underlying pedagogy have not been resolved. UCFW questions the assessment of learning outcomes as well as the calculation of instruction hours. UCFW also questions how these courses will factor into academic reviews, and whether high profile attention to this area will come at the expense of other areas of teaching and research. Lastly, UCFW raised concerns about copyright protections for materials developed for use in the classroom; these issues are still unresolved.

UCFW endorsed a proposal for a Universitywide Open Access policy. Initial concerns regarding copyright protections, ease of document deposition, and out-year use of materials were adequately addressed by the initiative's sponsor, Chris Kelty, Chair of the University Committee on Library and Scholarly Communication. UCFW will monitor implementation of the program next year.

UCFW received multiple updates on revised guidelines for lab safety. The Office of Risk Services worked closely with the Office of General Counsel to develop the new guidelines in order to meet the terms of a settlement into which the Regents have entered. UCFW sought to ensure that the level of training and enforcement was appropriate to the level of risk for each type of lab and each type of lab user. UCFW also encouraged the administration to provide personal protective equipment (PPE) and appropriate laundering services at no cost to instructors and PIs.

CASH COMPENSATION ISSUES:

Alternate Compensation Plans: In 2009-10, the Office of Academic Personnel was charged to investigate compensation plans for general campus faculty, similar to HSCP for other disciplines, in such disciplines as business, engineering, and the biological sciences. A draft APM was circulated for management review, but it did not receive widespread support. As a result, a Negotiated Salary Plan Task Force was convened, and a three-year pilot plan was proposed for three campuses. The pilot goals are to gather and analyze data regarding graduate student and post-doctoral scholar funding impacts as well as the impact to off-scale salaries and covered compensation ratios. This year, the Negotiated Salary Trial Program was approved for testing at 3 campuses: Irvine, San Diego, and UCLA. Although the NSTP started July 1, 2013, final subscription rates were not available in time for UCFW's June meeting; similarly, impacts to the net income of individuals, to net income of departments, and to the morale of participants and non-participants is not yet known.

Salary Equity Plans: The University Committee on Affirmative Action and Diversity continued its work to illustrate and address the salary equity gaps at UC. UCFW reviewed the campus responses to the plans and found room for improvement. UCFW will monitor action in this area.

Total Remuneration: UCFW argued vigorously for an update to the 2009 Total Remuneration Study, noting that UCRP contributions have increased from 0% to 6.5%

since the 2009 study was concluded, that cash compensation increases have not kept pace with competitors, and that decreases to retiree health premiums have all eroded UC's competitiveness, but to an unknown degree. Not all in the administration were persuaded that a new study was needed, especially given the expense and time required to replicate the detailed benefits analysis. An additional complication arose when the Legislative Analyst's Office (LAO) released a report on faculty salaries that UCFW felt misrepresented UC compensation practices. In response, UCFW was directed by the Academic Council to prepare and post a rebuttal on its website. In light of these dubious views, UCFW agreed to a compromise: a ladder-rank faculty only study for the general campus, but with the same methodology. It is hoped that the results of the study will prompt the administration to update the staff study, and that the health sciences can be assessed, too. UCFW anticipates working closely with Academic Affairs, Academic Personnel, and Human Resources as the study progresses next year.

OTHER POLICY ISSUES AND SYSTEMWIDE REVIEWS:

Academic Personnel Manual Revisions: Several sections of the APM were up for review, and some new sections were proposed. UCFW opined on each of the following drafts:

- 015 (Faculty Code of Conduct)
- 025 (Conflict of Commitment and Outside Activities of Faculty Members) (management review, only)
- 241 (Faculty Administrators (Positions less than 100%))
- 430 (Visiting Scholars)
- 600 series (Salary Administration)
- 700 series (Leaves of Absence, Presumptive Resignation)

Senate Membership: Discussion continues at the medical centers and in other arenas regarding granting the rights and duties of Senate membership to new subpopulations. The San Diego division proposed an amendment to Senate By-Law 55 (Departmental Voting Rights) that would allow limited voting on merit and promotion cases in impacted departments. UCFW opined that the proposal might be broadened to include groups beyond medical centers, such as those in Agriculture and Natural Resources. The proposal will receive systemwide evaluation next year, and UCFW will follow closely the discussion and any changes.

CORRESPONDENCE:

Beyond submitting opinions and recommendations on the topics above, UCFW opined on the following matters of systemwide import:

- Chief Investment Officer recruitment criteria

ACKNOWLEDGEMENTS:

UCFW is indebted to its consultants and guests, without whom the committee's work could not be done:

Academic Affairs: Provost Aimee Dorr, Rita Hao (OGC), and Keith Williams;
Academic Personnel: Susan Carlson, Nancy Tanaka, and Janet
Lockwood;

Budget: Patrick Lenz;
Finance: Peter Taylor and Maria Anguiano;
Human Resources: Dwaine Duckett, Gary Schlimgen, Michael Baptista, Mark Esteban, and Dennis Larsen;
Treasurer's Office: Marie Berggren and Jesse Phillips;
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Finally, we are particularly grateful for the involvement, support and guidance from the Senate leadership, Chair Robert Powell and Vice Chair Bill Jacob, as well as the advice and perspective provided by Senate Executive Director Martha Winnacker and the analytic and technical support provided by Senate Principal Analyst Kenneth Feer.

Respectfully yours, UCFW 2012-13

J. Daniel Hare, Chair
Gayle Binion, Vice Chair
Cal Moore, UCB
Stuart Hill, UCD
Gopi Meenakshisundaram, UCI
Gerald Kominski, UCLA
Sean Malloy, UCM
Irving Hendrick, UCR
Tim Rickard, UCSD
Leah Karliner, UCSF
Simonetta Falasca-Zamponi, UCSB
Barry Bowman, UCSC
Shane White, TFIR Chair
Robert May, HCTF Chair
W. Doug Morgan, CUCEA Chair (ex officio)
Ross Starr, UCRS Advisory Board Faculty Representative

UNIVERSITY COMMITTEE ON INTERNATIONAL EDUCATION ANNUAL REPORT 2012-13

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 of California Education Abroad Program (UCEAP) 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 three times and held one iLinc videoconference during the 2012-13 academic year; the committee's key activities and accomplishments are highlighted in this report.

UCEAP Overview

In 2011-12, UCEAP recorded a slight drop in student enrollments (from record high of 4,808 in 2010-11), which included 4,684 participants or 2,539 FTEs. In 2012-13, UCEAP's enrollments fell by another couple of hundred students, to 4,478. This year's enrollment reflects a continued decline in year-long program enrollments, stable quarter/semester enrollments, some growth in the summer programs, and some drops in specific campus enrollment numbers.

Finances remain a central concern for UCEAP's long-term viability. UCEAP's revenues are based upon student tuition, along with a small state subsidy (\$1.15M), which will fall to zero in 2015-16. UCEAP continues to build its contingency reserve towards a target of \$4.6M. It also collects small amounts of revenue from special program option fees (POFs) on certain expensive programs. In addition, UCEAP increased its general participation fee from \$600 to \$900 in order to subsidize its POFs at 75% of their actual cost. UCEAP's continued sustainability requires enrollment growth, tuition increases, and development efforts (or some combination of those three). Most importantly, UCEAP is concerned about receiving its share of the \$125.4M tuition buy-out in the Governor's Budget. Based on its FTEs, UCEAP's share of the buy-out is estimated at approximately \$1.5M.

Program Approvals

As noted above, one of the principal duties of UCIE is the approval (or rejection) of new program proposals from UCEAP. In 2012-13, UCIE the following new programs: an English Engineering program option at Carlos III University of Madrid, a summer research program option at National Taiwan University, a fall honor's program at Sotheby's Art Institute in London, a summer engineering program in sustainability in Germany, a UC-construct program in Yogyakarta, Indonesia, a summer program in community public health in the Dominican Republic, and semester and year programs at University College in London and McGill University in Montreal, Canada. The full list of approved programs can be found in Appendix 1.

UCEAP Closures & Suspensions

In 2013-14, UCEAP will close or suspend the following programs: University of British Columbia (Canada), University of Tokyo (Japan), Middle East Technical University (Turkey), CIEE Critical Studies (France), Potsdam Language and Culture Program (Germany), Padova (Italy), and a number of programs in Australia -- Adelaide (non-renewal of the MOU that expires

in July 2013); La Trobe and Monash (cease exchanges at the end of 2014); and Wollongong and University of Western Australia (cease exchanges at the end of 2015).

