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TELECONFERENCE OF THE ASSEMBLY OF THE ACADEMIC SENATE

Wednesday, December 9, 2015

9:30 am - 11:30 am

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

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I. Roll Call

2015-16 Assembly Roll Call December 9, 2015

President of the University:

Janet Napolitano

Academic Council Members:

J. Daniel Hare, Chair

James Chalfant, Vice Chair

Benjamin Hermalin, Chair, UCB

Andre Knoesen, Chair, UCD

Alan Terricciano, Chair, UCI

Leobardo Estrada, Chair, UCLA

Cristian Ricci, Chair, UCM

Jose Wudka, Chair, UCR

Robert Continetti, Chair, UCSD

Ruth Greenblatt, Chair, UCSF

Kum-Kum Bhavnani, Chair, UCSB

Donald Brenneis, Chair, UCSC

Ralph Aldredge, Chair, BOARS

Valerie Leppert, Chair, CCGA

Colleen Clancy, Chair, UCAAD

Michael Stenstrom, Chair, UCAP

Tracy Larrabee, Chair, UCEP

Calvin Moore, Chair, UCFW

Judith Habicht Mauche, Chair, UCORP

Shane White, Chair, UCPB

Berkeley (5)

Alexis T. Bell

Peter R. Glazer

Kris Gutierrez

Miryam Sas

Theodore Slaman

Davis (6)

William Casey

Andrea J. Fascetti

Richard Tucker

Robert L. Powell

Irvine (4)

Sameer Ashar

David Kay

Karamet Reiter

Timothy Tait

Los Angeles (8)

Roman Koropecjy

Dorothy Wiley

Purnima Mankekar

Hanna Mikkola

Ninez Ponce

E. Richard Stiehm

Frank Petrigliano

Christopher Tilly

Merced (1)

Robin Maria DeLugan

Riverside (2)

Mary Gauvain

Jodi Kim

San Diego (5)

Nadine George

Grant Goodall

Joanna McKittrick

Gail Heyman

Gentry Patrick

San Francisco (4)

Marek Brzezinski

John Feiner

David Saloner

Laura Wagner

Santa Barbara (3)

Charles Akemann

Eric Matthys

Xiaorong Li

Santa Cruz (2)

Olof Einarsdottir

Dorian Bell

Secretary/Parliamentarian

George J. Matthey

MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE

June 10, 2015

MINUTES OF TELECONFERENCE MEETING

I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met on Wednesday, June 10, 2015. Academic Senate Chair Mary Gilly presided and called the meeting to order at 10:00 am. Senate Director Hilary Baxter called the roll of Assembly members and confirmed a quorum. Attendance is listed in Appendix A of these minutes.

II. MINUTES

ACTION: Assembly approved the minutes of the April 15, 2015 meeting as noticed.

III. ANNOUNCEMENTS BY THE CHAIR**▪ Mary Gilly**

Apportionment of 2015-16 Assembly: Chair Gilly noted that the apportionment of the Assembly for 2015-16 is enclosed in the agenda; campus representation has not changed.

Transfer Initiative: Campuses are currently reviewing transfer pathway agreements for ten majors. The pathways reflect a set of lower division courses that will be sufficient preparation for transfer admission to a given major at all nine campuses. They will make it easier for California Community College (CCC) students, who now apply to an average of four UC campuses, to prepare simultaneously for multiple campuses, and will also clarify the differences and similarities between UC's expectations and the expectations articulated in the CSU Transfer Model Curriculum for the Associate Degrees for Transfer. A website detailing the pathways will go live on July 1, and a joint press conference with President Napolitano and intersegmental higher education leaders will follow on July 7. The Senate office is scheduling meetings for 11 additional majors in October—business administration, electrical engineering, mechanical engineering, history, political science, communication, English/Literature, psychology, political science, computer science, film, and philosophy. The budget agreement between the Governor and the University also includes an expectation that UC will adopt systemwide transfer pathways for 20 majors. Campuses made clear that they do not want the pathways depicted as “requirements,” and want to maintain the flexibility to admit students missing one or more of the courses. The pathways do not negate the individual articulation agreements between campuses and CCCs.

Sexual Violence and Harassment Policy: The Senate has expressed [substantial concerns](#) about a Proposed Revised Presidential Policy on Sexual Harassment and Sexual Violence, and particularly the failure of the policy to adequately address the roles and responsibilities of faculty as mandated reporters of sexual harassment. Policy revisions are needed to meet the

requirements of the federal Violence Against Women Act, taking effect July 1. UC will issue an interim policy on July 1 that meets the federal requirements, while simultaneously engaging in an effort to revise the policy to address faculty concerns.

UC Funding Framework: The budget agreement between the Governor and UC will increase UC's base budget by 4% in each of the next four years, and provide UC with nearly \$500 million in one-time funding for UCRP, deferred maintenance, and energy efficient capital projects. In exchange, UC will freeze resident tuition through 2016-17, increase Nonresident Supplemental Tuition by 16% over the next two years, and implement a new pension tier for employees hired after July 1, 2016. The new tier may give new employees the choice between a Defined Contribution (DC) Plan, and a Defined Benefit (DB) Plan that limits pensionable salary to the Social Security Wage Base established by the California Public Employees' Pension Reform Act of 2013 (PEPRA). Some employees will have access to a hybrid plan that combines the DB plan and a supplemental DC plan. The Senate will have representation on a task force that will consider the details of the new tier. Some faculty are concerned about losing the institutional benefits of the DB plan, which helps attract top faculty, retain them mid-career, and encourage retirement at an appropriate age.

IV. ANNOUNCEMENTS BY THE PRESIDENT

- **Janet Napolitano**

Budget Agreement: The agreement with Governor Brown puts UC on a path to long-term budget sustainability, provides tuition stability and predictability for students and their families, and avoids efforts to interfere with the academic mission of the University. The President emphasized in negotiations with the Governor that UC would not bargain away the need to reinvest in academic quality. The University was also able to avoid several damaging scenarios that could have established strict prohibitions against a hybrid DB-DC pension plan option and increases to Professional Degree Supplemental Tuition, a hard cap on nonresident enrollment, and mandates related to online education, three-year degrees, and faculty teaching and research workloads. UC agreed to implement or explore programmatic innovations that will benefit students, including the development of systemwide transfer pathways. The pension funding agreement requires UC to use Proposition 2 revenues only to supplement, not supplant, Regents-approved employer contributions to UCRP to pay down UC's pension obligations; however, the funding will allow UC to free up other monies and help reduce the employer contribution over time. Chief Operating Officer Rachael Nava will lead the Task Force to design the new pension tier, and the process will benefit from the expertise of the Senate chair and vice chair. UCOP is working with legislators to secure additional funding for California resident enrollment growth. The President met with the Latino Legislative Caucus and discussed the importance of enrollment funding to support access to the Latino community and other underserved communities.

Research Catalyst Awards: The [President's Research Catalyst Award](#) program is intended to stimulate cross-campus research collaborations in areas of importance to California and the world and to provide educational opportunities for UC undergraduate and graduate students. The initial set of awards are funding projects related to climate change, health care in the criminal justice system, quantum physics, and the use of social media data to address public health, poverty and social justice. Phase 2 awards winners will announced in late 2015.

Global Food Initiative: The [Global Food Initiative](#) seeks to address how to nutritiously and sustainably feed a growing world population and to align UC’s research, outreach, and extension efforts to support food security, health, and sustainability. The Initiative has developed a tool kit of best practices for UC—for example, leveraging the University’s food purchasing power to promote good farming practices and ensure that healthy food is served in UC facilities. A California Higher Education Food Summit is being planned for mid-January.

Carbon Neutrality Initiative: The President formed the [Global Climate Leadership Council](#) to advise her on how UC can become the first major university to achieve carbon neutrality by 2025. UC has undertaken several efforts in this area, which include funding sustainability research projects, becoming a wholesale power provider, making the largest solar energy purchase of any university in the country, and committing to a sustainable investment policy.

President’s Postdoctoral Fellowship Program: UC has committed \$2.1 million to incentivize the hiring of postdoctoral fellows from diverse backgrounds who come out of the [PPFP Program](#) and up to \$1.2 million to support start-up packages for diverse faculty in STEM fields who will start at UC in 2015-16. A separate [initiative](#) promotes recruitment directly from the Historically Black Colleges and Universities (HBCUs)

UC Mexico Initiative: The [UC-Mexico Initiative](#) seeks to leverage California’s unique geographic and historical relationship with Mexico to create sustained academic, cultural, social, and educational partnerships and exchanges between UC and higher education institutions in Mexico. UC has executed three important MOUs with Mexican institutions that cover joint academic, scientific, and cultural activities in areas of common interest.

Innovation and Entrepreneurship: Another [initiative](#) is considering how UC fosters innovation, entrepreneurship, and technology commercialization in the context of its public mission to lead innovation. The Regents appointed UCSF Professor and QB3 Director Regis Kelly Senior Advisor to the President for Innovation and Entrepreneurship to look at UC’s efforts across the system, and approved the creation of UC Ventures, an independent fund managed by the University’s Chief Investment Officer that will evaluate and finance faculty start-up proposals that commercialize UC research.

Questions and Answers:

Q: How can UC bolster faculty understanding of the value of the UC-HBCU Initiative, and provide a more welcoming environment for the highly qualified students who enter UC graduate programs through this program?

A: UC is often criticized for not having a more diverse faculty. We can change this not only by recruiting faculty who are already established in academia, but also by growing our own, and this is what the initiative is designed to do. We have 90 students from HBCUs participating in research internships at eight of our campuses this summer, and eight enrolled PhD students who are alumni of the program. The idea is to give these students research experiences and also introduce them to the University of California. We will think about how to ensure more faculty awareness of and support for the program.

Q: I am encouraged to hear that you are trying to secure funding for more resident undergraduate enrollments. Are you also considering how to address the large number of unfunded students who are already enrolled on UC campuses?

A: We will not be able to get funding from the state for that. The unfunded enrollment is the legacy of Regental decisions during the recession to continue increasing the enrollment of in-state students. It was the right decision from a values standpoint; however, it meant that UC has been carrying about 7,500 students for whom we have never received state funding. Some campuses have taken a greater proportion of those students, and the rebenching process is designed to help smooth out the disproportionate effects. We will also be cognizant of this as we make decisions about the budget distribution to campuses next year.

V. ANNOUNCEMENTS BY THE PROVOST

▪ Aimée Dorr

The budget agreement between the University and Governor Brown asks UC to implement or expand several programmatic innovations, many of which emerged from the Committee of Two process. These include developing systemwide transfer paths and increasing the number of transfers to the 2:1 ratio in the Master Plan; developing three-year degree pathways to increase from 2.6% to 5% the proportion of students who graduate in three years; reducing the number of upper division courses required for a major; increasing the use of technology to aid teaching and to help guide decisions and actions; increasing advising to help students succeed, and eliminating performance gaps related to race, ethnicity, and gender.

More specifically, campuses will be asked to develop three-year degree specifications for 10 of their top 15 majors; incentivize and remove barriers to increased summer enrollment; review curricular requirements for 75% of majors and reduce, when possible, the number of required upper division courses, akin to UCLA's "Challenge 45" Initiative; and redouble efforts to increase online courses and certificate programs with input from industry about workforce needs. Campuses will also be asked to use "activity-based-costing" to enhance understanding of instructional costs, "predictive analytics" to identify at-risk students, and "adaptive learning technology" to help students master challenging coursework. The systemwide Senate will be asked to revisit current policies related to awarding UC credit for AP courses and exams and other placement tests, and to consider using the Course Identification Numbering System C-ID as a supplemental numbering system for UC courses. Many innovations are already underway and some will apply to UC campuses differently. Some may involve faculty in a direct decision-making role (three-year degrees); others in a more advisory role (enhancing advising).

Discussion: It was noted that while faculty do not control resources that may help support advising functions, faculty should have a major role in the advising recommendation, as they are responsible for designing majors and delivering the curriculum, and their advice about proper course sequencing and how the curriculum should be experienced within a major may be more precise than administrators.

VI. REPORTS OF STANDING COMMITTEES

A. Academic Council

- **Mary Gilly, Chair**

1. Nomination and Election of 2015-16 UCOC Vice Chair

ACTION: The Assembly unanimously elected Robert Clare (UCR) as 2015-16 UCOC Vice Chair.

2. Proposed Amendments to Academic Senate Bylaw 128.D.2

Following a systemwide Senate review, the Academic Council recommended at its April 29, 2015 meeting that Senate Bylaw 128.D. be amended as proposed by the University Committee on Committees (UCOC) to provide that the vice chairs for all standing systemwide committees whose membership is governed by SBL 128 be at-large members. Currently the at-large requirement applies only to committees represented on the Academic Council. The amendment would eliminate the requirement that the vice chairs of committees not represented on Council be selected from among the divisional appointees of the corresponding local campus committee and regularize the requirement that systemwide committee vice chairs have experience as members of their local committee. The University Committee on Rules and Jurisdiction certified that the legislation is consonant with the Code of the Academic Senate.

ACTION: The Assembly voted unanimously to approve the proposed amendments.

