

UNIVERSITY OF CALIFORNIA
BERKELEY • DAVIS • LOS ANGELES • MERCED • RIVERSIDE
SAN DIEGO • SAN FRANCISCO • SANTA BARBARA • SANTA CRUZ



NOTICE OF MEETING
ASSEMBLY OF THE ACADEMIC SENATE

Wednesday, June 12, 2013
1111 Franklin St., Oakland
10:00 am – 4:00 pm

I.	ROLL CALL OF MEMBERS	1
II.	MINUTES	
	Approval of Draft Minutes of the Meeting of April 10, 2013	2
	Appendix A: Assembly Attendance, April 10, 2013	7
III.	ANNOUNCEMENTS BY THE CHAIR	8
	▪ Robert Powell	
	A. Apportionment of Representatives to the 2013-14 Assembly [INFORMATION]	
IV.	ANNOUNCEMENTS BY THE PRESIDENT [INFORMATION/DISCUSSION]	8
	▪ Mark G. Yudof	
V.	ANNOUNCEMENTS BY THE PROVOST [INFORMATION/DISCUSSION]	
	A. Innovative Learning Technology Initiative	8
	B. Goals and Strategies for Improving Academic Performance Indicators	13
	▪ Aimée Dorr	
VI.	SPECIAL ORDERS	
	A. Annual Reports [2011-12]	
	▪ Graduate Affairs (CCGA)	39
	▪ Affirmative Action and Diversity (UCAAD)	47
	▪ Preparatory Education (UCOPE)	52
VII.	REPORTS ON SPECIAL COMMITTEES [NONE]	54

VIII.	REPORTS OF STANDING COMMITTEES	
A.	BOARS Recommendation to Adjust Statewide Admissions Index [ACTION]	54
B.	BOARS Proposed Amendments to SR 478 [ACTION]	58
	▪ George Johnson, BOARS Chair	
C.	Academic Council	
	▪ Robert Powell, Academic Council Chair	
1.	Nomination and Election of 2013-14 UCOC Vice Chair [ACTION]	74
2.	Ratification of 2013-16 Secretary/Parliamentarian [ACTION]	74
3.	Amendments to APM 015 [ACTION]	77
IX.	UNIVERSITY AND FACULTY WELFARE REPORT [NONE]	87
X.	PETITIONS OF STUDENTS [NONE]	87
XI.	UNFINISHED BUSINESS [NONE]	87
XII.	NEW BUSINESS	87

I. Roll Call

2012-13 Assembly Roll Call June 12, 2013

President of the University:

Mark G. Yudof

Craig Walsh

Academic Council Members:

Robert Powell, Chair
William Jacob, Vice Chair
Christina Maslach, Chair, UCB
Bruno Nachtergaele, Chair, UCD
Mary Gilly, Chair, UCI
Linda Sarna, Chair, UCLA
Peggy O'Day, Chair, UCM
Jose Wudka, Chair, UCR
Guy Masters, Chair, UCSD
Robert Newcomer, Chair, UCSF
Kum-Kum Bhavnani, Chair, UCSB
Joe Konopelski, Chair, UCSC
George Johnson, Chair, BOARS
Ruth Mulnard, Chair, CCGA
Manuela Martins-Green, Chair, UCAAD
Harry Green, Chair, UCAP
John Yoder, Chair, UCEP
Daniel Hare, Chair, UCFW
Mike Kleeman, Chair, UCORP
Bernard Minster, Chair, UCPB

Los Angeles (8)

Malcolm Gordon
Jennifer Krull
Timothy Lane
Alan Laub
Susanne Lohmann
Joseph Nagy
Monica Smith
Richard Steinberg

Merced (1)

Wolfgang Rogge

Riverside (2)

Richard Luben
Bahram Mobasher

San Diego (5)

John Hildebrand
Eduardo Macagano
Douglas Magde
Jan Talbo
Eric Watkins

San Francisco (4)

Farid Chehab
David Gardner
Janice Lee
Robert Nissenson

Berkeley (5)

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

Davis (6)

Trish Berger
Theodore DeJong
Richard Grotjahn
Ahmet Palazoglu
Saul Schaefer
Jeffrey Williams

Santa Barbara (3 -1 TBA)

Ralph Archuleta
Claudio Fogu
Aranye Louise Fradenburg

Santa Cruz (2)

Donald Brenneis
Joel Ferguson

Irvine (4)

Elliott Currie
Christopher Leslie
Carrie Noland

Secretary/Parliamentarian

Peter Berck

MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE

April 10, 2013
MINUTES OF TELECONFERENCE

I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met via teleconference on Wednesday, April 10, 2013 by teleconference. 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 June 6, 2012 meeting as noticed.

III. ANNOUNCEMENTS BY THE CHAIR

SB 520 and SB 547. Chair Powell stated that these two state Senate bills on online education are of great concern to the faculty. SB520 (Steinberg) would require UC to provide credit for online courses offered by third-party providers, contingent on approval by a 9-person intersegmental body. The University and the Academic Senate have strongly opposed this bill. SB547 (Block) would direct the three segments to work together to develop courses that articulate among the three segments. It is very prescriptive and stipulates that UC would have to accept CSU and CCC courses by September, 2014. The University is still analyzing this bill. There will be a hearing on April 24 in Sacramento on these two bills; Chair Powell and Vice Chair Jacob will testify.

Meetings in Sacramento. Chair Powell reported that BOARS and UCORP met with state legislators and legislative staff in Sacramento. Vice Chair Jacob plans to hold some systemwide Academic Senate meetings in Sacramento next year in order to communicate faculty opinion directly to legislators.

President's Search. An Academic Advisory Committee (AAC) has been appointed to advise the Regental Special Committee to Consider the Selection of a President. There will be a joint meeting of the AAC and the Special Committee on April 19. The process is proceeding according to schedule.

Enrollment Management. Chair Powell said that plans for enrollment growth and enrollment management will be submitted by the campuses to UCOP on April 30. He asked divisional Senate chairs to ensure that their Senates are involved and that there is a robust consultation process.

UCRP. Chair Powell noted that beginning on July 1, employee contributions to UCRP will increase from 5% to 6.5% and employer contributions will rise to 12%. UCOP will propose that on July 1, 2014, employer contributions rise to 14%, as planned, and the employee contributions to 8%, which was not part of the original plan. The Senate previously opined that employee contributions should be capped at 7%. UCFW has proposed that future employee contribution increases be coupled with salary increases so that we do not lose further ground on total remuneration. The president is considering up to a 3% salary increase in 2013-14 for faculty and non-represented staff. This would off-set the UCRP employee contribution increases for 2013-14 and proposed for 2014-15. Total remuneration is not competitive and non-represented staff are particularly losing ground in regard to inflation.

Online meetings. Chair Powell noted that the governor carved \$10M out of the University's budget to develop online courses for matriculated students. The Regents have asked for a progress report on this

effort every other meeting. The Senate leadership has been collaborating with the Provost's office on a process to develop these courses. Provost Dorr will convene two meetings this week at two sites—UCI and UCOP—to discuss how best to accomplish this.

IV. ANNOUNCEMENTS BY THE PROVOST

Online course development. Provost Dorr said that Chair Powell and Vice Chair Jacob have been effective advocates for the appropriate faculty role in online course development vis-à-vis the various proposals in Sacramento. She noted that it is unclear whether the legislature will support the governor's proposed budget. However, her office is proceeding with plans to develop an online course initiative in case funding is provided. She noted that nearly 200 people will attend the working meetings on online education. Online courses will be developed in a way that best supports efforts on the campuses. On April 25, she will host a subset of the attendees of this week's meeting to review all of the ideas proposed and to craft a plan. While the working meetings are by invitation, only UC faculty and staff are invited; no third-party providers or politicians will attend. Letters of intent for course development have already been solicited and a RFP will be issued later in the spring based on input from the working meetings. Provost Dorr commented that she has enjoyed working with the systemwide Senate committees; it has been productive and has been in the best interests of the University.

Campus visits. Provost Dorr said she has visited all of the campuses except UCLA and learned a great deal about their characters and needs and aspirations

Tuition. Provost Dorr said that on these visits, she heard a great deal of concern expressed about tuition levels. Some have the expectation that the passage of Proposition 30 implied a promise of no tuition increases. UCOP's view is that it is unwise not to regularly raise tuition in small amounts in order to meet rising mandatory costs and provide students and their families with predictability.

UCSHIP. UCOP has established that each campus is free, within some constraints, to establish its own student health insurance plan. While the fees and benefits for UCSHIP will be brought into alignment, UCOP needs to decide how to handle the debt the program has incurred.

Salaries. The president will be discussing possible salary increases. In addition, a total remuneration study will be done next year. The campus faculty salary equity plans have been submitted, as well as plans for the negotiated salary trial plan. UCOP is also reviewing a new Health Sciences Compensation Plan.

SSP and PDST Task Force. A special task force on Professional Degree Supplemental Tuition has been working to develop a policy, and the Academic Planning Council has been working on recommended changes to the Compendium and to update the policy on Self-Supporting Programs. These will both go out for review when they are completed.

Reviews of Senior Managers. The President is working on determining a process for performing five-year reviews of senior managers in order to comply with the new performance review policy. He will complete the reviews of those who are his direct reports before he steps down.

Comment: The governor's and legislature's rationale for online education is to improve graduation rates. The scholarly literature indicates that this rationale makes little sense. The research on the effectiveness of online education rarely seems to be part of these discussions.

A: Provost Dorr replied that UC does not have the same challenges as CSU and the CCCs in terms of graduation rates and the availability of courses. However, there is still room for improvement. We must focus on what each segment needs, while meeting the intent and the spirit of the governor's budget proposal. We can not accomplish what UC needs under the bills proposed in the legislature, however.

Q: How will the results of the meetings on online course development be shared with the faculty?

A: Provost Dorr said she will ask the breakout groups at the meetings to write short descriptions of their conclusions to include in a brief that will be circulated and posted.

Q: Has UCOP taken a position about the involvement of MOOCs in a UC education?

A: Provost Dorr noted that some campuses already are using outside providers to design courses and provide the platform. That is a campus decision. UCOP, in consultation with the Chancellors, decided that it is at the campus' discretion whether to contract with MOOCs. The funding in the governor's budget is for credit-bearing courses, so it will not involve MOOCs. The president has been very clear that the creation of online courses will be with a "coalition of the willing." There will be no pressure for faculty to offer online courses or for students to take them. It will be a small part of the portfolio. UC has residential campuses offering a residential experience and a UC education involves opportunities for students to engage with faculty in small classes. Part of the budget will be used for rigorous evaluation and assessment of the courses. This is part of what distinguishes UC quality courses from other online offerings.

Q: Could you share information about the planning for a communications hub and credit sharing for systemwide courses across the campuses?

A: Provost Dorr replied that she is convening a group that will discuss the communications hub, develop specifications, and get cost estimates. The hub is essential to make it possible for our students to take courses at other UC campuses. We will discuss course articulation at the online course meetings this week. Policy already requires that courses taken at other campuses count for unit credit, but we need to develop an articulation process so that they count for major and GE credit. Over 112,000 articulation agreements exist between UC and CCC campuses, so we should be able to articulate UC courses.

Q: Last spring, the Assembly was briefed on the work of the Academic Council Task Force on Competitiveness in Academic Graduate Student Support. What is the status and action plan on these recommendations?

A: Chair Powell clarified that two reports were written on this topic—a Senate report, and a joint Senate-administrative report. While they include many of the same findings, they come to different conclusions. Provost Dorr stated that the joint report was requested by the Regents, but we need to recognize the Senate report, as well. She has been working with the Senate leadership to try to come to an agreement. However, more work with various constituencies is required to ensure that it is an accurate representation and acceptable compromise. She hopes to report to the Regents in July.

Q: Will inequities between Humanities salaries in comparison to other divisions be considered in the salary equity plans? This imbalance may conceal problems with race and gender.

A: Provost Dorr replied that it is something that the University should consider.

V. SPECIAL ORDERS

A. Consent calendar [NONE]

B. Annual Reports. Chair Powell noted that [Bylaw 120.D.3](#) requires that standing committee annual reports be included in the first Assembly agenda of each academic year. Three of the annual reports (CCGA, UCAAD, UCOPE) are not yet available, and will be enclosed in the next Assembly agenda.

VI. REPORTS ON SPECIAL COMMITTEES [NONE]

VII. REPORTS OF STANDING COMMITTEES

A. UCR&J Proposed Amendment to Senate Bylaw 110 [ACTION]

Chair Powell stated that there is no mechanism in the Senate bylaws to provide a substitute for the Secretary/Parliamentarian when he or she can not be present. The proposal is a technical amendment to allow the Academic Council to make a temporary appointment.

ACTION: The proposed amendment to Senate Bylaw 110 was approved.

B. UCOC Proposed Amendment to Senate Bylaw 128.C [ACTION]

Chair Powell stated that the proposed amendment is a technical revision that clarifies that a chair of a systemwide committee can not be a member of the same committee at the divisional level. The issue was raised because a systemwide committee chair was also serving as a member of the same committee at a different division. Because UC Merced's faculty is still small, at times faculty from other divisions serve on Merced's committees. UCR&J opined that the language of Senate Bylaw 128.C allowed some ambiguity and needs clarification.

ACTION: The proposed amendment to Senate Bylaw 128.C was approved.

C. CCGA Recommendation to Approve New Degree Title [ACTION]

CCGA Chair Mulnard reported that CCGA recommends approval of a new degree title, Masters of Technology Management (MTM) to be offered at UCSB. According to Senate Bylaw 116.C, the Assembly considers for approval degrees that do not exist in the UC system. She reported that it will have a one-year intensive professional degree with a supplemental fee and that the proposal was very strong and the reviews were supportive. In response to a question about the faculty involved, Chair Mulnard said that some FTEs will be transferred from the College of Engineering and some additional ladder rank faculty and lecturers will be hired. She said that CCGA always ensures that there is an appropriate level of involvement of ladder rank faculty in such programs.

ACTION: The Assembly voted to recommend approval of a Masters of Technology Management as a new degree title. This recommendation will be forwarded to the President for approval.

D. Academic Council [ACTION]

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

Chair Powell stated that the Academic Council nominated Mary Gilly, the current chair of the Irvine division, to be the Vice Chair of the Academic Council and Assembly of the Academic Senate in 2013-14 and to subsequently become Chair of those bodies in 2014-15. He asked for any additional nominations from the floor. Hearing none, he introduced Professor Gilly. She stated her appreciation of the California public higher education system and the contributions of shared governance to the University of California's greatness. Faculty control over the curriculum and admissions has served as a bulwark of excellence.

ACTION: The Assembly unanimously elected Mary Gilly as 2013-14 Vice Chair of the Assembly.

VIII. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]

IX. PETITIONS OF STUDENTS [NONE]

X. UNFINISHED BUSINESS [NONE]

XI. NEW BUSINESS [NONE]

The meeting adjourned at 11:20 am.

Attest: Robert Powell, Academic Senate Chair

Minutes Prepared by: Clare Sheridan, Academic Senate Analyst

Attachments: Appendix A – Assembly Attendance Record, Meeting of April 10, 2013

Appendix A – 2012-2013 Assembly Attendance Record, Meeting of April 10, 2013

President of the University:

Mark G. Yudof (absent)

Academic Council Members:

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

Berkeley (5)

Elizabeth Deakin
Allen Goldstein
Jeffrey Perloff
Patricia Zambryski
Linda Rugg

Davis (6)

Trish Berger
Theodore DeJong
Richard Grotjahn
Ahmet Palazoglu
Saul Schaefer
Jeffrey Williams

Irvine (4)

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

Craig Walsh

Los Angeles (8)

Jennifer Krull
Timothy Lane (absent)
Alan Laub
Susanne Lohmann
Joseph Nagy
Ninez Ponce (alt. for Malcolm Gordon)
Monica Smith
Richard Steinberg (absent)

Merced (1)

Wolfgang Rogge

Riverside (2)

Richard Luben
Bahram Mobasher

San Diego (5)

John Hildebrand
Eduardo Macagano
Douglas Magde
Jan Talbot
Eric Watkins

San Francisco (4)

Farid Chehab
David Gardner (absent)
Janice Lee
Robert Nissenson

Santa Barbara (3)

Eric Matthys (alt. for Ralph Archuleta)
Claudio Fogu
Aranye Louise Fradenburg

Santa Cruz (2)

Donald Brenneis
Joel Ferguson

Secretary/Parliamentarian

Jean Olson

III. ANNOUNCEMENTS BY THE CHAIR

- **Robert Powell**

A. Apportionment of Representatives to the 2013-14 Assembly [INFORMATION]

In accordance with [Senate Bylaw 105.A.4](#), the Academic Council approved at its May 22 meeting the apportionment of the 40 Divisional Representatives for 2013-14. On the basis of Divisional Academic Senate membership as of May 2013, the Webster Method of Calculation was used to determine the number of Divisional Representatives as follows:

DIVISION	NUMBER OF REPRESENTATIVES/DIVISION
Berkeley	5
Davis	6
Irvine	4
Los Angeles	8
Merced	1
Riverside	2
San Diego	5
San Francisco	4
Santa Barbara	3
Santa Cruz	2

IV. ANNOUNCEMENTS BY THE PRESIDENT

- **Mark G. Yudof**

V. ANNOUNCEMENTS BY THE PROVOST

- **Aimée Dorr**

A. Innovative Learning Technology Initiative



University of California Innovative Learning Technology Initiative
"Using Technology to Enhance UC Students' Learning Experiences"
May 14, 2013

Overview

UC's Innovative Learning Technology Initiative (ILTI) is a direct response to the Governor's plan to earmark \$10 million from UC's FY 14 core budget to use technology to increase access to high demand courses for UC matriculated undergraduates. ILTI will help UC undergraduates get the courses they need when they need them, satisfy degree requirements, and graduate in a timely manner. ILTI will employ sound pedagogical strategies and knowledge of how students learn to create UC-quality undergraduate online courses and online modules for hybrid courses.

ILTI will take advantage of and move beyond what UC campuses are already doing to use innovative learning technology in the undergraduate instructional program. With leadership from the UC Office of the President and the Academic Senate, faculty, students, and administrators have engaged in a thorough four-month planning process. Assuming the Governor's \$10M commitment spans three years, ILTI's four strategic interconnected elements constitute a comprehensive, cohesive plan that will enhance the educational opportunities and achievements of UC's undergraduates.

1. Courses and Course Components

After three years, ILTI will have a set of about 150 active online and hybrid courses that are credit bearing and meet specific general education or major requirements. In the set will be entirely new courses created to meet all of ILTI's criteria and requirements, as well as courses developed by substantially revising current courses so that they fit into ILTI. Courses will be offered year-round, including summer. A Request for Proposals soliciting Letters of Interest issued in March 2013 produced nearly 120 responses from UC faculty. The request for full proposals will be issued in June. A peer-reviewed, competitive process will guide the selection of ILTI courses that meet undergraduates' needs throughout UC's nine general campuses. \$4.6M-\$5.6M in FY 14.

2. Department and Campus Support

Departments and campuses will commit to offering ILTI courses multiple years on two or more campuses. Faculty will ensure that ILTI courses are approved for unit credit and for satisfying particular general education or major requirements. To ensure that ILTI courses are of UC quality, instructional designers and technical support will be made available, according to campus needs. Instructional support will cover additional costs (e.g., instructors and TAs) a campus incurs when teaching undergraduates from other campuses while a permanent method for cost allocation is developed. \$1M-\$2M in FY 14.

3. Cross-Campus Facilitation

ILTI will develop and maintain a robust, searchable database of UC for-credit undergraduate online courses offered across the system. The database will be linked from each campus's directory and linked to each campus's course catalog. Additionally, a "hub" that supports the necessary communication about student enrollments and course grades from one campus to another will be developed. \$3M (\$0.5M database, \$2.5M hub) in FY 14.

4. Evaluation and Accountability

ILTI will use a variety of strategies to assess how it is working, what it is achieving, and how it affects UC's instructional costs. Evaluation and accountability data will be collected at the course and program levels. Routine assessment of how ILTI is implemented and what differences it makes will shape ILTI as it moves ahead. \$0.4M in FY 14.

Building to ILTI

As a leading research and teaching institution, UC has been actively engaged in providing online learning opportunities for matriculated and UC Extension students for decades. Currently there are at least 250 online courses available for credit to UC students, including undergraduate and graduate, academic year and summer offerings, at all 10 UC campuses. Three campuses each offer a fully online master's degree program, and several other online graduate degree proposals are currently under review. Another 2,250 online not-for-credit courses are being offered to non-matriculated students through UC Extension. UC Online Education, established by President Yudof in 2010, provided a vision and focal point for creating a systemwide set of campus-based, faculty-developed, high-need undergraduate courses. Today, as a direct result of all these activities, UC online courses span the breadth and depth of a quality undergraduate education. From the culture and context of dance to climate change, foreign language classes, and programming software in engineering, these courses that UC faculty have designed and taught are strong and viable options for student learning. ILTI builds from this base.

In January 2013, UC President Yudof announced an incentive program to develop additional online high-enrollment, high-demand courses for UC undergraduates. It became the first of ILTI's initiatives. In late March, an initial Request for Proposals (RFP) generated nearly 120 Letters of Interest (LOIs) from UC faculty wanting to develop online courses or online modules for hybrid courses. The LOIs were in many disciplines, from STEM to social sciences to humanities and the arts, including calculus, engineering, psychology, philosophy, foreign languages, and music. A number of the LOIs involved cross-campus faculty collaborations. This strong response to the initial RFP demonstrates there is a vigorous "coalition of the willing" ready to develop and teach online courses for UC undergraduates on multiple campuses. The request for full proposals will be issued in June, and the proposals submitted in response will be peer reviewed. The best will be chosen for course development as the first of the many that will come from ILTI.

To ground ILTI in the faculty and campuses that will implement it and benefit from it, UC systemwide working meetings and briefings were held from mid-April to early May. More than 200 UC faculty, students, staff, and administrators participated in developing a vision for ILTI that addresses the goals of the Governor's \$10M earmark and enhances UC's uses of technology to offer online and hybrid courses to undergraduates throughout the UC system. The sessions were productive, generating extensive feedback and recommendations, while building a shared sense of understanding of what the initiative is intended to accomplish. That information has been compiled and is available for review on the UC Office of the President SharePoint site (<https://sp2010.ucop.edu/sites/acadaffairs/om>).

Components of ILTI

ILTI will be most effective if it focuses on UC campus needs, develops high quality online or hybrid courses to meet those needs, and includes thorough course evaluations that assess student success. To meet these goals ILTI assumes a three-year development effort in four major areas.

Courses and Course Components

At the heart of ILTI are the courses and course components that use innovative learning technology and sound pedagogy to offer matriculated UC undergraduates expanded opportunities to take the courses they want and need. UC will annually expend \$4-7M of a \$10M earmark such that after three years there will be a set of about 150 active courses that meet ILTI criteria: high demand courses that are appropriate for many different degrees and satisfy major or general education requirements for a UC bachelor's degree. Some courses will be newly created for ILTI. Others will come from revising selected existing undergraduate online courses so that they meet ILTI criteria, will be offered during the academic year, and will help students on other campuses, as well as students on the original campus, meet their general education and/or major requirements. ILTI funds will provide for faculty release time and/or other staff and technical resources needed to create a course. This allows faculty to invest the time and energy needed to produce an

outstanding course. The support of instructional designers and other technical specialists will allow faculty to focus on course content and develop the best instructional methods to facilitate learning. Intellectual property rights of the faculty will be respected, and written agreements to that effect will be a part of the process of initiating an ILTI course or module development project.

The lead person responsible for the course, particularly at the time of initial development, must be an Academic Senate faculty member. The faculty leaders will work closely with their departments to choose the courses that are most likely to improve a student's progress toward graduation, and they will engage with their Senate course approval committees to ensure the work meets requirements in regard to use of high quality technology and will receive Senate approval when completed. Faculty will prepare the proposal in response to a request that will be distributed by mid-June. The first due date for proposals will be 4-6 weeks later; the second due date will be in November. Those faculty who submitted an LOI in March will all have received feedback that should be helpful if they decide to develop a full proposal. Pending continuation of the \$10M earmark, future requests for proposals will be released once a year in the fall.