Scholarship Initiative

UCEAP doubled its allocation for scholarships to \$1M in 2012-13 (up from \$500K in 2011-12) with \$200K being sent directly to the campuses, which should maintain current the levels of scholarships systemwide. UCEAP awards \$1K and \$2K respectively for its summer and year scholarships. In 2012-13, UCEAP awarded 276 scholarships (52 for the summer, 223 for the fall and year). In addition, UCEAP awarded a combined \$250K for the Duttonhaver and Dan Wise scholarships.

Other UCEAP Strategic Initiatives

The strategic plan includes seven initiatives – new program development, scholarships, alumni engagement, student management, website, academic integration, and international student recruitment. UCEAP has also articulated an enrollment goal of 5,000 students, which will be supported by focus groups, scholarships (\$1M), new program development, internships, “Live Chat,” social media, website, and student ambassadors.

Academic Oversight of UCEAP

UCIE asked UCEAP to report on two areas of concern in 2012-13 – the role of online education in study abroad programs and UCEAP’s use of third party provider programs (see the March 15, 2013 meeting agenda and minutes). In addition, beginning in 2012-13, UCIE will receive regular reports from the Chair of the Council of Campus Directors (CCD), who are the faculty directors of the campus study abroad offices.

UCIE Vision Statement for the University of California

In 2012-13, UCIE also drafted a vision statement for international education at UC. At present, this draft being reviewed by members, but it should be completed early in the 2013-14 academic year.

EAP Governance Committee

Chair Richard Kern and UCD member Jeanette Money represented UCIE at the EAP Governance Committee.

Study Center Directors

UCEAP has also just finished a faculty recruiting campaign, culminating with five new study center directors (SCDs) and five visiting professors. UCIE made recommendations on study center director (SCD) candidates for these positions at Argentina/Chile, Egypt, France, and Spain in November 2012. The total number of SCDs now stands at seven FTEs, which are located in Berlin, Chile-Argentina, Egypt, Spain, Japan, France, and China. UCEAP has visiting professorships at ICU/Japan (2), MGU/Japan, Mexico, Netherlands, Italy, and China. However, UCEAP did eliminate the Padova Study Center Director position in Italy, arguing that low enrollments made this position no longer viable.

2012-13 Formal Reviews

UCIE reviewed three programs in the 2012-13 academic year – Ireland, Paris Summer Language & Culture Program, and the Italy Programs.

2013-14 UCIE Formal Review Committees

Members approved the following programs to be formally reviewed in the 2013-14 academic year: Japan, Mexico, and the Netherlands.

Personnel Review of the UCEAP Executive Director

In 2012-13, UCIE participated in the formal review of UCEAP Director Jean-Xavier Guinard.

Acknowledgements

UCIE wishes to acknowledge the contributions of its principal consultants – Associate Vice Provost and UCEAP Executive Director Jean-Xavier Guinard, UCEAP Faculty-in-Residence Ann Marie Plane, and UCEAP Regional Director Mary McMahon. In addition, UCIE wants to thank its representative from Council of Campus Director (CCD), Professor Juan Campo from UC Santa Barbara.

Respectfully submitted:

Richard Kern, Chair (UCB)	David Berenstein (UCSB)
Giacomo Bernardi, Vice Chair (UCSD)	Eduardo Macagno (UCSD)
Karin Sanders (UCB)	Jyu-Lin Chen (UCSF)
Jeanette Money (UCD)	Robert L. Powell (Council Chair, ex-officio)
Michael Dessen (UCI)	William Jacob (Council Vice Chair, ex-officio)
A. Carlos Quicoli (UCLA)	Sonja Lind (Graduate Student Rep.)
Katherine Brokaw (UCM)	Angela Arunarsirakul (Undergrad Student Rep)
Lucille Chia (UCR)	Todd Giedt (Senate Associate Director/Analyst)

**UNIVERSITY COMMITTEE
ON
LIBRARY AND SCHOLARLY COMMUNICATION
2012-2013 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Library and Scholarly Communication (UCOLASC) met three times in the 2012-2013 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.

Open Access

Two important developments had already occurred by the time the committee convened for its October meeting. The UCSF Academic Senate voted on and unanimously passed an [Open Access Policy for UCSF](#) at the May 21, 2012 Division Meeting. And the systemwide review of the proposed open access policy began in August. The responses from the campuses in January were critical of the details of the policy but supportive of open access in general, and Council asked UCOLASC to consider making revisions. At the February meeting, the committee agreed that a revised proposal should be put forward. UCOLASC members also agreed that it would be helpful to have a memorandum of understanding (MOU) detailing the implementation details between the Office of the President, the California Digital Library (CDL) and the Senate. The most problematic aspects of the proposed policy, the scope of the license grant and commercial reuse, were addressed in a revision of the policy. During this time, Chair Kelty also worked with the Senate and CDL leadership on the [Memorandum of Understanding](#).

Provost Dorr responded positively to the MOU and in May, the revised proposal and MOU were submitted to Council for reconsideration. Council agreed on an expedited review of the new proposal, which was completed in July. On July 24th, the Academic Council voted in favor of adopting [the open access policy](#) for all faculty at the University of California. It is expected that faculty at UCLA and UCI in addition to UCSF will begin depositing their articles on November 1, 2013 and that expansion to the remaining seven campuses will occur after a year. Key information to help UC faculty is already available at the [Reshaping Scholarly Communication](#) website and upon approval of the policy, the Senate leadership, Chair Kelty and CDL representatives immediately began discussing implementation details. UCOLASC will closely monitor implementation of the policy in the coming year.

The committee members wish to commend Chair Kelty for his extraordinary commitment to instituting open access at the University of California. UCOLASC members also wish to convey extra thanks to Executive Director Martha Winnacker for providing her expertise at every step and to Directors Laine Farley and Catherine Mitchell from the California Digital Library for their advice and active involvement in setting the policy up for success.

Update on Journal Negotiations

UCOLASC received regular updates on the status of journal negotiations from Ivy Anderson, Director of Collections at the California Digital Library. In October, UCOLASC was advised that discussions between the Nature Publishing Group and UC regarding a pilot of an open access business model were essentially over although NPG had not shared its future plans with UC. As a direct result of CDL's cost control efforts and careful analyses, UC has been successful in its negotiations, but its budget capacity has not kept pace (there is a 14% gap between negotiated costs and UC library budgets). The committee debated the pros and cons of various strategies that CDL might use to achieve the central goal of cutting costs. It was noted that, in the past, there have been varying degrees of faculty support for proposed boycotts against different publishers. The committee also recognized that, since publishers have a monopoly and there are not alternatives to their journals, walking away from negotiations is not the best

option. UCOLASC welcomes the ongoing opportunity to consult with CDL on these important negotiations.

Legislative Issues

The committee discussed several pieces of state and federal legislation related to open access. Two open source textbook bills, Senate Bills 1052 and 1053, were passed by the Senate and signed by the Governor this year. These bills created a requirement for fifty open access textbooks for the three systems in California. The Intersegmental Committee of Academic Senates (ICAS) was put in charge of administering a committee that will develop these resources. The legislation provides \$5M in funding with the requirement that matching funds are raised. UCOLASC members were asked to suggest candidates to appoint to the committee that will work on this project with ICAS. Existing open source textbooks and other resources may be identified and used, and the nine person committee will make sure faculty know the resources exist. The California State University system is tasked with maintaining the digital library where the resources will be housed. ICAS is tasked with coordinating the effort and the community colleges will provide the staff.

The Fair Access to Science and Technology Research (FASTR) Act is a reintroduction of a federal bill that has been circulating since the NIH open access mandate went into effect. Research funded by federal agencies with budgets over \$100M is required to be publicly available in something like PubMed. The bill requires that the agencies coordinate to develop the repository and the embargo would be for six months. FASTR is consistent with open access legislation that UCOLASC has supported before but as of April, this act did not seem to be moving forward and it was not clear whether it would go to committee.

UCOLASC was excited about the February announcement that the Office of Science and Technology Policy (OSTP) will mandate that federal agencies to develop an open access policy. Director Farley reported in April that the University Librarians are preparing comments on the OSTP policy in response to a request from the agencies involved for input about implementation. The federal agencies were given an August 22 deadline to comply with the White House directive.

In February, a version of FASTR was introduced in the California legislature, Assembly Bill 609. Assemblyman Nestande introduced AB 609 to make state funded research publicly available. Chair Kelty and UC state government relations people spoke with staff in the assemblyman's office about what has been learned in the process of drafting the proposed UC open access policy as well as the concerns faculty have expressed. Many of the changes discussed were incorporated into the revised legislation, which was sent to committee in May. The legislation passed out of committee in May, and was sent to the Assembly floor for a vote on May 30th. It passed that vote, but consideration by the senate has been delayed until the fall of 2013.