VII. UNIVERSITY COMMITTEE ON FACULTY WELFARE REPORT [None]

VIII. SPECIAL ORDERS

A. Consent Calendar [None]

IX. REPORTS ON SPECIAL COMMITTEES [None]

X. PETITIONS OF STUDENTS [None]

XI. UNFINISHED BUSINESS [None]

XII. NEW BUSINESS [None]

The meeting adjourned at 11:45 am

Minutes Prepared by: Michael LaBriola, Academic Senate Analyst

Attest: Mary Gilly, Academic Senate Chair

Attachments: Appendix A – Assembly Attendance Record, Meeting of June 10, 2015

Appendix A – 2014-2015 Assembly Attendance Record, Meeting of June 10, 2015

President of the University:

Janet Napolitano

Darryl Taylor

Academic Council Members:

Mary Gilly, Chair

J. Daniel Hare, Vice Chair

Panos Papadopoulos, Chair, UCB (absent)

Andre Knoesen, Chair, UCD

William Molzon, Chair, UCI

Joel D. Aberbach, Chair, UCLA

Jian-Qiao Sun, Chair, UCM

Jose Wudka, Chair, UCR

Gerry Boss, Chair, UCSD (absent)

Farid Chehab, Chair, UCSF

Kum-Kum Bhavnani, Chair, UCSB (absent)

Donald Brenneis, Chair, UCSC

Ralph Aldredge, Chair, BOARS

Jutta Heckhausen, Chair, CCGA (absent)

David Lopez-Carr, Chair, UCAAD (absent)

Jeffrey Knapp, Chair, UCAP (absent)

Tracy Larrabee, Chair, UCEP

Joel Dimsdale, Chair, UCFW

Liane Brouillette, Chair, UCORP (absent)

Gary Leal, Chair, UCPB

Los Angeles (8)

Roman Koropecjkj

Purnima Mankekar

Hanna Mikkola

Frank Petrigliano

Ninez Ponce

E. Richard Stiehm

Christopher Tilly (absent)

Dorothy Wiley

Merced (1)

Robin Maria DeLugan (absent)

Riverside (2)

Mary Gauvain

Ilhem Messaoudi Powers (absent)

San Diego (5)

Grant Goodall

Joanna McKittrick

Susan Narucki

Margaret Schoeninger (absent)

Steven Wasserman

San Francisco (4)

Jacque Duncan

David Teitel (absent)

John Feiner (alt for Elyse Foster)

Russell Pieper (absent)

Santa Barbara (3)

Charles Akemann

Henning Bohn

Eric Matthys

Santa Cruz (2)

Olof Einarsdottir

Catherine Jones

Berkeley (5)

Kristie Boering

Suzanne M. J. Fleiszig

Glynda Hull (alt for Oliver O'Reilly)

Theodore Slaman

Lisa Alvarez-Cohen (alt for David

Zilberman)

Davis (6)

Gian Aldo Antonelli

Angie Chabram-Dernersesian (absent)

James Chalfant

Gino Cortopassi (absent)

John Oakley (absent)

Robert L. Powell (absent)

Irvine (4)

Brian Cummings (alt for Sameer Ashar)

David Kay

John Lowengrub (absent)

Secretary/Parliamentarian

George J. Matthey

III. ANNOUNCEMENTS BY THE CHAIR

- **J. Daniel Hare**

IV. ANNOUNCEMENTS BY THE PRESIDENT

- **Janet Napolitano**

V. ANNOUNCEMENTS BY THE PROVOST

- **Aimée Dorr**

VI. SPECIAL ORDERS

- A. **Consent Calendar [NONE]**
- B. **Annual Reports [2014-15]**

ACADEMIC COUNCIL ANNUAL REPORT 2014-15

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Academic Council is the executive committee of the Assembly of the Academic Senate. It acts on behalf of the Assembly on non-legislative matters, advises the President on behalf of the Assembly, and has the continuing responsibility through its committee structure to investigate and report to the Assembly on matters of University-wide concern. The Academic Council held eleven regular meetings and additional conference calls during the 2014-15 year to consider multiple initiatives, proposals, and reports. Its final recommendations and reports can be found on the [Academic Senate website](#). Matters of particular import for the year include:

BUDGETARY ISSUES

Monthly Budget Briefings

The President, Provost, and other senior UC leaders updated Council regularly about the progress of budget negotiations in Sacramento, the Long-Term Stability Plan for Tuition and Financial Aid, the Committee of Two process, the status of alternative funding plans for UC, enrollment planning, tuition policy, UCRP funding, investment priorities, and other budget matters. Administrators briefed Council on their efforts to inform and educate legislators and UC Regents about the University's cost-saving initiatives, options for adjusting cost drivers and revenues, and the revenue needed to maintain UC's excellence and accessibility. Council members emphasized the need for UC to educate students and policymakers about UC's research and graduate education roles and its efforts to support access for low-income students and California residents, and the need to reinvest in academic quality through measures such as reducing the student-faculty ratio; increasing funding for faculty start-up costs; providing competitive total remuneration for faculty; and increasing graduate student support to competitive levels. A subset of Council members also participated in monthly budget briefing teleconferences for faculty and senior administrators hosted by the Provost.

Budget Engagement Plan

Following the Regents' approval of the UC Long-Term Stability Plan for Tuition and Financial Aid, the Council Chair and UC Provost collaborated on an engagement plan for UC faculty. Campus Senate offices were asked to distribute a letter from the President to all faculty with information and talking points about the budget stabilization plan, which also encouraged faculty to talk publicly about how their teaching, research, and public service contributes to the University's excellence.

Senate Review of Programmatic Elements in the Budget Agreement

Council discussed a plan to ensure faculty involvement in the development and implementation of 14 academic initiatives included in the budget agreement with the state. These include developing three-year degree specifications for 10 of the top 15 majors on each campus; reviewing curricular requirements for 75% of majors and reducing, when possible, the number of required upper division courses to 45; revisiting current policies for awarding UC credit for AP exams and other placement tests; and using the Course Identification Numbering System as a supplemental numbering system for UC courses. Senate leaders identified specific initiatives in which Senate divisions and Systemwide committees should be involved or consulted, and asked Senate chairs to identify

appropriate review bodies and experts on each campus. BOARS and UCEP were asked to coordinate campus reporting and to lead efforts that require systemwide involvement.

Sustainable Investing Policy

The UC Chief Investment Officer joined Council in October and July to discuss UC's work to establish an Environmental, Social, and Governance (ESG) framework for a sustainable investment policy recommended by a Task Force convened by the Regents to consider the issue of divestment from fossil fuels. The Council chair and vice chair participated in the Task Force, and UCPB, UCFW, and UCFW's Task Force on Investment and Retirement (TFIR) analyzed its recommendations and agreed with concerns expressed about divestment. UCPB, UCFW, and TFIR also reviewed and supported a draft version of the framework.

Letter of Concern about Shared Governance and Senate Consultation

In August, Council forwarded to President Napolitano a statement of concern from UCPB about UCOP's failure to substantively consult with the committee on UC budget policy during the 2014-15 academic year and about the extent to which decisions with significant academic and monetary impacts were made without input from UCPB or other Senate committees. The Council letter also expresses concerns about a more general lack of shared governance in decision-making and highlights several instances in which the Senate was insufficiently consulted on issues where its advice would have made a positive difference,

FACULTY WELFARE ISSUES

Faculty Salaries Work Group

A joint work group (chairs of UCPB, UCFW, UCAAD, and UCAP, the UCB vice provost for academic personnel, the UCSC vice provost for academic affairs, and the UCSD associate vice chancellor for academic personnel) met to discuss options for distributing a 3% increase in the faculty salary pool included in the 2015-16 UC budget, as well as long-term solutions to the faculty salary lags noted in a 2014 comparative [study](#) of general campus faculty total remuneration. The work group sent the President two options for the 3% adjustment: apply the increase to 1) both the on-scale and off-scale components of ladder-rank faculty salaries or to 2) the on-scale portion of salary only. The work group did not reach consensus about a preferred option, but voted narrowly in favor of "Option 2" and agreed that the increase should be implemented at all campuses on an across-the-board basis. The Vice Provost for Academic Personnel also met with Council to discuss the recommendations as they were being developed.

Statement on Plan for New Pension Options

Council discussed the provision in the state budget agreement that requires UC to develop new pension options for employees hired after July 1, 2016. Council members expressed strong concerns about the effect a new pension tier with a pensionable salary cap could have on the recruitment and retention of UC faculty. In August, Council sent President Napolitano a formal [statement](#) expressing concern about the decision to impose a cap and urging the Task Force charged by the President to design and develop the new retirement plan to consider options that will preserve the current value of benefits in the UC retirement system.

Health Care Benefits

The UCFW chair briefed Council on issues related to UC employee medical plans, including UCFW’s concerns about the long-term sustainability of UC Care and a plan to implement a new “self-funded” UC Care HMO plan. UCFW and its Health Care Task Force followed these issues closely, and will be monitoring the cost of UC Care, investigating the feasibility of a self-funded HMO plan, and considering strategies for ensuring that UC’s medical plans provide equivalent options at all campuses.

Request for Special Joint Health Care Task Forces

Council [endorsed](#) a UCFW recommendation that the administration establish two special joint Senate-administration task forces to investigate designated health care issues. The first would investigate equity of UC employee access to affordable, quality health care regardless of location. The second would investigate the most appropriate structure and provider for mental health care delivery – specifically, whether UC should continue to carve-out mental health care from its general health insurance plans or move to an integrated model.

GRADUATE EDUCATION ISSUES

Doctoral Education Conference Recommendations

Council discussed a set of [recommendations](#) for enhancing doctoral student support developed at an All-UC conference held in spring 2014 and subsequently refined by a Steering Committee. The recommendations included proposals and best practices related to non-resident supplemental tuition (NRST), competitiveness in net stipends, professional development, and diversity. The systemwide review of the recommendations revealed a general consensus for maintaining existing campus policies and practices around NRST and multi-year offers. The Council chair had hoped to present the recommendations to the Regents in January, but after Regents expressed disappointment that they would not be presented with a comprehensive action plan they could vote on, a decision was made to withdraw the item from the agenda.

Proposed Amendments to Senate Regulation 682

Following a systemwide Senate review, Council approved CCGA’s [proposed amendment](#) to SR 682 to change a provision specifying the interval between the filing of advancement to candidacy for a Master’s degree and the conferral of the degree. The revision eliminates the requirement that a Master’s degree candidate file in the academic term prior to the one in which the student anticipates completing work for the degree, allowing individual Graduate Councils to decide the timeframe for advancement to candidacy.

Degree Approvals

Following recommendations from CCGA, Council approved UC San Diego’s [proposed “simple” name change](#) from the School of International Relations and Pacific Studies to School of Global Policy and Strategy, UCLA’s [pre-proposal for reconstitution](#) to establish the Herb Alpert School of Music and redefine the School of the Arts and Architecture, UC Berkeley’s new [Master of Earthquake Engineering](#) (MEE), and UC Los Angeles’s new [Master of Applied Statistics](#) (MAS).

UNDERGRADUATE EDUCATION ISSUES

Innovative Learning Technology Initiative

The UC Provost briefed Council regularly on the [Innovative Learning Technology Initiative](#) (ILTI), ILTI's release of a third RFP to UC faculty for the development of online undergraduate courses, and the development of a communications "hub" to facilitate cross-campus registration and enrollment processes for systemwide online courses offered through ILTI

Meaning of a UC Degree

Council discussed Regent Kieffer's request to the Academic Senate for a series of presentations at Regents meetings on the "meaning of a UC undergraduate degree," how the meaning compares to other universities, and how it has changed over time. In March, the UCB Chancellor and Senate Chair made a joint [presentation](#) to the Regents on the origins and structure of American undergraduate education that helped address Regent Keiffer's request.

CCC Bachelor's Degree

Council discussed a new pilot program signed by Governor Brown that will allow up to 15 California Community Colleges to offer bachelor's degree programs in certain vocational fields not currently offered at a UC or CSU campus.

ADMISSIONS ISSUES

Transfer Streamlining and New Pathways

The Senate led an effort to implement a [Transfer Action Team](#) recommendation to streamline the transfer admission pathways from the California Community Colleges to UC by aligning the preparation requirements for specific majors across UC campuses. President Napolitano encouraged Council to facilitate the completion of 10 transfer preparation agreements by fall 2015 and 11 more the following year. Council members expressed support for aligning pre-major requirements, as a way to help students prepare simultaneously for multiple UC campuses and to help UC attract and enroll better prepared transfer students. Division chairs helped assemble lists of campus faculty and academic administrators responsible for evaluating and/or deciding transfer preparation requirements for the ten majors. Chair Gilly and Vice Chair Hare led three April workshops that brought together these campus representatives to identify a single set of major-specific lower division coursework for community college students to follow as preparation for transfer admission in each major at all nine campuses. BOARS, UCEP, and Division Chairs helped monitor the review and approval of the pathways on the campuses. UC Senate and administrative leaders met with CSU and CCC to discuss the new pathways. A [website](#) detailing the pathways went live on July 1, and the Senate office is scheduling meetings for 11 additional majors in October.

Berkeley Admissions Policy

Council discussed a recommendation from BOARS to the Berkeley Senate division that Berkeley delay implementation of its new freshman admissions policy for one year. Council members helped forge a compromise agreement in which Berkeley will implement its new scoring system as outlined in its policy, but for 2015-16 will only solicit letters of recommendation from applicants ranked as "possible" through the predictive index, as well as from any others ranked "possible" later in the review process. It is expected that UCB will work with BOARS in assessing the efficacy of the new procedure.

BOARS Proposal to Adjust the Eligibility Construct

Council discussed a BOARS proposal to adjust the “9-by-9” eligibility policy to “7-by-7,” and asked BOARS to simplify and clarify the proposal to help promote informed discussion at the campuses, before sending it back to Council for a possible systemwide review. BOARS decided ultimately to table the proposal.

ICAS Statement of Competencies in the Natural Sciences

Council forwarded comments from BOARS and UCEP to the Intersegmental Committee of Academic Senates (ICAS) regarding a draft *ICAS Statement of Competencies in the Natural Sciences Expected of Entering Freshmen* outlining the competencies expected of high school graduates in the context of the implementation of the Next Generation Science Standards (NGSS).

RESEARCH ISSUES

Guidelines for Pilot Program to Accept Equity for Access to University Facilities or Services

In June, Council sent a letter to the Interim Vice President for Research and Graduate Studies expressing [substantial concerns](#) about a pilot program that would allow the University to accept equity stakes (stock) for access to University facilities or services, and encouraging a major revision.

Operational Review of UCOP Office of Research and Graduate Studies

Council sent President Napolitano a [letter](#) noting that in the context of the search for a new Vice President for Research and Graduate Studies (ORGS), the current ORGS structure provides strong academic support for graduate academic programs and systemwide research initiatives. The letter recommended keeping systemwide research and graduate studies functions, along with any new entrepreneurialism and innovation functions, in the Office of Academic Affairs, and also reiterated Council’s [July 2014 request](#) that UCOP establish a target funding level of 3% of the overall systemwide research budget for faculty-led systemwide research programs.

UC Ventures and Innovation Council

The UC Chief Investment Officer joined Council in October to discuss “UC Ventures,” a \$250 million venture-capital fund that will evaluate and finance faculty startup proposals. The initiative and the need for ongoing Senate involvement were discussed. Council also discussed the role of the President’s new Innovation Council, a group of business leaders she has empanelled as advisers on technology and entrepreneurship. The Senate provided names for two of the Innovation Council’s five working groups.

UCORP Letter re the Compendium and MRPIs

Council endorsed and forwarded to the Academic Planning Council a recommendation from UCORP to exclude from [the Compendium](#) a description of multi-campus research programs and initiatives (MRPIs).

DIVERSITY ISSUES

Revision to APM 210-1-d (Review and Appraisal Committees)

In December, Council [rejected](#) a set of proposed [revisions](#) to APM 210-1-d that were intended to address confusion from campus CAPs about how to implement the APM’s provision regarding the

role of contributions to diversity and equal opportunity in the academic personnel process. The Council Chair subsequently charged a work group (chairs of BOARS, UCAAD, UCAP, UCEP, and the UCSD division) to propose improvements to the wording of APM 210-1-d that could be accepted. The work group based its efforts on broad agreement by reviewers that faculty efforts in promoting equal opportunity and diversity should be evaluated and credited on the same basis as other contributions, but should not be understood to constitute a “fourth leg” of evaluation, along with research, teaching, and service; and should not receive more credit than others simply on the basis of their subject matter. In May, Council [unanimously endorsed](#) the work group’s new revision, which was issued by the Office of Academic Personnel in July.

Faculty Salary Equity Studies

Council reviewed salary equity study reports submitted by campuses in response to the former UC President’s mandate that campuses define a campus-based methodology for assessing salary equity on the basis of gender and ethnicity and conduct a study at least once before 2015. UCAAD also briefed Council on issues it wants to pursue with respect to the reports.

Campus Climate Surveys

Provost Dorr briefed Council about a meeting of campus representatives assigned to coordinate responses to the [Campus Climate Survey](#) results, where goals, metrics for determining progress, and UCOP’s role were discussed.