Department and Campus Support

So that ILTI courses can serve large numbers of UC undergraduates, the departments and campuses must both make certain commitments to the courses. With rare exceptions, ILTI funding will only support courses available to, and meeting the general education or major requirements of, students beyond the "home" campus of the faculty member responsible for the course. The home department/campus must commit to offering an ILTI course for 3-5 years, at least once if not more often during each academic year, and making it available in a way that can serve a substantial number of undergraduates from other UC campuses. Before funds are expended, there must be assurance through some reasonable process that the course is very likely to be approved by the normal campus procedures and that it will satisfy general education or major requirements on multiple campuses.

In addition to funding course development, ILTI may need to provide for a number of campus mechanisms that support course development and appropriately fund instruction when students take courses at other UC campuses. ILTI will need to spend \$1M-\$2M per year to support these two types of campus efforts, each of which is described below.

As ILTI ramps up course development, there may be the need to augment resources currently available on individual campuses through a needs-based assessment. A designated senior academic administrator on each campus will have the opportunity to review all faculty proposals and combine them with a request for additional course production support.

Instructing substantial numbers of students from other campuses presents a funding challenge because, traditionally, each campus receives instructional funds only for students on its own campus. ILTI will support certain instructional costs (e.g., instructors and TAs) for students coming from other campuses while a new funding model is developed to support cross-campus enrollment using normal instructional allocations. Allocation of such funding would be based on campus requests.

Cross-Campus Facilitation

Most UC campuses have been using technology to increase the number of courses available to their matriculated undergraduates, as envisioned in the Governor's budget. ILTI will go a step further and increase the number available to undergraduates on all UC campuses and to support cross-campus registration and recordkeeping. To ensure that each campus can handle a large number of students from other campuses taking one of its ILTI courses, UC will streamline the administrative functions electronically rather than use paper approvals that only work for small numbers of students. This data "hub" will interface and translate between campus systems, and a small-scale beta version will be developed and used FY 14. The full-scale system will be developed over 2-3 years. \$2.5M will be budgeted in FY 14 for the entire cost of the beta version and the start-up work on the permanent, all-campus hub.

To make it possible for students to find online courses across campuses, a searchable, systemwide database will be created. Each campus directory will be linked to it and each course in the database will be linked to the appropriate campus course catalog listing. The database will contain approved online courses, with metadata identifying for each course such characteristics as disciplinary area, level, units, general education/pre-major/major requirements it satisfies on each UC campus, and when it is available. ILTI courses may substitute for courses required on campuses other than the campus offering the course or they may increase the course options for satisfying general education or major requirements on the other campuses. ILTI estimates \$0.5M for this effort in 2013-14 and is looking at existing systems to build from rather than starting from scratch.

Evaluation and Accountability

Evaluation and accountability will be an integral part of ILTI's work. ILTI will allocate about \$0.4M in FY 14 to this effort.

Information will be sought from campus records, students in ILTI courses, faculty developing and/or teaching ILTI courses, TAs, and student work. Among the relevant data to examine are student and faculty opinions about course quality and characteristics; student and instructor experience; student completion of courses; student learning outcomes; frequency with which courses are offered; enrollment levels; which students enroll at particular campuses; who teaches the courses and what they do; what TAs do; cost to develop courses; cost to offer them; wait lists for courses; student opinion about course availability in general; and the like. Additional data will be collected to get a better understanding of how faculty workload is affected by teaching online courses that utilize different presentation formats (e.g., fully online or hybrid).

Despite serious financial challenges, UC continues to perform well in making available the courses undergraduates need to make normal progress to a degree. For undergraduates, UC's graduation rates are comparatively high and its time to degree comparatively low. Both have been improving over time, and both are better than the average of the public research universities who are members of the prestigious Association of American Universities. Nonetheless, UC expects that ILTI will help ensure that needed courses are available and that undergraduates who enter as freshmen can complete a bachelor's degree in four years and those who enter as transfers can complete the degree in two years. Changes in graduation rates occur slowly and ILTI's contribution to them would not be separately identifiable, but UC can include in its reports on ILTI the data annually collected on undergraduates' graduation rates and time to degree.

As a research institution and one that prides itself on faculty teaching, UC will explore whether ILTI can ensure that certain kinds of data would be available to those interested in studying online education. ILTI will not itself fund research, but its evaluation and accountability data could be an information source for faculty and students to use in research supported from other sources.

ILTI in Operation

ILTI has already been launched. An initial request for proposals was distributed and responded to in March. Development of the systemwide searchable database of ILTI courses has begun, as has development of the electronic hub to support and facilitate cross-campus enrollment for all credit-bearing courses, for all UC students. With receipt of the proposed earmarked \$10M, FY 14 will be a year of great activity and accomplishments. The work will provide a strong foundation for additional achievements for ILTI in the years ahead.

V. ANNOUNCEMENTS BY THE PROVOST [Continued]
B. Goals and Strategies for Improving Academic Performance Indicators

Office of the President

TO MEMBERS OF THE COMMITTEE ON EDUCATIONAL POLICY:

DISCUSSION ITEM

For Meeting of May 15, 2013

ACADEMIC PERFORMANCE INDICATORS AT THE UNIVERSITY OF CALIFORNIA

EXECUTIVE SUMMARY

In this era of reduced State support for higher education, one of the untold stories is what the faculty and students of the University of California have accomplished, against all odds. As funding for UC core educational expenses declined by nearly \$900 million and mandatory costs increased by \$1.2 billion, the faculty stepped up, teaching more while also undertaking scholarly research and staying true to the University's public service mission. Students, too, have met the challenges created by two decades of roller-coaster funding. Graduation rates for undergraduates have risen dramatically during the past 20 years, and it is taking less time than ever for them to complete their degrees. Meanwhile, academic and administrative efficiencies, in combination with painful program cuts and hiring restraints that largely protected the University's instructional activities, have enabled UC campuses to maintain excellence in the educational enterprise while reducing costs.

Yet it is likely that providing a quality education to undergraduate, graduate academic, and graduate professional students will be increasingly challenging. The governor has called for a five percent increase in State funding of UC for 2013-14, but significantly increased mandatory costs, including non-salary expenses such as contributions to health benefits and the retirement plan, are expected to consume most if not all of the additional funding. Moreover, there is no provision for enrollment growth, and a clear expectation that tuition will be frozen at this year's level.

This discussion item offers evidence that UC has so far found ways to progress in fulfilling its instructional mission despite fiscal impediments. It also provides context for both current realities and future possibilities and outlines potential components of strategies to support student and faculty success in the future.

Key indicators of instructional performance show that to date the University has managed to sustain and even improve important outcomes for its students, almost always outperform other elite public universities, and sometimes match top private universities. Comparisons will typically be with the 28 U.S. public and 26 U.S. private universities that are members of the Association of American Universities (AAU), a consortium of 60 U.S. and two Canadian elite

research universities. Six of UC's nine general campuses are AAU members, an achievement that no other public university system comes close to matching. The following academic indicators present the most important of UC's educational achievements:

- For entering UC freshmen, four-year graduation rates have increased from 37 percent (1992 entering class) to 60 percent (2007 entering class); UC's current rate is higher than AAU publics (53 percent) and lower than AAU privates (81 percent).
- For entering UC freshmen, six-year graduation rates (which are a U.S. standard for comparisons among colleges and universities) have increased from 76 percent (1992 entering class) to 83 percent (2005 entering class); UC's current rate is higher than AAU publics (76 percent) and lower than AAU privates (90 percent).
- For entering UC transfers, two-year graduation rates have increased from 29 percent (1992 entering class) to 53 percent (2009 entering class).
- For entering UC transfers, four-year graduation rates have increased from 77 percent (1992 entering class) to 85 percent (2007 entering class).
- From 2006 through 2012, undergraduates reported consistently high levels of satisfaction with their overall academic experience (82 percent) and the quality of faculty instruction (89 percent) though their satisfaction with the cost of that education decreased from 71 percent to 60 percent.
- For academic doctoral degrees, in a special study by the National Research Council, the percent of UC students finishing in six years (or eight years for arts and humanities) was overall higher than it was for the four comparison AAU publics for three of the five disciplinary areas and lower than it was for the four comparison AAU privates which were the highest in all five fields.
- Time to the academic doctoral degree is exactly the same – 5.7 years – for UC, other AAU publics, and AAU privates.

These achievements can be attributed to many factors. The faculty role is key, of course. And faculty have done their part as shown by changes over time and comparisons with peer universities in the following productivity and effort indicators:

- The number of bachelor's degrees per UC ladder faculty member have increased from 5.5 in 2005-06 to 5.8 in 2010-11; UC's current number is higher than AAU publics (4.3) and much higher than AAU privates (2.3).
- The number of doctoral degrees per UC ladder faculty member have increased from 0.4 in 2005-06 to 0.5 in 2010-11; UC's current number is higher than AAU publics (0.4) and the same as AAU privates (0.5). Putting the bachelor's and doctoral degrees together shows that UC ladder faculty are graduating more undergraduate and doctoral students each year (6.3) than are AAU publics (4.7) and AAU privates (2.8).
- The number of student credit hours (SCH) per ladder faculty member have increased from 693 in 1990-91 to 782 in 2010-11 (12.8 percent increase), with a 10.5 percent increase in SCH from 2005-06 to 2010-11. SCH is a better measure of faculty workload than is number of courses taught because it is a nationally recognized measure that simultaneously considers both unit-value of the course and the number of students enrolled.

UC can take a great deal of pride in these many accomplishments. At the same time, it must continually ask whether the greater efficiency, productivity, and faculty involvement in instruction have come at too high a cost to the quality of a UC education and/or to faculty attainments in the research and service parts of their jobs. Vigilance, creativity, and commitment to sustaining UC's excellence in its teaching, research, and public service missions continue to be needed, particularly as the University faces a still uncertain future.

If current trends should continue, instructional workload would continue to rise. A commonly used indicator of instructional workload is the student-faculty ratio, which has increased by 17.5 percent, from 20.0 to 23.5, over the last 20 years, but mostly over the last five, because of decreased funds to hire faculty and UC's choice to continue to meet Master Plan commitments to undergraduate enrollment. If the recent trend continued over the next five years, the 20-year high student-faculty ratio would increase another 7.7 percent, to 25.4. Depending on UC's financial circumstances, there could be tough choices to make about how best to sustain UC's excellence as a public research university.

Should circumstances and choices result in a further increase in instructional workload, UC will employ a wide variety of strategies to meet its responsibility to students. Ladder faculty will do their part. According to projections, on average, it would require another ten percent increase in student credit hours per ladder faculty member. At the same time, a wide variety of other strategies would be used. Many have been previously described to the Regents. An extensive compilation of strategies is provided toward the end of this report. They include, for example, ensuring that needed courses are available; providing roadmaps, such as degree audit systems, to timely degree completion; reviewing student progress regularly and providing academic counseling for those falling behind; offering high-quality online general education and gateway courses, plus online learning supplements for particularly challenging courses; and adjusting the balance of academic staffing so that more of the teaching is done by lecturers and other faculty who are not expected to excel at research as well as teaching.

Whether or not instructional workload continues to increase, the University anticipates that even improvements in its fiscal environment will not obviate the need to increase academic effectiveness further. In doing so, UC will focus on outcomes (i.e., the goals to be accomplished) rather than inputs. The report ends with a proposed set of instructional outcomes addressing graduation rates, time to degree, and educational quality and the approach to achieving them. The methods for achieving them would be chosen by the individual campuses which can craft the strategies that best fit their local environments. The best way, that is, to sustain UC's academic excellence in a period of continuing financial exigencies is to give the UC campuses and system the flexibility – as well as the resources and authority – they need in order to produce the desired outcomes for each campus and the University as a whole.

BACKGROUND

In 1868, the newly created University of California and the University of California at Berkeley were one and the same. Today, Berkeley is one of ten campuses of the University of California system. The campuses range in age from 144 to eight. According to the Carnegie classification

system, eight are Research Universities (very high research activity), San Francisco is a Special Focus Institution, and Merced is not yet classified. Of the nine general campuses, six are members of the Association of American Universities (AAU), a consortium of the top U.S. and Canadian research universities. Each of the nine older campuses gets identified as one of the best in one or another rating/ranking system.

All UC campuses have great strengths, and the younger general campuses are clearly following the same trajectory the older ones followed from fledgling to the equivalent of a full-blown world-class research university. California is one of just a few states with the population numbers, economic diversity, and natural and human resources to make this possible. It has been the only one with the ambition and foresight to do so.

The 21st century has been a difficult one for institutions of higher education. Like most of them, UC has recently experienced an extraordinary reduction in the resources that traditionally supported its core teaching, research, and public service missions. Since 2007-08, State support dropped 27 percent, a reduction of nearly \$900 million. Only a portion of these cuts plus the \$1.2 billion in unfunded mandatory cost increases (38 percent) have been offset by increases in tuition and fees.

State funds as well as student tuition and fees – UC core funds – have traditionally been the main revenue sources for faculty compensation, other instructional costs, and some staff compensation. In response to the recent extraordinary reductions in State funds, the campuses individually and as a system have focused on cost-saving efficiencies, new revenue sources, cessation of “non-essential” activities, and new ways of carrying out and funding the University’s teaching, research, and public service missions. There is clear evidence that through a wide variety of measures the campuses have achieved many academic efficiencies and sustained if not enhanced essential elements of UC’s excellence.

Doing so has been a difficult and painful process that is not yet over. There are encouraging signs that there will be some greater predictability in the State’s funding for UC and some funding increases. Nonetheless, many believe the University must adjust to a new reality of permanently diminished State resources. In this environment, there is continuing collective interest in exploring options to ensure the University can sustain its core endeavors without compromising the excellence, innovation, and intellectual vitality that have fueled the State’s economy for almost 150 years and made UC the best public system of higher education in the nation.

For a variety of reasons, including Regental interest, this report focuses primarily on the University’s instructional mission and the ladder faculty who are key to achieving that mission. Following brief sections on faculty responsibilities and work patterns, the report presents indicators of how and how successfully UC campuses have addressed their instructional mission. It includes information, as available, about changes in input and output over the last two decades and about how UC compares to similar institutions of higher education, particularly public research universities. The report ends with a discussion of the complex, and campus-specific, mix of levers that have been used to date and recommendations as to how best to move forward

as UC continues to adjust to its changed and still changing funding, always with the intention of sustaining and enhancing UC's excellence as a world-class research university.

FACULTY RESPONSIBILITIES

UC's mission-related activities in teaching, research, and public service are carried out by talented, committed people with a variety of titles and job descriptions (e.g., professor, professor-in-residence, lecturer, researcher, agronomist). As of October 2012, there were 19,368 headcount faculty (or the equivalent of 16,508 full-time faculty (FTE)); about half of these were ladder faculty, both tenured and non-tenured, in the professorial series; another 15 percent had "equivalent" titles (such as acting professor, lecturer with security of employment or potential security of appointment, astronomer or agronomist); the remainder held other faculty titles, such as lecturer, professor in residence, professor of clinical ____, visiting, adjunct or health sciences clinical professor.

The 9,578 headcount (or 8,613 FTE) ladder faculty on whom this report focuses constitute the core of UC's academic enterprise. The responsibilities of these faculty have been clear at least since 1935 when records show the then UC President promulgated them. Today, these responsibilities and resulting criteria for advancement "up the academic ladder" are codified in what is known as the Academic Personnel Manual (APM) and excerpted here.

APM 210-1 d. Criteria for Appointment, Promotion, and Appraisal.

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service.... *Superior intellectual attainment, as evidenced both in teaching and research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions* [italics in the original]. Insistence upon these standards for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge.

[NOTE: The term "creative work" is used to recognize the fact that "in certain fields such as, but not limited to, Art, Architecture, Dance, Music, Literature, and Drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. (The UCLA CALL, Appendix 5, Section V.B)]

It is clear from the APM, and all UC ladder faculty experience this reality, that although they are all certainly teachers, their job is different from that of K-12 teachers, the model with which virtually everyone is familiar. It is different too from that of community college instructors or faculty counterparts at comprehensive (primarily baccalaureate or master's) institutions. Ladder faculty cannot succeed at UC if they are not well-regarded, productive researchers, scholars, and creators as well as effective teachers and mentors. Moreover, both their teaching and their research must evidence superior intellectual attainment which must be sustained throughout their careers and affirmed in regular, post-tenure reviews. These realities are part and parcel of

working as ladder faculty in a research university with very high research activity or, simply put, of serving as a ladder faculty member at any UC campus. It is these realities too that bring outstanding undergraduate and graduate students to UC, to experience a high-quality education provided in a world-class research environment.

ALLOCATION OF FACULTY TIME

Most UC academic employees have flexible work schedules that include considerable time on campus during “usual weekday work hours,” as well as on or off campus during the weekends, early in the morning, and throughout the night. In the late 1970s and early 1980s, the Academic Senate and UC administration jointly sponsored a series of studies on how much full-time UC faculty from the then eight general campuses worked in a 24-hour a day, seven-day week and what they did when they were working. Faculty from all fields except dentistry, law, medicine, nursing, optometry, public health, and veterinary medicine participated. The participation rate was extraordinarily high – above 90 percent. Meticulously conducted by an independent group with external advisors, the work provided virtually the same picture each year. Different faculty participated each year, and no faculty member reported on more than two consecutive days Monday through Friday or both weekend days plus either Friday or Monday using a time log. The consistency of results and the expense of the undertaking led to a decision to stop conducting the survey.

What did these studies show? Given the similarity of year-to-year findings, just the results from nearly 1,000 faculty who participated in the research in 1983-84 are described. During the academic year when classes were scheduled (i.e., not intersession or summer), faculty worked 61.3 hours in a seven-day, 24-hour a day week. Depending on whether one counted instruction in the context of faculty research activities, they spent 26.0 or 33.3 hours a week (54.3 percent of total work time) on instructional activities. Professional activity and university and public service took up another 12.1 hours a week. The remainder of the time (23.2 hours, 37.8 percent) was spent in research and other creative activity.

Because of the way in which these time allocation studies were done, one can be confident that UC faculty in the late 1970s and early 1980s worked well beyond the standard 40 hours per week job and devoted the largest share of their time to instructional responsibilities. Those most familiar with typical work patterns of current UC faculty believe the same is true today. In fact, using data and informed estimates, a UC Berkeley dean (unaware of these earlier studies) recently came up with similar conclusions about total faculty work hours per week and the proportion of these hours devoted to instructional activities.

The entire series of time allocation studies included activities in all four areas of UC ladder faculty responsibility, but they focused heavily on instructional activities. They were prompted by policymakers’ questions about faculty work habits, particularly their investment in instruction. Continued financial strains on UC today and the importance as well as public prominence of UC’s instructional mission have again focused attention on teaching. To address these questions thoughtfully, it is useful to understand the range of instructional activities ladder faculty perform and the synergistic integration of those activities with their research.

INSTRUCTIONAL ACTIVITIES OF LADDER FACULTY

Instruction at the University's ten campuses takes many forms and occurs in many settings. It includes but goes far beyond the most familiar image of a professor lecturing to students in a large auditorium or discussing with students around a seminar table. Selecting, preparing, updating, and, as needed, completely reworking course materials are integral parts of teaching. Likewise, instruction encompasses hours devoted to answering students' questions, assisting them with challenging concepts, and providing an opportunity for exchange about specific course assignments. Instruction also involves mentoring and apprenticeship for most graduate students and many undergraduates. It also includes evaluation of students' work, administration of exams, and supervision of teaching assistants, who increase in number as student enrollments increase. Given national accountability trends, ladder faculty and others who teach UC students must also devote effort to documenting student learning in ways that meet new expectations from both regional and professional accreditors.

Less obvious but nonetheless critical are ladder faculty responsibilities for developing new courses, general education requirements, undergraduate capstones, and undergraduate and graduate degree programs. Ladder faculty also routinely review the content and structure of existing degree programs to ensure continued intellectual vitality, instructional rigor, and scholarly relevance. These departmental reviews occur roughly every seven years, but they may occur any time there are serious concerns about a degree program. Critical to quality assurance, the reviews involve a department self-study, surveys of students and faculty, performance indicators, and a site visit by campus and external ladder faculty. Collectively, these reviews support robust teaching and learning throughout the system.

The balance of ladder faculty instructional efforts is embedded in research activities. In the conduct of their own research, ladder faculty supervise doctoral students as part of the learning process required for advanced degree programs. In labs, field stations, arts studios, and other settings, students receive instruction and guidance, as well as hands-on experience, in the conduct of original inquiry. Ladder faculty also co-author research and other scholarly reports with graduate students and often enough undergraduates.

Ladder faculty research also provides an important foundation for the entire undergraduate curriculum. UC undergraduates learn not only the basics of a field but also the big questions, the latest findings, and the methods by which scholarship is carried out. Not as well known is the fact that an increasing number of undergraduates participate directly in research. As of 2010-11, according to the 2012 University of California Undergraduate Experience Survey (UCUES), 56 percent of seniors had done some kind of research or creative project with faculty and 54 percent had taken at least one student research course. These experiences help develop the critical thinking, communication, and problem solving skills, as well as domain-specific knowledge, that employers are looking for and that are useful across many different careers, many different life circumstances, and in all areas of citizenship.

In sum, ladder faculty provide undergraduate and graduate students with opportunities to learn in a wide variety of ways and circumstances, including regularly scheduled courses. Teaching often

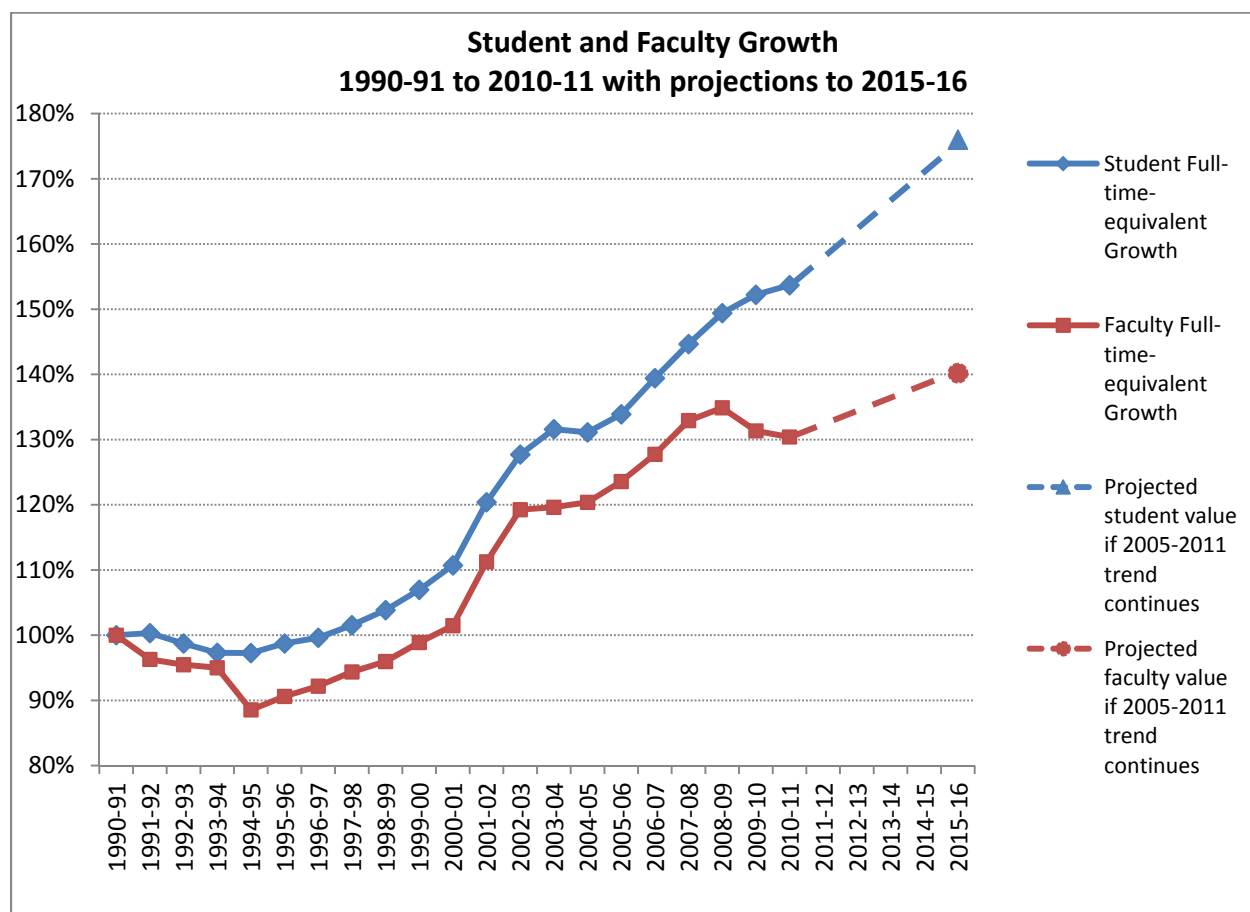
occurs outside the classroom, and the many activities that comprise instruction are not captured in the very significant but not singular measure of the number of courses taught or number of hours a week in a regular classroom. To perform well as teachers, ladder faculty at a research university such as UC are expected to be on the cutting edge of their fields and to reflect their research and creative work in their multifarious instructional activities with undergraduate and graduate students alike.