Joint Meeting with University Librarians

UCOLASC met with the University Librarians in February to discuss common topics of interest, including open access and the CDL budget.

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.

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 Virginia Steel (UCSC), CDL Executive Director Laine Farley, CDL Director of Collections Ivy Anderson, CDL Director of Publishing Catherine Mitchell, and Librarians Association of the University of California President Keri

Botello (UCLA). UCOLASC also consulted the Academic Senate chair, vice chair, and executive director about issues facing the Academic Senate.

Respectfully submitted:

Christopher Kelty, Chair (SF)

Brian Kolner (D)

Sholeh Quinn (M)

Larry Armi (SD)

Ted Bergstrom (SB)

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Francis Steen (LA)

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Thomas Shannon (B)

Kristopher Nelson (Graduate student-SD)

James Chalfant ((D); Chair, UCCC, *Ex-Officio*))

Bob Powell ((D), Chair, Academic Senate, *Ex Officio*)

Bill Jacob ((SB), Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Principal Analyst

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB) ANNUAL REPORT 2012-2013

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) held ten regular meetings in Academic Year 2012-13 to conduct business with respect to its duties to advise the President and other University agencies on policy regarding planning, budget, and resource allocation as outlined in [Senate Bylaw 190](#) and in the *University-wide Review Processes for Academic Programs, Academic Units, and Research Units* (the “[Compendium](#)”). UCPB also scheduled additional teleconferences between regular meetings to address specific issues. The major activities of UCPB and the issues it addressed this year are outlined briefly, as follows:

MONITORING STATE BUDGET NEGOTIATIONS AND THE IMPACT OF CUTS

Senior leaders from the UCOP Budget Office and Office of Business Operations joined each UCPB meeting to update the committee about the progress of budget negotiations in Sacramento; budget contingency planning; UC advocacy around Proposition 30, UCRP funding, funding for UC Merced academic buildings and other capital projects, funding for green energy projects through Proposition 39, tuition policy, a proposal to shift debt service for lease revenue bonds for UC capital improvement projects to the UC budget, proposed performance outcome measures, and other UC-specific budget matters. Administrators briefed UCPB on their efforts to inform and educate legislators and Regents about UC’s cost-saving projects, options for adjusting cost drivers and revenues, and the critical need for new revenue to maintain quality. UCPB members emphasized the ongoing need for UC to educate policymakers about higher education issues and to encourage policymakers to take a long-term view of UC’s needs. They emphasized the need to protect the research environment for faculty and to employ industry and others to help make the case for the importance of university research to the economy and a highly educated and skilled workforce. They urged UCOP to communicate to the state and the Regents specific examples of the damage incurred on campuses as a result of six years of budget cuts, especially if it revealed evidence of declining quality.

UCPB was concerned about the impact of deferred maintenance and unfilled faculty positions on the academic and research enterprise. The committee discussed campus and systemwide strategies for addressing cuts, implementing cost-saving measures, and raising revenue, including hiring freezes, cancelled faculty searches, delayed plans for new programs and facilities, and enrolling more tuition-bearing non-residents.

“BUDGET 101” PRESENTATIONS

For the benefit of new and returning UCPB members, Chair Minster asked the Budget Office to coordinate a series of “Budget 101” presentations around different topics. The October presentation summarized the state and university budget-setting and allocation process and provided an overview of University revenue and fund sources, functional categories in the [UC budget](#), budgetary terminology, and what the Funding Streams and Budget Rebenching reforms mean for campus and systemwide budgets. In November, the budget office discussed UC’s [long-term budget model](#) that outlines the cost drivers, cost reduction solutions, and new funding necessary to meet the University’s critical needs and bridge the budget gap through 2016-17. Presentations in December and July focused on how UC uses the concepts of “marginal cost”

and “average cost” to describe the cost of a UC education and the relevance of those terms to discussions about enrollment management, per-student funding, and cost of instruction reporting. In January, Student Financial Support staff presented an overview of the University’s financial aid programs in the context of new alternatives being considered for UC’s financial aid funding strategy. In May, UC’s Director of Pension and Retirement Programs and representatives from the Regents’ actuary discussed pension funding issues and the assumptions involved in calculating UCRP’s actuarial valuation, the Plan’s Normal Cost, and its Unfunded Actuarial Accrued Liability. John Douglass, Senior Research Fellow at the UC Berkeley Center for Studies in Higher Education, spoke to the committee in November about the history and future of the California Master Plan for Higher Education.

Most of these lectures included PowerPoint presentations and supporting documentation. These will be entered as a collection accessible through the Senate web site.

STATEMENT ON QUALITY INVESTMENTS

UCPB supported efforts to identify specific areas in the University budget for which new financial investments could support academic quality and UC’s status as a first-class public research university. In February, UCPB sent a statement to the Academic Council identifying four high priority areas for multi-year investments. These include investments related to the undergraduate classroom experience such as reducing the student-faculty ratio and supporting direct individualized instruction; investments related to graduate education such as providing competitive fellowship support to help attract and retain the best young scholars; investments related to faculty such as increasing start-up funding and reducing salary gaps to help recruit and retain the best faculty; and investments in technology to enhance academic and research quality in all areas. UCPB also discussed the need for the University to identify metrics that will demonstrate the extent to which the new investments impact quality.

OPEN ACCESS POLICY PROPOSAL

UCPB submitted comments to Council in January and July in response to the University Committee on Libraries and Scholarly Communication (UCOLASC)’s proposed Open Access Policy. The UCOLASC chair also joined UCPB by phone in November to discuss and answer questions about the policy. UCPB did not endorse the policy and instead expressed concerns that it could shift new, unexpected costs to faculty that would be drawn from the author’s grant support, that it would not produce significant net savings for the University, and that it would have a differential effect on faculty in certain disciplines who would be forced to opt-out to protect their scholarship. UCPB recommended that before implementing the policy, UC conduct a more comprehensive study of its budget implications and the most appropriate budget model for UC libraries and scholarly publications. In the meantime, UCPB expressed support for a policy in which the default allows faculty to “opt in” to open access without having the “opt in” option be the default.

COMPOSITE BENEFIT RATE PROPOSAL

UCPB received several briefings from UCOP and Senate leaders about a UCOP plan to move to a simplified Composite Benefit Rate billing system. Significant concerns from UCPB and other Senate committees about the proposed treatment of summer salary, sabbaticals, and “y” salary in the proposed composite rate formulas led to important changes in the plan. However, the Senate was informed that UCOP could not implement a separate rate for summer salaries due to federal government rules. UCPB continues to support a plan that charges a benefit rate to summer

salaries that is closer to actual cost rather than one that is based on academic year salary. UCPB notes that latter would result in a funding cut for faculty with summer grants, which will harm faculty grant competitiveness and reduce graduate student support. It also notes that the proposed rates amount to doubling the rates for various categories since 2008 and, as such, will drive up direct costs of research grants to a level that may render UC research grants less competitive in an already difficult research funding environment. UCPB awaits the results of an ongoing negotiation between UCB and the federal government about a specific summer rate that will address these concerns as a prelude to future discussion of the topic.

FINANCIAL AID

UCPB reviewed a set of options put forward by the UCOP Office of Student Financial Support for modifying UC's undergraduate student financial aid funding allocation methodology. UCPB expressed a preference for a policy-driven approach to financial aid that recognizes the importance of UC's aid programs to providing access for low-income students; that provides stability, clarity, and predictability for families and students; and that raises tuition most for families most able to pay, over the unpredictability of a revenue-driven solution. UCPB recognized that no option can preserve access and affordability without a substantial increase in state support or tuition, but that the status quo is unsustainable over time if UC wants to achieve its current policy goals. UCPB noted that UC should market and publicize any adopted option in a way that enhances the public's perception of UC's access, affordability, and value. UCPB also expressed its support for a proposal to develop a more accurate assessment of parental resources than the federal methodology collected on the FAFSA to help make more financial aid funding available to students who actually need it. UCPB was less supportive of a proposal to use large tuition increases to cover 50% of tuition and fees for students from families making between \$80,000 and \$120,000.

FUNDING STREAMS

UCOP briefed UCPB on alternate models being considered for calculating the Funding Streams assessment. The models are being generated to address concerns from some campuses that they do not receive benefits from UCOP proportionate to their assessment, and that the current model, which bases the assessment purely on campus expenditures, is an overly blunt instrument. UCPB reviewed one model that would assign weights to various UCOP functions based on usage, ability to pay, and other metrics, and account for the special circumstances of the medical centers. UCPB encouraged UCOP to engage both local and systemwide Senate committees in discussions about the models. UCPB understands that no change to Funding Streams will occur before the 2014-15 academic year. UCPB expects to study and opine on a more final proposal in the 2013-14 academic year.