Letter on Faculty Equity Advisors

UCAAD briefed Council on its discussions, conclusions, and recommendations about the use of Faculty Equity Advisors (FEAs) across the UC system.

GOVERNANCE

Senate Bylaw 128.D.2 (Vice Chairs)

Following a systemwide Senate review, Council recommended [amendments to Senate Bylaw 128.D.2](#) as proposed by the University Committee on Committees, which provide that the vice chairs for all standing systemwide committees whose membership is governed by SBL 128 be at-large members. The Assembly approved the amendment, which also eliminates the requirement that the vice chairs of committees not represented on Council be selected from among the divisional appointees of the corresponding local campus committee and regularizes the requirement that systemwide committee vice chairs have experience as members of their local committee.

Senate Bylaw 182 (University Committee on International Education)

Following a systemwide Senate review, Council declined to endorse [proposed revisions](#) to Senate Bylaw 182, proposed by the University Committee on International Education to formally expand UCIE’s charge to an advisory role on a broad range of systemwide international issues and activities. Council encouraged UCIE to explore other ways to meet its goals that may or may not involve a bylaw change.

Senate Bylaw 140 (University Committee on Affirmative Action and Diversity)

Council agreed to circulate for systemwide review UCAAD’s proposal to change its name to the University Committee on Affirmative Action, Diversity, and Equity.

OTHER BRIEFINGS

Presidential Briefings: President Napolitano joined most Council meetings with her Chief of Staff and Senior Policy Advisor to exchange views with Council members about a range of topics, including the University budget, political climate, transfer admission, diversity, health care and benefits, and alternative revenue sources for the University. The President also spent a portion of each meeting updating Council on the progress of her initiatives.

Visit from Regent Ortiz Oakley: Regent Eloy Ortiz Oakley visited Council in April to discuss the need for UC to create clearer transfer pathways from the community colleges, increase student and faculty diversity, and make better use of limited resources to serve the educational needs of Californians.

Guests from Governor's Office and DOF: Four guests from the Governor's Office and Department of Finance joined Council in April to discuss higher education issues, including online education; policies and practices for credit by examination; the faculty's role in managing costs and efficiencies; and persistency, time-to-degree, and career opportunities for graduate students.

Visit from New Senior Vice Presidents: The new Senior Vice Presidents for Public Affairs and Government Relations joined Council in January to discuss their respective roles and efforts to enhance systemwide and campus-based communications and advocacy efforts in order to increase the public's understanding of the University's work.

Visit from New Chief Operating Officer: UCOP's new Executive Vice President – Chief Operating Officer briefed Council on her role as leader of the departments of Human Resources, Information Technology Services, Energy & Sustainability, the UC Path Center, and UCOP administrative services.

President's Challenge Grant Program: The Director of UC Research Initiatives discussed President Napolitano's new Challenge Grant Initiative that will award a total of \$10 million over three years to faculty research proposals in a competitive peer review process administered by the Office of Research.

The Conversation: The Executive Director of the UC Research Grants Program Office and the Executive Director of University Relations & Development for the online publication "[The Conversation](#)" joined Council to discuss opportunities for UC faculty to contribute research articles to the *Conversation*, a new not-for-profit, faculty-driven, open source publication.

OTHER ISSUES

Statement on Academic Freedom and Civility

Council issued a [Statement on Academic Freedom and Civility](#), drafted and proposed by the University Committee on Academic Freedom, emphasizing the preeminent value of academic freedom in campus speech in response to concerns that recent efforts to encourage civil discourse

on campus have the potential to chill free speech. Chair Gilly asked Senate offices to disseminate the statement to faculty and make it available on academic freedom committee websites.

Open Access Policy Funding

In March, Council sent a [letter](#) to UCOP in support of continued funding for the systemwide implementation of the [Open Access Policy](#) adopted by the Senate in 2013. Council also reviewed and discussed the University Committee on Library and Scholarly Communication's 6-month implementation review report for the policy.

ACSCANR Role in ANR Funding Task Force

Council sent a [letter](#) to President Napolitano and Executive Vice President Brostrom conveying the Academic Council Special Committee on Agriculture and Natural Resources' (ACSCANR) concerns about a proposal to change the source of ANR's funding and ACSCANR's expectation that it will participate in the work of a Task Force being appointed to examine ANR's future financial and business structure.

Proposed Presidential Policy on Sexual Harassment and Sexual Violence

Council conveyed the [substantial concerns](#) expressed by Senate reviews about a proposed Revised Presidential Policy on Sexual Harassment and Sexual Violence.

REVIEW OF THE ACADEMIC PERSONNEL MANUAL (APM)

In addition to APM 210-1-d, Council reviewed several proposed modifications to the Academic Personnel Manual. In November, Council [endorsed](#) the final review revisions to Whistleblower Protection Policy and APM 190 Appendix A-2. In December, Council asked for [additional clarifications](#) to proposed revisions to APM 080, which clarify procedures for separating faculty members who are unable to perform their duties due to a disability or medical condition, and APM 330, which clarify the duties and responsibilities of individuals appointed to the Specialist title series. Council later [endorsed](#) the modifications to APM 080 during the final review stage. In December, Council sent [comments](#) about proposed revisions to APM 133-17-g-j, 210-1-c, 220-18-b and APM 760-30-a, which expand the permitted reasons for stopping the eight-year service limitation "tenure clock" to other personal circumstances, and later [endorsed](#) the final review revisions to APM 133-17-g-j. Council [requested](#) additional modifications to a set of proposed revisions to APM – 360 (Librarian Series), and 210-4 (Instructions to Review Committees).

REVIEW OF ADMINISTRATIVE PROPOSALS AND INITIATIVES

Council reviewed two formal policy proposals from the administration in addition to those already recorded in this report.

- [Revisions to the UC Policy on Copyright and Fair Use](#)
- [Proposed Presidential Policy on Open Access](#)

SENATE POSITIONS ON STATE AND FEDERAL LEGISLATION

The Senate office sent comments about several bills to UCOP's Issues Management, Policy Analysis & Coordination unit. The position of the Senate on these bills was as follows:

- An Oppose position on State Constitutional Amendment No. 1 (SCA-1), which would remove UC's constitutional autonomy.

TASK FORCES AND SPECIAL COMMITTEES

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

- Academic Planning Council
- Chancellor Stewardship Review Committees
- Chancellor and Administrator Search Committees
- Innovative Learning Technology Initiative Steering Committee
- President's Sexual Violence and Sexual Assault Response Task Force
- Regents Task Force on Divestment in Fossil Fuel
- Faculty Salaries Work Group
- Retirement Options Task Force

RELATIONS WITH OTHER GOVERNING BODIES

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

ICAS: The Senate Chair and Vice Chair and the chairs of BOARS, UCOPE, and UCEP attended meetings of the Intersegmental Committee of the Academic Senates (ICAS), which represents the faculty Senates of the three higher education segments.

ACKNOWLEDGEMENTS

We express our sincere gratitude to all members of the University of California Office of the President for their hard work and productive collaboration with the Academic Senate over the past year. In particular, we thank the senior UC managers who, as consultants to the Academic Council, were vital to our meetings: President Janet Napolitano; Provost and Executive Vice President Aimee Dorr; Executive Vice President and Chief Financial Officer Nathan Brostrom; Vice President for Budget and Capital Resources Patrick Lenz, and Vice Provost for Academic Personnel Susan Carlson, Associate Vice President for Budget and Capital Resources Debbie Obley, Chief Operating Officer Rachael Nava, Chief Investment Officer Jagdeep Bachher, Senior Vice President for Public Affairs Julie Henderson, and Senior Vice President for Government Relations Nelson Peacock.

Mary Gilly, Chair
J. Daniel Hare, Vice Chair

Divisional Chairs:

Panos Papadopoulos, Berkeley
Andre Knoesen, Davis
William Molzon, Irvine
Joel Aberbach, Los Angeles
Jian-Qiao Sun, Merced
Jose Wudka, Riverside
Gerry Boss, San Diego
Farid Chehab, San Francisco
Kum-Kum Bhavnani, Santa Barbara
Donald Brenneis, Santa Cruz

Senate Committee Chairs:

Ralph Aldredge, BOARS
Jutta Heckhausen, CCGA
David Lopez-Carr, UCAAD
Jeffrey Knapp, UCAP
Tracee Larrabee, UCEP
Joel Dimsdale, UCFW
Liane Brouillette, UCORP
Gary Leal, UCPB

Council Staff:

Hilary Baxter, Executive Director
Michael LaBriola, Principal Policy Analyst

ACADEMIC COUNCIL SPECIAL COMMITTEE ON LAB ISSUES ANNUAL REPORT 2014-15

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Academic Council Special Committee on Lab Issues (ACSCOLI) was established by the Academic Council to provide broad-based Senate oversight of UC's relationship with the National Laboratories – Los Alamos National Laboratory (LANL), Lawrence Berkeley National Lab (LBNL), and Lawrence Livermore National Laboratory (LLNL). ACSCOLI advises the President and Regents on general policies relating to the National Laboratories, which includes the dispersal of UC's share of net fee monies, policies that affect the lab science management, and the quality of science being performed at the labs. ACSCOLI is also concerned with evaluating the benefits of UC's continued participation in the management of the labs. The Academic Council has also charged ACSCOLI with stimulating closer connections between the labs, faculty, and students. ACSCOLI held two in-person meetings and two video conferences in 2015-16.

National Labs Overview

Changes in Administration. At LBNL, there is a new Associate Lab Director and Lab Director Paul Alivisatos announced his plans for departure. The Regents policy describes that five Regents should be on the search committee. The goal is to present a candidate at the November 2015 Regents meeting. The UC Office of the President (UCOP) Office of Laboratory Management changed its name to "Office of the National Laboratories."

Super-Computing. The next generation of high-performance computers at LANL and LLNL have been developed and installed. The Trinity (Cray) is installed at LANL, and the Sierra machine (IBM) will be completed and installed at LLNL in 2016.

LBNL Flex-Lab. The Flex-Lab is a comprehensive and advanced building efficiency simulator. It features customizable integrated-systems test beds, an occupied space for evaluating user comfort, and a virtual design. There are four components to this facility, and it is already being employed by some high-tech firms (e.g., Genentech) for the purposes of designing new energy-efficient buildings.

Accelerated Climate Modeling for Energy (ACME) is an ongoing, state-of-the-science Earth system modeling, simulation, and prediction project that optimizes the use of Department of Energy (DOE) laboratory resources to meet the science needs of the nation and the mission of the DOE. ACME's scientific goals address three areas of importance to climate research – the water cycle, biogeochemistry, and the cryosphere-ocean system. Eight national labs are involved in this initiative, and the UC National Labs are represented on the governing board.

DOE Performance Evaluations for the National Laboratories. LBNL earned 92.7% of its fee in FY 2014; it received another award term of one year. In FY 2013, it received 94% of its fee and another contract term of one year. Its current contract duration is 15 years, or until 2020. The issues negatively impacting its grade primarily revolved around management and electrical safety.

In FY2014, LLNL earned 92% of its fee, and another year award term. Last year, LLNL received 87% of its fee, but was not awarded another award term. Its current contract duration is 12 years, or until 2019. Compared to the previous year, the grading for FY2014 is positive. LLNL received high marks in the science and technology area; however, LLNL was criticized on

its work processes. To improve those processes, LLNL has examined their work processes emphasizing streamlining these processes while maintaining rigor.

In FY2014, LANL only earned 10% of its fee, did not receive another award term of one year, and had one year removed from its contract. Out of the available \$63 million fee, LANL only received \$6 million. By comparison to the previous year, in FY 2013 LANL received 89% of its fee, and but did not receive another award term. Its current contract duration is now 11 years, or until 2017. Despite this, LANL's S&T work was graded positively, as it generally exceeded expectations. LANL fared well in the area of mission execution. However, on the operations side, LANL received low marks, especially regarding the Waste Isolation Pilot Plant (WIPP) leak.

National Ignition Facility (NIF). The NIF is making significant progress towards becoming a user facility. NIF had been under pressure to increase their shot rate and the number of external users of NIF. The full cost recovery policy was rescinded on the NIF, in part due to ACSCOLI's advocacy.

Waste Isolation Pilot Plant (WIPP) Incident at LANL. The WIPP incident highlighted a significant failure in the LANL's conduct of its operations, driving the overall rating of this performance objective to "unsatisfactory." With respect to WIPP, AVP McCallen clarified that "the WIPP is the sole U.S. geologic repository for transuranic waste, which is defined as heavy elements above uranium, with a half life greater than 20 years." This waste comes primarily from the Cold War era production and maintenance of nuclear weapons. The WIPP is located in a natural salt dome geologic formation, which will eventually compress upon itself and seal the waste in. LANL was nearing completion of the disposition of all legacy waste (~93% done), with all legacy transuranic LANL waste scheduled to be moved to WIPP by June 30, 2014. However, on February 14, 2014, there was a small, detectable release of material at WIPP. One single drum seems to have breached, which released a small amount of radioactive waste. LANL immediately took measures, reinforcing the remaining drums and implemented containment and environmental control of remaining waste drums. LANL also assigned Terry Wallace, Principal Associate Director, to lead an extensive investigation into the incident. Subsequently, a decision was made to transition responsibilities for legacy transuranic waste disposition to the DOE Office of Environmental Management and a new contractor.

Graduate Fellowships Opportunity Pilot & the UC Lab Fees Research Program (LFRP)

The Graduate Fellowship Opportunity Pilot, which is mandated by the Regents, will provide two years of support for Ph.D. candidates who wish to conduct thesis research on-site at LANL and LLNL. The purpose of the pilot is aimed at enhancing the engagement of UC graduate students at the Laboratories, further developing the employee pipelines for LANL and LLNL, and establishing appropriate expectations for the Fellowship Program in terms of enhanced strategic alignment between the UC and the NNSA Laboratories. Based on the outcomes of the pilot, the program may be expanded with a significant number of fellowships associated with UC Campuses and both LLNL and LANL. A target of opportunity also emerged at the end of the last fiscal year with approximately \$400K to fund such a program. The final RFP is scheduled to be released in April 2015.

UC Lab Fees Research Program (LFRP). In light of LANL's \$57 million reduction in its fees for 2014, ACSCOLI discussed the future of the Lab Fees Research Program, both short- and long-term. Associate Vice President David McCallen updated the committee on the next steps for the

Regents-mandated Graduate Fellowship Pilot Program. The Office of Laboratory Management submitted a proposal to integrate the UC LFRP into one that both maximizes UC campus faculty collaboration, but also links key Lab Strategic Initiatives to campus interests.

The fee reduction at LANL has significant implications for the LFRP. \$13.5 million had been allocated for a new RFP, scheduled for April 2015. However, the loss in LANL fee revenue led to the postponement until December 2015. The Regents acted upon this issue and recommended that this money be rescinded from the budget this year. There are sufficient monies to fund the ongoing projects until completion. Since LFRP awards are paid out from the previous year's lab fee income. The Graduate Fellowship Opportunity Pilot program and LFPR have been delayed to gain more time to raise \$5 million.