CHALLENGES TO UC'S EXCELLENCE IN INSTRUCTION

It is well known that in recent years there have been both an extraordinary decrease in State funding for the University and also an extraordinary increase in mandatory costs to the University. The loss in operational funds has been only partially offset by tuition increases, cost savings, and revenue generation. Virtually every long-term UC employee today would report that she or he has a markedly increased workload.

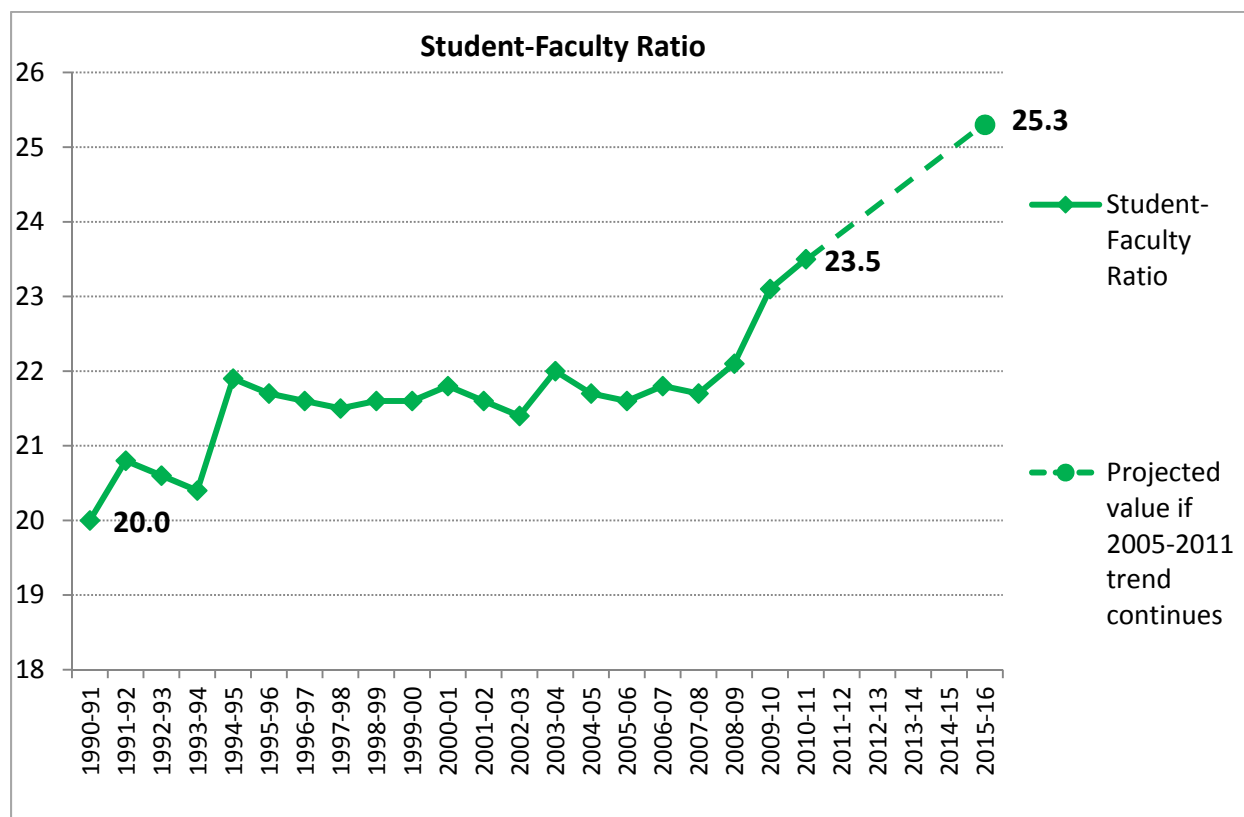
For UC faculty involved in instruction, a clear expression of the increasing instructional workload is the continuing increase in the student-faculty ratio. As shown below, over the last 20 years and particularly the last five years, the rate of growth of UC students has been much greater than the rate of growth of the faculty (Display 1) and consequently the student-faculty ratio has risen from 20.0 to 23.5 in 2010-11 (Display 2). This is a 17.5 percent increase in workload over 20 years, but much of the increase has occurred over the last five years. The “budgeted” student-faculty ratio remains as a distant memory at 18.7. The current student-faculty ratio varies across the campuses, in 2010-11 ranging from a low of 19 to a high of 29. The 23.5 student-faculty ratio is based on general campus student full-time equivalents and general campus faculty full-time equivalents (e.g., all faculty who participate in instruction, not just ladder faculty). If the student-faculty ratio only considered ladder faculty, then in 2010-11 it would be 31.8 systemwide (campus range from 27.7 to 37.9). Although ladder faculty, as previously described, have instructional responsibilities that are theirs alone, these other faculty contribute meaningfully to the work of instruction, and their greater or lesser employment in instructional roles is a choice every university makes as it seeks to ensure that ladder faculty have sufficient time to succeed in all aspects of their job – teaching, research and other creative work, professional activity, and University and public service.

Display 1: Actual and projected percent growth in numbers of students and of faculty, UC,
1990-91 to 2015-16



Source: UCOP Institutional Research, Accountability methodology.

Display 2: Actual and projected increases in student-faculty ratio, UC, 1990-91 to 2015-16



Source: UCOP Institutional Research, Accountability methodology; see Display 1 for complete description of methodology.

In the face of the greater workload that the increase in students per faculty member represents, campuses have adopted a wide range of approaches to providing outstanding education to undergraduate, graduate academic, and graduate professional students, while also sustaining the University's research and public service missions. With the exception of a limited number of systemwide administrative initiatives that have been reported to the Regents, each campus has crafted the mix and balance of approaches that are best suited to that campus. These have also been reported to the Regents. There is good evidence these approaches have not only sustained but also enhanced student achievement, done so without diminishing undergraduates' positive perceptions of their UC academic experiences, and done so with increased instructional efforts from the faculty. The next sections present that evidence with a variety of academic indicators. It is one of the largely untold stories of what UC faculty, students, and staff have accomplished, against all odds.

UNDERGRADUATE INSTRUCTION

A variety of academic indicators suggest that, despite the evident challenges, the educational outcomes for UC's undergraduates remain positive and some have continued to improve during

this time. There are also indicators that suggest that faculty have increased both their workload and their productivity during this period. Moreover, for many of these indicators UC does better than the average of other AAU public universities and about the same as AAU private institutions, which tend to have greater resources.

Undergraduate graduation rates have increased and time to degree has decreased.

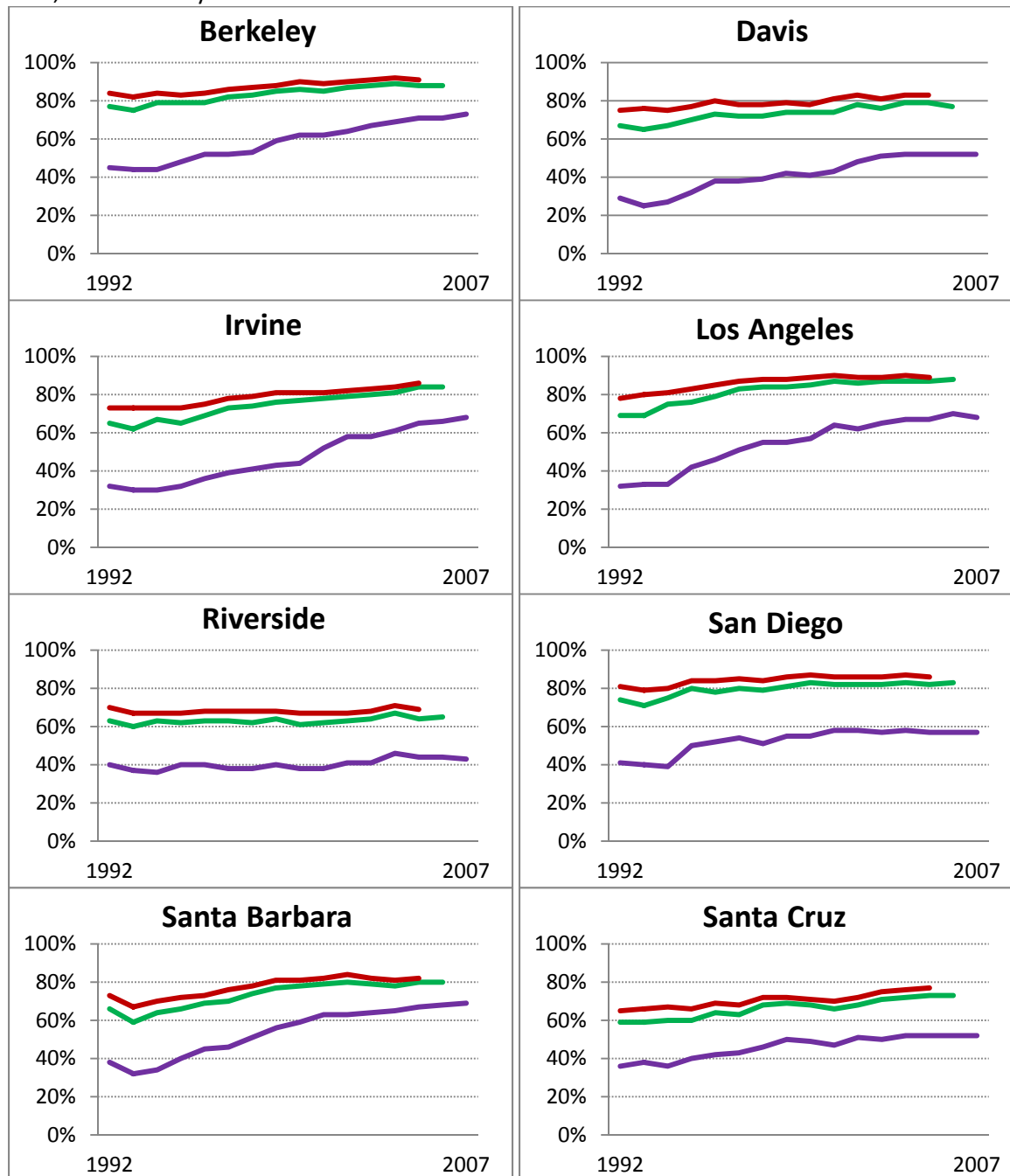
All measures of UC undergraduate graduation rates and time to degree have improved over the last two decades for students who entered as freshmen and for those who entered as transfers. For those who entered as freshmen, four-year rates increased from 37 percent (1992 entering cohort) to 60 percent (2007 entering cohort). Six-year graduation rates, as defined by the Integrated Postsecondary Data Education System (IPEDS), are the nationally accepted performance measure of student success for those entering baccalaureate or higher degree-granting institutions as freshmen. Six-year rates increased from 76 percent (1992 entering cohort) to 83 percent (2005 entering cohort), slightly more than a ten percent increase. For undergraduates entering UC as transfers, two-year graduation rates increased from 29 percent (1992 entering cohort) to 54.4 percent (2010 entering cohort), an increase of 88 percent over that time period. Four-year graduation rates also increased from 77 percent (1992 entering cohort) to 85 percent (2007 entering cohort), an increase of almost nine percent.

One of UC's points of pride is that it educates many undergraduates who come from low-income families. In 2009-10, for example, 35 percent of all UC undergraduates were recipients of Pell Grants, awards available only to students from families with incomes under \$50,000. In comparison, the University of Virginia had about 11 percent, University of Michigan, Ann Arbor, about 15 percent, Stanford, about 17 percent, and Illinois about 18 percent. Pell Grant students are as able and committed as are students from middle- and upper-income families, but all too often they have been less well-prepared by their K-12 schools for what college requires. In general, fewer complete the bachelor's degree and those who do take longer compared to undergraduates who never had a Pell Grant. This is the case at UC as well; however, the differences between Pell and non-Pell Grant students are not as large. At UC, 80 percent of the freshmen who entered fall 2005 who received a Pell grant sometime during their undergraduate years graduated within six years. This 80 percent figure is lower than UC's average but greater than or within three percentage points of the six-year graduate rates of four of the eight general campuses (Merced excluded). The 80 percent figure needs to be improved but it is also an interim achievement of which to be proud.

Displays 3 and 4 provide details on graduation rates for students entering since 1992 at each campus. Merced is not included in these displays because it is too new to have meaningful trends. The campuses vary in where they were in 1992 and where they are now, but all have been increasing their four-year and two-year graduation rates for freshmen and transfers respectively, and all have room to increase these rates further. Doing so saves students and their families money, and increases the number of students UC can serve at the same cost. So long as the quality of the undergraduate academic experience is sustained, further increases in efficiency are a win-win for everyone.

Display 3: Four-, five-, and six-year graduation rates by campus, entering freshman cohorts, fall 1992 to fall 2007

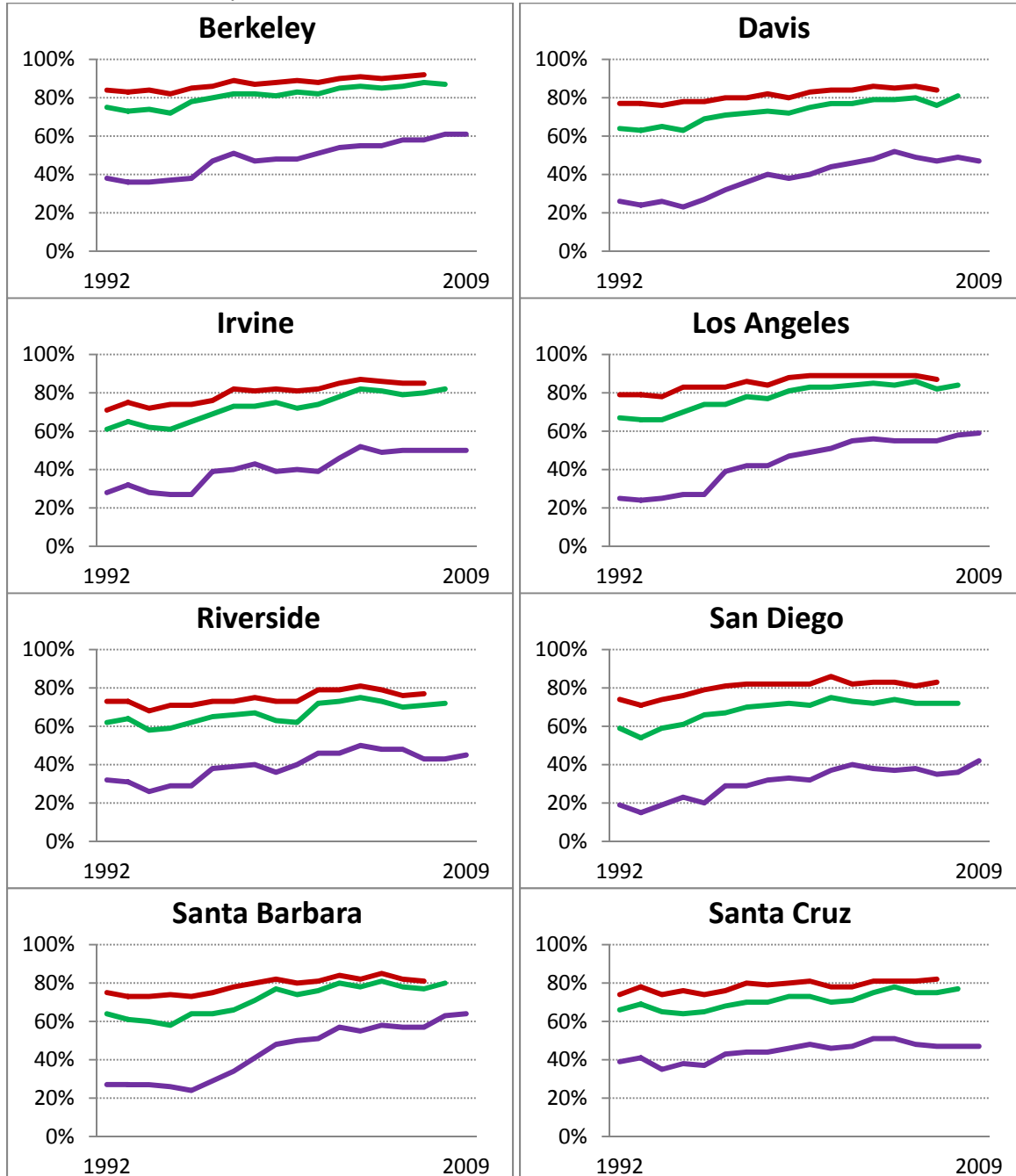
Four, Five and Six year rates



Source: UC Corporate Student System

Display 4: Two-, three-, and four-year graduation rates by campus, entering transfer cohorts, fall 1992 to fall 2009

Two, Three and Four year rates



Source: UC Corporate Student System

UC's graduation rates compare favorably to peer institutions, particularly the publics. Four- and six-year graduation rates for the 28 non-UC AAU publics averaged 53 percent and 76 percent respectively for the entering freshmen cohorts, fall 2003 – the most recent year for which comparable data are available; for the 26 AAU privates these averages were 81 percent and 90 percent respectively. Four- and six-year graduation rates at UC for the same 2003 entering freshman cohort were 57 percent and 82 percent. The most recent UC data show figures of 62 percent and 84 percent respectively. Clearly, both four- and six-year graduation rates at UC exceed those of the AAU publics but trail those of the AAU privates.

Finding exactly the right comparison is really impossible. Because undergraduate degree completion and time to degree are hot-button topics these days and because UC campuses vary in their performance, a special group of “the best” AAU flagships of U.S. public university systems was selected and their performance compared to that of UC's AAU campuses, as a further examination of UC's performance. The results are shown in Display 5.

Display 5: Six-year graduation rates, UC and leading AAU public flagships, entering freshman cohorts, fall 1992, 1997 and 2005

	1992	1997	2005
Berkeley	84%	86%	91%
Davis	75%	78%	83%
Irvine	73%	78%	86%
Los Angeles	78%	87%	89%
Santa Barbara	73%	76%	82%
San Diego	81%	85%	86%
UC AAUs	77%	82%	86%
<i>UC System</i>	<i>76%</i>	<i>80%</i>	<i>83%</i>
Illinois Urbana	-	81%	82%
Michigan Ann Arbor	-	85%	90%
Texas Austin	-	71%	81%
Virginia Main	-	92%	94%
Washington Seattle	-	71%	80%
Wisconsin Madison	-	76%	82%

Source: UC Corporate Student System, IPEDS Graduation Rate Surveys.

UC's average six-year graduation rates at its six AAU campuses (86 percent) exceed those of four of the six selected public AAU flagships. The exceptions are Michigan and Virginia. Six-year graduation rates at Berkeley (currently 91 percent) and Los Angeles (currently at 89 percent) are comparable to those at Michigan, but they do not reach the performance level of Virginia which, at 94 percent, has the highest six-year graduation rate for any public research university in the country.

Overall, UC has improved its six-year graduation rates over time, has good rates absolutely and compared to peer institutions, and has room to improve still further.

Undergraduates continue to be satisfied with their overall academic experience and the quality of faculty instruction.

The best source of information about undergraduates' experience at the University comes from UCUES, UC's biennial survey of undergraduates. Remarkably, a very high percentage of students from 2006 through 2012 have been satisfied with their overall academic experience and with the quality of faculty instruction. (See Display 6.) Most importantly, the percentage has not decreased despite the many changes campuses have had to make as funding has decreased. The UCUES data were combed to be sure that these two very positive findings were not counterbalanced by negative findings. The only negative is undergraduates' decreasing belief that the UC education they receive is a good value for the cost. Clearly this finding reflects the steep increases in tuition over the last few years. Overall, however, the UCUES data indicate that the efficiencies so far achieved have not substantially lowered students' opinions about the overall quality of education they are receiving.

Display 6: Undergraduate student satisfaction, UC, 2006 through 2012

Item	2006	2008	2010	2012
Overall academic experience	82%	83%	82%	82%
Quality of faculty instruction	-	89%	89%	89%
Value of your education for the price you're paying	71%	70%	63%	60%

Source: University of California Undergraduate Experience Survey (UCUES), 2006-2012; percent of students reporting that they are very satisfied, satisfied, or at least somewhat satisfied with their experiences at UC.

Faculty are graduating more undergraduate students and teaching more undergraduate and graduate students.

There are many reasons why graduation rates for undergraduates have increased, their time to degree has decreased, and their satisfaction has remained high. Principal among them are the leadership and commitment of UC faculty. Here the focus is on increases in degree production and teaching by UC ladder faculty; other factors will be described later.

With respect to bachelor's degree production, Display 7 shows that the number of bachelor's degrees per UC ladder faculty member have increased over the last five years and markedly exceed the number per faculty member in AAU public and private institutions. One might suspect that the greater bachelor's degree productivity for UC ladder faculty compared to faculty at AAU privates is explained by the privates' smaller proportion of undergraduate students. However, as will be seen later in Display 10, UC matches the AAU privates in doctoral degrees per faculty member. When it comes to graduating students, UC faculty are simply more productive than are their public and private AAU peers.

Display 7: Bachelor's degrees per ladder faculty, UC and AAU comparison institutions, 2005-06 and 2010-11

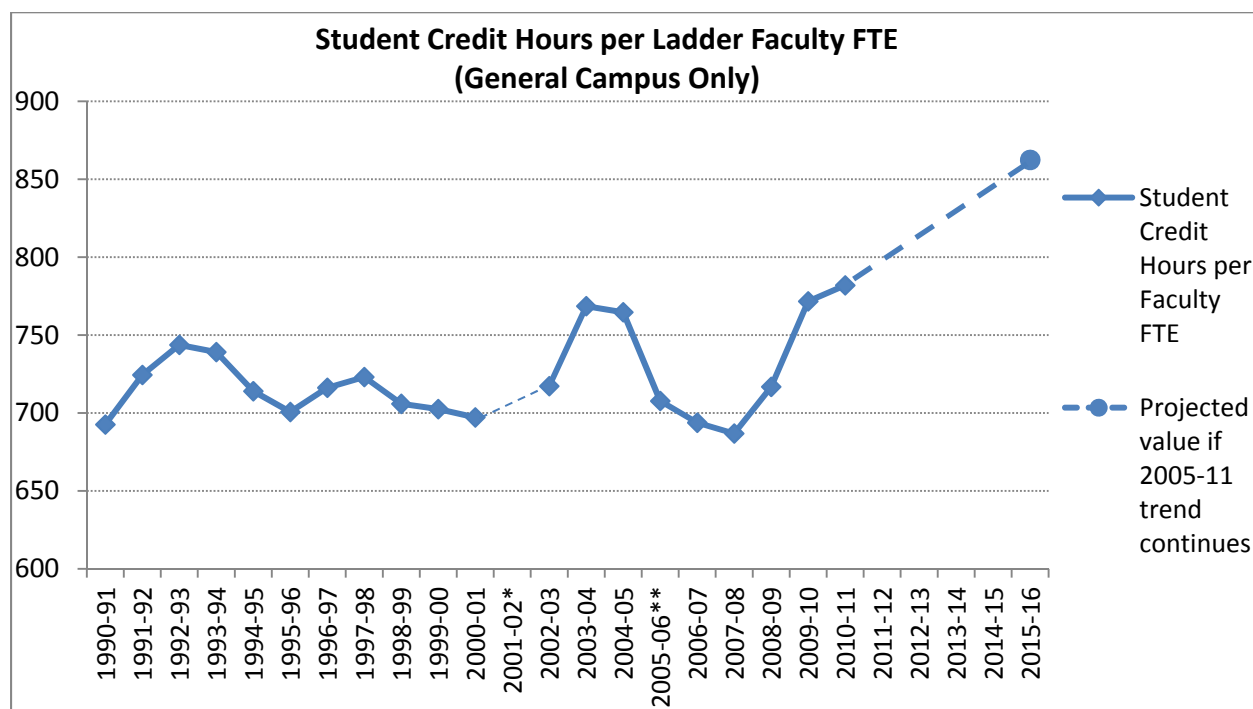
Institution Type	2005-06	2010-11
AAU Private (26)	2.3	2.3
AAU Public (28)	3.9	4.3
University of California	5.5	5.8

Source: IPEDS Completions Surveys, 2005-06 and 2010-11, for degree counts; IPEDS Employees by Assigned Position (EAP) Surveys, Fall 2005 and Fall 2010, for faculty counts.