REBENCHING

UCPB monitored the implementation of the first year of the budget rebenching project. UCPB continued to support the main goal of rebenching—to rebalance the historical allocation formulas that determine the proportion of state general funds distributed to each campus. UCPB understands that a total of \$222 million—or \$37 million annually over six years—will be required to bring all underfunded UC campuses to the level of the highest funded campus, and that the small amount of new state money received in 2012-13 permitted only \$17 million to be directed toward rebenching last year, but that \$37 million of new state general funds and an additional \$20 million to address the 2012-13 shortfall will be distributed under the rebenching formula in 2013-14.

ENROLLMENT MANAGEMENT

UCPB continued to push UCOP to develop a comprehensive enrollment management plan, administered by UCOP, to complement the rebenchmarking project. UCPB noted that Funding Streams has increased the financial incentives campuses have to enroll nonresidents and potentially under-enroll resident undergraduates, making it critical for UCOP to establish a process for working with campuses to set undergraduate enrollment targets and enforce those targets, to ensure that UC meets its Master Plan obligations. UCOP did share with UCPB the campuses' fall 2013 enrollment targets, but as of August, it had not yet formulated a long-range enrollment plan. UCOP assured UCPB that it would be reviewing long-range enrollment plans from the campuses over the summer to determine a systemwide enrollment level that is consistent with the Master Plan and current state funding, and would share a final enrollment plan with UCPB in the fall.

UCPB believes it is critical for UC to establish an appropriate enrollment funding benchmark with the state that accounts for the reduction in state funding and communicates the real cost of educating a student at a UC-quality level. UCPB sought more information about the formula UCOP and the state use to determine the per-student marginal cost of education and to calculate the number of "funded" or "unfunded" students. UCPB encouraged UCOP to help prepare a clear description of these concepts and labels, and to determine the actual number of unfunded students and the real cost of a funded student.

NEGOTIATED SALARY TRIAL PROGRAM

UCPB reviewed a proposal for a negotiated salary trial program that will allow eligible general campus faculty on three campuses to supplement their income with non-state resources such as grant funds, endowment earnings, and professional degree supplemental tuition. UCPB reiterated the concerns it expressed in November 2011 about the proposed APM 668, which would have implemented a similar program on all campuses; however, UCPB did not object to moving ahead with the trial program on a limited basis, with the understanding that a primary goal will be the collection of quantitative data to evaluate the effectiveness of the plan. UCPB agreed that a negotiated salary program could help recruitment and retention problems in specific disciplines such as the biological sciences, but warned that it could also slow momentum for fixing the salary scales; exacerbate existing salary inequities and create new inequities; undermine the faculty role in merit and promotion cases; lead departments to favor some kinds of research over others; create distinctions among faculty based primarily on their ability to generate revenue; and create incentives for faculty to seek more lucrative grants and choose to pursue certain areas or kinds of research based primarily on higher salary potential.

CONSULTATIONS WITH THE CFO DIVISION

The Chief Financial Officer and his staff provided UCPB with regular briefings about finance programs and projects managed by the CFO Division, including a study of campus Short Term Investment Pool (STIP) accounts which determined that the transfer of \$2 billion of excess liquidity from STIP to the Total Return Investment Pool (TRIP) or the Long Total Investment Pool (L-TRIP) could generate \$30-70 million in unrestricted revenues each year for the campuses at low risk. UCPB encouraged the CFO to consider leveraging the liquidity to help fund UC's pension costs. The CFO also briefed UCPB about the status of UCPath, P200, and other common technology systems; the finance plan for a proposed second Bay Area campus for the Lawrence Berkeley National Laboratory; financial issues related to the UC Student Health

Insurance Plan's (SHIP); and the Division's capital market strategies involving the sale or refinancing of bonds. In general, UCPB members expressed support for the efforts of the CFO Division; however, they also conveyed concerns some campuses have expressed about UC Path's cost and how it could affect the quality of benefits services faculty receive.

ONLINE EDUCATION

UCPB was briefed by the Senate chair and vice chair, UC provost, and others about a developing plan for using \$10 million the Governor's UC budget set aside for online educational technologies. The UCPB chair attended one of the working meetings the provost hosted in mid-April for Senate and campus administrative to discuss goals for and concerns about online teaching and learning, infrastructure needs, and to inform next steps toward a formal RFP for courses to be developed as part of the project, now called the Innovative Learning Technology Initiative.

CAMPUS REPORTS

UCPB set aside a portion of most meetings to give members a chance to discuss local issues and concerns, including those related to rebenching and funding streams, online education, self-supporting programs, enrollment planning, nonresident enrollment, UCPath, and faculty and student retention issues. Committee members also spent time comparing the charges, characteristics, and activities of their campus Planning and Budget committees, their access to different kinds of budget data, and their involvement in budget and planning decisions. There was interest in updating and revising a survey about local committee practices.

OTHER BRIEFINGS

History and Future of the California Master Plan for Higher Education: John Douglass, Senior Research Fellow at the UC Berkeley Center for Studies in Higher Education, spoke to the committee in November about the history and future of the California Master Plan for Higher Education; contemporary challenges to maintaining and enhancing quality, access, and affordability; and a new vision for a California higher education system.

Overview of New UCOP Energy Services Unit: Facilities Management Director George Getgen briefed UCPB about UCOP's new Energy Services Unit, which was created to help UC campuses achieve carbon neutrality, avoid costs associated with market-based emissions regulations such as cap-and-trade, and meet other specific UC sustainability policy goals.

SSPs and PDSTs: The Provost and others briefed UCPB about the work of a joint Task Force that was developing an updated Professional Degree Supplemental Tuition (PDST) policy, and the efforts of the Academic Planning Council to update Compendium policies around Self-Supporting Program policy and to add a policy and protocol for reviewing state-supported programs that wish to convert to self-supporting status.

LEGISLATION

UCPB was briefed on proposed legislation affecting UC, including a bill that would require California colleges and universities to collaborate with private, third-party providers to develop online courses that are accepted for credit in all three segments, a bill that would grant collective bargaining rights to graduate student researchers, and a bill that would give the Legislative

Analyst's Office authority to define accountability metrics and goals for higher education in California.

OTHER ISSUES AND ADDITIONAL BUSINESS

- UCPB endorsed proposed revisions to Academic Personnel Manual 015 (Faculty Code of Conduct) regarding the freedom of faculty members to address matters of institutional policy.
- UCPB endorsed proposed revisions to APM Section 241, intended to bring the APM into conformance with Regents Policy and with the Compendium of Universitywide Review Processes for Academic Programs, Academic Units, and Research Units, regarding the appointment of MRU directors.
- UCPB endorsed proposed revisions to APM 600 Section IV, intended to clarify and correct APM language, align it with current practice, and prepare for the implementation of UC Path.

UCPB REPRESENTATION

Chair Jean-Bernard Minster represented UCPB at the Academic Council, the Academic Assembly, the Academic Planning Council, the Provost's Budget Advisory Group, the Academic Council Special Committee on Agriculture & Natural Resources, the Academic Council Special Committee on Laboratory Issues, and the Professional Degree Supplemental Tuition (PDST). Susan Amussen served as UCPB's representative to the UC Education Abroad Program Governing Committee. Former UCPB member Gary Leal continued to represent UCPB on the Technology Transfer Advisory Committee (TTAC).

LOOKING AHEAD TO 2013-14

In 2013-14, UCPB Vice Chair Donald Senear (UCI) will take over as UCPB chair and Gary Leal (UCSB) will serve as vice chair. UCPB will continue to monitor the state's fiscal situation and its impact on the UC budget, the rebenching effort and other budgetary reform projects, enrollment management, UCRP funding, UC's budget allocation process, UC's pension obligations and debt programs, and contingency scenarios for UC's budget expectations. UCPB will engage the Budget Office and other UCOP administrators on these and other topics, arguing forcefully for budget action on principles, and challenging administrators to communicate UC's chronic under-funding and demonstrate the real consequences of state de-funding on student fees, enrollment, and programs. UCPB will continue to advocate for budget planning that maintains the quality of education, research, and service throughout the 10 UC campuses, for the importance of competitive faculty total remuneration, and for a strong research enterprise to ensure the future quality of the University of California. UCPB will analyze opportunities for achieving local and system-wide budget efficiencies; assess the degree to which local budget committees have access to information and input into budget decision-making; and work with other Senate committees on issues of common interest and concern.