Medical Benefits for LLNL Retirees (MOEN, et al. v. REGENTS – Class Certification Granted – Breach of Implied Contract for Retiree Health Benefits)

Ten former employees of Lawrence Livermore National Laboratory (LLNL) have brought a class action alleging that the University violated an implied contract to provide them with University-sponsored retiree health insurance when it transferred responsibility for their health benefits to Lawrence Livermore National Security (LLNS). Petitioners' university-sponsored retiree health insurance ended, and LLNS assumed responsibility for providing their benefits at the time when the University's management and operation of the Laboratory transferred to LLNS in 2007. A trial date may be scheduled for late 2015 or early 2016. DOE would be responsible for those costs if this were to happen. UC is currently working on the financial arrangements of the case, which financial arrangements have not been completely negotiated with the DOE.

Joint Appointments

Establishing joint appointments between UC campuses and the National Laboratories has been a long-standing area of interest for ACSCOLI. The 2010 the Commission on the Future noted that

“...researchers at the national laboratories and other organizations would welcome the opportunity to become regular members of the UC community as visiting professors. Those whose job at their parent organizations would benefit from the UC connection can establish regular contact with students through teaching, thereby reducing the overall student/faculty ratio without increasing the University's costs.”

The Commission included joint appointments as one of their recommendations. There are four appointment categories for UC Faculty Scientist/Engineer Appointments. ACSCOLI's concerns include that labs don't have the concept of an FTE, but financial responsibility is with the lab management. With Adjunct and Professor-in-Residence, there is no systemic way to know who has these appointments; they rely on self-identification. There are 244 UC faculty appointments at LBNL, 150-160 Senior Scientists, who are not faculty, but have credentials to be full faculty members. The Senior Scientist promotion process is very rigorous and has a lengthy review process. Not all senior scientists are inclined to seek campus appointments, but a good number would like to pursue a campus appointment and would contribute to the campuses.

Based on a model from Harvard University, UCSD has proposed one such appointment called “Professor of Practice.” ACSCOLI members discussed the opportunities and possible mechanisms for collaboration between lab scientists and UC faculty, and explored the possibility of creating a new title, called “Laboratory Professor” in the Academic Personnel Manual (APM).

After much discussion, ACSCOLI members concluded that the Adjunct Professor title is the most appropriate. The different campus' interpretations of teaching obligations are problematic.

ACSCOLI requested that UCAP consider allowing Adjunct Faculty without salary meet teaching obligations via graduate student mentoring rather than classroom teaching.

UCAP responded that they would welcome clarification of the Adjunct Faculty title, which would include more than laboratory sciences. UCAP recognized that the title should be meaningful, not just honorific. In other words, the person who has the title should be contributing to the University. And, at a minimum, there should be an expectation of mentoring of doctoral students. Further discussion included that one campus emphasizes teaching for the Adjunct Faculty title.

ACSCOLI was interested if it's feasible to change the APM on Adjunct Faculty for lab scientists/staff. It was also discussed that each campus defines the teaching load differently. ACSCOLI wants to help with this, since ACSCOLI brought up this topic. Further discussion included that titles should have real meanings and have meaningful reviews.

Better clarification is needed if lab scientists can be classified as Adjunct Faculty. At a minimum, they would have to mentor students. Discussion followed on the benefits of an Adjunct Professor as a lab scientist. The benefits include that the scientist will have the opportunity to mentor students, to teach, to spend time on the campuses, and to improve career development (i.e., the academic title carries honor and allows access to certain research grants). The labs would have to pay the Adjuncts, and these Adjuncts would have to go through the academic review process. There are a key group of people that labs want to keep, and are considering moving them into the Academic position full-time. It was suggested not to change the APM section on the Adjunct Faculty since the Adjunct titles on campuses are handled differently.

LBNL Rehire Retiree Proposal

Retired Employees may be reemployed by the University for reasons of University need if there is a break in service of at least 30 days, but preferably 90 days; and may be reemployed with an appointment of no more than 43% during any 12 month period. Appointments may not normally exceed 12 months with the possibility for up to a maximum 12 months extension for substantive business reasons. Once a total of 24 cumulative months has been reached, no further extension is permitted by this policy. While LBNL agrees with the stated intent of this policy to ensure responsible stewardship of the UC retirement program and provide appropriate succession planning, LBNL argues that a restriction of a 24 month maximum for the scientific and research professional rehired retiree appointments compromises LBNL's ability to maintain continuous research programs. However, the UC's APM provides a separate Recall for Academic Appointees policy (APM 205), which outlines requirements for handling retiree appointments for teaching, research or administrative service in an academic title. Under this policy, retiree appointments can be for a term of one year with eligibility for renewals on an annual basis. LBNL therefore proposes an exemption for its scientific and professionals research retiree appointments from the maximum 24 month restriction on appointment length, and permission for annual extensions similar to the treatment of academic appointments based on research program needs.

Academic Council Chair Gilly sent a letter to UC Vice President of Human Resources Duckett, and he responded positively. Vice President Duckett stated that "the Berkeley Lab Director or designee, after review and sign-off by the local Chief Human Resources Officer, has the authority to approve the reemployment of the UC Retired Employees beyond the 24-month appointment length limit in accordance with business needs."

Strengthening the Relationships between UC Campuses and the National Laboratories

Some of the ideas included: (1) “Meet and greet” sessions for the lab fee research program (joint UC and lab)/(2) Lab Science Day, which happened at UCSD two years ago, and encouraged the pipeline for students to consider working at the labs. This is a great opportunity for building connections with the medical schools and schools of engineering; (3) Meet systemwide, every two years, for a long weekend. Invite students and senior people that could lead to proposals.

Acknowledgements

ACSCOLI wishes to acknowledge the contributions of its principal consultants –Kimberly Budil Vice President of the Office of the National Laboratories; David McCallen, Associate Vice President of the Office of the National Laboratories; Norman Hamill, Senior Counsel of the Office of General Counsel; Mary Croughan, Executive Director of the Research Grants Programs Office; Kathleen Erwin, Director of the UC Research Initiatives; and Ray Miskelley, Executive Director of Contracts, Business & Finance of the Office of the National Laboratories; and John H. Birely, Independent Consultant. Vice Provost Susan Carlson was helpful with Academic Personnel discussions. ACSCOLI also wishes to thank its invited guests and alternates for their participation and support.

Respectfully submitted, 2014-15ACSCOLI:

Mary Gilly, Chair (Academic Council Chair)
J. Daniel Hare, Vice Chair (Academic Council Vice Chair)
William Jacob, Academic Senate Past Chair, 2013-14
Robert Powell, Past Chair, 2011-2012
Bernard Sadoulet, UCPB Representative
Liane Brouillette, UCORP Chair
Steven Glaser, UCB
Darrell Long, UCSC
Harold Monbouquette, UCLA
Ram Seshadri, UCSB
Michael Todd, UCSD
Harry Tom, UCR
Jocelyn Surla Banaria, Principal Committee Analyst (UCOP)

Academic Council Special Committee on Agriculture and Natural Resources (ACSCANR)

Annual Report to the Academic Council, 2014-15

For over a decade, the Academic Senate has sought to better understand agricultural research in general and the UC Division of Agriculture and Natural Resources (ANR) specifically, in the context of UC as a whole. ACSCANR (the Academic Council Special Committee on Agriculture and Natural Resources) was formed in 2011. ACSANR was charged to consult with ANR leadership on a regular basis, to review the mission and strategic objectives of the Division, and to consider issues related to the Division's budget, its academic and capital planning, and the intersection of its academic and outreach missions.

ACSCANR met twice in person and once by teleconference in 2014-15. Members appreciated the presentations of Jan Corlett, Chief of Staff to the ANR Vice President, who provided an overview of ANR in general, and of the process by which Cooperative Extension positions were allocated, and of Lisa Fischer, Associate Director for the Research and Extension Center System, who provided an overview of ANR's Research and Extension Centers. ACSCANR also appreciated opportunities to for the exchange of information from ANR Vice President Barbara Allen-Diaz and Associate Vice President Bill Frost.

This report provides an overview of ANR operations, summarizes the work ACSCANR has conducted over the past year, and contains recommendations for subsequent investigation.

I. ANR Operations

What is ANR?

As described on its website¹ ANR consists of:

- 200 locally based Cooperative Extension advisors and specialists;
- 57 local offices throughout California;
- 130 campus-based Cooperative Extension specialists;
- 9 Research and Extension Centers;
- 6 statewide programs, including:
 - The Integrated Pest Management Program,
 - The California Naturalist program,
 - The Master Gardener Program,
 - The Master Food Preserver Program,
 - The Sustainable Agricultural Research and Education Program,
 - The Youth, Families and Community Program;
- Partnerships with 700 academic researchers² in 40 departments at 3 colleges and 1 professional school on 3 UC campuses: Berkeley, Davis, and Riverside.

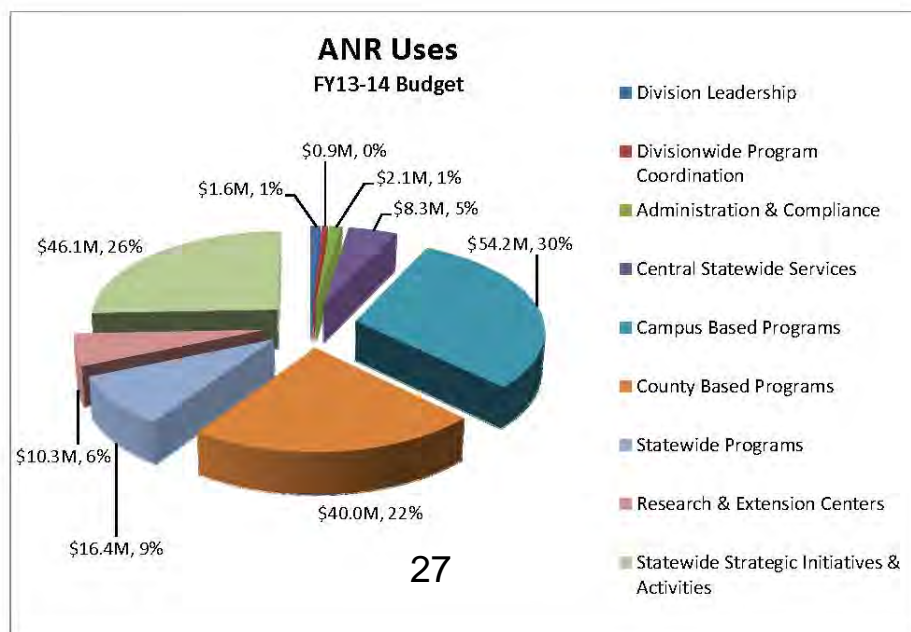
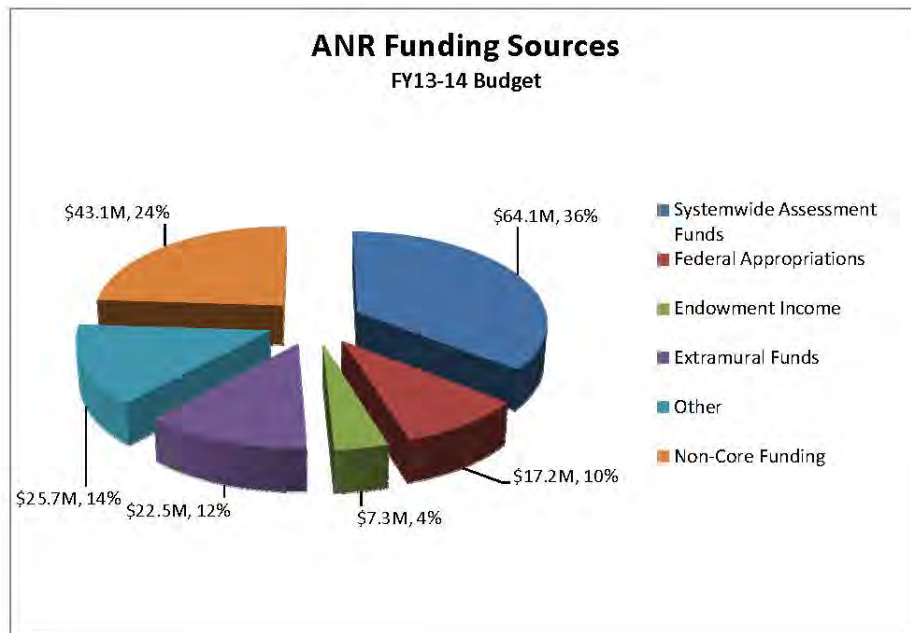
¹ http://ucanr.edu/About_ANR/What_is_ANR/

² The salaries of many of these individuals are split between ANR funds and other fund sources.

How is ANR Funded?

ANR’s Cooperative Extension personnel (CEs) are paid in part from the campus assessment on funding streams. According to a 2013 ANR briefing document prepared for President Napolitano, the amount from the campus assessment for 2013-14 was about \$64 M. Other fund sources for ANR include federal appropriations (\$17.2 M), endowment income (\$7.5 M), extramural funds (\$22.5 M), and miscellaneous sources (\$25.7 M). The miscellaneous sources include gift income, 4-H Youth Development Organization (4-HYDP), and other program-related income. Only about \$3.4 M of the income from campus assessments is used to support ANR offices at UCOP; the remainder funds statewide programs and initiatives and CE Specialists on campuses and CE Advisors in the counties.

Funding of ANR should not be confused with the funding of the Agricultural Experiment Stations (AES) on the Berkeley, Davis, and Riverside campuses. These campuses receive federal funds to support agricultural research that is matched by the state. In California, the federal portion is 15 percent. The federal portion passes through ANR and UCOP to the chancellors at UCB, UCD, and UCR to pay part of the Organized Research (OR) faculty salaries in their AES departments. The remaining 85 percent of



campus AES salaries is funded through direct, off-the-top allocations that are permanently budgeted to UCB, UCD, and UCR and are not included in rebenching calculations. These allocations are similar to those that fund the Scripps Institution of Oceanography, and are not included in the per-student calculations. Current value of the AES off-the-top allocation is about \$88 M, divided between UCB (\$21 M), UCR (\$23 M) and UCD (\$44 M).

II. ACSCANR Analysis

Committee Findings

- ACSCANR appreciates the size of ANR, its role in fulfilling the Land Grant Mission in California, and that it is welcomed and respected by the agricultural community, by members of private and public sectors involved in the preservation of the State's natural resources, and by rural communities through programs under the Healthy Families and Communities Initiative of its 2025 Strategic Vision.³
- ACSCANR recognizes that ANR's county extension agents are the "face" of UC for much of California's population.
- By contrast, it is not clear that the mission and activities of ANR are as well-known statewide outside of these niches.
- There appears to be too little knowledge about ANR at the non-AES campuses – and even within non-AES departments on the AES campuses – and perhaps elsewhere in the UC system. AES faculty members also differ in terms of their identification with ANR. Some ACSCANR members thought that it is as if there are two separate UCs—one to fulfill the teaching and research mission and another to fulfill an outreach mission, with too little overlap or interaction between the two.
- In reviewing recent data on agricultural production and its value in California, an interesting conundrum emerged: Although California is the leading state for agriculture, in terms of cash receipts, agriculture generally contributes less than 3% to California's gross domestic product in any given year.
- The basic model for ANR was developed in the 1800's, when agriculture was California's #1 industry and, arguably, needed much assistance. Although agriculture in California remains large relative to agriculture in others states, the value of agriculture as an industry has been eclipsed by many other industries within California. In turn, ANR has broadened its agenda beyond traditional agricultural production.
- The structure of the agricultural research and extension components of UC are opaque and confusing, probably because of the complexity of UC. More than one ACSCANR member wondered if UC would adopt the current structures if starting *de novo*.