With respect to teaching, the best single indicator of faculty workload is student credit hours (SCH), because it is a nationally recognized measure that simultaneously considers both the unit-value of a course and the number of students enrolled (one four-credit course for 100 students is 400 student credit hours). Because it is derived from the courses a faculty member teaches, it does not account for all the other time devoted to associated instructional activities. These activities were described earlier in the "Instructional Activities of Ladder Faculty" and a sense of the time faculty give to them was provided in the "Allocation of Faculty Time" section.

Display 8 charts SCH per ladder faculty member from 1990-91 through 2010-11 and shows that ladder faculty have over the last several years increased their teaching. SCH is for all undergraduate and graduate teaching combined. Ladder faculty teach about 80 percent of all graduate SCH, nearly two thirds of all upper division undergraduate SCH, and close to half of all lower division undergraduate SCH. It has been a point of pride for UC ladder faculty that they are more involved in undergraduate teaching than is the case at many peer institutions. SCH per ladder faculty have ranged from a low of 693 in 1990-91 to a high of 782 in 2010-11, a 12.8 percent increase. There is a steep increase over the last several years, amounting to a 10.5 percent increase in SCH per faculty member in the last five years. It is clear that ladder faculty have stepped up.

Display 8: Actual and projected student credit hours per ladder faculty full-time equivalent (FTE), UC, 1990-91 to 2015-16



Source: UCOP Institutional Research, Faculty Instructional Activities Report. *Data for 2001-02 are not available.
**2005-06 data do not include UC Merced.

GRADUATE EDUCATION

Graduate academic and professional degree programs are essential elements of elite research universities. For years, UC has lagged behind its AAU public and private peers in this area. As of 2010, 21.8 percent of UC's student body were graduate students, compared to 27.2 percent for the other AAU publics and 52.8 percent for the AAU privates. UC has long sought to increase its number and percent of graduate students, particularly for the newer campuses. In fact, the recently adopted model for distributing State funds includes "incentive funding" to help the newer campuses do so. Over the last ten years, the numbers of UC graduate students have increased from 37,787 (Fall 2000) to 49,863 (Fall 2010); however, because of the continuing rise in undergraduate enrollment, graduate students have not increased meaningfully (from 21.1 percent to 21.8 percent) in their representation in the UC student body. An increase in this percentage to achieve parity at least with AAU publics continues to be a UC goal.

There are fewer academic indicators altogether for UC's graduate than undergraduate students. The types of degrees (e.g., MD, Ph.D., JD, MA) and associated expectations for a graduate vary widely; consequently, the experiences and requirements for the different types of degrees vary

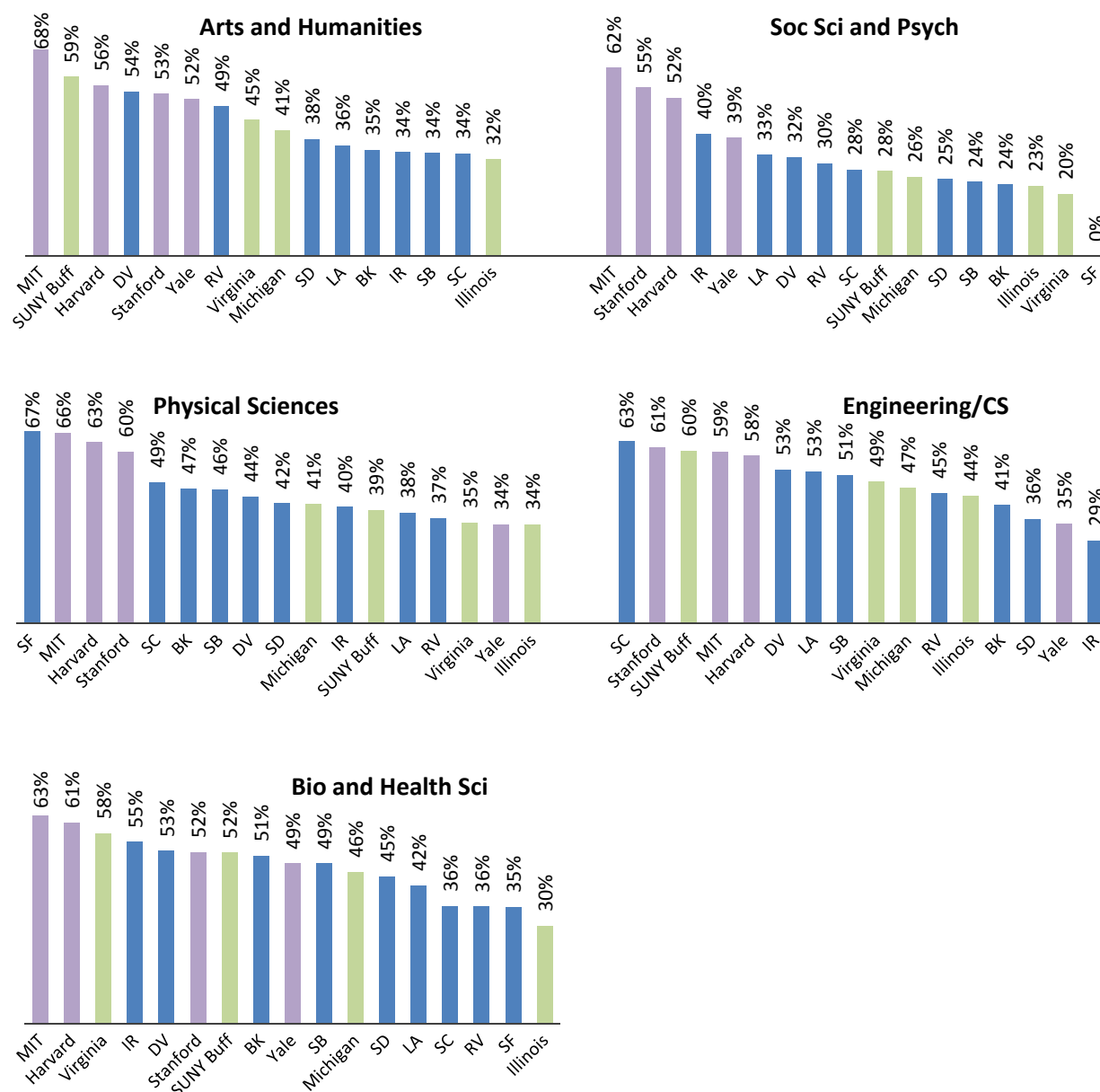
widely. There is a very wide range in the expected time to complete various degrees and in how much more experience (e.g., residency, postdoctoral fellowship) is expected before the graduate actually embarks on the career for which she or he has been preparing. In these circumstances, summary statistics for UC can be misleading as can comparisons if the indicators encompass a wide or widely differing set of graduate degrees or even degree fields. For example, median years to doctorate for 2007-09 exit cohorts ranged from 6.7 to 7.4 for arts and humanities doctorates and from 5.3 to 5.7 for physical sciences, mathematics, engineering, and computer sciences.

This report will focus only, and briefly, on graduate students seeking the doctorate. This is where there are the best data, the greatest similarity in expectations as to degree requirements, and the majority (53 percent in 2010) of the total graduate academic and professional student enrollment.

Doctoral degree completion rates and time to degree vary by field; UC's indicators are generally the same as or better than those for AAU publics and the same as or worse than those for AAU privates.

Display 9 illustrates the field-based variation described above, as well as the variation within UC, selected AAU publics, and selected AAU privates themselves. For five fields, the percent of students who complete the doctorate in six years (eight years for arts and humanities) is graphed for all UC campuses (except Merced) that offer the degree in that field and for four elite AAU publics and AAU privates (study by the National Research Council). Clearly, graduation rates are greater for engineering/computer science and biological/health sciences than they are for social science/psychology or arts/humanities. Just as clearly, UC campuses vary across fields in their performance, as do the selected AAU publics and privates, each group of which has one university that is lower than the other three in all five fields. Overall, UC students' doctoral completion rates in five fields are higher than those for the four selected AAU publics for three of the five fields and lower than those for the four selected AAU privates for all five fields. Other indicators (UC Annual Accountability Report 2012, Display 5.4.2, p. 50) show field-based variation in median years to the doctorate. For all seven fields combined, UC, the other AAU publics, and the AAU privates had exactly the same 5.7 median years to the doctorate. UC's was the same as or shorter than those of the AAU publics and privates for the fields of physical sciences and mathematics, engineering and computer and information sciences, life sciences, arts, humanities, and professional and other. For one field, social sciences and psychology, UC median time was longer than the AAU publics and privates.

Display 9: Doctoral completion rates by field, UC and AAU comparison institutions, graduate student cohorts entering 1996-97 to 2000-01 (1996-97 to 1998-99 for humanities)



Source: 2005-06 National Research Council's Assessment of Doctorate Programs (released in 2010).

Faculty are graduating more doctoral students and teaching more graduate students.

Doctoral productivity is always low compared to bachelor's productivity, as can be seen in a comparison of Displays 7 and 10. In this context, the increase from 0.4 to 0.5 doctoral degrees per ladder faculty member from 2005-06 to 2010-11 is probably a meaningful indication of increased productivity at UC. Comparisons for 2010-11 show that UC produces somewhat more

doctorates per faculty member than do the other AAU publics and the same as do the AAU privates. The faculty teaching data reported earlier (Display 8) combine undergraduate and graduate students and cannot be disaggregated. Given that total student credit hours per faculty member have increased, it is likely that faculty teaching of graduate students has increased because total student credit hours for lower division undergraduates, upper division undergraduates, and graduates have all steadily increased during this same period.

Display 10: Doctoral degrees per ladder faculty, UC and AAU comparison institutions, 2005-06 and 2010-11

Institution Type	Doctoral degrees per ladder faculty	
	2005-06	2010-11
AAU Private (26)	0.5	0.5
AAU Public (28)	0.3	0.4
University of California	0.4	0.5

Source: IPEDS Completions Surveys, 2005-06 and 2010-11, for degree counts; IPEDS Employees by Assigned Position (EAP) Surveys, Fall 2005 and Fall 2010, for faculty counts.

LOOKING TO THE FUTURE

UC can take a great deal of pride in these many accomplishments. At the same time, it must continually ask whether the greater efficiency, productivity, and ladder faculty involvement in instruction have come at too high a cost to the quality of a UC education and/or to ladder faculty attainments in the research and service parts of their jobs. Vigilance, creativity, and commitment to sustaining UC's excellence in its teaching, research, and public service missions continue to be needed, particularly as the University faces a still uncertain future.

If current trends in ladder faculty and student numbers should continue for the next five years as projected in Display 1, the student-faculty ratio would continue to rise from the current 20-year high of 23.5 to an unprecedented 25.4. (See Display 2.) Instructional workload would continue to rise. Depending on UC's financial circumstances, there could be tough choices to make about how best to sustain UC's excellence as a public research university. Should circumstances and choices result in a further increase in instructional workload, UC would employ a wide variety of strategies to meet its responsibility to students. Ladder faculty would do their part. According to projections of current trends (Display 8), on average, it would require another ten percent increase in student credit hours per ladder faculty member.

The main strategies used to increase graduation rates, reduce time to degree, and provide an academically rich and rewarding education are identified below as those that focus on structure, students, and faculty.

Structure-Focused Strategies

Review and adjust, as appropriate, requirements for undergraduate and graduate degrees.

Degree program requirements can accumulate over time to the point that they do not well reflect current views of what is essential for a high-quality program. Reviewing programs with a high number of requirements and eliminating those that are outdated can streamline programs in an educationally sound manner that promotes improved time to degree.

Provide roadmaps to timely degree completion.

Undergraduate and graduate students alike benefit from having explicit models of which courses to take and hurdles to clear year by year. These roadmaps must be specific to each student's degree program and must also reflect the course offerings and hurdles program faculty are committed to having available. Under these conditions attentive advisors and motivated students together can achieve timely degree completion and, in special circumstances, completion well below the norm; for example, a three-year bachelor's degree or Ph.D.

Expand summer session capacity and encourage summer enrollment.

Summer enrollments of UC students have risen steadily over the past decade, from 11,800 full-time equivalent (FTE) enrollments in 2001 to 15,800 FTE in 2011. Offering high demand courses (e.g., gateways, overflow writing sections, pre-calculus, statistics for social sciences doctoral students) during the summer provides students with more opportunities to get the courses they need and stay on track to complete their degrees in a timely manner.

Review student course-taking needs regularly to identify any bottlenecks and remove them.

Determining campus course needs requires careful planning and regular updates in order to anticipate and meet enrollment needs in a timely fashion. One approach to addressing projected bottlenecks for which a department has not planned is maintenance of a "bridge" fund reserve. Set aside by central campus administration, these funds are distributed to departments to cover unmet course needs on a one-time or short-term basis.

Offer online high-enrollment, general education, and/or gateway (e.g., pre-major, introductory major) undergraduate courses.

With the right choice of course topic, campus approval for general education or major credit, and largely asynchronous interaction of the enrolled student with course content, instructors, and fellow students, online courses can greatly increase undergraduate students' opportunities to complete bachelor's degree requirements in a timely way.

Offer online courses that bring the substantial expertise of faculty across the ten-campus (and National Laboratories) system to students from multiple campuses to enrich undergraduate and graduate education.

Online offerings, whether synchronous or asynchronous, make it possible for faculty to offer courses on very specialized topics, those that would get very small enrollments from just their own campus, in a cost-effective way by enrolling students from their own and other campuses at the same time. They also make it possible to turn to expertise on other campuses

rather than hire a special instructor on one's own campus, just as departments on the same campus often turn to another department to provide particular learning opportunities for their students (e.g., advanced statistics).

Student-focused Strategies

Enhance the preparation of freshman and transfer students to succeed at UC through a variety of strategies prior to full-time enrollment at UC.

Prior to enrolling as full-time undergraduates at a UC campus, some students would benefit from additional preparatory work that ensures they enter with the requisite knowledge and skills for the UC courses they will immediately take. For example, there are a number of community college transfers entering science disciplines who would be well served by better articulation of pre-major requirements to ensure those requirements are met upon admission.

Review student progress regularly and provide academic counseling for those lagging.

Degree audit systems are important tools for ensuring students make timely progress to graduation. These systems compare students' academic work with requirements of degree programs in which they are enrolled. They may be used to improve (1) academic advising (provide feedback to ensure students takes classes that fulfill major or other graduation requirements), and (2) curriculum planning (provide better information about students' course needs). Resources to support staff advisors to work with students on degree audits also are key. In general, the technologically based systems are used for undergraduates, but regular reviews of progress, whether technology based or not, are useful for graduate students as well.

Create instructional enhancements.

For courses known to have high retake rates (e.g., organic chemistry), offer online (or other) supplements to improve student learning and successful completion of the course the first time it is taken.

Faculty-focused Strategies

Continue to increase the student credit hours provided on average by each ladder faculty member.

Projections of student enrollments and total faculty numbers, as described earlier, indicate that faculty will be asked to increase their instructional workload over the next few years. They will expect to do so. Based on current projections, SCH per ladder faculty member should grow by approximately ten percent over the next five years. Though not calibrated in courses per year, additional hours would represent a further increase in teaching effort.

Adjust the balance of academic titles involved in meeting instructional needs.

In addition to ladder faculty, employees with a variety of other academic titles, such as lecturers, provide instruction. Different academic titles have different job descriptions, for some of which teaching is the principal activity. Given that ladder faculty are responsible equally for teaching and research, economies can be achieved by altering the balance of

academic titles so that somewhat more of those teaching are in positions where instruction is virtually their entire job. The extent of ladder faculty teaching at all levels is a point of pride for the UC system, and in any re-balancing ladder faculty would continue to be the major providers of instruction, teaching courses for lower- and upper-division undergraduate students and also for graduate students.

Adjust ladder faculty instructional responsibilities based on their preference and performance.

There is variation in the degree of scholarly engagement and research productivity among faculty and often for the same individual during his or her professional career. Campuses can employ flexible mechanisms to encourage faculty members to concentrate energies on teaching if they so choose. These efforts could use incentives and rewards in a manner that takes advantage of faculty strengths and that is consistent with their evolving interests over the course of their University careers.

CONCLUSION

Over the last several years, the University has demonstrated that it can become more efficient in both its administrative and academic activities. In contemplating academic efficiency and determining what constitutes the best return for each dollar invested – public or private – UC must balance the notions of economies achieved with the quality of the instruction, research, and public service produced. This is what UC faculty, staff, administrators, and students seek and in many ways have thus far found.

High-performing ladder faculty dedicated to the proposition that UC is and should be a world-class public research university, with all that entails, are essential to UC's success. Their job description and advancement require that they demonstrate superior intellectual attainment in both teaching and research or other creative achievement. The same expectations would apply were they at any other world-class public or private research university. UC must maintain an environment in which it can recruit and retain such pre-eminent faculty. If it does, evidence presented earlier shows that they will work far beyond a 40-hour work week and devote about half their UC work time, and about two-thirds of a 40-hour work week, to instructional activities and carry them out very well.

As UC moves into a future that can reasonably be expected to remain challenging even if it improves, it must continue to craft complex sets of adaptations that will support ladder faculty success, and sustain and enhance excellence in all of UC's academic endeavors. The campuses individually and as a system have been doing that. They do it differently, according to their own particular context, goals, and resources. Overall, they have been successful judged by such important outcomes as graduation rates, time to degree, and student satisfaction, and judged in comparison to their public and private research university peers. If the University or the State is looking for concrete goals to espouse, the focus should be on outcomes, and not on specific adaptations that are expected to achieve the outcomes. This approach stays with the essential and recognizes the need for each campus to work somewhat differently to achieve overarching goals that all the campuses share.

In terms of UC's instructional mission, an example of meaningful instructional outcomes on which the campuses could all focus would be the following four:

- Maintain or increase the percent of undergraduate students who graduate within six years with a bachelor's degree.
- Increase the proportion of undergraduates completing a bachelor's degree in four years if they enter as freshmen and two years if they enter as transfers.
- Maintain or increase graduate enrollments and for some programs decrease time to degree.
- Sustain or enhance the positive evaluations of students and faculty with respect to the quality of education provided.

It is no easy matter to establish meaningful, achievable, measurable goals and a reasonable timetable for doing so. Should any goals be established for UC, as has been done in the past and is again proposed now, they should be about important outcomes not inputs. UC looks to be directly involved in setting them and determining how they will be achieved. From long experience, the University knows that meaningful achievements come about in differing ways on the campuses.

The UC system might well be thought of as a family with ten high-functioning brothers and sisters, certainly not as a family with ten high-functioning clones. The UC family has a shared view of what it means to be a high-functioning campus and recognizes that achieving that status is best done in somewhat differing ways depending on the age, stage, and particular characteristics of each campus. All campuses expect to succeed in the circumstances given to them in achieving the teaching, research, and public service missions of the University. The best way, then, to sustain UC's academic excellence in a period of continuing financial exigencies is to give the UC campuses and system the flexibility – as well as the resources and authority – they need in order to produce desired outcomes for each campus and the University as a whole.

VI. SPECIAL ORDERS

A. Annual Reports [2011-12]

- Graduate Affairs (CCGA)
- Affirmative Action and Diversity (UCAAD)
- Preparatory Education (UCOPE)

**COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)
ANNUAL REPORT 2011-12**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Coordinating Committee on Graduate Affairs met 12 times during the 2011-12 academic year.

Reviews of Proposed Graduate Degree Programs

One of CCGA's primary responsibilities is to review all campus proposals for new graduate schools and graduate degree programs. A total of 27 proposals were submitted to CCGA for review throughout the academic year, three of which were carried over from the prior academic year. Program proposals received by CCGA in the latter stages of 2011-12 will be carried over into the 2012-13 academic year. The following table summarizes CCGA's disposition of these proposals as of August 31, 2012.

Campus	Program Proposed	Lead Reviewer	Disposition Date	Disposition Status
UCB	Online Professional Master of Public Health (M.P.H.)	R. Mulnard	10/4/2011	Approved
UCB	M.S./Ph.D. in Computational Biology	A. Chisholm	6/5/2012	Approved
UCB	M.Eng. in Bioengineering	M. Vanderwood	—	Under review
UCB	Part-time SSP Master of Engineering (M.Eng.)	B. Schumm	5/9/2012	Approved
UCB	Online Master of Advanced Studies (M.A.S.) in Integrated Circuits	S. Farmer/K. Gyls	4/9/2012	Approved
UCB-UCSF	Master of Translational Medicine	A. Chisholm	6/14/2012	Approved
UCD	Master of Professional Accountancy (M.P.Ac.)	D. Arovas	10/4/2011	Approved
UCD	M.S./Ph.D. in Energy	D. Arovas	5/1/2012	Rejected; proposal returned to campus.
UCD	M.S. in Environmental Policy and Management	N/A	10/4/2011	CCGA will resume review upon receipt of revised proposal.
UCI	M.S. in Biotechnology Management	D. Mastronarde	4/3/2012	Approved
UCI	M.S. in Engineering Management	M. Vanderwood	10/4/2011	Approved
UCI	Ph.D. in Nursing Science	D. Mastronarde	2/7/2012	Approved
UCI	Master of Professional Accountancy (M.P.Ac.)	A. Buckpitt/ D. Mastronarde	7/19/2012	Approved
UCLA	Conversion of Master of Architecture II to Self-supporting status	R. Mulnard	6/5/2012	Approved
UCLA	Conversion of Anderson Graduate School of Management M.B.A. Program to Self-supporting Status	N/A	8/31/2012	CCGA will resume review upon receipt of revised proposal after a UC conversion policy is approved.
UCM	M.S./Ph.D. in Chemistry and Chemical Biology	A. Buckpitt	6/19/2012	Approved
UCR	M.S. in Computer Engineering	B. Schumm	2/7/2012	Approved
UCR	Online M.S. in Engineering	R. Raffai	2/7/2012	Approved
UCR	Master of Professional Accountancy (M.P.Ac.)	W. Shadish	2/7/2012	Approved
UCR	Fully Employed M.B.A.	R. Mulnard	4/5/2012	Approved
UCR	M.A. in Finance	D. Mastronarde	6/18/2012	CCGA will resume review upon receipt of revised proposal.
UCSB	M.S. and Combined Five-Year B.S./M.S. in Actuarial Science	D. Mastronarde	—	Under review
UCSB	Interdepartmental M.A./Ph.D. in Dynamical Neuroscience	A. Chisholm	—	Under review
UCSB	Combined Five-Year B.S./M.A. in Pharmacology and Biotechnology	R. Mulnard/ A. Chisholm	8/24/2012	Approved
UCSC	M.A. in Theater Arts	R. Raley	2/7/2012	Approved
UCSC	Ph.D. in Latin American and Latino Studies	S. Farmer	3/6/2012	Approved
UCSC	Ph.D. in Feminist Studies	A. Buckpitt	4/3/2012	Approved

CCGA worked on a number of key initiatives and issues related to graduate education over the course of the 2011-12 academic year, including:

SSPs Update and Outstanding Issues

CCGA members discussed key carry-over issues from last year, including some outstanding policy questions between the Senate and the Provost about the appropriateness of new Senate conversion guidelines: 1) the extent to which newly proposed SSPs are truly self-supporting; and 2) the necessary steps involved in the conversion process, (e.g., do campuses get to keep the former state-supported program on the books once it has been converted to self-supported status or must it first disestablish/discontinue it prior to the proposed conversion?). Another key issue discussed was what the appropriate CCGA review process is for SSPs, (e.g., CCGA had proposed that local Graduate Councils would get annual reports on an SSP's financial performance that speaks to the above issue comparable to the information to be provided to the Administration that is called for in the newly approved Presidential guidelines and consult with campus Planning and Budget committees as needed). CCGA formed a joint CCGA-UCPB subcommittee to follow-up on the above questions with UCPB members and divisional CCGA and UCPB committees. CCGA discussed the types of categories potentially missing in the accounting of SSPs including: effort by ladder-rank administrators (Dean, Associate Dean); IT support; Library costs; Graduate Division support; temporary Academic Staff costs associated with instruction by Teaching Assistants and Teaching Fellows; audit costs; cost of Senate's business (personnel actions, curricular review, etc.); and possible Systemwide costs. Other issues discussed included: general philosophy for basing estimates of SSP costs (marginal or extra incurred costs vs. pro-rated costs); assessment of the cost of participation by adjunct (non-ladder rank) faculty; costs associated with TA/TF support; tracking return-to-aid; and the nature of conducting audits of SSPs. Members also expressed concern about student access to SSPs; the utility of MOUs in program design; quality/oversight issues and prescribing review of SSPs commensurate with campus review cycle; and the particular learning objectives of each program as factors to be considered in the review of SSPs. The suggestion was put forth that CCGA could recommend the "proportionality" principle for student participation/access to courses proportionately assigned to programs to cover instructional costs. The Committee agreed to craft a general set of guiding principles and policy that would eventually be shared with the campuses. Among the basic points discussed was that: 1) SSPs should have MOUs regarding courses with joint enrollment of SSP and regular students. If there is not an MOU and students are denied access, then there is a structural problem with the design of the SSP. Faculty in either program should be advocates for their students. The problem is not different in principle from current cross-program enrollments. There is the possibility that issues could arise due to quality because students in the two types of programs have different objectives (research vs. other); and 2) review processes should properly assess possible implications for program quality of joint enrollments, including specifically the effects of having students with different educational objectives enrolled in the same course(s).