ACKNOWLEDGMENTS

UCPB is grateful to the following committee consultants and guests for their valuable contributions: Vice President Patrick Lenz, Associate Vice President Debora Obley, Operating Budget Director Clif Bowen, and Principal Analyst Elisabeth Willoughby from the Office of Budget and Capital Resources; Provost Aimée Dorr and her chief of staff, Todd Greenspan; Executive Vice President Nathan Brostrom and Associate Vice President Michael Reese from the Office of Business Operations; Chief Financial Officer Peter Taylor; Director of Pension and

Retirement Programs Gary Schlimgen; Paul Angelo from Segal Consulting; Associate Vice President and Systemwide Controller Peggy Arrivas; Special Assistant to the Executive Vice President Kate Jeffery and Director of Student Financial Support David Alcocer. Thanks also to the faculty who served as alternates for regular committee members: Roger Ransom and Ken Barish (UCR), Daniel Friedman and Sue Carter (UCSC), and Avaniidhar Subrahmanyam (UCLA).

Respectfully submitted:

Jean-Bernard Minster, <i>Chair</i> (UCSD)	Rosina Becerra (UCLA)
Donald Senear, <i>Vice Chair</i> (UCI)	Roddey Reid (UCSD)
Jerold Last (UCD)	Stephen Ritchie (UCI)
Elizabeth Deakin (UCB)	Robert Powell, <i>ex officio</i>
Marilyn Westerkamp (UCSC)	William Jacob, <i>ex officio</i>
Jan Blacher (UCR)	Erik Green, Graduate (UCSC)
John Foran (UCSB)	Shahyar Abbasi, Undergraduate (UCB)
Susan Amussen (UCM)	
Mary Gray (UCSF)	Michael LaBriola, Committee Analyst

UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION (UCOPE) ANNUAL REPORT 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

During the 2012-13 academic year, the University Committee on Preparatory Education (UCOPE) met twice and the UCOPE-EMS (English for Multilingual Students) Advisory Group met once. Both groups considered matters in accordance with their duties as set forth in Senate Bylaw 192, which states that UCOPE shall advise the President on matters relating to preparatory and remedial education (including the language needs of students from diverse linguistic backgrounds); monitor and conduct periodic reviews and evaluations of preparatory and remedial education; supervise the University of California Entry Level Writing Requirement; monitor the development and use of placement examinations in mathematics; and work with BOARS to communicate these standards to all high schools and colleges in California.

A summary of the committee's activities and accomplishments follows below:

Review and Selection of Analytical Writing Placement Exam (AWPE) Essay Prompts

Under the leadership of consultant George Gadda, UCOPE members selected the essay to be used in the 2012 UC-AWPE administration, in accord with Senate Regulation 636B.1. This annual event involved UCOPE members reviewing sample essays to ensure that norming procedures used in evaluation of the exam would be consistent with SR 636A and SR 636B.1. It was noted that the number of students satisfying UC's undergraduate writing requirement through the AWPE has held steady at approximately 15,600 for the past few years.

Director of Undergraduate Admissions Michael Treviño reviewed the financial records of the AWPE and reported that the exam was solidly in the black in 2012, thanks to operational changes over the past four years. This last year, AWPE increased campus reimbursement for testing, and introduced a tiered fee structure for the exam based on financial need.

Consultation Regarding International Students

Chair Jonathan Alexander noted that the EMS, ESL, and ELL programs at many campuses had been put under tremendous pressure by the recent deluge of international students. Those students need assistance with acculturation as well as with language; they are often isolated by their lack of English communication skills and do not adjust well to campus life.

UCOPE discussed possible ways to remediate the problem of students with extremely limited English proficiency. Some campuses already hold special orientations for international students that include testing of English writing and speaking skills. Chair Alexander reminded members of the 2011 white paper that called for the University to fully fund English, ESL, ELL, and related programs. <file:///X:/Committees/UCOPE/2010-11/UCOPE%20White%20Paper.pdf> The committee agreed that the EMS Advisory Group should revise the white paper and should include specifications regarding ideal range of courses and support for international students.

Standardization of the Awarding of Advanced Placement (AP) Credit Across the UC System

AP scores are used divergently systemwide in relation to course credit and requirements. Particularly problematic is the occasional practice of excluding students from preparatory classes based upon their high AP scores. The committee considered whether a systemwide policy should be put in place to dictate how AP scores in English and math should be applied. It was suggested that a joint task force between UCEP and UCOPE should look at the issue more broadly.

Systemwide Math Diagnostic Test

UCOPE discussed the possibility of giving incoming students a diagnostic test to determine if they should take classes over the summer to improve their fall math placement grades. Members suggested that the Math Diagnostic Placement Test (MDPT), which was developed with UCSD, could be used as a strong generic test. The current lack of assessment in math has resulted in students taking (and then dropping) classes that are not well-suited to their skill level. It was suggested that UCOPE establish a representative committee to produce a diagnostic test (or to vet an existing test).

Discussion of Online Writing Courses

UCD and UCI have partnered together to offer summer writing courses that will be 100 percent online. Chair Alexander explained that UCI has had online courses in first-year composition for some time and has evaluated its online versus “on-ground” programs. In short, the department learned that online courses are very labor-intensive and are not more cost-effective than traditional classes. Chair Alexander suggested that UCOPE might want to schedule a session next year with UCI’s online instructors to learn from their experience. He urged UCOPE to collect information on online math courses as well.

EMS Advisory Group

The EMS Advisory Group addressed issues related to the increase of international students, many of whom are not proficient in written or spoken English and are subsequently having difficulty at UC. The lack of preparation and accurate placement of these students places a considerable burden on faculty. In addition, ill-prepared international students are a significant financial drain on the EMS/ESL/ELL departments, which were – in most cases – already quite lean. The group proposed that each campus develop a comprehensive plan to address the needs of international students including academic language support, classes, and tutorials. It also advocated support for faculty development and TA training to help serve the international student population.

Acknowledgements

UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: UCLA Writing Program Director and Chair of the Analytical Writing Placement Examination Committee George Gadda, EMS Advisory Group Chair Robin Scarcella and all members of the EMS Advisory Group, Director of Undergraduate Admissions Michael Treviño, Principal Administrative Analyst Julie Lind, Vice President Judy Sakaki, and Student Affairs Coordinator Evera Spears. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCOPE meetings this year.

UNIVERSITY COMMITTEE ON PRIVILEGE & TENURE

ANNUAL REPORT 2012-13

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Privilege & Tenure (UCP&T) met twice during 2012-13 and deliberated by email to carry out its duties under [Senate Bylaw 195](#) to advise on general policies involving academic privileges and tenure and to maintain statistical records on grievance, disciplinary, and early termination cases. The committee was not called upon to constitute any special hearing committees as provided for in Bylaw 336.A. In addition to deliberating and opining on specific issues as described below, the committee took advantage of the opportunities presented at both meetings to consult extensively with Cynthia Vroom, the Office of General Counsel's designated attorney advisor to committees on privilege and tenure; the systemwide Senate leadership; the Vice Provost for Academic Personnel; and to engage in in-depth exchanges of information on privilege and tenure procedures and practices in members' divisions, including the form and frequency of interactions with campus administrations.

UCP&T formally opined on the following:

APM 150 revisions. The committee affirmed its 2011-12 recommendation that APM 150 be revised to clarify notice, process, and timelines, with conforming amendments of Bylaw 337 if the proposed APM revision is adopted. Academic Council adopted the recommendation and transmitted it to Vice Provost Carlson for review in 2013-14.

APM 600 series revisions. Recommended that the review of a large number of proposed revisions be reopened and that a "redline" version of the proposed policy revisions be circulated in order to allow reviewers to see precisely how changes will affect the policy. Academic Council conveyed this recommendation to Vice Provost Carlson, who agreed to resubmit those parts of the proposed revisions that elicited comment for further review and to circulate the "redline" version of the relevant parts of the series.

Senate Bylaw 336 "three year rule." Agreed to send a letter to division chairs for distribution to department chairs that will advise them of the three-year rule; advise the use of informal quasi-disciplinary tools when appropriate to correct bad behavior; and advise that failure to escalate to formal discipline when indicated will result in loss of evidence in future proceedings if the bad behavior becomes chronic.

Agreed that divisional Privilege & Tenure hearing panels should make clear statements for the record when they do not have sufficient information to determine whether allegations of gender bias are valid.