³ http://ucanr.edu/About_ANR/Strategic_Vision/

III. ACSCANR Recommendations

Ideas Brought Forward by ACSCANR in 2014-15

With the above findings in mind, ACSCANR discussed the ideas below. ACSCANR believes it timely to bring these points for discussion forward to the Academic Council coincident both with a change in leadership of ANR and a potential change in the funding model for ANR. ACSCANR, however, had insufficient time to develop any of these ideas fully. Perhaps next year's committee would choose to follow these up and provide input to the task force considering how ANR should be funded for the 21st century.

- ANR and UC should proactively increase their shared branding in the "outside world" (e.g., visibly linking UC and 4-H) both for reasons of improving the public relations of UC and to improve the recruitment of students and outreach of UC as a whole.
- The role and activities of ANR should be better and more broadly known at the campuses and the Office of the President. ANR and the campuses should consider each a resource for the other.
- The research sponsored and funded by ANR should be better integrated with other applied research elsewhere within UC. Collaborations should be fostered between ANR and similar/complementary areas within UC. These collaborations could involve facilitating access of non-ANR/AES researchers to the RECs, for example, and building upon ANR's outreach network to publicize the importance and results of UC's research community.
- The basic mission of ANR – to deliver new information (and education) regarding technology and science to California users – should have a wide application across the broader UC research enterprise.

Funding model for ANR

In April, 2015, Vice President Allen-Diaz proposed a major change to the funding of ANR by moving its State funding from the campus assessments paid to the Office of the President to being funded by another off-the-top allocation. In response, the Office of the President designated a task force to examine the financial and business operations structure of ANR holistically. Recommendations are due by December 21, 2015 and are to "ensure both the continued financial and structural viability of ANR and the ongoing robust and productive relationships between ANR and campuses in the service of the critical missions of creating and implementing innovative and locally relevant research, education, and outreach programs and developing science-based solutions to issues facing agriculture and natural resources."

ACSCANR's view is that it is well-positioned to provide input to the process of developing the appropriate funding model for ANR and suggests that some of the questions below should be considered.

- What is the future of funding for ANR as the State continues its disinvestment in UC and UC correspondingly adopts more of a "self-funded" model based upon revenues from tuition, among other sources?

- How should ANR's interests be balanced with the wider UC's interests, most importantly, the teaching mission?
- What is the appropriate structure for UC to undertake the activities currently assigned to ANR? Should ANR continue to be a separate unit within the Office of the President, or should its activities be integrated into academic units on the campuses? Should this integration occur only at the three AES campuses, or should such integrations occur at all campuses willing and able to fulfill the Land Grant Mission?
- What should be the role of the Senate and administrations on all campuses to review and evaluate the use of funds allocated to units like ANR funded either off-the-top or through campus assessments?

IV. Conclusion

A better and more inclusive connection between ANR and the rest of UC would foster support within the University for ANR activities and would allow the campuses to reap greater benefits from those existing activities. In this way, UC can help ANR achieve its strategic vision of healthy food systems, environments, communities, and ANR can help UC achieve its goal of maintaining and improving educational and research excellence. The members of ACSCANR have been very impressed by what they have learned about ANR and would like to help identify mutually beneficial ways that both parties can better work with -- and benefit from -- each other.

Respectfully submitted:

J. Daniel Hare, ACSCANR Chair and Academic Council Vice Chair
 Ken Barish, UCPB Representative
 Liane Brouillette, UCORP Chair
 Rachael Goodhue, Davis Divisional Vice Chair
 Michael Goulden, Irvine
 Benjamin Hermalin, Berkeley Divisional Vice Chair
 Chris van Kessel, Davis
 Valerie Leppert, CCGA Representative
 Carol Lovatt, Riverside and Senate Representative t ANR Program Council
 Andrew Waterhouse, Davis and Senate Representative to ANR Council
 Jose Wudka, Riverside Divisional Chair
 Fredye Harms, Senate Analyst

UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF)

2014-2015 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Freedom (UCAF) met three times in Academic Year 2014-2015 to conduct business with respect to its duties as outlined in Senate Bylaw 130. Highlights of the Committee's activities and accomplishments are noted in this report.

Learning Assessments, Accreditation, and Encroachment on Faculty Autonomy

Continuing an issue from last year, UCAF expressed concerns that some requirements imposed by various accreditation bodies have the potential to encroach on the academic freedom of UC faculty. Although attempts to standardize the curriculum should be avoided, members agreed that UC faculty should engage with the Western Association of Schools and Colleges, Accreditation Board for Engineering and Technology and other accrediting bodies to educate them about the University and to be more interactive in the process at their campuses. It was also proposed that UCAF members reach out to the local committees on undergraduate education and consider giving their local CAF a leading role in reviewing measures, including learning assessments, which might impact faculty control over their curriculum.

Chancellors' Welcoming Letters and "Campus of Civility"

The Chancellors have been encouraged by the Office of the President to make beginning-of-the-year civility statements. At its December meeting, UCAF members agreed to draft a general statement of academic freedom and civility that the divisional offices could issue on an annual basis along with the Chancellors' civility statements. With assistance from UCAF members, Chair Montgomery took the lead on drafting the civility statement. At UCAF's March meeting, members indicated unanimous support for adopting and forwarding the statement to Council. On April 1st, Academic Council reviewed the statement on civility submitted by UCAF and approved it with some minor revisions. The Academic Council Statement on Academic Freedom and Civility has been posted on the UCAF website and circulated to Chairs of Senate Divisions for distribution and posting on CAF websites.

External Evaluation Letters for Advancement to Professor Step VI

UCAF discussed concerns related to academic freedom issues and evaluation letters at Step VI and the members gathered information about the practice at their campuses. Three campuses (UCB, UCSD, and UCD) no longer require external letters for advancement to Professor Step VI, whereas the other campuses maintain this requirement. The UCD and UCSD changes are recent and have been initiated and/or endorsed by the Senate, while the change of policy at UCB is several years old. Members expressed concern regarding who has the discretion to solicit letters on the three campuses where they are not required and agreed that faculty candidates themselves should also be given the right to have extramural letters included in their advancement file. Members agreed that UCAF should draft a letter to UCAP expressing these concerns and asking that UCAP consider this matter.

UCAF requested that UCAP consider whether CAPs had seen any evidence of problems or potential problems in Step VI reviews on campuses where extramural letters are optional. UCAP advised UCAF that the APM nowhere specifies that chairs must solicit external letters of evaluation in Step VI reviews. Furthermore, UCAP found no specific reference in the APM to academic freedom as the rationale for extramural letters. Rather, the APM indicates that extramural letters are intended to ensure a fair, thorough, and objective review. UCAP agreed with UCAF that a candidate should have the right to request that the chair solicit extramural evaluation letters in Step VI cases; if the chair were to deny this request, the candidate could note that fact in her or his response to the departmental review. UCAP did

not agree, however, that candidates should have the right to *require* such letters. Within the department, UCAP noted, the authority for soliciting extramural evaluation letters is explicitly reserved to the chair.

Openness In Research

At its April meeting, UCAF was joined by Wendy Streitz, Executive Director, Research Policy Analysis and Coordination, Office of Graduate Studies and Research (OGSR), who was seeking feedback on an early draft of a change in policy on openness in research. This involves modifications in existing policy, which currently disallows funders to place publication or citizenship restrictions on use of funds. Existing policies related to this issue are hard to find, and some circumstances have arisen that were not contemplated when the old policies were written. A group that includes vice chancellors for research felt that UC should have a new clear and consistent policy, and a workgroup involving VCRs developed the proposed policy.

Members of UCAF requested data that would show the extent to which the current UC principle of fundamental research, which does not accept restrictions on publication and citizenship, has interfered with faculty engaged in certain kinds of research. UCAF noted that publication and citizenship restrictions are different issues, and members suggested that OGSR may want to consider creating two separate policies. During the coming year, UCAF will anticipate reviewing the next draft resulting from OGSR's consultations and will send more formal feedback at that time.

Anti-GMO Lobbyists and Academic Freedom

The committee had a brief discussion about Freedom of Information (FOIA) requests affecting faculty who have worked on GMO-related issues. The policy formulated at UCLA as guidance for faculty facing FOIA requests was circulated to the members. Members were advised to inquire about this issue on their campuses and to update the committee in the upcoming year.

Other Issues and Additional Business

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

- UC Policy on Copyright and Fair Use
- APM 210.1.d
- Proposed Revised Presidential Policy–Sexual Harassment and Sexual Violence

Finally, UCAF devoted part of each regular meeting to reports on issues facing local committees.

Respectfully submitted,

Kathleen Montgomery, Chair (R)
Clyde Spillenger (LA)
Hugh Roberts (I)
Wei-Chun Chin (M) (Fall)
Ronald Glass (SC)
Sarah Schneewind (SD)

Moradewun Adejunmobi, Vice Chair (D)
Roberta Keller (SF)
David Steigmann (B)
Linda Cameron (M) (Spring)
Ward Beyermann (R)
Christian Van De Walle (SB)

Mary Gilly ((I); Chair, Academic Senate, *Ex Officio*)
Dan Hare ((R); Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Principal Analyst

UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL

2014-2015 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Personnel (UCAP) had four meetings during the Academic Year 2014-2015 to conduct business with respect to its duties as outlined in Senate Bylaw 135, which are to consider general policy on academic personnel, including salary scales, appointments and promotions, and related matters. The issues that UCAP considered this year are described briefly as follows:

Total Remuneration Study

UCAP discussed the *2014 Total Remuneration Study for General Campus Ladder Rank Faculty* over the course of several meetings this year. The 2014 study found that the average salaries of UC faculty are now 12 percent below and the average benefits are now 7% below those of faculty at our comparison institutions.

In November the committee was asked to provide its perspective on how the University should address this remuneration gap. Questions UCAP considered included whether salaries or benefits should be increased, whether range adjustments should be given to everyone or only to meritorious faculty, and whether off-scale salaries should be gradually returned to scale. Members agreed that trying to retain faculty once they have received an outside offer is more difficult and expensive than keeping faculty happy in the first place. At the same time, members agreed that the salaries of meritorious faculty who have suffered a “loyalty penalty” for not seeking outside offers should be increased. There was strong agreement that UC’s step system is essential to its system of shared governance and that every effort should be made to strengthen the salary scales.

UCAP’s final recommendations for closing the remuneration gap were submitted to Academic Council in January. The committee recommended that a budgeted 3% increase in the salary pool be applied to an across-the-board increase in the onscale portion of faculty salaries. This approach has the advantages of transparency, equity, and ease of implementation. It would also begin the process of lessening the disparity between onscale and offscale salaries, and it would provide a much-needed boost to faculty morale. The committee agreed that a second, less desirable approach would be to reserve some portion of the 3% increase for flexibility in setting individual campus salary goals. UCAP members also agreed that redesigning the salary scales is impracticable at this time. It is the committee’s view that the total compensation gap is an urgent matter that calls for immediate redress.

The President’s Innovation Council Rewards and Recognition Work Group

President Napolitano established the President’s Innovation Council, comprised mostly of venture capitalists and entrepreneurs, in the summer of 2014. The goal of the Council is to improve UC’s ability to support technology transfer and the commercialization of research. In November, UCAP was joined by Dr. Ann Marie Sastry, who chairs the Council’s Rewards & Recognition Work Group. Following that meeting, UCAP members provided the Work Group with information from their CAPs in response to two questions about the role of technology transfer and commercialization in the review process: 1) how does your committee evaluate achievements in technology transfer such as patents? and 2) has your committee found it difficult to evaluate such achievements? Based on the CAP responses to these questions, both

UCAP and Dr. Sastry concluded that patents were a relatively infrequent issue in reviews, that CAPs encountered no significant difficulties in reviewing patents, and that the review process would not be an especially fruitful path for encouraging more patents.

Two members of UCAP volunteered to participate on the Rewards and Recognition Work Group, which met twice by phone between January and May. The Work Group focused on how UC-developed patent technology can be more effectively transferred to the private sector. UCAP members suggested that it might be useful for campuses as well as the Work Group to solicit reports from the University's intellectual property or technology transfer offices about how patents have benefited UC financially. The committee also suggested that CAPs should develop guidelines for assessing patents, if they have not already done so. Finally, committee members agreed that any emphasis on technology transfer and commercialization must not disadvantage faculty in the arts and humanities.

Negotiated Salary Trial Program

In January, UCAP received the first of three annual reports on the Negotiated Salary Trial Program (NSTP). In this trial program, which involves faculty at UCSD, UCI, and UCLA, faculty can draw a negotiated salary component that must derive exclusively from external funds such as grants, gifts, and self-supporting degree programs. This component cannot exceed 30% of the scale plus offscale salary of the faculty member. The Senate was strongly opposed to this program and UCAP had particular concerns about Senate oversight in a process where chairs and deans alone decide on the negotiated salary.

Each campus has an implementation plan that specifies what the role of CAPs will be, but it was not clear from the annual reports or from the experience of UCAP members whether CAPs had been properly involved in the assessment process. UCAP would like the questionnaire for the reports to include a question about how CAPs were involved in the trial program. Even if the CAPs have a minor role, UCAP thinks that an account of this role should be included in the report. The committee also suggested that the reports should provide more data on any increases or decreases in the research productivity, the teaching, and the mentorship and service activities of participating faculty, and participating campuses should collect more data on whether the salaries for faculty in the trial program impacted the funding for hiring graduate and post-doctoral students.

Several UCAP members wondered what metrics the trial program would use for evaluating the program's success or failure. One possible metric would be the change in aggregate teaching loads for the NSTP participants. The administration has claimed that teaching loads have not changed, but some participants have reported reduced teaching loads. The committee noted that the main purpose of the program is preemptive retention, whose success or failure is inherently difficult to gauge. Another question was whether external funding agencies have started to react to the negotiated salary program. UCAP will continue to monitor the NSTP next year.

Faculty Salary Equity Studies

In May, UCAP reviewed and discussed the faculty salary equity studies produced by each campus in accordance with an agreement between the Office of the President and the Academic Senate that the optimal method of reviewing faculty salary equity was at the campus level. Overall, UCAP was impressed by the work of the joint Senate and Administration steering committees on each campus.

In a memo to Academic Council, UCAP suggested that future equity studies should systematically explore whether salary differences are linked not only to gender and race or ethnicity but also to other factors such as field or discipline, era of hire, family accommodations, recruitment offers, and retention offers. The committee noted that the campus reports rarely address how the Senate will be involved in devising and implementing remedies to the salary inequities that the reports disclose. UCAP strongly believes that the Senate must play an active role with the Administration in remedying salary inequities.