Council Task Force on Competitiveness in Academic Graduate Student Support (CAGSS)

Chair Goodhue chaired the CAGSS task force. Vice Chair Sharon Farmer and UCLA representative Karen Gyls also represented CCGA on the task force. Graduate education is an essential part of UC's mission as a research university, and graduate students are essential contributors to advancing this mission. The Regents' graduate student support policy recognizes that the University must make competitive financial offers in order to attract highly qualified graduate students. The work of the task force highlighted a number of critical issues concerning the competitiveness of UC's academic doctoral programs. While many of the University's graduate programs are currently rated among the best in the world, rising tuition and uncompetitive stipends threaten to seriously undermine program quality. Enhancing the competitiveness of UC's academic graduate student support requires immediate action at the Systemwide level. The task force report offers four recommendations for consideration: 1) reduce the financial impact of NRST, a) waive NRST for Ph.D. students. Recognizing current budget limitations, the task force offers two additional options: b) Increase the number of years NRST is waived for international doctoral students and c) reduce the cost differential due to NRST over time by forgoing future increases in tuition from international academic doctoral students; 2) do not charge NRST to research grants; 3) eliminate the Systemwide time limits on graduate student instructor (GSI) employment; and 4) allocate additional resources for net stipends for academic doctoral student support.

Academic Council Principles for Enrollment Management in the Context of Rebenching

As a member of Academic Council, Chair Goodhue participated in discussions regarding rebenching. Council considered the myriad issues embedded in the enrollment management component of the rebenching initiative. Council members agreed that rebenching requires enrollment management that the Senate must be extensively involved in shaping this aspect of the rebenching project, and that enrollment planning must address unfinished business in the larger Rebenching/Funding Streams restructuring of the University budget. Council unanimously endorsed a statement of principles as a baseline from which continuing discussion and negotiation should proceed. Specifically related to graduate education, Council recommended that UCOP and the Senate should analyze the impact of various enrollment scenarios under rebenching for both undergraduate and graduate students, especially when adding or removing educational paths and redistributing state funding. Council also endorsed the following principle:

5a. The Systemwide enrollment management plan should reflect the President's Policy on Self-Supporting Graduate Degree Programs (see especially Section 6A)¹ and consider not only the impact on the program itself and spillover impacts on closely related programs, but also how the conversion will affect enrollment targets for both undergraduate and graduate students under rebenching and UC's ability to meet its Master Plan obligations.

Campuses are free to explore and propose changes to programs that could lead to new revenues, but a campus that converts a state-assisted program to a self-supporting program should give up the state funding that was allocated for students enrolled in that program. However, the campus may request to transfer the funding to expand another enrollment target, consistent with current policy², or for meeting some other Systemwide priority. The University may find many professional degree programs, for instance, do not represent the best use of state funding, and should be increasingly self-supporting – a trend that is already underway. Those funds may be determined to have a higher priority use in assisting resident undergraduates or academic Ph.D. students, and the campus might be encouraged to redirect funding to such students. However, this should be a conscious, Systemwide decision about the role of state funding in professional schools in the UC system, not an ad hoc policy produced by a large number of independently generated proposals. To remain consistent with the rebenching recommendations, the campus should identify specific enrollment categories in which its target will increase.

Discussion with WASC President Ralph Wolff on Proposed Changes to WASC Guidelines

CCGA discussed proposed changes to WASC guidelines and generated the following list of key questions for President Wolff, in a letter sent December 13, 2011:

- 1) *We agree completely with the broader goals of the DQP, that students should receive a broad education covering the five areas defined in the DQP. We are wondering, however, if the DQP goes too far in extending? General education? Beyond the freshman and sophomore years, and if in so doing it: would slow down time to degree and dilute the quality of advanced study at the Upper Division and Master's levels?*
- 2) *WASC question on review of Ph.D.s: The Ph.D. is a unique degree title. Its focus is explicitly to create new knowledge, creative avenues, and modes of application of knowledge, and explicitly not to acquire a set of skills spelled out by a pre-determined rubric. Does WASC share this perspective? If not, why not? It seems that there is no intent of having the learning-outcome-oriented rubrics apply to Ph.D. programs. Can you verify that? Also, CCGA is wondering about the evolution of WASC's views on review professional program activity on campuses. Does WASC have an official definition of what constitutes a professional program?*

¹ The policy states that "Self-supporting programs will not be funded from State General Funds and reports of state-funded enrollments will exclude students in self-supporting programs. However, these enrollments will be reported to the Office of the President as a separate category which is not counted against the campus-budgeted (state-funded)-enrollment target. During the approved phase-in period, distribution of enrollment between state and non-state targets will conform to specifications of the phase-in plan." In effect, students in a self-supporting program are "removed from" the calculations that allocate state funding, under the Rebenching framework.

² <http://www.ucop.edu/planning/documents/self-supportpolicy-2011.pdf>

- 3) *What is (are) the problem(s) the new guidelines are designed to address? Is there knowledge these problems exist within graduate level training at research focused universities? Should a separate accreditation track be considered for research universities?*
- 4) *What specific requirements are being considered for Master's degrees?*
- 5) *We understand that there was at least some discussion of a minimum number of units (30) without allowing for fewer units combined with a thesis or comprehensive examination. Is this discussion headed anywhere?*
- 6) *Given that the problems WASC seems to be most interested in addressing are primarily with the for-profit segment of higher education, might it make sense to consider a two-pronged approach to accreditation, one for non-profit and one for for-profit institutions?*
- 7) *CCGA would particularly like to emphasize the unique nature of the Ph.D. degree. Rather than acquiring pre-determined skill sets, the focus of such a degree program is explicitly to create new knowledge, creative avenues, and modes of application of knowledge. Departments and programs oriented toward the production of specialized knowledge thus continuously and rigorously assess students in relation to the concrete goals of each respective degree (in the form of annual reviews, required research presentations, preliminary exams, oral qualifying exams, dissertations and theses and capstone projects, job placement). Does WASC share this perspective? If not, how does it understand the difference between a Master's degree and a doctorate? Or an undergraduate degree and a doctorate? From our discussion, it seems that there is no intent to apply learning-outcomes-oriented rubrics to Ph.D. programs. Can you verify and assure us that this is the case?*

As of August 31, 2012, CCGA was still awaiting a response.

Proposed Affiliation Agreement between UCSD and California Western School of Law

UCSD requested an expedited review of its proposed agreement with the California Western School of Law (CWSL) in December. CCGA discussed the proposed draft agreement between UCSD and the California Western School of Law at its January meeting. In the spirit of an expedited Academic Senate review, the questions raised by the committee were sent to the divisional Graduate Council as input into their deliberations. Based on some of the concerns raised, CCGA also decided to consult directly with UCPB and UCAP. The Committee discussed the campus response to a list of questions previously submitted by CCGA as well as the UCAP letter and recommendation not to approve the agreement. Members raised a range of concerns including concerns about the quality reputation of CWSL and the seemingly uneven nature of the partnership; advantages to UC for partnering with CWSL insufficient for moving forward; the LAO's past opposition to the need for new UC law school; motives behind CWSL aspirations; lack of substantive information on how the affiliation would further UCSD's long-term goals and benefit UC; campus interest in improving legal education in its local area; and that it would not like to see the agreement move forward without the support of the UCSD faculty.

CCGA was strongly opposed to any mention of the University of California or the University of California, San Diego on diplomas issued by CWSL for three reasons. First, and most important, there is a notable discrepancy in the quality of existing UC law programs and the CWSL program. Indeed, the background document provided to CCGA by the UCSD administration acknowledges this discrepancy and cites it as a reason for adopting the draft agreement rather than merging the institutions. Second, the program and school have not followed standard procedures for Academic Senate and UCOP involvement in program and school approval. Accreditation is not a substitute for formal Academic Senate and UCOP review. Finally, there is a lack of precedent for including UC's name on a non-UC degree. Academic Senate staff members were unable to find a precedent. CCGA asked specifically for precedents to be provided by UCSD. None were. CCGA, like UCAP, is very concerned about the lack of evidence of active UCSD faculty interest in the proposed agreement or, for that matter, in the previous one. Any benefits to graduate education are beyond hypothetical in the absence of grassroots faculty support. Existing joint programs have had few students. The one exception is a MAS program that was instituted after the expiration of the prior agreement. Thus, a formal arrangement such as the one proposed is not necessary for faculty to initiate joint efforts in graduate education. CCGA is also concerned with the lack of faculty involvement via the normal channels of shared governance because faculty involvement is a critical component of developing and maintaining UC-quality graduate programs. It appears that the draft agreement was developed without Academic Senate consultation until the last-minute request for an expedited review. Finally, CCGA

noted that if the long-term objective is the absorption of the law school into UCSD, proper procedures must be followed as specified in the Compendium and elsewhere. Ensuring that graduate education, including professional graduate education, meets standards for UC quality, is one important purpose of these procedures. At its meeting in February, CCGA unanimously voted to convey the above points in letter to Academic Council and elected to wait to see the Administration's response to concerns of the divisional Senate and Academic Council before making a final determination on the proposal. As of August 31, 2012, CCGA was still awaiting the Administration's response.

UCSF Inquiry: Local authority to expand an approved graduate inter-professional post-baccalaureate program and to include graduate academic post-baccalaureate students (*Can this be done administratively or would it require going back and obtaining Graduate Council/ CCGA approval?*)

After rereading the proposal for the original inter-professional post-baccalaureate program, CCGA determined that administrative approval alone is not sufficient to expand it to a program for academic graduate students. The students are in different classes of degree programs with different degree objectives. On the other hand, members were not sure a full review is necessary. If the program proposers are inclined to move forward, CCGA can entertain the possibility of doing an expedited review at the Systemwide level. At a minimum, an expedited review would entail resubmitting the professional post-bac application and all associated paperwork along with a justification for why it should be expanded to include academic graduate students. In addition, the timing of the request should be addressed, e.g., why should the program be expanded to academic graduate students now, when it presumably has either not started or has barely started for professional students; and if the program would benefit academic graduate students, why weren't the proposals submitted concurrently? After a brief discussion, CCGA agreed to forward the above comments to the campus.

UCSF Inquiry: Joint class attendance of students enrolled in a self-supporting program in non-SSP courses offered on the same campus (*Is it appropriate for student on campus to sit in the same classroom but pay different fees?*)

At this point in time, CCGA has not developed any policies or guidelines regarding the enrollment of students in SSPs and state-supported programs in the same course. The committee engaged in a discussion regarding SSPs and their implications for graduate education at UC that will continue in 2012-13. At present, the President's Policy on Self-Supporting Graduate Degree Programs states (in Section VI.H.) that students may enroll in the same courses "so long as there is separate accounting for the self-supporting and state-supplied costs." CCGA considered the use of M.O.U.s to help with accounting of resources and whether or not to develop implementation guidelines for the campuses. After a brief discussion, CCGA agreed to forward the above response to the campus.

UC Davis Program Review Committee Report on the Soils and Biochemistry Group

The Davis Graduate Council first brought the negative consequences of ANR's transfer of endowment income from AES research and graduate education activities on the campus to ANR purposes in the 2011-12 academic year. CCGA was quite concerned about the negative implications for graduate education, particularly graduate student support and research opportunities. As a result of a memo from former CCGA chair Jim Carmody, UCORP chair Phokion Kolaitis and UCPB chair James Chalfant, Academic Council approved unanimously a resolution requesting that the redirection of endowment funds by ANR be suspended until consultation with the Academic Senate. In April 2012, CCGA received a memo from the Davis Graduate Council. This memo indicated that Graduate Council had determined as part of its program review process that ANR's redirection of endowment income from research activities conducted on AES campuses has had notably negative effects on graduate education. Soils and Biochemistry is ranked as the top graduate program in its area in the country; the decline in graduate student support precipitated by ANR's action threatens the quality of education and competitiveness in graduate student support for a world-class graduate program. CCGA urged continued monitoring of ANR's decisions that affect graduate education, including the redirection of financial resources formerly dedicated to graduate education. ANR engages in periodic reassessment of its resource allocation across priorities. To date, CCGA has observed clear costs for graduate education of ANR's most recent resource allocation. The next reassessment should include those costs as part of the evaluation. Their existence sets a higher standard for the justification of the existing allocation than simply evidence of any benefit. CCGA encouraged the Academic Senate to participate in this review process.

Systemwide Reviews

APM 668 – Negotiated Salary Program. CCGA discussed the newly proposed APM 668, and though it is difficult to predict the effects of the proposed APM 668 on graduate education at the University of California, CCGA members expressed a variety of views. The Committee's two primary concerns centered on the extent to which APM 668 would redirect grant and endowment funds from graduate student support to faculty salaries and on the implications of APM 668 for UC's ability to attract outstanding faculty and maintain the quality of graduate education. Regarding the redirection of research funds, some CCGA members felt that the proposed change would not affect training or funding of graduate students in their disciplines because the funding of graduate students is necessary for the faculty to conduct research. Others commented that APM 668 may possibly lead to the diversion of grant and endowment funds from graduate student support to faculty salaries, thus diminishing the number of excellent graduate students that UC graduate programs can support. On the subject of the effects of APM 668 on UC's ability to attract outstanding faculty and maintain the quality of graduate education, some CCGA members thought that the flexibility created by this program might be valuable in some circumstances. Other members remarked that the program could possibly have deleterious effects if it diminishes the collegiality that the UC academic personnel system traditionally has fostered.

Senate Regulation 610 (residency). CCGA discussed proposed amendments to Senate Regulation 610. Overall, CCGA members were not satisfied with the proposed revision in the form suggested by UCRJ. The Committee made three recommendations, two that added clarity to the current language and a third that provided for counting online instruction but uses less sweeping, more cautious language. First, in the opening sentence following "approved by the Faculty of a student's college or school," CCGA recommended adding "and by appropriate Senate bodies" to make clear the necessity of review and approval by divisional CEP or GC and, if necessary, by UCEP or CCGA. Second, at the end of the paragraph, CCGA recommended changing the cross-reference from "[See SR 680-690]" to "[See SR 680-694]" so that the particular restrictions in 694 are also referred to here. CCGA also suggested that perhaps SR 630D should be referenced here to make clear that programs like EAP and UCDC have already been dealt with in this regard. And third, instead of adding the sweeping language "irrespective of physical location or mode of delivery," CCGA recommended adding a separate new sentence expressing something like the following: "Exemption from the requirement of physical residency for a particular program may be requested by providing a specific justification, subject to review and approval by the relevant Academic Senate bodies (divisional CEP or GC and, if necessary, UCEP or CCGA)." Members of CCGA were convinced that in-person interaction continues to be essential to many aspects of high quality undergraduate and graduate education and physical presence should not yet be abandoned as a norm. Finally, given that programs that are adopting alternative modes are still experimental at this stage and that UC faculty are still gathering data about what works and what doesn't and about how comparability in quality can be assessed, CCGA felt it was prudent to make clear that alternative modes of delivery need to be specifically justified in a rigorous approval process and reviewed frequently in the years immediately after adoption to ensure that UC quality education is indeed being delivered.

University of California Observatories. CCGA reviewed the external review committee report for the UC Observatories/Lick. The Committee recognized that many graduate students participate in research involving UCO/Lick, including students' dissertation research. Consequently, CCGA members were surprised that graduate education was not even mentioned in the report. CCGA considered the importance of UCO/Lick in maintaining excellence in graduate education in specific fields at the University of California an additional reason for UC to continue to fund it.

APM 430 – Visiting Scholars. CCGA discussed APM 430 in response to a management consultation request. Committee members identified four concerns and suggested potential changes that would address those concerns. First, CCGA suggested that the policy differentiate between visiting scholars who have obtained their doctorates and visiting graduate student researchers. UC Berkeley has a campus policy that does so, and it could potentially serve as a model. Second, CCGA suggested making explicit that campuses not only should "establish authority and procedures to appoint and reappoint" (430-4), but should have the authority to establish additional policies and requirements, including payment of costs associated with the individual's visit. Third, CCGA observed that there does not appear to be a minimum length of time for an appointment in this title and recommended that perhaps a minimum length should be specified, as in the Berkeley policy. Finally, CCGA noted that the definition of "on leave" is unclear, as is the reason it is included in the definition in 430-4 and subsequently raised the following questions for consideration. First, if a Visiting Scholar appointment is a short-term appointment and

one that prohibits receiving compensation from the University, what difference does the individual's leave status make? And second, if it does make a difference, then what is the applicable definition of "on leave"?

CCGA Handbook Revision

Over the course of the year, Vice Chair Sharon Farmer shepherded the updating of the CCGA Handbook to better reflect changes in CCGA practices and changes to the Compendium.

Reviews of Proposals for Name Changes, Reconstitutions, Transfers, Consolidations, Disestablishments, Discontinuances, and other Programmatic Matters

As shown below, CCGA considered numerous requests for name changes, reconstitutions, transfers, consolidations, disestablishments, and discontinuances of degree titles, programs, departments, graduate groups, or schools. A reconstitution refers to any combination of actions treated as a unified plan and intended to transfer, consolidate, discontinue, disestablish, or change the name of an academic program or academic unit. TCDD actions are defined as:

- *Transfer*: Moving a program or unit into another one that subsumes it.
- *Consolidation*: Combining two or more programs or units to form a new unified program or unit;
- *Disestablishment*: Eliminating an academic unit or research unit;
- *Discontinuance*: Eliminating an academic program.

Campus	School/Program/Group New Name/Group	Lead Reviewer	Disposition Date	Requested Action	Disposition
UCSD	Establish a terminal Master of Science Degree in Oceanography, Marine Biology or Earth Sciences at the Scripps Institution of Oceanography	N/A	1/3/2012	Establishment	Approved
UCD	Discontinue Exercise Science M.S. Program	N/A	1/3/2012	Discontinuance	Approved
UCLA	Disestablish the Biomedical Engineering IDP and Transfer its graduate degree (M.S. and Ph.D.) programs into the Department of Bioengineering	N/A	4/3/2012	Disestablishment and Transference	Approved
UCLA	Transfer the Environmental Science and Engineering Doctoral Degree (D.Env.) to the Institute of the Environment and Sustainability	N/A	4/3/2012	Transference	Approved
UCLA	Bifurcate the M.P.H. for Health Professionals Program in the UCLA School of Public Health	N/A	4/3/2012	Bifurcation	Approved
UCSB	Proposed Name Change for the Master of Arts and Doctor of Philosophy in "Art History" to the Master of Arts and Doctor of Philosophy in "History of Art and Architecture"	N/A	5/1/2012	Name Change	Approved
UCSF	Retroactively Change the Doctor of Nursing Science (DNS) Degree to a Doctor of Philosophy (Ph.D.) Degree	N/A	5/1/2012	Name Change	Approved
UCI	Reconstitute the Department of Education as a School of Education	S. Farmer	6/5/2012	Reconstitution	Approved
UCB	Proposed Name Change of the M.S. and Ph.D. degrees in Molecular and Biochemical Nutrition to the M.S. and Ph.D. in Metabolic Biology (received by CCGA 8/24/2012)	Unassigned	—	Name Change	Review will begin in 2012-13 academic year.

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 Lawrence Pitts; 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; Associate Director of Labor Relations Peter Chester; Academic Senate Director Martha Winnacker; Academic Senate Associate Director Todd Giedt; and Chair of the Council of Graduate Deans Tyrus Miller. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at CCGA meetings throughout the year.

Respectfully submitted:

Rachael Goodhue, Chair (UCD)

Sharon Farmer, Vice Chair (UCSB)

Donald Mastronarde (UCB)

Alan Buckpitt (UCD)

Ruth Mulnard (UCI)

Karen Gylys (UCLA)

William Shadish (UCM)

Valerie Leppert (UCM))

Michael Vanderwood (UCR)

Rita Raley (UCSB)

Bruce Schumm (UCSC)

Andrew Chisholm (UCSD)

Robert Raffai (UCSF)

Monica Liou (UCB student)

Tianhong Song (UCD student)

Robert Anderson (ex-officio member)

Robert Powell (ex-officio member)

Eric Zárate (Committee Analyst)

UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY (UCAAD) ANNUAL REPORT 2011-12

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Affirmative Action and Diversity (UCAAD) met four times in the 2011-12 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. This year was the fifth year of membership for UCAAD on the Academic Council. In 2007, the Council unanimously approved the addition of UCAAD as a permanent standing member, and in May of that year, the Academic Assembly approved an amendment to [Senate Bylaw 125](#) that codified the addition. A summary of the committee's work follows below:

Analysis of UC Pay Equity by Sex and Among Men, Ethnicity, 2009-10

The committee was previously successful in securing the volunteer services of Emerita Professor and past UCAAD Chair Pauline Yahr to resume work on a Systemwide faculty pay equity analysis first initiated in 2007-08 by UCAAD in conjunction with Academic Advancement. This effort, led by former Vice Provost Nicholas Jewell, was to be the first UC-wide statistical report of pay practices by gender and ethnicity evaluated across divisions, schools, and departments. UCAAD worked with Academic Advancement to develop the best possible evaluative metrics and comparative standards. Difficulties in securing up-to-date and translatable payroll and personnel data, however, coupled with the departure of Vice Provost Jewell in the fall of 2008, had until this year delayed any further work on the project. The final draft study entitled, [Analysis of UC Pay Equity by Sex and Among Men, Ethnicity, 2009-10](#), was transmitted to Academic Council in July 2011. Council voted to circulate the analysis for Systemwide Senate review and revisit the draft study in fall 2011. In a March 2012 memorandum to Council, UCAAD communicated the response of the committee to the compendium of responses to the proposed several subsequent actions to be taken.

Council Response to Salary Equity Study

In June 2012, after having discussed the Council response to the draft UCAAD recommendations on the *Analysis of UC Pay Equity* and what specific actions it might undertake, the committee responded to these comments and presented a preliminary action plan for Council's consideration and approval.