Recommended that the Vice Provost – Academic Personnel be formally appointed as a consultant to the committee and that the committee be included in early consultations regarding revisions to the Academic Personnel Manual.

Recommended that in 2013-14 the committee consider further discussion of whether to recommend some form of access to Privilege and Tenure procedures for non-Senate faculty. Members noted that Legislative Ruling 12.80 allows a Chancellor to appoint a Privilege & Tenure hearing panel for a non-Senate member, although this would not be recognized as a Senate process.

Recommended that in 2013-14 the committee consider how the three-year rule applies to evidence in grievance cases; how UCP&T can strengthen education, particularly for new faculty, about rights in the Privilege & Tenure context; and how UCP&T can create an institutional memory for general reference.

Members affirmed the value of exchanging information and views on the complex issues that divisional Privilege & Tenure committees address. The committee wishes to acknowledge the expert advice, assistance, and support provided by Cynthia Vroom, Office of General Counsel, and Academic Senate Executive Director Martha Winnacker.

Respectfully submitted,

David Brundage, Chair (UCSC)

Jeffrey Lansman, Vice Chair (SF)

Vern Paxson (B)

Philip Kass (D)

Rodrigo Lazo (I)

Stuart Banner (LA)

Robert Hillman (M)

Helen Henry (R)

Duncan Agnew (SD)

Allison Butler (SB)

Onuttom Narayan (SC)

UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2012-13

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 2012-13 academic year, UCORP met eight times, five times in person and three times via videoconference. One in-person meeting was held in Sacramento with legislative aides. This report briefly outlines the committee's activities.

RESEARCH POLICY ISSUES:

1. Multi-Campus Research Unit (MRU) Guidelines in The Compendium

In continuation of a project begun in 2009-10, the Academic Council charged the 2010-11 UCORP to undertake a revision of The Compendium section on MRUs. That UCORP worked to disentangle the many types of research entities, a complex project in which they were assisted by the Research Grants and Program Office (RGPO) in the Office of Research and Graduate Studies (ORGS), led by Mary Croughan and aided by Kathleen Erwin, who provided detailed information about extant multi-campus research entities. The 2010-11 UCORP then drafted guidelines for MRU administration; those guidelines were approved by the Academic Council.

The 2011-12 UCORP was tasked to translate the guidelines into policy language for inclusion in the revised Compendium. Senate Associate Director Todd Giedt drafted the first revision to the Compendium with minor revisions suggested by UCORP members. The final round of editing in 2011-12 sought to ensure that the revision would match new multi-campus research funding procedures initiated by ORGS as well as that the revision would be compatible with new oversight mechanisms.

The 2012-13 UCORP forwarded the draft MRU Compendium language to the Academic Planning Council for discussion and further comments. The Academic Planning Council commented on the length of the revised MRU / MRPI section of the Compendium. UCORP extensively revised and shortened the Compendium language to address these comments. The Academic Planning Council also noted that the Compendium contained language that conflicted with other governing documents, including the Academic Personnel Manual and the Regent's Standing Orders. UCORP discussed the different versions of the language and suggested that all three documents adopt the Regent's language which was identified as the most authoritative source. The Academic Planning Council accepted this suggestion, which was endorsed by the Academic Council.

As a result, this spring the systemwide Senate considered revisions to APM 241 which governs the appointment of faculty administrators, including multi-campus research entities. The level and timing of consultation with local administrators for systemwide entities was discussed at length, and UCORP suggested that the lead campus' chancellor be allowed to opine on the final

candidates. The outcome of the review will not be known until the 2013-14 UCORP is seated.

2. Lab Safety

Following high-profile incidents, UC's Office of Risk Management worked closely with the General Counsel and the Office of Research to revise the University's safety protocols and processes. UCORP received frequent updates from Director of Environmental Health and Safety Erike Young. UCORP opined that vigilance would be needed to protect researchers from suffering from cost shifting and inconsistent enforcement. UCORP also opined that regulations and trainings should be tiered to match relative risk, environmental situations, and individual level of experience.

3. Composite Benefit Rates

In an effort designed to make billing to federal funders easier, the Chief Financial Officer Division proposed the use of composite benefit rates, wherein employee benefits would be determined by class or category, rather than on an individual basis. Much discussion focused on the proper number of categories, especially for employee groups that receive differential benefits and for faculty summer salaries which are not considered covered compensation for the University of California Retirement System (UCRS) calculations. UCORP expressed concerns early in the process that research grants would be charged higher benefit rates under the proposed changes without providing any actual increased benefits to Academic Senate members.

Senate participants in the conversation were deeply involved in iterative drafts with CFO personnel, and in the end, the federal government approved the faculty-sought separate rate for summer salaries. Nonetheless, some researchers will still subsidize others through the cost smoothing process. Implementation will begin in 2014, and UCORP will continue to monitor impacts to the research enterprise closely.

4. Online Education

The Regents have directed the University to develop an online education program. There are different models in the marketplace that UC might adapt, and two distinct programs were under development at UC this year. One approach targets non-matriculated students to enlarge the educational benefits provided by the UC, and the other targets majors within UC to reduce time to degree. UCORP advocated for a third model that targets dispersed groups of students in specialized research fields that have low numbers on a single campus but that could achieve critical mass for online class offerings across the entire system. UCORP also reminded program designers that educational outcomes often depend on the research experience. As such, online courses are not workable for some disciplines, or must be offered in a multi-media format. UCORP was also concerned that courses developed for online delivery, and the materials faculty use as educational resources, could be used for other than their intended purpose or could be altered for use in ways not originally intended. UCORP will continue

to monitor the development of online education to ensure that research integrity is protected.

5. Open Access

The University Committee on Library and Scholarly Communications (UCOLASC) developed a proposal that would encourage all UC faculty to submit their research findings into an open access repository maintained by the California Digital Library. Open Access is dedicated to the idea that publicly funded research should be accessible by the public without obstacle. UCORP responded by supporting the goal of the project, but suggested easing the burden on faculty members for deposition research articles and to allow greater flexibility for disciplines where open access represents a paradigmatic shift. UCORP also sought greater protections for the copyrights of deposited materials and clear guidance regarding the citation/inclusion of previously copyrighted materials in open access research.

The Open Access Policy was approved by the Academic Council, and implementation is expected over the next year. UCORP will monitor any impacts to the research environment and processes.

6. Administrative Burden

The Office of Research and Graduate Studies (ORGS), in response to a call from the National Science Foundation, asked for UCORP's assistance in developing and promulgating a survey to assess the administrative burden principal investigators face. Chair Kleeman and Vice-Chair Clare convened a UCORP working group that worked intensively with Executive Director for Research Policy Analysis and Coordination Wendy Streitz to develop a survey for UC researchers. Nearly 1 in 8 UC researchers responded, and ORGS shared the findings with the NSF as well as with other national groups interested in the topic, including the Council on Governmental Relations and the American Association of Universities. ORGS will work to streamline UC's internal processes, and changes will be brought to UCORP for review as they become available.

RESEARCH PORTFOLIO:

1. Portfolio Review Group (PRG)

The PRG is a joint Senate-Administration group that advises the Vice President for Research and Graduate Studies on the portfolio of research enterprises centrally funded at UC. UCORP contributed to the creation of the Portfolio Review Group in 2011-12. During 2012-13, UCORP Chair Kleeman nominated Academic Senate members to serve on the PRG and met with the newly appointed PRG Chair to provide an Academic Senate perspective on the history and purpose of the PRG.

2. University of California Observatories (UCO)

Following an external review of the largest MRU (UCO), a new administrative and management group called the UCO Board was convened by ORGS Vice President Beckwith. The UCO Board is charged to oversee fiscal operations at UCO, and function as an independent moderator between UCO and the Office of the President. The UCO Board will report to the PRG. The 2011-12 UCORP supported the creation of the UCO Board, and a future UCORP will review their findings and recommendations.

During 2012-13, UCORP met directly with UCO Interim Director Sandra Faber to stay current on the evolving issues surrounding UCO. Discussion focused on the proper level of financial support from the central offices vis-à-vis other systemwide research priorities, the process of long-term goal setting for UCO and UC astronomy and astrophysics, and the best administrative structure for UCO-supported faculty with campus-based appointments. Further discussions related to UCO will be held by UCORP after recommendations are made public by the UCO Board.