Lastly, UCAP suggested that faculty with relevant expertise could be encouraged to participate on equity-study steering committees if the University offered them some form of compensation for their work. UCAP members look forward to the joint Senate and Administration discussion that will take place this summer and fall about the methodologies, best practices, analyses, and findings in the campus-based studies.

Step VI-Part I-External Letters

UCAP was asked by the systemwide Committee on Academic Freedom to discuss campuses practices for including external evaluation letters in Step VI reviews. As UCAF noted, three of the ten UC campuses (UCB, UCD, and UCSD) no longer require such letters for Step VI reviews, and UCAF expressed concern that the lack of external assessment in Step VI cases might infringe the academic freedom of Step VI candidates. UCAF requested that UCAP consider whether CAPs had seen any evidence of problems or potential problems in Step VI reviews on campuses where extramural letters are optional.

The only difficulty that members reported with Step VI reviews was an issue at UCD, which has eliminated external letters for Step VI reviews: the David CAP found that such letters are sometimes useful, and they have urged the campus to adopt a policy in which external letters are optional for Step VI cases. As for the legitimacy of making these letters optional, UCAP carefully consulted the Academic Personnel Manual (APM) and advised UCAF that the APM nowhere specifies that chairs must solicit external letters of evaluation in Step VI reviews. UCAP concluded that it is reasonable for campuses either to require extramural evaluation letters in Step VI reviews or to make such letters optional. Furthermore, UCAP found no specific reference in the APM to academic freedom as the rationale for extramural letters. Throughout the APM, the justifications for extramural letters are broader: the letters are intended to ensure a fair, thorough, and objective review. UCAP agreed with UCAF that a candidate should have the right to request that the chair solicit extramural evaluation letters in Step VI cases; if the chair were to deny this request, the candidate could note that fact in her or his response to the departmental review. UCAP did not agree, however, that candidates should have the right to *require* such letters. Within the department, UCAP noted, the authority for soliciting extramural evaluation letters is explicitly reserved to the chair.

In response to a request from Senate Chair Gilly, UCAP also discussed the value of the Step VI threshold in general. Members agreed that the threshold remains important and should be retained.

Review of Health Care Clinical Faculty

Several UCAP members participated in an email discussion about problems in assessing health care faculty. In the APM, the criteria for evaluating these faculty are not as clearly defined as they could be, and some CAPs have therefore attempted to devise assessment guidelines for their campuses. Next year, UCAP might want to consider how APM policy on health care faculty could be clarified, particularly in regard to the confusing array of appointment titles for these faculty.

Off-Cycle Reviews

Proposed revisions to APM 360 (Librarian Series) led the committee to discuss the issue of off-cycle reviews. The committee agreed that it is best to avoid off-cycle reviews, whenever possible, because they have the potential to generate inequities in the review process and to increase the workload for candidates and reviewers alike. In some cases, such as retention efforts, an off-cycle review may be unavoidable, but the committee agreed that these cases should be regarded as exceptional.

Other Issues and Additional Business

University Professor: In November 2014, in accordance with APM 260, UCAP nominated an ad hoc faculty review committee to review an appointment to the University Professor title proposed by a campus. In February 2015, UCAP members reviewed the ad hoc committee's recommendation and all

case materials and Chair Knapp notified Vice Provost by email that UCAP unanimously supported the recommendation for the University Professor appointment.

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

- Proposed Revisions to APM – 080 and APM – 330
- Proposed Revisions to APM 279, APM 360, and APM 210-4
- Final Review of Proposed Revisions to APM 210.1.d

Campus Reports

UCAP devoted part of each regular meeting to discussing issues that face local committees and to compare individual campus practices regarding the review process.

UCAP Representation

UCAP Chair Jeffrey Knapp represented the Committee at meetings of the Academic Council and the Assembly of the Academic Senate. He also served on the Provost’s Academic Planning Council and the Total Compensation Working Group. In January Chair Knapp chaired a Senate work group charged by Chair Gilly with improving the wording of a proposed revision to APM 210-1-d based on the systemwide responses to the proposed revision that the Senate had reviewed in December.

Committee Consultations and Acknowledgements

UCAP benefited from regular consultation and reports from Susan Carlson, Vice Provost, Academic Personnel and Janet Lockwood, Manager-Academic Policy and Compensation, Academic Personnel. UCAP occasionally consulted the Academic Senate Chair Mary Gilly and Vice Chair Dan Hare about issues facing the Senate and UC, and the Senate Executive Director Hilary Baxter about Senate office procedures and committee business.

Respectfully submitted,

Jeffrey Knapp, Chair (B)
Eric Talley (B)
Michael Stenstrom (LA)
Carolyn Dean (SC)
David Redmiles (I)
Jang-Ting Guo (R)

Christina Ravelo, Vice Chair (SC)
Myrl Hendershott (SD)
James Jones (D)
Bradley Chmelka (SB)
David Kelley (M)
Jacqueline Leung (SF)

Mary Gilly (Chair, Academic Senate, *Ex Officio*, (I)), Dan Hare (Vice Chair, Academic Senate, *Ex Officio*, (R)), Brenda Abrams, Principal Policy Analyst

**BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)
ANNUAL REPORT 2014-15**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Board of Admissions and Relations with Schools (BOARS) met ten times in Academic Year 2014-15 to conduct business with respect to its duties as outlined in [Senate Bylaw 145](#), to advise the President and Senate agencies on the admission of undergraduate students and the criteria for undergraduate status. The BOARS chair also charged two subcommittees with reporting to the parent committee about specific topics. The major activities of BOARS and its subcommittees, and the issues they addressed this year are outlined briefly, as follows:

ANNUAL REPORT TO THE REGENTS ON UNDERGRADUATE ADMISSIONS REQUIREMENTS AND COMPREHENSIVE REVIEW

In January, BOARS submitted its first “[Annual Report on Undergraduate Admissions Requirements and Comprehensive Review](#)” to the Board of Regents. The report combines the former “Annual Report on Admissions Requirements,” and the “Biannual Report on Comprehensive Review.” It discusses application, admission, and yield outcomes under comprehensive review for the years 2012-2014; the ongoing implementation of the new freshman admissions policy and the Regents’ 2011 Resolution on Individualized Review and Holistic Evaluation; efforts by BOARS to enhance the transfer path and to ensure that admitted nonresidents compare favorably to California residents; and challenges associated with the future of the referral guarantee.

FRESHMAN ELIGIBILITY AND REFERRAL

- *Proposal to Adjust the UC Eligibility Construct from 9x9 to 7x7*

BOARS tabled a proposal it developed in the 2013-14 academic year to adjust the “9-by-9” eligibility construct to “7-by-7.” The proposal was motivated by the need to accommodate all students eligible for a guarantee of referral admission and to more accurately bring the total number of guaranteed students to the policy target of 10% of public high school graduates. The Academic Council responded to BOARS’s request for a systemwide review by asking BOARS to simplify and clarify aspects of the proposal, to help promote informed discussion at the campuses. BOARS tabled the proposal after new concerns were raised that it could impact diversity and represented only a partial solution to the problems identified by the committee, and following news that Merced would be able to accommodate all referral pool students. BOARS also decided it should monitor the effect of the recent change to the statewide index on the guarantee pool before proposing new changes. Nevertheless, BOARS remains concerned about the long-term capacity of the UC system to offer a guarantee of referral admission to every student defined as eligible through the “9-by-9”, particularly if enrollment pressures increase and additional state funding for enrollment is not provided. BOARS will continue to monitor these issues closely.

TRANSFER ADMISSION

BOARS helped lead the Senate's response to a range of issues and concerns about community college transfer.

- ***Transfer Admission Pathways***

BOARS participated in a Senate-led effort to implement a recommendation from the [Transfer Action Team](#) to streamline the transfer admission pathways from the California Community Colleges to UC. President Napolitano joined BOARS' February meeting to encourage faculty to help facilitate the alignment of pre-major transfer requirements for ten specific majors across UC campuses, to help transfer students prepare simultaneously for multiple campuses and help campuses attract and enroll better prepared transfers. BOARS members helped assemble lists of campus faculty and administrators responsible for evaluating and/or deciding transfer preparation requirements for the ten majors. The BOARS chair and/or vice chair participated in three April workshops that brought together campus representatives to identify a single set of major-specific lower division coursework for CCC students to follow as preparation for transfer admission in each major at all nine campuses. BOARS members helped lead efforts to monitor progress of the campus review of the [pathways](#) agreed to at the meetings.

- ***Transferrable Course Guidelines***

In fall 2014, the BOARS chair wrote to department chairs in eight disciplines to request faculty nominees for standing content expert workgroups to advise BOARS about revisions to the systemwide Transferable Course Agreement (TCA) Guidelines, which reflect the minimum course content required for basic UC transferability. The recommendations of the workgroups were reviewed and approved by a BOARS subcommittee and then by the full committee in the spring. Campuses will continue to conduct second-level reviews to decide specific credit awards for completion of approved courses.

- ***Approval of Statway***

In January, BOARS issued a [Statement](#) regarding its approval of a version of Statway for UC transferability. The approved version of Statway, a year-long community-college course sequence designed by the Carnegie Foundation that combines introductory college-level statistics with pre-college math content intended for non-STEM majors, is being offered at six California Community Colleges. The approval followed a UC faculty review of the Statway curriculum initiated by BOARS in Summer 2014. The review concluded that the pre-college math content presented in the course meets the minimum math requirements expected of freshmen by sufficiently covering mathematics aligned with the Common Core State Standards for Mathematics, and that students who complete the sequence should receive credit equivalent to a traditional introductory statistics course upon transfer to UC.

SUPPORT FOR CALIFORNIA'S NEXT GENERATION SCIENCE STANDARDS

- ***Next Generation Science Standards Information Session***

In December 2014, BOARS held an information session with Helen Quinn, professor emerita of Physics from Stanford University, who chairs the California Science Framework Committee for K-12, which is considering K-12 course models that align with the Next Generation Science Standards (NGSS). She provided background on the NGSS, outlined how the NGSS defines a new framework for science education, and listed challenges that the new standards may pose for

high school science programs. She also noted that California high schools are thinking about how to integrate the NGSS into their programs and courses, but some are concerned that UC may not approve NGSS-aligned courses for the Laboratory Science ([area “d” admission requirement](#)).

- ***Next Generation Science Standards and Area “d”***

BOARS discussed how UC might adjust its admissions policies to reflect California’s adoption of the NGSS. A central question is whether UC’s laboratory science requirement (area “d”) should continue to require laboratory science courses to align closely with the three “foundational” disciplines identified in area “d” (Biology, Chemistry, and Physics), or change to reflect the four core NGSS categories—Physical Sciences; Life Sciences; Earth and Space Sciences; and Engineering, Technology & Applications of Science—and broaden the scope beyond only “laboratory sciences.” In May 2015, BOARS proposed to review and revise, as needed, area “d” ([Senate Regulation 424.A.3.d](#)) to align with the NGSS. Preliminary plans include convening a UC faculty advisory committee to review relevant issues and make recommendations to BOARS that will be circulated for UC systemwide Senate review.

- ***ICAS Statement of Competencies in the Natural Sciences***

BOARS reviewed a *Statement of Competencies in the Natural Sciences Expected of Entering Freshmen*, drafted by the Intersegmental Committee of Academic Senates (ICAS) as an update to a 1988 ICAS statement intended to reflect the State’s adoption of the Next Generation Science Standards. BOARS reviewed the statement and issued a letter offering input into ways the statement may be further strengthened to support high schools in teaching science according to NGSS concepts and practices.

NONRESIDENT ADMISSION

BOARS members worked with campus committees and admissions offices to analyze 2014 admissions outcomes and the extent to which their campus is meeting BOARS’ [policy](#) that non-residents admitted to a campus must “compare favorably” to California residents admitted to that campus. BOARS reviewed campus submissions for 2014, and then issued a [report](#) summarizing outcomes from a systemwide perspective. All campuses reported that they met the standard and described a variety of approaches used to analyze it—including comparisons of academic performance measures and holistic review scores of residents and nonresidents who were admitted and who enrolled, as well as analyses of the post-matriculation performance of both groups. Some campuses noted the difficulty of making a true comparison between residents and nonresidents based on narrow academic indicators and in the absence of equivalent local context and achievement information for both applicant groups. BOARS also discussed ways to ensure a more critical, transparent evaluation of campus assessments, to gather and make public meaningful data, and to develop a common template for campus reporting.

INTERNATIONAL APPLICATION EVALUATION

- ***Test of English as a Foreign Language (TOEFL) Exam***

BOARS discussed how campuses use scores from the Test of English as a Foreign Language (TOEFL) to assess the English proficiency of applicants who complete all high school in a non-English-speaking country. The committee reviewed analyses detailing the relationships between

TOEFL scores and academic success at UC for cohorts of international students who submitted different ranges of scores and subsequently enrolled at UC. BOARS found evidence that TOEFL scores are to some degree related to student academic success and noted that UC's minimum score of 80 is lower than other institutions. The committee voted to increase from 80 to 90 the minimum systemwide TOEFL score, but later reversed the decision after hearing about the potentially negative effect the higher minimum score may have on the ability of some campuses to meet enrollment targets, and noting that individual campuses may require a higher minimum score than the systemwide minimum.

- ***Concordance of TOEFL and IELTS Scores***

BOARS assessed the concordance of UC's minimum score requirements for the TOEFL and the International English Language Testing System (IELTS) exam. BOARS voted to decrease the minimum IELTS requirement to 6.5 after reviewed concordance tables for TOEFL and IELTS showing that a TOEFL score of 80 or 90 corresponds with an IELTS score of 6.5, while UC's minimum IELTS score of 7.0 corresponds to a TOEFL score of 94-101.

- ***PTE Academic Proposal***

BOARS considered, but declined, a request from Pearson Education for UC to recognize the Pearson Test of English Academic (PTE Academic) as an approved English language test for undergraduate international applicants who are non-native English speakers.

REVISED AP AND IB EXAMS

UCOP identified faculty content expert reviewers charged with recommending to BOARS whether UC should award elective credit for scores of 3 or higher on redesigned versions of nine Advanced Placement exams and 5 or higher on four redesigned International Baccalaureate exams. BOARS approved the content expert recommendations of for those exams.

AP CAPSTONE

BOARS reviewed the College Board's new [AP Capstone](#) Diploma program and considered whether UC should award elective credit, and the appropriate exam or assessment score required to receive elective credit, for completion of the AP Seminar course and exam and the AP Research course and assessment, the two components of the program. BOARS decided that a broader discussion would be needed about how to programmatically address high school curricular programs requesting UC elective credit that do not align with UC general education curriculum. BOARS made plans to develop guidelines to help UC navigate both Capstone and other programs like it.

COMMON CORE MATH PATHWAYS

BOARS reviewed a statement of the committee drafted in response to concerns being expressed by some parents of advanced students that the new Common Core math pathway will disrupt the normal path to advanced math in middle and high schools and disadvantage their child in UC admissions. These parents are concerned that students will have fewer opportunities to take AP Calculus, a course they perceive as necessary to be competitive for admission to UC and other universities. BOARS will revisit the statement in the next academic year.