In UCAAD's estimation, there is across-the-board agreement that any situation of pay inequities is of serious concern and should be addressed in a pro-active and even aggressive manner. Several campuses have already anticipated that further action might best take place at the level of the individual campus and/or have proposed specific foci of further research and inquiry. And several others have already initiated their own studies in recent years. Most campuses opined that this study has not convincingly demonstrated that salary inequities and disparities exist due to gender discrimination, although most would agree that, minimally, the study's findings are "troubling". Even those opinions that most strongly doubted the efficacy of the chosen method and/or the results to date add that further attention, study and action are called for. While UCAAD noted that some comments or interpretations are not completely accurate, the committee elected to address these in a separate document primarily for the record. None of these, however, are of such substance to preclude a consideration at this time of the "next steps" that UCAAD had hoped to have in place by the close of this academic year.

UCAAD never anticipated that this particular methodology would be able to capture the complexities of our merit and salary system; no single methodology is likely to do so. Nonetheless, as indicated in the report, this was the method selected by the Chancellors and has been used with varying degrees of success in many other studies. In its response to the Systemwide responses, UCAAD chose to not dwell on the methodology *per se*. Members felt that detailed and back-and-forth discussion of methodology would have only delayed efforts to identify and correct salary inequities and perhaps not fundamentally change

our current understanding that problems exist and that they need to be addressed in a most timely manner. Especially given that UCAAD's core proposal that the individual campuses should develop their own plans for any further study or research that can illuminate more precisely the nature of salary inequities, a methodology debate seems to partially distract us from taking significant steps to engage more deeply with the data and thus processes at work that point to or substantiate that salary inequities exist.

UCAAD developed a list of the core critiques from the campuses, two UC Systemwide committees and from the Office of the President. The response from President Yudof also included an overview of what were considered to be core campus responses. Additionally, the committee crafted a list of what appear to be the major suggestions for "next steps" in research and/or action that have come from reviewers. UCAAD concurred with the suggestion made in one form or another by several sources namely, that each campus develop its own study and action plan in consultation and discussion with the Divisional Senate. Despite our 10-campus unities, personnel histories and processes vary among the 10 campuses and, in many respects, determining root causes is certainly based at the local level, perhaps even in different departments and other personnel units. Salary decision-making also varies by campus and perhaps even by unit within a campus. This effort will necessarily involve administrators at all levels. Some campuses have already begun salary equity reviews and may need to take different steps at this time.

One specific issue that UCAAD felt particularly strongly about is that the responsibility for inquiry into potential salary inequities not rest on individual faculty members. Rather, the committee urged that each campus develop campus-congruent mechanisms that would insure that department chairs, deans and senior level academic administrators address inequities in pro-active ways and with a full grasp of what inequities exist; specify mechanisms to address them; and develop specific plan(s) to "correct" pay inequities. And while the *Analysis of UC Pay Equity* primarily was able to use adequate data on white men, on women (undifferentiated by ethnicity) and some for men from groups often classified as under-represented, UCAAD underscored the overriding need for as broad a set of "group" data as possible that may sort out various dimensions of gender, ethnicity, age/seniority, etc.

Additionally, UCAAD urged that annual pay equity studies are to be undertaken immediately within each unit of each UC campus both to gain basic data and also to monitor the situation, from the level of a department on up. In order to insure that this action does move forward in as timely a manner as possible, UCAAD put forward the request for individual campus plans be presented to relevant Systemwide bodies, such as UCAAD, UCFW, UCAP, and Academic Council, by November 2012. Such plans should include specifics and a timeline, as well as those specifically responsible for each step and part of the proposed process. Council ultimately endorsed this recommendation and the following specified timeline:

- Campus plans of action sent, via Divisional Senate Chairs to UCAAD, UCFW and UCAP by **November 15, 2012**. The plans should include a list of administrators and Senate committees to be involved and a timeline for carrying out associated actions that would allow for reporting of results by June 30, 2013.)
- UCAAD, UCFW and UCAP present comments and evaluation of campus plans to Council for **January 2013** Council meeting discussion.
- Council responses to campus plans returned promptly, and campuses to provide at least some results of inquiry by **June 30, 2013**.

In the coming year, UCAAD will consider the best ways that these data can be collected and, if feasible, be provided for any comparative analyses emphasizing the need for transparent and accessible data. UCAAD will also be discussing what specific actions it will take responsibility for, such as providing, as it is able, Systemwide data if a campus so desires (such as noted by UCSB in a concern for comparative analysis) as well as suggestions from the individual campuses as to what the committee might be able to do in assisting with local plans and actions.

Finally, UCAAD expressed deep appreciation for the detailed and thoughtful attention given to this *Analysis of UC Pay Equity* and that, whatever its methodological challenges and limitations, it has mobilized us all to look deeper and with more analytical scrutiny to what appear to be some persistent salary inequities that are inconsistent with a meritocracy of the sort designed for and by the University of California. The across-the-board commitment to a “deep dive” into our histories and actualities was welcomed, and UCAAD stands ready to assist in making sure that specific action plans are developed and pursued in the immediate future.

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

The committee continued to discuss the revision of the guide and input from the campuses with the ultimate goal of creating a new document that is jointly authored by the Administration and the Senate in consultation with Academic Personnel. Members will also discuss current issues associated with Evaluating Contributions to Diversity for Appointment and Promotion (APM 210) guidelines including inquiries to UCAF suggesting that by specifying that credit be given to faculty who do work to better understand inequality and not to those who work on equality diminishes the value of these faculty members and potentially raises academic freedom issues. UCAAD continued to discuss the implementation of the diversity revisions to APM sections 210/240/245 originally proposed by UCAAD in 2004, which took effect in July 2005. The APM policy governing faculty appointment and advancement (APM 210) was amended effective July 2005 so that faculty contributions to diversity would receive recognition and reward in the academic personnel process. Previously, UCAAD identified two recurring issues across the UC system: the apparent lack of will and the evident lack of understanding of how to effectively make use of the policy as significant impediments to the timely implementation of APM 210. The committee discussed next steps and a framework for moving forward including taking the message back to campuses that they need to engage local CAPs and develop a set of common principles, standards, and approach to implementing the guidelines. Members also considered the extent to which a model for monitoring the implementation of *UC Affirmative Action Guidelines for Recruitment and Retention of Faculty*, first developed by UCSF in 2002 could be modified and adopted by UCAAD to serve as the model for the UC system.

Consultation with UCAP and UCAF on Proposed Changes to APM 210-1.d

UCAAD discussed ongoing consultation with UCAF on proposed changes to APM 210-1.d and expressed serious concern about the tenor of the UCAF discussion and the positions expressed by a number of its members.

Report of the Joint Faculty Diversity Faculty Diversity Working Group

The report of the joint Faculty Diversity Faculty Diversity Working Group, one of five groups created by President Yudof to support the President’s Advisory Council on Campus Climate, Culture, and Inclusion recommends 11 “promising practices” for fostering a diverse faculty and makes distinct proposals for Systemwide and local implementation. Rather than prioritizing each of the eleven recommendations as individual practices to develop further or initiate – all of which have their merits and direct relevance to the goals set for the working group and thus for the University – UCAAD felt that it made sense to group them into three different groups that are more or less ranked from highest priority (Group One) to those that are primarily efforts that are already being pursued on one or more UC campus (Group Three). The “top group” of recommendations are those that UCAAD feels are of most inclusive and Systemwide importance.

The President’s Accountability Sub-Report on Diversity

UCAAD continued to discuss with then-Chief of Staff to the Provost Jan Corlett and Interim Diversity Coordinator Jesse Bernal: the need for measureable and easily accessible metrics and specified outcomes for the *President’s Accountability Sub-Report on Diversity*, presented annually to the Regents; the inclusion of the Health Sciences, and updating of the *2008 Faculty Diversity in the Health Sciences Report*; as well as the need for a dedicated survey to measure campus climate for faculty/staff at all UC

locations. UCAAD also provided consultation to the Provost suggestions on specific actions that UC could initiate, at the campus or Systemwide level, to foster diversity and tolerance.

UC Staff Diversity Council Report

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

NSF ADVANCE PAID Grant Program

UCAAD discussed with Vice Provost Susan Carlson the Systemwide NSF ADVANCE PAID Grant Program that aims to leverage the 10-campus structure at UC to enable campuses to recruit, retain, and advance more women and under-represented minority women faculty in the fields of Science, Technology, Engineering, and Mathematics (STEM). The program and its “Recruitment Data Analysis Project” are focused on developing and analyzing a common data bank of information on faculty searches. The purpose of the project is to analyze search activity at key stages of the process to understand more about why women and under-represented minority hires continue to lag Ph.D. availability in the natural and behavioral sciences as well as in engineering and computer and information science. The committee also consulted with Vice Provost Carlson how best to encourage and help facilitate collaboration between the local CAP and Diversity committees on issues of mutual concern. Suggestions included developing a best practices list, e.g., joint CAP/Diversity meetings at least twice a year to discuss observations, trends, and issues related to faculty equity and diversity.

Consultation with BOARS on UCOE Marketing Plan

UCAAD endorsed the BOARS letter and concurred that the targeting of overachievers is problematic and that the marketing plan to non-matriculated students is premature and that the assumptions to be tested. In addition, the committee entreated UCOE to develop plans for data collection and metrics for measuring the efficacy of the program as well as a program review after the completion of year one and give further consideration on how to assist and provide access to low income student. UCAAD also recommended slowing the enrollment of non-matriculated students and prevailed on the Office of the President to allow UCOE more latitude with terms of the loan repayment.

BOARS Recommendation to Allow LGBT Applicants to Self-Identify on the UC Application

UCAAD discussed the BOARS’ recommendations to Council on the recently signed Assembly Bill 620, that includes a request that UC provide the opportunity for its students, staff, and faculty to report their sexual orientation and gender identity on any forms used to collect demographic data. While some UCAAD members agreed with the BOARS’ assessment on the appropriate venue for collecting this information, (i.e., the Statement of Intent to Register (SIR) form and other forms required of *admitted* and *enrolled* students as better alternative venues for collecting these data), other committee members were not convinced by the arguments for not collecting this information on the application for admission. UCAAD members discussed the need to convey a message to LGBT applicants of inclusiveness in a way that acknowledges the fluid nature of gender identity and sexual orientation. In the end, UCAAD voted to: support the recommendation to solicit this information on SIRs and on forms completed by *matriculated* students; and propose that the question of whether to collect the data on the application forms be revisited in a few years. Members were particularly concerned that individuals be afforded as many opportunities as possible, in addition to the SIR form, to self- identify if they so choose; that is, the same opportunities all students have to self-identify according to other more traditional “categories” that appear on forms.

Other Issues and Business

At each meeting, UCAAD devoted a portion of the agenda to reports and updates from its members about issues facing local divisions and committees. These discussions included local faculty search committee practices and hiring data; the role of campus affirmative action officers; equity and career reviews; exit interviews; and campus climate issues and climate surveys. In addition to official communications related to the aforementioned topics, UCAAD submitted formal comments on the following policy review issues:

APM 670 – Health Sciences Compensation Plan. UCAAD discussed changes proposed after a targeted “management consultation” with relevant Senate committees and administrators; they clarify certain principles such as authority levels, and adding language to provide guidelines for the assignment of Academic Programmatic Units and to bring APM – 670 into conformity with APM – 700. UCAAD affirmed its support of the changes with the proviso reminding units sufficiently consider the issue of equity at all junctures in the salary review process and explicitly inform eligible faculty members of how they might benefit from the policy.

APM 668 – Negotiated Salary Plan. UCAAD discussed a proposed new APM that would allow a compensation model for general campus faculty similar to the health sciences compensation plan, which would provide the option for supplementing salary with non-state resources. UCAAD affirmed its support for the proposed APM, with the proviso reminding units sufficiently consider the issue of equity at all junctures in the salary review process and explicitly inform eligible faculty members of the policy.

Acknowledgements

UCAAD is grateful to have had valuable input from and exchange with these UCOP and campus consultants over the past year: Provost Lawrence Pitts; Vice Provost Susan Carlson; Chief of Staff to the Provost Jan Corlett; Interim Diversity Coordinator Jesse Bernal; Academic Policy and Compensation Manager Janet Lockwood; Director of Graduate Studies Pamela Jennings; and Emerita Professor and Past Chair of UCAAD Pauline Yahr. They provided the committee with data, consultation and reports on numerous items and issues, including:

- Graduate and professional student academic preparation educational outreach;
- Legal obligations and responsibilities for faculty and student diversity in relation to both Proposition 209 and federal affirmative action regulations;
- UC programs and fellowships targeting diversity, including the UC-HSBC (Historically Black Colleges and Universities) Initiative and funding of the President’s Postdoctoral Fellowship Program; and
- Local conferences, summits, and symposiums addressing diversity.

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

Respectfully submitted:

Margaret Conkey, Chair (UCB)

Manuela Martins-Green, Vice Chair (UCSB)

Lisa Pruitt (UCB)

Monica Vazirani (UCD)

Grace Tonner (UCI)

Francisco Ramos-Gomez (UCLA)

Cristían Ricci (UCM)

Michael John Orozco (UCR)

Beth Schneider (UCSB)

Kimberly Lau (UCSC)

Judith Varner (UCSD)

Janet Shum (UCSF)

Sara Cooley (UCSB student)

Tierra Moore (UCLA student)

Robert Anderson (ex-officio member)

Robert Powell (ex-officio member)

Eric Zárate (Committee Analyst)

**UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION (UCOPE)
ANNUAL REPORT 2011-12**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Preparatory Education (UCOPE) met twice and the UCOPE-EMS (English as a Second Language) Advisory Group met once during the 2011-12 academic year. Both groups considered matters in accordance with its duties as set forth in [Senate Bylaw 192](#), which state that UCOPE shall advise the President and appropriate agencies of the Academic Senate on the broader issues related to preparatory education, including the language needs of students from diverse linguistic backgrounds; monitor and conduct periodic reviews and evaluations of preparatory and remedial education; to supervise the *University of California Entry Level Writing Requirement* (UC-ELWR), and to establish Universitywide standards for the *University of California Analytical Writing Placement Examination* (UC-AWPE); monitor the implementation of [Senate Regulation 761](#) (Remedial Courses) on the campuses. A summary of the committee's activities and accomplishments follows below:

UC Analytical Writing Placement Examination

- **Administration and Budget.** UCOPE members reviewed the implementation of the UC-AWPE vis-à-vis reports from AWPE Analyst Julie Lind. The UC-AWPE has had a history of structural deficits, as the costs to administer, score and manage the program exceed the revenue generated by its current fee structure. UCOPE has continued to closely monitor this issue and to work to ensure that AWPE standards are not compromised by future cost-cutting measures and that the pedagogical and curricular consequences associated with on-line scoring are carefully considered.
- **Review and Selection of the 2012 Analytical Writing Placement Examination Essays.** In January, UCOPE members selected the essay to be used in the 2011 UC-AWPE administration, in accord with Senate Regulation 636B.1. The selection is an annual event led by UCOPE Consultant George Gadda (UCLA).
- **Norming of AWPE for 2011.** In April, UCOPE members reviewed sample essays to ensure that norming procedures used in evaluation of the 2011 AWPE exam would be consistent with SR 636A and SR 636B.1. This session is an annual event led by UCOPE Consultant George Gadda (UCLA).

UCOPE English for Multilingual Students Advisory Group

The UCOPE-EMS Advisory Group met once this year. Advisory Group Chair Robin Scarcella (UCI) reported that almost every member expressed deep concerns regarding how the UC budget situation is impacting ESL programs and services on the campuses. The Advisory's Group considered the new online scoring procedure of the AWPE and possible difficulties that might arise from its use. They also discussed plans to increase the enrollment of international students on several UC campuses. Members felt strongly that any that any proposed increase in the enrollment of international students include commensurate services with funding, in particular from the Size and Shape Working Group of the Commission on the Future.

UCSD Proposal for ELWR Exemption

UCOPE discussed a UCSD proposal to exempt a fraction of its students from the Systemwide ELWR course requirement. After brief discussion, UCOPE voted unanimously to send a letter conveying its concerns with the two IRB-approved study proposals measuring the effect of basic writing courses on UCSD students and support of the request to exempt a fraction of UCSD students from the Systemwide ELWR course requirement.

UC Online Education: UCEP Response to the UCOE Proposal

UCOPE discussed the UCEP Response to the UC Online Education Proposal. After brief discussion, UCOPE voted unanimously to send a letter that recommends that UCOE courses include a requirement that students have satisfied the ELWR in a manner comparable to the previous recommendation by BOARS.

Other Issues and Business

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

- Impact of budget cuts on the future of preparatory education in the UC System; and
- Development of a written proposal and intellectual framework for adopting the concept of a Systemwide math diagnostic test.

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

Acknowledgements

UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: Julie Lind, AWPE Analyst; George Gadda, UCLA Writing Program Director and Chair of the Analytical Writing Placement Examination Committee; Robin Scarcella, Chair of the UCOPE-EMS Advisory Group; and all the members of the UCOPE-EMS Advisory Group. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCAAD meetings this year.

Respectfully submitted:

Jonathan Alexander, Chair (UCI)

Steven Axelrod, Vice Chair (UCR)

Francesca Rothberg (UCB)

Cristiana Drake (UCD)

Min Zhou (UCLA)

Virginia Adan-Lifante (UCM)

Brice Erickson (UCSB)

Ross Frank (UCSD)

Leslie Zimmerman (UCSF)

David Smith (UCSC)

Jamie Holzer (UCSB student)

Robert Anderson (ex-officio member)

Robert Powell (ex-officio member)

Eric Zárate (Committee Analyst)

**See Chair for UCI representative*

**See Vice Chair for UCR representative*

V. REPORTS ON SPECIAL COMMITTEES [NONE]

VI. REPORTS OF STANDING COMMITTEES

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

According to [Senate Regulation 466](#), BOARS, with the concurrence of the Academic Council and the Assembly, is responsible for adjusting the admissions Index used to identify the top 9% of California public high school graduates to achieve the goals of the University's admissions policy. The top 9% of graduates are guaranteed admission to the University. The Index is based on incomplete 2009 data from the California Postsecondary Education Commission and is no longer calibrated correctly to yield the target group. It identified the top 10.6% of high school graduates as eligible for admission in 2012 and the top 11.1% in 2013. BOARS has proposed a new index that it anticipates will more accurately identify the top 9% of high school graduates for use beginning with applications received in Fall 2014.

ACTION REQUESTED: Approve the proposed revision of the statewide admissions index.

**BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)****George Johnson, Chair**gjohnson@me.berkeley.edu

Assembly of the Academic Senate

1111 Franklin Street, 12th Floor

Oakland, CA 94607-5200

Phone: (510) 987-9466

Fax: (510) 763-0309

May 31, 2013

ROBERT POWELL, CHAIR
ACADEMIC COUNCIL**Re: Adjustment to the Statewide Admissions Index to Identify Top 9% of CA Public High School Graduates**

Dear Bob,

Throughout the 2012-2013 academic year, BOARS has been discussing options for recalibrating the statewide admissions index for freshmen applicants in an effort to return the percentage of California public high school graduates who receive a referral guarantee of UC admission to the 9% level identified in Regents' Policy 2103¹. BOARS first saw the need for such a change in 2012, after it reviewed data indicating that close to 11% of public high school graduates had been identified for a statewide guarantee by the current index. BOARS noted in its October 2012 report to the Regents on Comprehensive Review² that such a recalibration would be necessary in the very near future.

Senate Regulation 466³ states that BOARS, with the concurrence of the Academic Council and the Academic Assembly, is responsible for adjusting the index when appropriate. BOARS has reviewed several options for recalibrating the index, and selected one that we believe would have much more accurately identified the top 9% of public high school graduates who applied to UC for 2013. It appears in the table below.

To be clear, this recalibration will not change the “9x9” policy or alter the target of 9% of public high school graduates who should receive a statewide guarantee. It will only change how those 9% are identified.

The current admissions index is clearly identifying too many students for the statewide guarantee. The admissions reform policy approved by the Regents in 2009 was first applied to the class of freshmen who entered UC in fall 2012, and in that year, the current index identified 43,761 applicants from public high schools for a statewide guarantee, representing 10.6% of the estimated⁴

¹ <http://regents.universityofcalifornia.edu/policies/2103.html>

² <http://senate.universityofcalifornia.edu/committees/boars/BOARSREPORTCOMPREHENSIVEREVIEW2012.pdf>

³ <http://senate.universityofcalifornia.edu/manual/rpart2.html#art4chap3>

⁴ <http://www.dof.ca.gov/research/demographic/reports/projections/k-12/>

411,326 public high school graduates for that year. For the class entering college in 2013, the index identified 45,581 applicants, or 11.1% of public high school graduates. Indeed, for 2013 the current index identified some 8,600 applicants beyond those in the top 9%.

Why did the 2009 academic index fail to meet the 9% target? It was because BOARS developed the index on the basis of data available in 2009 from the most current California Postsecondary Education Commission (CPEC) University Eligibility Study for the Class of 2007. The CPEC study included the best data available, but also known to be an incomplete measure of California high schools in that statewide figures were based on only a sampling of schools.

BOARS estimates that the new index would have reduced the number of students eligible for the statewide guarantee in 2013 by 8,621. However, 2,777 of those students are eligible in the local context (ELC) and would still have a guaranteed offer of admission. Combining students who are guaranteed through the revised statewide index, ELC or both, the new index would have reduced the total number of guarantees by 11.4%, or 5,844 students. Of those 5,844 students who would not have received a guarantee, 3,708 were admitted to at least one campus to which they applied, leaving 2,136 applicants who would not have been in the referral pool under the proposed index.

The effect of the proposed index on diversity is most appropriately examined by considering the percent decrease in different populations of students who were eligible for a referral offer through either the statewide or the local path. Overall, the referral pool for public high school graduates in 2013 would have been reduced by 25.4%, from 8,421 applicants to 6,285, under the proposed index. By ethnicity, referrals to white students would have decreased by 28.3%, to Asian American students by 27.2%, and to underrepresented minority students by 20.6%. The percent decrease is greater for students in high API schools than for those in low API schools, and is greater for students from wealthier families than for students from low-income families. This reflects, to some extent, the fact that there are more high-API and high-income students in the statewide guarantee pool.

BOARS requests that the Academic Assembly approve the use of this index beginning with applications received in fall 2014 for enrollment as freshmen in fall 2015. As you know, the proposed recalibration was approved by the Academic Council in April, along with a recommendation for the change to be implemented immediately (i.e., for students applying in fall 2013). However, BOARS has since learned that it is too late to make such a change for the current admissions cycle due to the coding that would be necessary in the admissions website. We therefore recommend that the change be implemented for students applying in fall 2014.

Sincerely,



George Johnson
BOARS Chair

cc: BOARS
Senate Director Winnacker

Comparison of Current and Proposed New Statewide Admissions Index

If an applicant's UC Score meets or exceeds the minimum score shown in the table below for the applicant's GPA range, he or she will be guaranteed admission to a UC campus.

Weighted High School GPA	Minimum UC Score ⁵	
	Current Index	New Index
3.00 - 3.04	263	277
3.05 - 3.09	261	275
3.10 - 3.14	259	273
3.15 - 3.19	256	270
3.20 - 3.24	254	268
3.25 - 3.29	252	266
3.30 - 3.34	249	263
3.35 - 3.39	246	260
3.40 - 3.44	244	257
3.45 - 3.49	241	254
3.50 - 3.54	238	251
3.55 - 3.59	234	248
3.60 - 3.64	231	245
3.65 - 3.69	228	242
3.70 - 3.74	225	238
3.75 - 3.79	221	235
3.80 - 3.84	217	231
3.85 - 3.89	214	227
3.90 - 3.94	210	224
3.95 - 3.99	206	220
4.00 - 4.04	202	216
4.05 - 4.09	198	212
4.10 - 4.14	193	207
4.15 - 4.19	189	203
4.20 - 4.24	184	198
4.25 - 4.29	180	194
4.30 - 4.34	175	189
4.35 >	171	184

⁵ The UC score may be determined from either SAT scores or ACT scores as given in the admissions index website: <http://admission.universityofcalifornia.edu/freshman/california-residents/admissions-index/>. For the SAT, the UC Score may be computed as UC Score = 60 + 0.10*(Math + Reading + Writing). For the ACT, the UC Score must be determined from the table provided in the admissions index website.