3. California Institutes of Science and Innovation (Cal ISIs)

Governor Gray Davis initiated the California Institutes of Science and Innovation (Cal ISIs), and UC won the bid to host and administer them in 2001. Part of UC's administration includes five-year reviews, modeled on the academic reviews to which UC MRUs are subjected. To that end, this year UCORP opined on the second external review findings for the California Institute for Telecommunications and Information Technology (CalIT2) as well as the first external review of the California NanoSystems Institute (CNSI). UCORP reiterated its concern with the length of time required to complete each review and the lack of alignment between the review materials submitted. UCORP recommended changes to future Cal ISI reviews to improve the process. The recommendations were adopted by the Academic Council and forwarded to Provost Dorr for consideration.

4. Agriculture and Natural Resources (ANR)

During 2011-12, the Academic Council created the Academic Council Special Committee on Agriculture and Natural Resources (ACSCANR), comprised of representatives from impacted divisions, UCORP, and the University Committee on Planning and Budget (UCPB). Chair Kleeman represented UCORP on ACSCANR during 2012-13 and kept the committee abreast of developments.

5. Department of Energy National Laboratories

UCORP was also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI) by Chair Kleeman. UCORP, citing both the continued oversubscription of the lab fee RFP and the perceived disproportionate cuts already made to the research enterprise, again lauded the administration's decision to dedicate lab fees to research projects exclusively once again this year. ACSCOLI also monitored the establishment of second campus for the Lawrence Berkeley National Lab and still unresolved issues relating from the conversion of the Lawrence Livermore and Los Alamos labs to LLC management.

RESEARCH ADVOCACY:

UCORP engaged in a significant outreach program to Legislative Aides in Sacramento during 2012-13 to communicate the importance and benefits of UC's research mission to the state of California. The March UCORP meeting was scheduled in UC's Sacramento office with Legislative Aides attending from the Governor's office and the Department of Finance among others. UCORP highlighted UC's historical focus on research in the state constitution, the financial benefits of federal research money spent in California, the educational benefits of research opportunities for undergraduate and graduate students, and the societal benefit that research provides. UCORP also highlighted the benefits of continued support of research infrastructure within UC even during times of fiscal stress. The meeting was considered successful by all attendees and will be repeated in coming years.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT:

In addition to the above, UCORP responded to requests for review of several policies and white papers on a range of topics with systemwide import:

- Academic Personnel Manual Revisions to sections:
 - 015 (Faculty Code of Conduct),
 - 430 (Visiting Scholars),
 - 600 series (Salary Administration), and
 - 700 (Leaves of Absence and Presumptive Resignation)
- Negotiated Salary Trial Program
- "Rebenching"

UCORP REPRESENTATION:

UCORP members participated on the following systemwide bodies during the year: Academic Assembly (Chair Kleeman), Academic Council (Chair Kleeman/Vice-Chair Clare), Academic Council Special Committee on Lab Issues (Chair Kleeman), Academic Council Special Committee on Agriculture and Natural Resources (Chair Kleeman), the Technology Transfer Advisory Committee (Member Cleary), the Merit Review Workgroup (Members Dubnov and McKee) and the Academic Planning Council (Chair Kleeman). Throughout the year, UCORP's representatives provided updates on the activities of these groups.

ACKNOWLEDGEMENTS:

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: Steven Beckwith, Vice President for Research and Graduate Studies (ORGS); Mary Croughan, Executive Director for Research Grants and Program Office (RGPO), ORGS; Kathleen Erwin, Director, RGPO; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination (RPAC), ORGS; and Jenny Gautier, Deputy to the Vice President (ORGS).

UCORP also wishes to thank its invited guests and campus alternates for their participation and support, as well as colleagues across the system who brought to the attention of the committee research-related issues of concern.

Respectfully submitted, UCORP 2012-13:

Mike Kleeman, Chair (UCD)
Robert Clare, Vice Chair (UCR)
Mike Tarter, UCB
Sally McKee, UCD
Liane Brouillette, UCI
Tim Tangherlini, UCLA
Mike Cleary, UCM
Leonard Nunney, UCR
Shlomo Dubnov, UCSD
Judith Moskowitz, UCSF
Shivkumar Chandrasekaran, UCSB
Scott Oliver, UCSC
Kenneth Feer, Principal Analyst (UCOP)

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A. Academic Council: Performance Indicators	74
<ul style="list-style-type: none"> ▪ Bill Jacob, Academic Council Chair ▪ Debora Obley, Associate Vice President, Budget and Capital Resources 	
<u>Background Information:</u>	
(1) Link to SB 195, California Postsecondary Education - State Goals: http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB195	
(2) Link to UC Accountability Report: http://accountability.universityofcalifornia.edu/	
B. Doctoral Education	74
<ul style="list-style-type: none"> ▪ Donald Mastronarde, CCGA Chair ▪ Mary Gilly, Academic Council Vice Chair 	
<u>Background Information:</u>	
(1) November 2013 Presentation to the Regents on Doctoral Education: http://regents.universityofcalifornia.edu/regmeet/nov13/e1.pdf	
(2) Minutes from Regents' discussion of presentation on doctoral education: http://regents.universityofcalifornia.edu/minutes/2013/edpol11.pdf	
C. BOARS: Transfer Issues	74
<ul style="list-style-type: none"> ▪ George Johnson, BOARS Chair and Co-Chair, Transfer Action Team 	
D. Faculty Diversity	74
<ul style="list-style-type: none"> ▪ Emily Roxworthy, UCAAD Chair ▪ Harry Green, UCAP Chair 	
<u>Background Information:</u>	
(1) Link to UC's Response to the Moreno Report: http://www.ucop.edu/moreno-report/	
(2) See enclosed August 2013 letter from Academic Personnel Vice Provost Carlson regarding campus faculty salary equity plans and reports	
(3) See enclosed January 2014 letter from Academic Council Chair Jacob to Vice Provost Carlson regarding the historical context of the recommendation to revise APM 210-1.d	



OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

August 9, 2013

To: Executive Vice Chancellors/Provosts
Vice Provosts for Academic Personnel

From: Susan Carlson
Vice Provost for Academic Personnel

Subject: Next steps with campus faculty salary equity plans and reports

Thank you for responding to the President's September 2012 call for a campus-based plan to implement a faculty salary equity study (President's memo attached). Once we received all campus plans in the early spring, we transmitted the plans to the Academic Council on February 25, 2013. As a part of this transmittal, Academic Personnel compiled a file with all campus plans as well as a chart outlining how each campus responded to the President's requests for various components of the plan. You received these materials in March and they are again attached.

Academic Council response. From March to May, Senate systemwide committees and divisional Senate faculty reviewed the plans. I received Chair Robert Powell's response with the Academic Council's assessment on May 30 (attached); the memo contains responses from three systemwide committees (UCAP, UCFW, and UCAAD) and from four campuses (Irvine, San Diego, San Francisco, and Santa Cruz). The Council response was critical of the submissions, highlighting two major concerns Council members wish to see addressed: 1) a "lack of detail" in some campus plans, particularly on data collection methodology and on the process for "correction of any deficiencies or shortfalls identified"; for example, one committee cited a lack of "strategies for remediation," and 2) a concern that on some campuses, consultation with faculty was inadequate and needs to be more "robust." The Council asked, in particular, that Executive Vice Chancellors/Provosts consult with campus committees on Faculty Welfare, Diversity, and Academic Personnel as some of you have done. Provost Dorr and I believe this is significant input and know that you will work with your Faculty Senate as you finalize the methodology for the study and the process for addressing any equity issues identified in the campus's study.

The Council letter also asks for additional components to be included in the review process moving forward, items that were not originally a part of what the President requested. The Council requested the following :

- That "campus studies should examine how quickly faculty progress through steps and their pay level at each step."
- That "each campus should provide firm deadlines for the completion of the study and implementation of any resulting recommendations."
- That the campuses would "benefit from sharing best practices regarding methodology and implementation strategies."
- That Academic Personnel at UCOP should convene a committee "to develop a set of common metrics to help guide further development of the plan, provide a consistent approach, and allow for comparisons."

I hope you will keep the first three suggestions in mind as you continue to develop your plans. For example, it is important that you clarify your expected timeline, since that may have changed in the last few months and since the feedback from UCOP has been delayed. I know that some of the campuses are considering the issue of progress through steps as a component of their studies and that you will share “best practices” as has already been the case. At the July COVC meeting, we agreed that I should keep in close contact with your campuses, through your Vice Provosts, to identify when it would be helpful to have systemwide conversations about methodology and analysis. The Vice Provosts of Academic Personnel and I have had two conference calls in the past week and will follow up with additional calls and in-person meetings over the coming year. This group will share updated plans and related documents. Academic Personnel at UCOP does not plan to develop “common metrics,” however, since the President specifically directed that each campus should develop a plan to fit its circumstances (including the option to continue faculty salary equity studies that are ongoing). His decision to support this campus-based approach was responsive to feedback from both the Academic Council and academic administrators.