NEW BERKELEY ADMISSIONS POLICY

BOARS sent a letter to the Berkeley Senate division recommending that Berkeley delay implementation of its new freshman admissions policy for one year. BOARS was concerned about Berkeley's decision to implement the new policy without consulting systemwide bodies and without a full understanding of its implications for Berkeley or for other campuses. The issue was brought to the Academic Council, where a compromise was reached: it was agreed that for 2015-16, Berkeley will solicit letters of recommendation only from students ranked as "possible" admits through the predictive index, as well as from any applicants ranked "possible" later in the review process.

JOINT MEETINGS

- ***Meeting with Governor's Office Staff***

Three senior policy staff members from the Governor's Office and the Department of Finance attended a portion of BOARS' May 1 to discuss undergraduate admissions issues.

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

BOARS and the CSU Admission Advisory Council held their bi-annual half-day joint meeting in Oakland on June 5. Participants discussed the process of consultation and collaboration around proposed changes affecting the "a-g" pattern; how both segments plan to address the upcoming implementation of the Next Generation Science Standards in K-12; potential changes to the laboratory science ("d") subject requirement; issues associated with fostering and improving the transfer path; and data outlining the overlap between UC's fall 2013 applicant pool and CSU's 2013-14 applicant pool for both freshmen and transfers.

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

BOARS hosted its annual half-day joint meeting with the UC campus admissions directors on June 26. BOARS and the directors discussed admissions outcomes for 2015-16; two planned reviews of the systemwide UC application; the character and scope of future compare favorably analyses; next steps for implementing the systemwide transfer pathways; the TOEFL minimum score; and guidance about the type and extent of consultation campuses should solicit from BOARS about undergraduate admissions policies and practices.

BOARS SUBCOMMITTEES

BOARS separated into two subcommittees at several meetings to review materials provided by UCOP. One subcommittee, chaired by BOARS Vice Chair Sanchez, considered recommendations from UC faculty content experts charged with reviewing redesigned versions of several Advanced Placement and International Baccalaureate exams. Another subcommittee led by BOARS Chair Aldredge, reviewed revisions to the TCA Guidelines recommended by faculty content expert workgroups in several specific discipline areas as well as the "special categories" of Field Studies, Independent Study & Variable Topics Courses, and Online Courses.

OTHER BUSINESS AND BRIEFINGS

Proposed Revisions to Senate Regulation 417 and 621: BOARS sent the Academic Council proposed modifications to two Senate regulations—[SR 417](#), addressing applicants who complete coursework at a college while enrolled in high school, and [SR 621](#), addressing the standardized examination credit students may present to the University—both intended to update and clarify the language of the regulations.

UCEP-UCOPE Letter on AP Credit: BOARS supported a joint letter from UCEP and UCOPE articulating a position that AP English exam scores should be used only to place students out of the English Language Writing Requirement, not to place students out of lower- and upper-division UC writing and composition courses.

Budget and Enrollment Briefing: UCOP’s Associate Vice President for Budget and Capital Resources briefed BOARS in October about the development of UC’s 2015-16 budget and long-range enrollment plan, and its possible impacts on nonresident enrollment and tuition.

Meeting with the President: President Napolitano met with BOARS in February to discuss the transfer streamlining initiative; the President also answered questions from BOARS members about the state budget, nonresident enrollment, and enrollment planning.

Briefing on College-Level Curriculum: UCOP Student Affairs distributed a discussion paper—*National Trends Regarding High School Student Participation in College-Level Curriculum and Courses*—listing selected research related to the availability of AP, IB, and college-level courses taken in high school, student enrollments in those courses, and evidence from various studies showing that taking accelerated courses in high school correlates with positive college-level academic outcomes.

Campus Reports: BOARS set aside a portion of most meetings to allow faculty representatives to brief the committee on issues being discussed on their admissions committees and campuses. These briefings touched on local holistic review processes, enrollment planning, initiatives and best practices for increasing diversity, international application review, and concerns about the extent to which the current systemwide application sufficiently captures information about non-cognitive comprehensive review factors.

Senate Leadership Briefings: The Senate Chair and Vice Chair attended a portion of each BOARS meeting to brief the committee on business from the Academic Council and Board of Regents, the status of state and university budget negotiations, and systemwide issues of particular interest to BOARS and of general interest to the faculty.

BOARS REPRESENTATION

BOARS Chair Ralph Aldredge represented the committee at meetings of the Academic Council the Assembly of the Academic Senate, and the Intersegmental Committee of Academic Senates. Vice Chair Henry Sanchez Represented BOARS on the Systemwide Strategic Admissions Taskforce (SSAT). Either Chair Aldredge or Vice Chair Sanchez represented BOARS at meetings of the transfer streamlining discipline groups.

ACKNOWLEDGEMENTS

BOARS collaborated closely with UCOP and benefited from regular consultations with Vice President for Student Affairs Judy Sakaki, Associate Vice President for Undergraduate Admissions Stephen Handel, and Director of Undergraduate Admissions Michael Treviño, who updated BOARS about application, admissions, and SIR outcomes; transfer policies, initiatives, and legislation; meetings with student groups; community outreach; admissions messaging; feedback from counselor conferences; campus-based concerns; and other issues. Associate Director of Undergraduate Admissions Monica Lin attended each meeting to brief BOARS on high school and ‘a-g’ course certification issues, the new Course Management Portal, the UC Articulation Conferences, revisions to the Transferable Course Agreement Guidelines, the Next Generation Science Standards, and other topics. BOARS also received valuable support and advice from Institutional Research Coordinator Tongshan Chang, and Institutional Research Analyst Allison Cantwell who provided the committee with critical analyses and data related to the Report to the Regents, the 7x7 proposal, the TOEFL analysis, and the compare favorably analysis. BOARS also thanks Associate Director of Admissions Shawn Brick, Admissions Policy Coordinator Adam Parker, Special Assistant for Systemwide Admissions Initiatives Lisa Garcia, and Admissions Policy Coordinator Evera Spears for their contributions. Finally, BOARS appreciates the contributions of Amani Nuru-Jeter (UCB) and Colleen Clancy (UCD), who served as liaisons to BOARS from the University Committee on Affirmative Action (UCAAD); and the faculty who attended meetings as alternates for regular committee members: Lynn Huntsinger (B), Kathleen Ryan (B), Maribel Buena Cachadina (SB), Juliette Levy (R), David Smith (SC), and Deanna Shemak (SC).

Respectfully submitted,

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|--------------------------------|---|
| Ralph Aldredge, Chair (D) | Vickie Scott (SB) |
| Henry Sanchez, Vice Chair (SF) | Charles Thorpe (SD) |
| Richard Rhodes (B) | Christopher Viney (M) |
| Rena Zieve (D) | Fernando Echeverria, Undergraduate (SD) |
| Gilbert Gonzalez (I) | Mary Gilly, <i>ex officio</i> |
| Kathryn DeFea (R) | J. Daniel Hare, <i>ex officio</i> |
| Minghui Hu (SC) | Michael LaBriola, Committee Analyst |
| Kelly Lytle-Hernandez (LA) | |

UNIVERSITY COMMITTEE ON COMMITTEES ANNUAL REPORT 2014-15

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Responsibilities and Duties

Pursuant to [Senate Bylaw 150](#), the University Committee on Committees (UCOC) oversaw the appointment of chairs and vice chairs for each of the standing committees of the Assembly; oversaw the nomination of Senate members to serve on ad hoc or ongoing joint Senate-Administration committees and task forces; and authorized the Chair of the Assembly to appoint active members of standing committees to serve on joint committees and task forces subject to UCOC approval. UCOC met twice in person, and three times by video/phone conference. Major issues and accomplishments are reported below.

Appointment of Chairs and Vice Chairs of the Senate's Standing Committees

At the November 2014 meeting, members were appointed to serve as standing committee liaisons. The liaisons gathered information from the committee chairs, vice chairs, members, and analysts on the committee's effectiveness. In addition, the liaisons recommended individuals for 2015-16 chairs and vice chairs of the designated committees. In April 2015, UCOC reviewed and approved these recommendations.

Appointment of members of Senate committees, subcommittees, or task forces that report to the Assembly

The ten divisional Committees on Committees nominated divisional representatives to the standing committees. Subsequently, UCOC issued the appointment letters, which specified the term of appointment and the committee's charge. UCOC added one new at-large member to ACSCANR and appointed eight new members to the Editorial Committee.

Appointment of Senate Representatives to Special Committees & Task Forces, Search Committees, & Joint Senate/Administrative Task Forces and Committees

UCOC is responsible for appointing Senate representatives to various groups that are proposed by the President, Provost, and/or other senior administrators, including search committees of senior executives and chancellors. UCOC nominated and appointed representatives to serve on a number of joint Administration-Senate task forces and other groups. These included the California Open Educational Resources Council (COERC), UC ANR Vice President Search Committee (one Senate representative), UC Davis Chancellor Ad Hoc Review Committee, UC Mexico Working Groups (five working groups with one faculty representative in each group), the UCDC Academic Advisory Committee (three Senate faculty-at-large), Lecturer with Security of Employment Status (LSOE) working group, Sexual Violence/Sexual Harassment policy work group, Cyber-Risk Governance Committee.

Bylaw 128.D.2 Amendment: Vice Chairs of the Standing Committee of the Assembly

1. UCOC had difficulties appointing non-Council vice chairs who are also members of their local corresponding Divisional committees. Bylaw 128.D.2 previously read, "for committees not represented on the Academic Council, with the exception of the University Committee on Committees, the Vice Chair shall be appointed from among the Divisional appointees." This bylaw has proved problematic for both reasons of timing and principle. UCOC proposed to have all vice chairs at-large members, regardless of whether the committee sits on Academic Council or not. The bylaw now reads, "1. The

Vice Chair shall be an at-large member who has experience as a member of the corresponding Divisional committee. The Vice Chair shall normally succeed the Chair subject to the approval of UCOC. 2. The Vice Chair must be a Senate member from a Division other than that of the Chair.” This proposed bylaw change was approved by the Assembly of the Academic Senate in June 2015.

Respectfully submitted:

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|------------------------------------|---|
| Edwina Barvosa, Chair (UCSB) | Doris Trauner (UCSD) |
| Eleanor Kaufman, Vice Chair (UCLA) | Rena Fox (UCSF) |
| William Drummond (UCB) | Cynthia Stohl (UCSB) |
| Carter Colin (UCD) | Patricia Gallagher (UCSC) |
| Ilona Yim (UCI) | Mary Gilly (Council Chair, ex-officio) |
| Joseph Nagy (UCLA) | Dan Hare (Council Vice Chair, ex-officio) |
| Patricia LiWang (UCM) | Jocelyn Banaria (Committee Analyst) |
| Robert Clare (UCR) | |

**UNIVERSITY COMMITTEE
ON
EDUCATIONAL POLICY
2014-2015 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Educational Policy (UCEP) met six times in Academic Year 2014-2015 to conduct business with respect to its duties as outlined in [Senate Bylaw 170](#) and in the Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (the "[Compendium](#)"). The major activities of the committee and the issues it addressed this year are outlined briefly, as follows.

Undergraduate/Graduate Hybrid Degree Programs

As a Compendium committee, UCEP participates in the review of certain proposed programs. However, UCEP is not involved with reviewing undergraduate/graduate hybrid degree programs that allow undergraduate students to complete undergraduate and graduate programs simultaneously. According to the Compendium, only CCGA needs to sign off on this type of program however UCEP found at least one existing hybrid degree program that did not undergo CCGA review. UCEP's concerns include that there might be a systemwide push for more of these hybrid programs to provide students for self-funded graduate programs and that this model will be used because of the external pressure on UC related to time to degree, streamlining undergraduate education, and creating three year degrees.

Some type of oversight is needed going forward and UCEP agreed that it should be consulted about these programs. UCEP has an interest in degree programs that impact undergraduate programs. The committee sent a memo to Senate Chair Gilly in October 2014 recommending that the Compendium should be reconfigured to include UCEP in the review of these programs. The purpose of UCEP's review would be to raise questions about unintended consequences of a campus decision on its undergraduate programs, not necessarily to veto a proposal. The committee also concluded that a systemwide residency requirement may be needed to prevent problems with hybrid programs, especially those with entities that are not affiliated with UC. A member suggested that some type of residency requirement is needed for joint programs. A general rule about the number of units taken out of residency might be a rule that UCEP proposes in the future.

International Students at UC

The enrollment of international students at UC has garnered an increasing amount of attention. The number of international students at each campus varies widely, and the percentage of undergraduate students alone may reach the double digits at some UC campuses. Decisions made related to funding streams and rebenching have compelled campuses to increase the enrollment of international students. Decisions such as these may have unintended consequences from an educational point of view.

From UCEP's perspective questions include whether the large presence of international students has altered the experience of native students in lectures or session or impacted the native freshman or transfer student's educational path or experience. The data that is available illustrates that the international students are not academically failing but there is no documentation about any impact on the students who are not foreign. The dramatic increase in the numbers of international students at most campuses began about three years ago and some data on their performance is available now. This data shows that some of the international students are struggling but many are doing just as well or better than anyone else.

UCEP would eventually like to see data that illustrates the annual increases in native California students beside the increase in international students. The committee would also like to examine data on the

current composition of the undergraduate student body and the steps campuses are taking to broaden its diversity. It was also suggested that data on the majors pursued by international students should be reviewed. If the majors selected by international students are impacted, native California students may be displaced.

January 2015 Undergraduate Completions Conference

UCOP's Institutional Research & Academic Planning (IRAP) unit hosted a January conference on undergraduate completions. IRAP took a look at a variety of factors that might impact undergraduates. Campuses provided background information about their practices in advance of the conference. The overarching goal was for campuses to be able to identify current practices or strategies they should be using. It is hoped that each campus to be able to utilize the information that has been collected but there may be some activities that involve collaboration across the campuses.

It was suggested that IRAP examine the five and three year completion rates and that the data should be broken down by department. There is a need to distinguish between completion being delayed because students could not get into classes versus delays caused because students change their majors, for example. UCEP members agreed that the more nuanced the data is the better. IRAP is looking into systemwide licenses for databases that will help the system look at information about completion rates more readily. The provost has asked campuses to submit their plans and IRAP is planning its next steps which will include making the information shared at the conference available on the web. Next year, UCEP will monitor the work on undergraduate completions at the campuses and at UCOP.

Innovative Learning Technology Initiative (ILTI)

The ILTI Project Coordinator joined UCEP in February and May to provide updates and ask for feedback. The feeling among UCEP members is that ILTI continues to be a source of frustration but is beginning to do a better job of listening to the campuses that. Eventually, the eligibility requirement could be changed to allow more students to take the online courses and it would also be politically beneficial for UC to expand online education. Campuses may be able to change the requirements if they are deemed to be unnecessary but some of the requirements are there to protect what a campus values. ILTI has seen more success with smaller niche courses than GE courses being articulated across campuses. The committee offered suggestions about the types of courses that might be helpful for ILTI to support in the future. The committee continued to emphasize that the importance of student interaction with other students and faculty cannot be forgotten, and that there are ways in which people learn that online education does not address.