B. BOARS' Proposed Amendments to SR 478 [ACTION]

BOARS has submitted a proposal to amend [Senate Regulation 478](#) to accommodate IGETC for STEM majors. Previously, Council approved this amendment in concept as part of the new transfer admissions policy codified in [Senate Regulation 476](#), which was approved by the Assembly in June 2012. The proposed language was reviewed systemwide in Fall 2012. Council discussed the responses in February, and BOARS made subsequent revisions in response to comments received in the review and Council's discussion. At its meeting on April 24, Council approved forwarding the proposed amendments to the Assembly for consideration.

ACTION REQUESTED: Approve the proposed amendments to SR 478.



BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)

George Johnson, Chair

gjohnson@me.berkeley.edu

Assembly of the Academic Senate

1111 Franklin Street, 12th Floor

Oakland, CA 94607-5200

Phone: (510) 987-9466

Fax: (510) 763-0309

May 15, 2013

ROBERT POWELL, CHAIR
ACADEMIC COUNCIL

Re: Proposed Amendments to Senate Regulations, Including SR 478 to Accommodate “IGETC for STEM Majors”

Dear Bob,

BOARS was pleased to learn that following a systemwide Senate review, the Academic Council approved the attached set of revisions to the Senate Regulations covering undergraduate and transfer admission, subject to the incorporation of several edits and clarifications suggested by reviewers. BOARS has made the adjustments and now requests final approval from the Assembly of the Academic Senate.

As noted when these recommendations were sent to the Academic Council in February, the most substantive change is proposed to SR 478 governing the Intersegmental General Education Transfer Curriculum (IGETC). IGETC was adopted by UC in 1990, and implemented statewide in 1991, as an option for California Community College (CCC) students to fulfill lower-division general education requirements before transferring to either a CSU or a UC campus. As IGETC serves all three public higher education segments, the curriculum and its policies are overseen by the Intersegmental Committee of Academic Senates (ICAS), representing faculty from the CCC, CSU and UC.

Full completion of the IGETC allows a student to transfer from a CCC to a UC campus without the need, after transfer, to take additional lower-division courses to satisfy campus general education requirements. It also allows students more flexibility in class selection at the university and timely progress to degree completion. All UC campuses accept the completed IGETC as a way to satisfy the lower division general education requirements. However, individual colleges or majors at a campus may choose not to accept IGETC for meeting general education. This is typically true for programs that have a large number of lower division requirements beyond general education. None of the attached changes will impact the ability of individual programs to continue determine their lower division requirements.

BOARS is proposing the introduction of a new “IGETC for STEM Majors” option in Section 478.D.2.b, and eliminating the existing “SciGETC” option in the current Section 478.B.2.b(2). The IGETC for STEM Majors sequence is needed to implement the new transfer admissions policy in

SR 476 that the Assembly approved in June 2012. And because IGETC for STEM Majors, unlike “partial IGETC,” would be a variant of IGETC, it would conform to the provision in the state legislation, SB 1440, mandating that the new Transfer AA/AS degrees from California Community Colleges include IGETC or CSU Breadth.

The amendment states that students 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.

BOARS has taken this revision as an opportunity to rewrite SR 478 completely to enhance its clarity and alignment to the high school “a-g” course requirements detailed in SR 424. In that Regulation, the subject areas are broadly defined, and the details can be found at that UC “a-g” Guide (<http://www.ucop.edu/agguide/>). Similarly, in the proposed new IGETC Regulation, the subject areas are broadly defined, and details may be found at the UC website: <http://admission.universityofcalifornia.edu/transfer/requirements/additional-requirements/igetc/index.html>, and at the ICAS website: <http://icas-ca.org/igetc>.

Based on the results of the Systemwide review, the proposed Regulations to be considered by the Assembly incorporate several small changes to the version considered by the Divisions. Specifically, clarifying statements that are part of the current Regulation have been restored to Sections 478.A and 478.B.1.

One Division was concerned that BOARS had removed the ability of students to satisfy parts of IGETC through SAT Subject tests. The proposed language incorporates a blanket statement in 478.C that allows external exams to be used for this purpose, provided they are approved by BOARS.

The other changes scattered throughout the Admissions Regulations fall into the category of “bookkeeping” that are associated with the changes in freshman eligibility that occurred for admission in fall 2012 or that correct reference to old sections that are no longer relevant. In other cases, we propose to repeal Regulations that have been replaced by other Regulations.

Sincerely,



George Johnson
BOARS Chair

cc: BOARS
Senate Director Winnacker
Undergraduate Admissions Director Treviño



Regulations of the Academic Senate University of California

Part II. Admission

400. Medical and Physical Examinations (Rp 30 May 73)

Title I. Academic Colleges

Chapter 1. Publication of Admission Requirements

410.

The Board of Admissions and Relations with Schools, or its designated agent, shall annually review, and revise as is deemed necessary, the statement of minimum admission requirements. This statement shall include such supplementary information as the Board directs. (Am 17 June 2009)

412.

All changes in the minimum requirements for undergraduate admission, and in the recommendations for preparation for college level work, to the curricula of the various colleges, schools, and departments, shall be immediately reported to the systemwide Director of Admissions for dissemination and implementation. (Am 17 June 2009)

414. (Formerly SR 422)

Each college retains the right to recommend to the Academic Senate its specific requirements for the Bachelor's degree in the various curricula of the college. Each college or school is to announce these specific requirements and to advise prospective students that failure to select prerequisite high school courses wisely may prevent graduation in four years. [See SR 412.] (En 17 June 2009)

Chapter 2. Admission to Freshman Standing

417.

This chapter applies to students who submit an application for freshman admission to the University and have completed no term of course work at a postsecondary institution following graduation from high school (summer session excepted). Students who have completed Community College coursework prior to high school graduation will also be viewed as freshmen. High school graduates who have completed college-level work at an accredited postsecondary institution (except in the summer following high school graduation), shall be applicants for advanced standing under the provisions of Chapter 4. (Am 17 June 2009)

Article 1. Submission of Test Scores

~~418. {SR 418 as set forth below, is to be valid for freshmen entering the University through spring 2012}~~

~~Each Applicant for admission must submit scores on an approved core test of Mathematics, Language Arts, and Writing. The applicant must also submit scores on approved supplementary subject matter tests to be taken in two different "a f" subject areas: History/Social Science, English, Mathematics,~~

~~Laboratory Science, Language other than English, or Visual and/or Performing Arts. (Am 4 May 95; Am 28 May 2003)~~

~~Approval of tests shall be determined by the Board of Admissions and Relations with Schools, with the concurrence of Academic Council and the Assembly of the Academic Senate. The minimum scores acceptable shall be determined by the Board of Admissions and Relations with Schools, and may vary depending upon the overall grade point record of the applicant. (Am 28 May 2003) (Am 17 June 2009)~~

419. (En 17 June 2009) ~~{SR 419 as set forth below, is to be valid for freshmen entering the University beginning in fall 2012}~~

Each Applicant for freshman admission must submit official scores on an approved test of Mathematics, Language Arts, and Writing on or before the date established by the Office of Admissions.

Approval of tests shall be determined by the Board of Admissions and Relations with Schools with the concurrence of the Academic Council and the Assembly of the Academic Senate.

Article 2. Submission of Academic Records

420.

Each applicant for freshman admission must arrange for the University to receive, prior to the date established by the Office of Admissions, the final official high school transcript as well as a transcript for all collegiate courses that have been attempted.

The final official transcript from the high school from which the applicant graduated must show the date of graduation and the grade and the year taken for each course used to satisfy the requirements specified in Regulation 424. (Am 19 May 69, CC 2 May 77; Am 26 May 82) (Am 17 June 2009)

422. (Rp 17 June 2009) See SR 414

Article 3. Minimum Requirements for Admission for Graduates of Secondary Schools in California

424.

Candidates applying for freshman admission on the basis of a transcript of record from a secondary school in California must satisfy the course work requirements specified in this regulation. (Am 2 Jun 77; Am 26 May 82; Am 3 May 90; Am 24 May 00) (Am 17 June 2009)

A. Course Requirements

1. Unit Requirements

For the purpose of this Regulation, a unit consists of a year-long college preparatory course approved by the University at the applicant's high school, in one of the following subject areas: History/Social Science, English, Mathematics, Laboratory Science, Language Other Than English, Visual and Performing Arts, and College-Preparatory Electives. A minimum of 15 units must be completed in grades 9-12 as specified in paragraph C of this Regulation. However, courses in Mathematics and Language other than English taken in grades 7 and 8 may be included in the required 15 units if the courses are accepted by the applicant's high school as equivalent to high school courses that meet the a-g requirements of SR.424.A.3. At least 7 of the 15

required units must be completed during the applicant's last two years in high school. A minimum of 11 units must be completed before the end of grade 11. (Rev 4 May 1995) (Am 17 June 2009)

2. Exception to the Unit Requirements

Notwithstanding Paragraph A.1 of this Regulation, a campus may elect to admit an applicant who does not present the required minimum 15 units prior to high school graduation, provided that the applicant has completed 11 units before the end of the grade 11, including those specified in Paragraph ~~C.A.3~~ of this Regulation. Campuses should exercise this option sparingly, and only when an applicant presents a strong overall record of academic achievement that is at least comparable to the records of other applicants admitted to the campus. (Am 17 June 2009)

3. Specific Subject Requirements

The following subject requirements must be satisfied through the completion of approved courses of study as provided in Bylaw 145.B.5.

- a. History/Social Science, 2 units. One unit of world history, cultures, and historical geography; and, one unit of US History or one-half unit of US History and one-half unit of Civics or American government. (Am 17 June 2009)
- b. English, 4 units. College-preparatory English composition and literature. (Rev 4 May 1995) (Am 17 June 2009)
- c. Mathematics, 3 units. Four are recommended. Must include the topics covered in elementary and advanced algebra and two- and three-dimensional geometry. (Am 17 June 2009)
- d. Laboratory science, 2 units. Three are recommended. Must provide basic knowledge in at least two of the fundamental disciplines of biology, chemistry, and physics. (Am 17 June 2009)
- e. Language other than English, 2 units. Three are recommended. Both units must be in the same language. (Am 17 June 2009)
- f. ~~(effective 2003)~~
Visual and performing arts, 1 unit. Must be a single, year-long course in dance, drama/theater, music, or visual art. (Am 17 June 2009)
- g. ~~(effective 2003)~~
College preparatory elective, 1 unit. Additional approved a-f courses beyond the minimum required, or courses that have been approved specifically in the 'g' subject area (Am 17 June 2009)

B. Scholarship Requirements

1. All courses used to satisfy the specific requirements of Paragraph ~~C.A.3~~ of this Regulation must be completed with a grade of C or better. (Am 17 June 2009)
2. Grade Point Average Calculation
Applicants for freshman admission must have a grade point average of at least 3.0 in all University-approved college-preparatory course work taken in grades 10 and 11. For purposes of this Paragraph the grade point average is based on the scale of A = 4, B = 3, C = 2, D = 1 for standard college-preparatory courses, and A = 5, B = 4 and C = 3 for honors-level, Advanced Placement, International Baccalaureate, and college courses approved by the University, except that the number of semesters of high

school courses receiving the additional honors point shall be limited to 8 semesters/4 courses. (Am 17 June 2009)

428.

Alternate ways to complete the subject requirements specified in 424. ~~CA.3~~.a-g include:

A. Taking approved subject matter tests and achieving such scores, as the Board of Admissions and Relations with Schools may determine, ~~or~~.

B. Completing with a grade of C (2.0) or higher one transferable college-level course (3 semesters or 4-5 quarter units) for each missing high school subject course specified in SR 424. ~~CA.3~~.

C. Completing more advanced courses with passing grades, as the Board of Admissions and Relations with Schools may determine, provided that such courses assume knowledge acquired in lower-level coursework.

(Am 4 May 95) (Am 8 Mar 72) (En 25 May 83) (Am 17 June 2009)

430. (Rp 17 June 2009)

440.

Applicants for freshman admission who do not satisfy the requirements of Regulation 419 or 424 may submit scores on admissions examinations as specified by the Board of Admissions and Relations with Schools. Applicants who have achieved satisfactory scores, as determined by the Board of Admissions and Relations with Schools, are entitled to a review of their application for admission. (Am 4 May 95) (Am 17 June 2009)

Article 4. Admission of Applicants other than Graduates of Secondary Schools in California

450.

Students applying for freshman admission on the basis of transcript of record from an accredited secondary school outside of California must complete a four-year course of study that includes at least 15 college-preparatory courses as specified in SR 424, the required examinations specified in SR ~~418~~ ~~419~~ ~~(SR 419 beginning in fall 2012)~~ and must meet scholarship requirements with a minimum grade point average as shall be determined by the Board of Admissions and Relations with Schools with the concurrence of the Academic Council and the Assembly of the Academic Senate. (Am 17 June 2009)

452.

Candidates who are not graduates of a high school or other secondary school are entitled to admissions review if they satisfy the provisions of SR 440. (Am 17 June 2009)

454.

An English language examination approved by the Board of Admissions and Relations with Schools is required to determine the proficiency of applicants for admission whose native language is other than English, unless they come with satisfactory credentials from an institution in which the language of instruction is in English. No credit is assigned on the basis of this examination. Applicants who do not meet the minimum level of proficiency required by the campus(es) to which they have applied will not meet the minimum requirements for admission to the University. (Am 17 June 2009)

456.

The Board of Admissions and Relations with Schools regards four years of literature and composition taught in a language of instruction other than English as satisfying the English ('b') subject requirement as specified in SR 424 paragraph ~~CA.3~~. A student who satisfies the 'b' subject requirement

in this manner will satisfy the ('e') subject requirement (Language Other than English) by attaining fluency in English as demonstrated by satisfactory performance on an approved English test or attaining a grade of C or better in at least two English composition courses taught in English. The amount of credit which a student receives for their native language when it takes the place of the ~~English~~ English ('b') requirement, depends upon the accreditation status or recognition of the school by the Ministry of Education of the country of origin. [See SR 480.] (Am 26 May 82) (Am 17 June 2009)

458. (Repealed 20 Feb 2008)

460. (Rp 17 June 2009) See Chapter 5

Chapter 3. Campus Selection of Freshman Applicants

462. (En 17 June 2009)

Applicants will be selected for admission on the basis of processes that conform to the Guidelines for Undergraduate Admission as issued and amended by the Board of Admissions and Relations with Schools with the concurrence of the Academic Council and the Assembly of the Academic Senate.

464. (En 17 June 2009)

Notwithstanding the requirements for freshman admission specified in ~~SR 418 (SR 419 beginning in Fall 2012)~~ SR 419, 424, 440, and 450, applicants who do not satisfy the University's minimum requirements may be admitted provided that the proportion of the enrolled freshman class admitted to a campus in this manner does not exceed six (6) percent.

465. (En 17 June 2009) {SR 465 as set forth below, is to be valid for freshmen entering the University beginning in fall 2012}

Each applicant for freshman admission who satisfies the provisions of SR 419, SR 424 and SR 428, who completes all 15 required units of college-preparatory course work specified in SR 424 by the date of graduation from a California secondary school, and who either:

A. satisfies an index, determined by the Board of Admissions and Relations with Schools, that places students in the top nine (9) percent of California high school graduates based on grade point average in all University-approved college preparatory courses taken in grades 10 and 11, and on scores on approved admissions tests; or

B. falls in the top nine (9) percent of their high school graduating class based on grade point average in all University-approved college-preparatory courses taken in grades 10 and 11 as determined by the University;

shall be admitted to at least one campus of the University. Such applicants not selected for admission by any campus to which they apply will be referred to a campus with available spaces. For purposes of paragraphs A and B above, the grade point average is based on the scale of A = 4, B = 3, C = 2, D = 1 for standard college preparatory courses, and A = 5, B = 4 and C = 3 for approved honors-level, Advanced Placement, International Baccalaureate, and college courses approved by the University, except that in the case of Paragraph A, the number of semesters of courses receiving the additional honors point shall be limited to 8.

466. (En 17 June 2009)

The Board of Admissions and Relations with Schools, with the concurrence of the Academic Council and the Assembly of the Academic Senate, shall periodically adjust the index referred to in SR 465, paragraph A, to achieve the intended goals of the University's admission policy.

Chapter 4. Admission to Advanced Standing

Article 1. General Provisions

470.

Admission of students to advanced standing in the academic colleges is under the jurisdiction of the Board of Admissions and Relations with Schools.

472.

Application for examination for advanced standing on the basis of work done before entrance to the University should be made to the appropriate Admissions Officer upon entrance to the University.

474.

Applicants may be given advanced standing in the University on the basis of certificates from other colleges and universities, upon the approval of the certificates by the Board of Admissions and Relations with Schools. The Board is empowered to adopt with regard to other collegiate institutions such working rules as may seem proper, to reject the certificates, in whole or in part, to defer the final granting of credit in advanced standing pending the completion, by the applicant, of satisfactory work in residence at the University, and to require examinations in any or all of the subjects offered. Applications for supplementary credit on the basis of work done before entering the University should be filed with the appropriate Admissions Officer at the time of application for admission.

476. (Am 4 May 95; Am 23 May 01) (Am 17 June 2009) (Am 6 Jun 12)

Applicants for admission to the University by transfer from other collegiate institutions must meet one of the following four requirements. (Am 4 May 95)

A. An applicant who met the requirements for Admission to Freshman Standing specified in Chapter 2 of this Title may be admitted to the University provided the applicant has maintained a grade-point average of at least 2.0 in all transferable college course work.

B. An applicant who met the requirements for Admission to Freshman Standing specified in Chapter 2 of this Title with the exception of the tests specified in SR ~~418-419 (SR 419 beginning in 2012)~~ and/or the Specific Subject Requirements specified in SR 424 ~~(A).3 (2)~~ may be admitted to the University provided the applicant has maintained a grade-point average of at least 2.0 in all transferable college course work and has remedied the missing requirements by

1. completing with a grade of C or higher one transferable college course (3 semester or 4-5 quarter units) for each missing high school subject specified in SR 424 ~~A.3 (A) (2)~~ and
2. completing with a grade of C or higher 12 semester (18 quarter) units of transferable college course work in case not all tests specified in SR ~~418-419 (SR 419 beginning in 2012)~~ have been taken.

C. An applicant who did not meet the requirements specified in Paragraphs (A) or (B) of this Regulation may be admitted to the University provided the applicant has completed 60 semester (90 quarter) units of transferable college course work, has maintained a grade-point

average set by the campus in transferable college course work, has completed all transferable courses with a grade of C or higher, and has completed one of the following pathways:

- (1) Completion of the UC Transfer Curriculum ~~uma~~ for the applicant's chosen major along with 60 (90 quarter) transferrable units.
- (2) Completion of an SB 1440 Associate Degree for Transfer in the applicant's chosen major at a California Community College.
- (3) Completion of the minimum criteria of seven courses specified below along with 60 (90 quarter) transferrable units.
 - i.a. Two transferable college courses (3 semester or 4-5 quarter units each) in English Composition. One of the English Composition courses is to be equivalent in level to the transferable course which would satisfy (on some campuses only in part) the English Composition requirement at the University. The second course can be (but is not required to be) the 'English Composition/ Critical Thinking' course used to satisfy part of the English Communication requirement of the Intersegmental General Education Transfer Curriculum specified in SR 478. Courses designed exclusively for the satisfaction of remedial composition requirements as defined in SR 761 cannot be used to satisfy this requirement.
 - ii.b. One transferable college course (3 semester or 4-5 quarter units) in Mathematical Concepts and Quantitative Reasoning.
 - iii.c. Four additional transferable college courses (3 semester or 4-5 quarter units each) chosen from at least two of the following subject areas: the Arts and Humanities; the Social and Behavioral Sciences; and the Physical and Biological Sciences.

The minimum acceptable grade point average will be set by each division and must be at least 2.4 and can not exceed 3.0. The UC Transfer Curricula are developed by the departments and programs in each Division and approved by the appropriate divisional committee.

D. Applicants who at the time of graduation from high school do not meet the criteria of Regulations ~~418-419~~ and 424, but who stand in the upper 12.5 percent of their graduating classes, as determined by criteria established by the Board of Admissions and Relations with Schools ~~BOARS~~, and who have achieved a GPA of at least 3.0 in such of the courses prescribed by Regulation 424 as they have completed, may apply simultaneously for admission to a California Community College and for conditional admission to a campus of the University, subject to the satisfaction at the Community College of the provisions of Regulation 476 B and C.

The courses acceptable under Paragraphs (B) and (C) of this Regulation will be determined by the Board of Admissions and Relations with Schools. The Board may waive requirements ~~(C), (1), (C), (2), and (C), (3)~~ upon the presentation of appropriate test scores.

Formatted: List Paragraph, Indent: Left: 1.15", Numbered + Level: 1 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.5" + Indent at: 1.75"

477. (En 11 May 05)

When four or more UC Senate Divisions agree to accept a course from a given California Community College as transferable for preparation for a specific major, the course will be deemed as transferable for the same major at all UC Senate Divisions one year after notification of the divisions. Similarly, if

four or more Senate Divisions agree to accept a set of courses as adequate for lower-division major-preparation for a UC upper-division major discipline, that set of courses will be deemed as accepted for lower-division preparation in the same major at all the UC Senate Divisions one year after notification of the Senate Divisions. During the year following initial notification, individual Senate Divisions may decline to participate in the agreement. Additionally, all Senate Divisions will be given an annual opportunity to opt out of any previous obligation resulting from this regulation. The Academic Council or the senate agency it so designates shall advise the President on the implementation of this regulation so as to ensure that there is adequate notice for all Senate Divisions, that Senate Divisions have an annual opportunity to opt out of these obligations, and that community college students who intend to transfer to UC are minimally affected by a Senate Division's decision to no longer accept a course or set of courses.

478.

Applicants for admission to the University by transfer can fulfill the lower division Breadth and General Education (B/GE) requirements by completion of the Intersegmental General Education Transfer Curriculum (IGETC) or by fulfilling the specific requirements of the college or school to which the student will apply. The IGETC is incorporated into the Associate Degrees for Transfer specified in Regulation 476.C.2 and is consistent with the transfer pathway specified in Regulation 476.C.3. (En 5 May 88) (Am 3 May 90)

A. Intersegmental General Education Transfer CurriculumIGETC Course and Unit Requirements

All courses used in satisfying IGETC must be accepted for baccalaureate credit at the University, and be of at least 3 semester units or 4 quarter units. The laboratory portion of science courses must be of at least 1 unit. Quarter courses worth 3 units may be used only in the areas of English Composition and Mathematics/ Quantitative Reasoning when at least two such courses are part of a sequence. All courses that are part of such a sequence must be completed to satisfy IGETC.