UCOP approval of plans. I know from the COVC discussion that some of you have continued to move ahead with development of your faculty salary equity studies since you submitted your plans to the Provost several months ago, and I understand that others of you have been waiting for feedback before further development of your plans. Feedback on individual campus plans follows, including approvals and requests for additional information. This feedback draws from Council review, UCOP review, and information you have shared in the past two weeks.

Berkeley. Details of preliminary plan approved (January 2013). Development of methodology should be submitted in updates.

Davis. Preliminary data report accepted (January 17, 2013). Report by UC Davis Salary Equity Task Force to be shared as soon as it is ready for circulation.

Irvine. Three-part plan approved (January 15, 2013). Since Interim EVC/P Bryant informed Provost Dorr that the CAP assessment of faculty salaries is being discontinued, description of “faculty committees who will be involved” needs to be clarified in the next update.

Los Angeles. Details of proposed campus plan approved (January 23, 2013). Development of methodology should be submitted in updates.

Merced. Details of campus plan approved (December 2012). Development of methodology should be submitted in updates.

Riverside. Campus plan approved (January 15, 2013). Development of methodology should be submitted, including method developed for OFCCP audit.

San Diego. Multiple actions proposed in letter of February 19, 2013 approved. Ongoing Senate consultation to be clarified in updates.

San Francisco. Details of campus plan approved (January 2013). Updates should include development of methodology at the school-level as well as plans to build a single campus report.

Santa Cruz. Faculty Salary Equity Study described in letter is approved (January 15, 2013). Full method, including additional data components to be added, should be included in updates.

Santa Barbara. Continuation of current faculty salary analysis is approved. Updates should include plans for continuation of study after departure of current EVC/P, who does the analysis.

I am happy to clarify any of this feedback.

I encourage your campuses to continue with your work so that you will be able to produce a full study no later than January 2015, as directed by the President. As you move toward that date, Provost Dorr and I are asking for periodic progress reports on the following dates: November 15, 2013; March 1, 2014; and June 1, 2014. We will offer additional feedback on these updates and share them with the Council Chair. Your planning and updates should take into account the Academic Council response and, in particular, should contain a fully developed methodology and timeline.

Please let me know if you have questions about these details. Feel free to submit additional information at any time. Otherwise, we ask for the first update by November 15, 2013.

Attachments:

- President Yudof's letter (9-11-12)
- Portfolio of campus salary equity plans
- Summary of faculty equity plans
- Chair Powell's letter (May 30, 2013)

cc: President Yudof
Provost Dorr
Chair Powell
Vice Chair Jacob
Executive Director Tanaka
Executive Director Winnacker

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*Chair of the Assembly of the Academic Senate
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January 2, 2014

SUSAN CARLSON, VICE PROVOST ACADEMIC PERSONNEL

Re: Proposed revision of APM 210

Dear Susan:

As I believe you are aware, ambiguities in the language of APM 210-1d contains have raised concerns in Senate committees about inconsistent implementation and potential misunderstanding. Accordingly, over the past year, the University Committee on Academic Personnel (UCAP) and the University Committee on Affirmative Action and Diversity (UCAAD) have worked together to develop proposed revisions that they believe would more precisely state the University's commitment to faculty diversity while also avoiding the misperception that research in some fields will be valued more highly than research in others without regard to its academic quality.

I write now to transmit a memo from UCAP and UCAAD chairs Harry Green and Emily Roxworthy providing background context for the proposed change. Please note that the language of APM 210-1d was first proposed by the Senate.

As always, please feel free to contact me or Professors Green or Roxworthy if you have any questions or concerns.

Sincerely,



Bill Jacob

Encl. (1)

Cc: Academic Council
Executive Director Winnacker
Policy Manager Lockwood
Senate Analysts

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January 2, 2014

BILL JACOB, CHAIR
ACADEMIC COUNCIL

RE: APM210-1.d Historical Context and Need for Revision

Dear Bill,

Historical Context

In the fall of 2002, President Atkinson convened a Strategic Review Panel that recommended incorporating educational outreach (which helps disadvantaged and underrepresented populations) into the teaching and research mission of the UC faculty. The Panel's final report in Spring, 2003, also recommended involving faculty more directly in efforts to serve the community. One of the University's responsibilities as a land-grant institution is to provide broad and equitable education for all eligible California residents, including those in disadvantaged and underrepresented groups. As a consequence, faculty contributions to diversity and equal opportunity are to be highly valued by the University. Accordingly, the Panel asked the Academic Senate to develop means by which faculty members could be properly recognized and rewarded for their participation in these forms of educational outreach.

In 2003-04, the Senate's University Committee on Affirmative Action and Diversity (UCAAD) worked with several other Senate committees to propose language for the Academic Personnel Manual (APM) that would instruct campus reviewers to evaluate contributions to diversity and equal opportunity in all three categories of the academic appointment, review, and promotion process (teaching, research, and service). Revisions of three sections of the APM were proposed to guide Deans (APM 240), Department Chairs (APM 245) and the Academic Merit and Promotion process (APM 210) in promoting diversity and equity. The first two revisions were approved with little discussion but the proposed revisions to APM 210 met with considerable controversy. In particular, the University Committee on Research Policy (UCORP) commented that "By singling out a specific area of work for special treatment, it seems to imply that the subject matter itself is more important than and substitutes for scholarly rigor, objectivity and originality" and "It is also unclear how to distinguish between diversity efforts that should count as "research and creative work" rather than as "University and public service." In 2004-05, following further discussion and system-wide review, the Academic Council unanimously approved creation of a new paragraph of APM 210 (section 210-1.d) [Attached]. The Administration concurred and charged each campus with devising local strategies to implement the new policy.

Need for Revision

Since 2005, each campus has approached APM 210-1.d autonomously, and its implementation has been uneven and inconsistent across the system, primarily due to confusions and/or disagreements concerning the original two concerns of UCORP. Finally, in 2011/12, after extensive and animated discussions, the University Committee on Academic Personnel (UCAP) concluded that the current wording of APM 210-1.d was unworkable because its language is ambiguous; it can be read to say that research into diversity and equity holds a privileged position above other academic disciplines. This conclusion was reached while UCAP was reviewing the report of a Faculty Diversity Working Group convened by President Yudof in early 2011 as part of the Campus Climate Council. One of the Working Group's key recommendations was that the Senate devise strategies for fully implementing APM 210-1.d as soon as possible. As a consequence of the Working Group's recommendation and UCAP's conclusion of unworkability of the current wording, in Fall 2012, the Senate Chair tasked UCAAD and UCAP with revising the language of APM 210-1.d to make it unambiguous to ensure that the policy would be fully and consistently implemented on every campus.

Proposed New Language

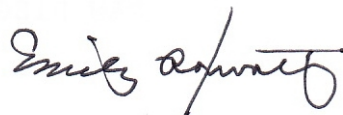
During the 2012-13 academic year, UCAAD and UCAP worked together to modify the language of APM 210-1.d to clarify: (i) that all academic disciplines have equal standing in the merit/promotion process; (ii) that contributions to diversity and equity by faculty members for whom diversity and equity are not primary research fields are also to be encouraged as an aspect of their teaching and/or service; (iii) that mentoring of diverse students and faculty in any discipline is important and can require considerable time and effort, for which faculty should be rewarded appropriately. The proposed revisions include explicit language stating that research, teaching, and service related to diversity and equal opportunity comprise a valid disciplinary area that is to be judged on its own merits—at the same level of recognition as any other academic discipline recognized by the University of California. At the same time, contributions toward diversity, equity and inclusion in teaching and/or service are to be highly valued in the merit/promotion process of faculty in any discipline. Mentoring of diverse students and faculty is specifically to be given “due recognition” in the merit/promotion system. That is, such mentoring is to be addressed on a “sliding scale”, thereby giving appropriate recognition depending on the level of involvement of the faculty member. In Spring, 2013, the Academic Council approved with a large majority the revised wording for APM 210-1.d [attached] that is now to be distributed for discussion and approval by the full Senate.

Finally, both UCAAD and UCAP recommend that every campus provide dedicated sections on the biobibliography or elsewhere in the review file where faculty can, if they wish, document their contributions to diversity and include narrative that details the efforts and impacts of these activities. Such presentation will allow reviewers at all levels to evaluate these voluntary contributions to teaching and service in the context that they are valued highly by the University.

Sincerely,



Harry Green, Chair
UCAP



Emily Roxworthy, Ph.D., Chair
UCAAD

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