The Intersegmental General Education Transfer Curriculum and the guidelines and specifications that apply to its fulfillment are provided in the following table:

Systemwide Lower Division Breadth and General Education Requirements for Students who Transfer to the University of California

Subject Area	Required Courses	Units Required
1) Foreign Language	Proficiency	Proficiency
- -	-	-
2) English Composition	2 courses	6 semester units or
- -	-	8-10 quarter units
- -	-	-
3) Mathematics/ Quantitative Reasoning	1 course	3 semester units or
- -	-	4-5 quarter units
- -	-	-
4) Arts and Humanities	3 courses	9 semester units or
- -	-	12-15 quarter units
- -	-	-
5) Social and Behavioral	3 courses	9 semester units or

Sciences	-	12-15 quarter units
- -	-	-
6) Physical and/or	2 courses	7-9 semester units or
Biological Sciences	-	9-12 quarter units
- -	-	-
- Totals	11 courses	34 semester units
- -	-	-

B. IGETC Subject Requirements

The minimum number of courses and units in each of the following six subject areas constitute the Intersegmental General Education Transfer Curriculum:

1. English Composition. 2 courses: 6 semester units, 8 quarter units. One course must be in English Composition. The second course may also be in English Composition, or in Critical Thinking and Composition. These courses must have English 1A or its equivalent as a prerequisite. Courses designed exclusively for the satisfaction of remedial composition cannot be counted toward fulfillment of the English Composition requirement.
 2. Mathematical Concepts and Quantitative Reasoning. 1 course: 3 semester units, 4 quarter units. This course should be in mathematics or statistics, with the exception that courses in the application of statistics to specific disciplines may not be used to fulfill this requirement.
 3. Arts and Humanities. 3 courses: 9 semester units, 12 quarter units. At least one of the courses must be completed in the Arts and at least one of the courses must be completed in the Humanities. Courses that are primarily performance or studio art courses cannot be used to fulfill this requirement.
 4. Social and Behavioral Sciences. 3 courses: 9 semester units, 12 quarter units. Courses must be from at least two different disciplines.
 5. Physical and Biological Sciences. 2 courses: 7 semester units, 9 quarter units. One course must be in a physical science, the other in a biological science, and at least one must include a laboratory.
 6. Language Other Than English. Proficiency. This requirement may be fulfilled by completion of two years of a foreign language in high school with a grade of C or better or by equivalent proficiency demonstrated in college courses.
1. ~~Foreign Language. This requirement may be fulfilled by completion of two years of a foreign language in high school with a grade of C or better, or equivalent proficiency demonstrated by college courses, or by such performance on tests as a minimum score of 550 in an appropriate College Board Subject Test for a foreign language. (Am 17 June 2009)~~
 2. ~~English Composition. The English Composition requirement is fulfilled by completion of one year of lower division English Composition. However, courses in "Critical Thinking" which provide instruction in composition of substantial essays as a major component and require students to write a sequence~~

of such essays, may be used to fulfill the second semester of this requirement. These courses must have English 1A or its equivalent as a prerequisite. Courses designed exclusively for the satisfaction of remedial composition cannot be counted toward fulfillment of the English Composition requirement. (Am 3 May 90)

3. ~~Mathematics/Quantitative Reasoning. One semester or two quarter courses in mathematics or mathematical statistics. This requirement may be fulfilled by attainment of a minimum score of 600 in the Mathematics Section of the SAT Reasoning Test, or 550 in the College Board Subject Test in Mathematics (Level I or Level II). Courses on the application of statistics to particular disciplines may not be used to fulfill this requirement.~~
4. ~~Courses taken to fulfill the B/GE requirements in the subject areas that follow, Arts and Humanities, Social and Behavioral Sciences, and Physical and Biological Sciences, should provide a broad foundation for understanding and learning to think critically, write, and speak about the biological and physical world, and the most important features and accomplishments of civilization. In addition to knowledge and appreciation, courses should stress principles and concepts that unify knowledge as well as the methods of investigation that characterize specific disciplines. The brief descriptions in subparagraphs 4), 5) and 6) are provided only as examples of the types of courses that could be used to meet these requirements. (Am 3 May 90)~~
5. ~~Arts and Humanities. Courses that can be used to fulfill this requirement include courses in drama, music, dance or the visual arts, history, literature, classical studies, religion, and philosophy. At least one course shall be taken in the Arts and one in the Humanities. Courses in the Arts may include performance or studio components; however, courses that are primarily performance or studio art courses cannot be used to satisfy this requirement.~~
6. ~~Social and Behavioral Sciences. Courses in anthropology, economics, ethnic studies, political sciences, psychology, sociology, or from an interdisciplinary social science sequence. The courses must be selected so that they are from at least two different disciplines. (Am 3 May 90)~~
7. ~~Physical and Biological Sciences. Courses in biology, chemistry, physics, or physical sciences with the exception of courses in mathematics. One course must be in a physical science, the other in a biological science, and at least one must include a laboratory. (Am 3 May 90)~~

C. Scholarship Requirements

Only courses in which a grade of C or better has been attained can be used for fulfillment of IGETC. Credit by external exams may satisfy portions of IGETC pattern of courses upon approval of the Board of Admissions and Relations with Schools.

~~BD.~~ University Policy for the ~~Intersegmental General Education Transfer Curriculum~~IGETC (Am 3 May 90)

~~The University's policy for the Intersegmental General Education Transfer Curriculum is as follows:~~

1. Students must have their coursework To fulfill the lower division B/GE requirements prior to transferring to the University of California, a student has the option of fulfilling the Intersegmental General Education Transfer CurriculumIGETC certified by the last California Community College they attended for a regular term prior to

- ~~transfer or fulfilling the specific requirements of the school or college of the campus to which the student will transfer.~~
2. If the lower division B/GE requirements are not fully satisfied prior to transfer, the student will be subject to the regulations regarding B/GE lower division requirements of the school or college of the campus to which the student transfers, with the following two exceptions: ~~A student may fulfill the lower division B/GE requirements by fulfilling the Intersegmental General Education Transfer Curriculum (IGETC) after the transfer, provided all four of the following conditions are met.~~
(Am 25 Feb 99)
 - a. ~~A transfer student accepted into a college or school that recognizes IGETC as satisfying the B/GE requirements may complete a maximum of two courses of IGETC pattern after transfer (i.e., "Partial IGETC Certification") if all other conditions in Section 478.B are met. Neither of the courses to be completed after transfer may be in English Composition, Critical Thinking, or Mathematics/Quantitative Reasoning (IGETC Areas 1 & 2).~~
~~may complete a maximum of two courses of the IGETC after transfer.~~
 - b. ~~A transfer student intending to major in science, engineering, or mathematics in a college or school that recognizes IGETC as satisfying the B/GE requirements may complete up to three courses after transfer. The courses to be completed after transfer may consist of at most one in each of Area 3 - Arts & Humanities, Area 4 - Social & Behavioral Science, and Area 6 - Language Other than English.~~

~~Either (1) The last attended community college must certify the IGETC area(s) and the one or two courses yet to be completed, and that the lack of these courses was for good cause such as illness or class cancellation, OR (2) for students intending to major in the physical and biological sciences, the last attended community college must certify that the student has substantially completed the articulated lower division courses for the major and that the student has completed the Intersegmental General Education Transfer Curriculum except for (i) one course in Arts and Humanities and (ii) one course in Social and Behavioral Sciences; students in this category may satisfy the IGETC requirement in Physical and Biological sciences with a year-long sequence in a single laboratory science.~~
~~(Am 11 May 2005)~~
 3. ~~e.~~ A student who has been approved to complete ~~one or two~~the IGETC ~~courses~~ after transfer may take a certified IGETC course in the areas remaining to be completed at any California community college subject to the UC campus rules regarding concurrent enrollment or, at the option of the UC campus, may take approved substitute courses at that UC campus.
 4. ~~d.~~ The IGETC must be completed within one academic year (two semesters or three quarters plus any summer that might intervene) of the student's transfer to UC.
 5. Consistent with SR 414, each college **or school** retains the right to accept or not accept IGETC as satisfactory completion of its lower division B/GE requirements.
 3. ~~Only courses accepted for baccalaureate credit at UC, and in which a grade of C or better was attained, can be applied toward fulfillment of the UC lower division B/GE requirements.~~

~~4. Credit for College Board Advanced Placement Tests can be used for partial fulfillment of the Intersegmental General Education Transfer Curriculum. For the category of English Composition, a score of 5 can be used to satisfy one semester or two quarters of this requirement. For all other disciplines, a score of 3 or higher on the appropriate AP test may be used to satisfy one semester or two quarters of the requirement. (En 3 May 90)~~

Article 2. Language Credit for Native Languages Other Than English

480.

This regulation refers to students whose pre-collegiate education was largely completed in a single language other than English and describes the conditions under which they may receive transfer credit for courses in that language. It applies to students whose language of instruction was not English and who completed at least nine full years of education conducted in that language that included a full year of course work equivalent to a year within grades 9-12 of the U.S. curriculum. These students may not receive credit for lower division language courses in that language unless it is determined that the primary course focus was the study of literature rather than language acquisition. College credit for literature in the native language is allowed for courses taken in native institutions of college grade, or for upper division and graduate courses actually taken at the University of California or at another English-speaking institution of approved standing.
(See SR 456.) (Am 26 May 82) (Am 15 Feb 2012)

Chapter 5. Admission to Special Status and to Limited Status

485. (En 17 June 2009)

Special students who wish to transfer to regular status may receive matriculation credit on the basis of advanced continuation courses completed in the University with a grade of not lower than "C." Credit is allowed for high school science courses only when such courses are a printed prerequisite to the college course completed by the applicant.

490.

The Board of Admissions and Relations with Schools, or its designated agents, shall ascertain the qualifications of applicants for special status under policies laid down by the Board. The admission of such students requires the approval of the dean of the college or school in which they seek to enroll. Applicants must be at least twenty-one years old, and no applicant will be admitted directly from high school.

492.

Applicants for admission to limited status may be admitted by the Board of Admissions and Relations with Schools, or its designated agents. The program of courses to be pursued by each such applicant must have been approved, either (A) in the case of an applicant who seeks eventual admission to regular status in a professional school, by the dean of that school, who shall certify that completion of the proposed program, with such grades as may have been specified, will qualify the applicant to be considered for admission to regular status in the school, or (B) in the case of an applicant who desires to satisfy some other definite need or interest, by the dean of the college or school in which the student will enroll. In each case, the applicant's proposed program of courses and the specified period of time for which the applicant is to be admitted must have been finally approved by the dean of the appropriate college or school. An applicant will not be admitted to limited status for the sole purpose of raising a low scholarship average. [See SR 314.]

Chapter 6. Transfer of Students

500.

Any student may be transferred from one college or school of the University to another upon the approval of the dean or other responsible officer or committee of the college or school to which admission is sought. A form of petition for such transfer is supplied by the Registrar. The dean or other responsible officer or committee of the college or school to which the student is transferred shall determine the extent to which courses completed prior to the transfer may be accepted in satisfaction of the degree requirements of that college or school.

502.

Transfer of Breadth/GE Requirements (En 7 May 87)

A. Students who transfer from one UC campus to another and who have completed the Breadth/General Education (B/GE) requirements of the campus from which they have transferred (excepting for upper division B/GE requirements) will be considered to have met the B/GE requirements of the campus to which they transfer.

B. Students who transfer from one UC campus to another prior to completing the B/GE requirements of the campus from which they transferred will complete their B/GE requirements subject to the regulations of the campus to which they transfer.

C. The above policy is not restrictive with respect to upper division requirements for graduation on the individual campuses.

C. Academic Council

1. Nomination and election of the 2013-14 UCOC Vice Chair [ACTION]

In accordance with [Senate Bylaw 150.A.1. Committees](#), "...the members-at-large are to be named by the Assembly for two-year staggered terms. Each at-large member will serve as Vice Chair in the first year and shall normally succeed as Chair in the second year." At its May 22, 2013 meeting, the Academic Council endorsed the candidacy of Professor Edwina Barvosa (UCSB). She has been a member of UCOC for the past two years and has extensive divisional Senate service at UCSB, including as a member of the Committee on Committees since 2010 and as its Chair in 2012-13 (continuing in 2013-14); as a member of the Faculty Legislature from 2007-09; the Faculty Grants Committee from 2006-08 and 2002-05; and the Committee on Research and Instructional Resources from 2003-06.

ACTION REQUESTED: Elect the 2013-2014 UCOC Vice Chair.

1. Ratification of the appointment of the 2013-16 Secretary/Parliamentarian [ACTION]

In accordance with [Senate Bylaw 15](#), at its meeting on May 22, the Academic Council approved the appointment of Professor G.J. Matthey (UCD) to be Secretary/Parliamentarian of the Assembly for a three-year term commencing September 1, 2013, subject to ratification by the Assembly.

ACTION REQUESTED: Ratification of Assembly Secretary/Parliamentarian

Statement of Interest
Academic Senate Secretary/Parliamentarian
George J. Matthey II

I am very honored to have been nominated by my Divisional Chair for the position of Secretary/Parliamentarian. Should I be chosen for that office, it would be the culmination of my thirty years of Senate service. As can be seen from the accompanying abbreviated curriculum vitae, I have served on a number of Senate committees at the College, Division and System-wide levels. I was appointed to chair Senate committees at each of those levels, for a total of fourteen years of experience as committee Chairs. Although I do not have specific experience in the position of Secretary, I served as Parliamentarian of the Davis Division during the 2011-2012 academic year. That year was quite unusual due to the unrest, which extended to faculty, on the campus. The Divisional Chair called two special meetings of the Representative Assembly, in which the Chancellor responded to questions from and statements by the faculty. As Parliamentarian, I drew up a protocol for the conduct of those and future special meetings. I am happy to report that the two meetings were conducted as smoothly as could be expected. I am very familiar with the legislative process. During my period as Chair of the Divisional Committee on Elections, Rules and Jurisdiction, I was the primary author of a significant number of pieces of legislation that were adopted. I was responsible for interaction with the relevant committee Chairs as well as for the presentation, and sometimes defense, of the legislation to the Representative Assembly.

Thank you for your time and consideration.

George J. Matthey II
Abbreviated Curriculum Vitae

Born: April 5, 1950

E-mail: gjmatthey@ucdavis.edu

Web site: <http://hume.ucdavis.edu/matthey/index.html>

EDUCATION:

B.A., 1972, The Ohio State University (Philosophy)

M.A., 1975, University of Pittsburgh (Philosophy)

Ph.D., 1979, University of Pittsburgh (Philosophy)

ACADEMIC EMPLOYMENT:

1999-present, Senior Lecturer with Security of Employment,
University of California, Davis

1992-1999, Lecturer with Security of Employment, University of
California, Davis

1984-1992, Associate Professor, University of California, Davis

1979-1984, Assistant Professor, University of California, Davis

1977-79, Acting Assistant Professor, University of California, Davis

DEPARTMENTAL SERVICE (PARTIAL LISTING):

Graduate Adviser, 1983-86, 2006-2008

Undergraduate Adviser, 1986-present

SENATE COMMITTEES (PARTIAL LISTING):

College of Letters and Science

Honors Committee, 1982-3

Educational Policy Committee, 1985-87

Executive Committee, 1989-91, 1997-2000

Committee on Courses of Instruction, 1992-93, 2003-05, Chair 1993-
97, 2002-03, 2006-08

Representative Assembly, 1995-2003

Davis Division

Subject A Committee, 1983-84

Honors Council, 1995-97

Committee on Academic Planning and Budget Review, 1987-88

Executive Council, 1997-1999, 2008-2012

Representative Assembly, 1997-2001, 2008-11

Committee on Courses of Instruction 1993-97, 2002-03, 2006-08, Chair
1997-99

Committee on Elections, Rules and Jurisdiction, 2006-08, Chair 2008-
2012

Parliamentarian, 2011-12

System-wide

Committee on Rules and Jurisdiction, 2010-12, Chair 2012-13

2. Amendments to APM 015 [ACTION]

In 2011, Council adopted a resolution by UCAF recommending the revision of APM 010 and 015 to incorporate freedom to address issues of institutional policy under the umbrella of academic freedom. The office of Academic Personnel proposed revised language based on the advice of the Office of General Counsel and Chair Powell distributed it for systemwide review in March 2012 and, with subsequent revisions, for final review in November 2012. After consultation with the office of the President, General Counsel and Academic Personnel, Provost Dorr submitted the enclosed proposal to amend section 015 of the APM, but determined that amendments to section 010 were not warranted. In addition, she recommends revisions to APM 035 to bring the APM into alignment with California law.

ACTION: Endorse the proposed revisions to APM 015 and 035.



OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

April 26, 2013

ACADEMIC COUNCIL CHAIR POWELL

Re: Recommendation to the Faculty Assembly to Approve Revisions to Section 015 of the Academic Personnel Manual (APM - 015), The Faculty Code of Conduct

Dear Bob:

I write to submit to the Academic Council and to the Faculty Assembly for consideration at their June 12, 2013 meeting revisions to Section 015 of the Academic Personnel Manual (APM - 015), The Faculty Code of Conduct.

Background

At its meeting on January 26, 2011, the Academic Council adopted a resolution proposed by the Committee on Academic Freedom and reviewed by Senate committees to recommend revising the language of Sections 010 and 015 of the APM to include within the protections of academic freedom the freedom to speak on matters of institutional policy. Since that time, Academic Personnel has been in consultation with the President, the Academic Senate, the Office of General Counsel, campus administration, and me regarding the proposed changes.

During Systemwide Review, the University Committee on Academic Personnel (UCAP) and the University Committee on Privilege and Tenure (UCP&T) stated that Committee members favored inclusion of the language in APM - 015 but thought it unnecessary in APM - 010, believing that academic freedom as currently delineated in APM - 010 extends to faculty speech on matters of institutional policy or action.

Following additional consultation with all parties, proposed revisions to APM - 015 were circulated for Final Review. An analysis of comments received from Final Review follows along with a recommended course of action.

Analysis of Final Review

Academic Personnel received comments from nine of the ten campus Academic Affairs offices. Eight of the nine campuses indicated that they had no further comments on the proposed revisions. One campus noted that the draft improved upon some original ambiguity but that some ambiguity remained with regard to the clause "when acting as a member of the faculty whether or not as a member of an agency of institutional governance." That campus suggested

adding the following phrase to the end of the sentence, “but subject to the rules of confidentiality.” In the alternative, the campus suggested that the beginning of the sentence might be altered to read “freedom to address the appropriate University decision maker or agency about any matter of institutional policy or action...” These suggestions were considered to be unwarranted.

Academic Council indicated that most Senate divisions and committees who submitted new comments endorsed the proposed revision. However, some respondents continued to express concern that the qualifying phrase “when acting as a faculty member” is confusing, even though most prefer to accept the revision with the language rather than reject it altogether. UCFW does not support the proposed revision.

Additionally, Academic Council offered a new citation from a National Labor Relations Board decision on December 14, 2012 in the matter of *Hispanics United of Buffalo, Inc.* and *Carlos Ortiz* (Case 03-CA-027872), reported in the *New York Times* on January 21 (see <http://www.nytimes.com/2013/01/22/technology/employers-social-media-policies-come-under-regulatory-scrutiny.html?pagewanted=all>) that a private employer may not discipline its employees for statements they make as private citizens in social media that are critical of fellow employees, under existing law interpreting the National Labor Relations Act (NLRA). (The NLRA protects “concerted” activity by an employee, seeking to engage other employees in a discussion of job performance.)

With respect to the NLRA, it applies only to private employers. Public employees, speaking in their private capacity, are protected from employer discipline by the First Amendment. Nothing in the proposed changes to APM - 015 affects University employees’ First Amendment protections.

With respect to the phrase “when acting as a member of the faculty,” that language is already used in APM - 010, the University statement on Academic Freedom. It describes when faculty are subject to professional standards. It is included in the proposed amendment to make clear that the Professional Rights of Faculty (the subject of Part I of APM - 015) are rights that derive from the exercise of professional responsibilities. That is the area in which additional explicit protection for faculty was requested by the Senate, in light of recent case law restricting protections for speech by employees when exercising their job duties. As noted, private speech remains protected by the First Amendment.

Recommendation

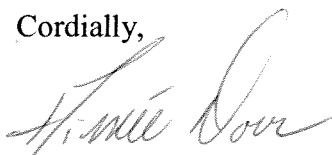
With the consent of the President, the Office of General Counsel and Academic Personnel, I propose that we adopt the UCAP/UCP&T recommendation as the most clear resolution, i.e., that we include the proposed language in APM - 015 but leave APM - 010 as written. We believe that the proposed language addresses the Senate’s goals and offers a level of protection to the faculty--in terms of protected speech--that is not yet explicitly stated in the Academic Personnel Manual.

Additionally, I recommend that we adopt language revised to conform with California state law in the July 2012 issuance of APM - 035, Affirmative Action and Nondiscrimination in Employment. Revisions reflect changes in California's Fair Employment and Housing Act (FEHA), California Government Code Section 12900 et seq., which prohibits discrimination in employment. The California Legislature had amended FEHA to clarify that discrimination on the basis of "gender" and "gender expression" is among the prohibited types of discrimination. Revisions also were made to insure that the definition of "service in the uniformed services" is consistent with both the federal Uniformed Services Employment and Reemployment Act of 1994 (USERRA) and California's Military and Veterans Code Section 394.

Next Steps

Should the Faculty Assembly agree, I am recommending that the changes to APM – 015 proposed in Final Review be submitted by the President to the Regents for review and approval. I am also recommending that the change to APM – 035 described above be adopted to keep APM language aligned with California state law.

Cordially,



Aimée Dorr

Provost and Executive Vice President

Enclosures: Greenhouse, Stephen. "Even if It Enrages Your Boss, Social Net Speech is Protected," *New York Times* January 21, 2013.
Proposed Revisions to APM - 015, The Faculty Code of Conduct

cc: (see next page for list of cc's)

cc: President Yudof
Secretary and Chief of Staff Kelman
Chancellors
Laboratory Director Alivisatos
Council of Vice Chancellors
Senior Vice President Vacca
ANR Vice President Allen-Diaz
Vice President and General Counsel Robinson
Vice President Duckett
Deputy to the Chief of Staff Riley
Vice Provost Carlson
Vice Provosts of Academic Personnel
Academic Personnel Directors
Executive Director Tanaka
Executive Director Winnacker
Executive Director Rodrigues
Principal Counsel Quenneville
Deputy General Counsel Steve Drown
Director Chester
Deputy Compliance Director Hilliard
Manager Lockwood
Human Resources Analyst Bello
Senior Administrative Analyst Rupert

This policy is the Faculty Code of Conduct as approved by the Assembly of the Academic Senate on June 15, 1971, and amended by the Assembly on May 30, 1974, and with amendments approved by the Assembly on March 9, 1983, May 6, 1986, May 7, 1992, October 31, 2001, and May 28, 2003, and by The Regents on July 18, 1986, May 15, 1987, June 19, 1992, November 15, 2001, and July 17, 2003. In addition, technical changes were made September 1, 1988 and June 11, 2010.

Additional policies regarding the scope and application of the Faculty Code of Conduct and the University's policies on faculty conduct and the administration of discipline are set forth in APM - 016, the University Policy on Faculty Conduct and the Administration of Discipline.

**The Faculty Code of Conduct as Approved
by the Assembly of the Academic Senate**

(Code of Professional Rights, Responsibilities,
and Conduct of University Faculty,
and University Disciplinary Procedures)

Part I – Professional Rights of Faculty

In support of the University's central functions as an institution of higher learning, a major responsibility of the administration is to protect and encourage the faculty in its teaching, learning, research, and public service. The authority to discipline faculty members in appropriate cases derives from the shared recognition by the faculty and the administration that the purpose of discipline is to preserve conditions hospitable to these pursuits. Such conditions, as they relate to the faculty, include, for example:

1. free inquiry, and exchange of ideas;
2. the right to present controversial material relevant to a course of instruction;
3. enjoyment of constitutionally protected freedom of expression;
4. freedom to address any matter of institutional policy or action when acting as a member of the faculty whether or not as a member of an agency of institutional governance.
- 4.5. participation in the governance of the University, as provided in the Bylaws and Standing Orders of The Regents and the regulations of the University, including
 - (a) approval of course content and manner of instruction,
 - (b) establishment of requirements for matriculation and for degrees,
 - (c) appointment and promotion of faculty,
 - (d) selection of chairs of departments and certain academic administrators,
 - (e) discipline of members of the faculty, and the formulation of rules and procedures for discipline of students,

- (f) establishment of norms for teaching responsibilities and for evaluation of both
faculty and student achievement, and
 - (g) determination of the forms of departmental governance;
- ~~5-6.~~ the right to be judged by one's colleagues, in accordance with fair procedures and due
process, in matters of promotion, tenure, and discipline, solely on the basis of the
faculty members' professional qualifications and professional conduct.

.

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationship between faculty member and student must be protected from influences or activities that can interfere with learning consistent with the goals and ideals of the University. Whenever a faculty member is responsible for academic supervision of a student, a personal relationship between them of a romantic or sexual nature, even if consensual, is inappropriate. Any such relationship jeopardizes the integrity of the educational process.

In this section, the term student refers to all individuals under the academic supervision of faculty.

Types of unacceptable conduct:

1. Failure to meet the responsibilities of instruction, including:
 - (a) arbitrary denial of access to instruction;
 - (b) significant intrusion of material unrelated to the course;
 - (c) significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
 - (d) evaluation of student work by criteria not directly reflective of course performance;
 - (e) undue and unexcused delay in evaluating student work.
2. Discrimination, including harassment, against a student on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history),

or service in the uniformed services as defined by the Uniformed Services
Employment and Reemployment Rights Act of 1994 (USERRA), as well as state
military and naval service, or, within the limits imposed by law or University
regulations, because of age or citizenship or for other arbitrary or personal
reasons.

.

- IX. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]**
- X. PETITIONS OF STUDENTS [NONE]**
- XI. UNFINISHED BUSINESS [NONE]**
- XII. NEW BUSINESS**