UCEP also discussed the issue of proctoring for online courses. Proctoring for online courses varies by campus and there are multiple challenges. For example, UCD currently requires, for all online courses, that students take an exam in person in a proctored setting. ILTI has been finding sites where students can go to be proctored in a face to face setting. Faculty and campuses have asked for ways to frame proctoring in a way that ensures academic integrity, allows instructor discretion and gives student needed flexibility. Next year, UCEP will consider issues related to the process, security and verification of people taking online exams for credit and discuss authenticating student work.

Cross-Campus Enrollment System (CCES)

The Cross-Campus Enrollment System is being developed is a key element of ILTI. The current system used to enroll students at a UC different campus is hobbled together and involves a lot of paperwork and different people. The CCES website was launched in November 2013 with information about course descriptions and credit. This year, functionality will be added that allows students to search for courses, an important goal for ILTI. UCEP had previously given feedback to UCOP indicating that the decisions about the system should be made by the registrars. Some members of UCEP felt that additional investments should be made towards course designers and faculty buy-outs instead of a system designed

based on unrealistic assumptions and predictions about its utilization by students, especially since most UC students are currently enrolled in online courses offered by their home campus.

UCEP sent a memo to the CCES work group that stated that no harm should be done to the efforts the campuses are making in developing online courses; the inventory of online courses is large at the campus level; online enrollment is functioning well at the campus level; and the campuses should be allowed to pursue their goals. The memo also noted that UCEP is pleased to have representation on the Committee on Academic Computing and Communications. It is critically important that UCEP continue to keep an eye open for unintended consequences decisions about ILTI related matters on undergraduate education.

The committee is concerned about whether there is a long-term market for cross-campus enrollment. UCEP's members agreed that online courses are more successful when they are in a residential environment. It was suggested that ILTI should provide funding for remote TAs and tutoring and that it would be a significant improvement if students enrolled in a cross campus course could be brought together at their home campus and connected to resources.

Transfer Pathways

This year, UCEP was involved with the Senate's efforts to develop a UC transfer curricula which would establish a set of courses for each major that students would complete to be prepared for admission and full consideration for admission unto UC. The varying requirements from campus to campus or from major to major mean students have to choose one UC campus or one major. One goal of this new pathway is to streamline and create more consistency across the UC campuses so that students can prepare for a smaller set of criterion and be ideally prepared to transfer into a UC and spend less time after matriculating at UC in attaining their degree. UC needs to clarify what it takes to come to the University and be more consistent. If not, UC will lose the best and the brightest students, especially those young adults who are the first in their family to attend college.

This is a systemwide problem because the current transfer pathways are so different, but it requires local solutions. UCEP members agreed that more data from each campus on what makes students successful would be very helpful. In particular, the Senate should look at data that will show how transfers and native students are being treated. Campuses should be asked if something is required for transfer students why it is not also required for native students. Faculty need data to help inform the requirements for transfer students.

Senate leadership requested the support of UCEP members to help ensure that the new pathways are implemented at their campuses. UCEP members should be advocates at their campuses so divisions understand that the effort to streamline the transfer process is aimed at increasing the quality of a UC education. UCEP (as well as the divisions) may need to monitor how changes now being made in admissions impact or influence the graduation requirements. Coordination across many committees is needed to manage various aspects related to streamlining transfer. UCEP may want to consider issues related to admission to a particular major while BOARS will focus on admission to a UC campus. The goal is to have meetings of eleven more majors in October.

State Budget Framework for UC

In June UCEP discussed the state's long term funding framework for UC with Provost Dorr and the Senate Leadership. One of the first steps is for UCOP to figure out what specifically applies to individual versus multiple campuses. There is an expectation that UC's work on transfer pathways for major preparation will be completed over the next two academic years which will be followed by a period of implementation work by the campus and UCOP administration.

There are a variety of activities in the framework that are fundamentally about getting a higher percentage of undergraduates to earn the BA and to do so in a shorter period of time. UCs graduation rates are outstanding so improving upon them will take extra effort. But it will be better for the students financially if they do it in a shorter time and it benefits the state by opening spaces for new students as UC educates them more rapidly. The President will ask the Senate to look at current policies for the kind of credit granted to students for AP courses taken in high school or by passing the College Board's College Level Examination Program. Some campuses already go above the minimum of unit credit by granting pre-major or GE credit. This data will be cataloged by UCOP and then the Senate will decide how to proceed.

Work on some activities really needs to begin by the summer at the latest and Senate involvement is clearly required in many areas. UCEP and the Senate in general should be prepared to be involved in a timely way. There is a question about how to collect the information that is needed about the current range of practices in a timely manner. Many of the practices to be examined are local practices and UCEP may be asked to help figure out how to facilitate this work. It is important that nothing is imposed upon the campuses and it was suggested that an informal approach such as sharing best practices might be most effective. There is agreement that the involvement of UCEP members willing to help would be a valuable asset to the efforts to implement the changes called for by the state. A good deal of coordination with the Senate and campuses will be required and who does what will need to be made explicit. UCEP members were invited to share ideas about communicating the message in the most appropriate and effective way.

Consultation with the Office of the Governor

In May, UCEP was joined by a representative from the office of Governor Brown, Jason MacCannell. Mr. MacCannell asked members for their feedback on topics that included: student learning outcomes, badging or micro-credentials, and the Innovative Learning Technology Initiative.

Review of Proposed Systemwide Courses, and Schools and Degree Programs

In contrast with the past two years, this year UCEP was asked to grant systemwide approval for only one course, a field course involving UC's Natural Reserve System. This course was approved by UCEP in May 2015.

As a Compendium committee, UCEP participated in the review of the following proposed Schools and submitted the committee's views and analyses to the Senate chair: UCLA's pre-proposal for reconstitution to establish the UCLA Herb Alpert School of Music and to redefine the UCLA School of the Arts and Architecture.

Other Issues and Additional Business

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

- The revised ICAS Natural Sciences Competency Statement
- The guidelines for Accepting Equity in Exchange for Access

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

UCEP Representation

UCEP Chair Tracy Larrabee represented the committee at meetings of the Academic Council and the Academic Assembly. Chair Larrabee also participated on the Provost's monthly budget briefing teleconferences and the Academic Planning Council. Chair Larrabee or Vice Chair Smith regularly attended ICAS meetings and Vice Chair Smith participated on the recruitment advisory committee for the next faculty director of the UC Center in Sacramento. UCEP's incoming-Vice Chair, Barbara Knowlton

also attended an ICAS meeting to represent UCEP. Finally, UCEP was represented by Seeta Chaganti (UCD) and Ann Plane (UCSB) on the UC Education Abroad Program Governing Committee.

Committee Consultations and Acknowledgements

UCEP benefited from consultation and reports from Aimee Dorr, Provost and Executive Vice President, UCOP; Pamela Brown, Vice President for Institutional Research and Academic Planning, (IRAP); Todd Greenspan, Director, Academic Planning, IRAP; Kimberly Peterson, Manager, Academic Planning, IRAP; Ellen Osmundson, ILTI Project Coordinator, UCOP; and Steve Handel, Vice President, Undergraduate Admissions.

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

Respectfully submitted,

Tracy Larrabee, Chair (SC)

Simon Penny (I)

Jonathan Wurtele (B)

Donald Curtis (SF)

Gabrielle Nevitt (D)

Ann Plane (SB)

Robby Boparai (Undergraduate student-SD)

Charles Anthony Smith, Vice Chair (I)

Jack Vevea (M)

John Tamkun (SC)

Geoffrey Cook (SD)

Barbara Knowlton (LA)

Thomas Stahovich (R)

Mary Gilly ((I), Chair, Academic Senate, *Ex Officio*)

Dan Hare ((R), Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Principal Policy Analyst

**UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
2014-15 ANNUAL REPORT**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Under [Senate Bylaw 175](#), the University Committee on Faculty Welfare (UCFW) considers and reports on matters concerning the economic welfare of the faculty, including salaries, benefits, insurance, retirement, housing, and conditions of employment. UCFW held ten in-person meetings and one teleconference during the 2014-15 academic year, and the major actions and discussions of ongoing issues are highlighted in this report.

UCFW has two key task forces with memberships independent of UCFW and with particular expertise in: (1) the University of California Retirement System (UCRS) including its policies and its investments (the Task Force on Investment and Retirement, TFIR); and (2) the University's health plans for employees and retirees (the Health Care Task Force, HCTF). These task forces monitor developments and carry out detailed analyses of questions and issues in their respective areas and report back to UCFW for further action. UCFW is indebted to the extraordinary commitment and skills of our task force leadership, Jim Chalfant (TFIR) and Robert May (HCTF). These two task forces spend a great deal of time in consultation with systemwide Human Resources (HR). Many of these consultants, along with others from Academic Personnel and the Office of the Budget also regularly attend UCFW meetings and lend their expertise to our discussions. We are indebted to these consultants, and they are individually acknowledged at the end of this Report.

CASH COMPENSATION ISSUES:

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

Total Remuneration: Having successfully argued for an update to the 2009 Total Remuneration Study, UCFW received the findings of an updated study. Due to cost considerations, it was determined that a full study was unworkable, so a study focusing on general campus ladder rank faculty only was commissioned (i.e. not health sciences, law, etc.). Current and past UCFW members joined the administration in working with Mercer Consulting to develop and conduct the study as similarly as possible to the 2009 study. The study concluded that UC general campus ladder rank faculty (LRF) total remuneration now lags the Comparison 8 by 10% in aggregate, reflecting a 12% lag in cash compensation and a 7% lag in health and welfare benefits. Junior faculty see the lags more acutely than senior faculty due to the long apprenticeship required to become tenured and the career incentive structure of UCRP. As a result, recruitment and retention efforts may become even more difficult if meaningful redress is not implemented.

In order to best address the situation identified in the report, and joint Senate-administration working group was formed. The group focused on two questions: first, administration of the 3% salary increase approved for July 1, 2015, and second, how to

close the overall remuneration gap. President Napolitano, however, eschewed the group's recommendation to issue the 3% across the board and issued instructions that half of the increase pool should be awarded across the board and the remainder should be used for exceptional merit, equity, inversion, and compression. The group did not issue recommendations for closing the overall remuneration gap. The one-time cost to "fix" the faculty salary scales is estimated at \$140M, but no funds have been identified, and no administration champion has come forward.

In response, UCFW began investigation into other means of increasing remuneration, such as through tax advantaged child care, housing assistance, identity theft protection, etc. Consideration of these and other strategies will continue.

POST-EMPLOYMENT BENEFITS:

As part of the budget negotiations conducted this year, President Napolitano and the Regents agreed to the governor's terms, including creation and launch of a new pension "option" by July 1, 2016. The new option would cap benefits at the PEPR cap, but some employee groups may also have access to a supplemental defined contribution (DC) plan. The design of the new pension option will be the product of a Retirement Options Task Force that has been charged to deliver a plan design by January 1, 2016. The Senate has four participants on the task force, some with experience in the 2010 Post-Employment Benefits investigation and all with UCFW backgrounds.

UCFW also reported to HR that their decision to centralize retirement counseling services at UCOP under the Retirement Administration Service Center (RASC) was not being well received at the campuses. HR views retirement counseling as facilitating Medicare enrollment and the like, while the Senate views retirement counseling as a much more individualized series of events to ease faculty into a new lifestyle. RASC is designing new training for campus colleagues, as well as webinars that employees nearing retirement can access at their own pace. RASC quality assurance metrics meet or exceed industry standards, but incremental improvement is still sought.

Emeriti groups at the campuses receive widely differing funds, access, and support, yet emeriti often remain contributing members of the campus community by mentoring students and junior faculty, continuing research, and serving on Senate committees. CUCEA has asked UCFW to help lobby divisional Senates to allocate more funds for emeriti support and functions, and UCFW will continue to monitor this situation.

HEALTH AND WELFARE BENEFITS:

UCFW and HCTF reported several problems with UC Care during its roll-out and second year of operation. Operations of the plan continue to be problematic in recurring areas: Reports of reimbursement, referral, and out-of-pocket maximum confusion were widespread, not least because Blue Shield, the plan's third party administrator, did not have adequate training for its staff. Training at the UC medical centers on the plan has also proved wanting. Employees were also concerned about the quality of providers in UC Care's top tier, noting that in some geographic areas, there were no hospitals or physician groups that participated. Riverside, Santa Barbara, west Contra Costa County, and some areas of Davis continue to report access concerns.

Further, UCFW is concerned with the operations of UC Care behind the scenes. The program did not attract as many younger and healthier employees as expected, so

adverse selection and higher than normal premium increases could negatively impact the plan. In its first year, UC Care received a subsidy from the other health plans, through UC's risk adjustment practice, which is designed to ensure that premiums and other costs do not vary widely by plan. However, UC Care was eligible for that subsidy only when its patient profile was unknown. Last year, to keep UC Care premiums from spiking, President Napolitano used one-time funds to supplement UC Care funds. This year, the likelihood of additional one-time funds is unknown, so UC Care must adjust its plan design to manage costs.

To increase the profile and bankability of UC Care, UC Health proposed the creation of an HMO product under the UC Care umbrella. An ad hoc work group, comprised of Senate and administration representatives, was formed to investigate the feasibility of the proposal, and other systemwide health questions. The work group, chaired by David Kraus from UCSD (the "Kraus Group"), recommended that consideration of an HMO be postponed because the time to investigate and launch for 2016 was not available and because the complexity of the project was not yet fully understood. UC's new Chief Operating Officer, Rachel Nava, has taken the position that such an expansion of UC health insurance programs should be considered as part of the usual analysis and due diligence of UC programs. The next RFP cycle for UC-sponsored health insurance programs is not until 2018.

Last year, UCFW lobbied Human Resources to undertake a satisfaction survey of the University's health and welfare benefits. HR worked with HCTF to develop a survey for major medical, and HR deployed it in the early summer of 2014. The response rate was 26%, and most of the findings were not surprising. UC Care performed moderately better, but aforementioned concerns persist. Kaiser satisfaction continued to lead the plans. Satisfaction with mental health services received particular attention this year, and HCTF met with the president at Optum. Reports of "ghost" providers and rejection of coverage were presented and addressed. HCTF will continue to investigate improving service in this area. UCFW requested, seconded by Academic Council, that a special task force be established to review mental health care, particularly the "carve out" that we currently provide.

This year, Human Resources undertook a review of UC's disability insurance and plan design. UC's benefits are significantly out of line with similar benefits from the state, and in this case, UC is the laggard. A working group is investigating how UC's benefit can become more competitive while remaining cost effective. Easier amendments to elections made during an employee's period of initial eligibility (PIE) are being considered, as are different pay-out caps and funding strategies. Due to the complexity of the issue, a new plan design is not expected to be available until 2017.

In reviewing financial statements from UC Care, HCTF became concerned about the cost of prescription coverage. Investigation revealed that treatments for Hepatitis C constitute the bulk of prescription payouts, but that only a small fraction of the UC employee population with the disease is receiving curative treatment; the remainder are required to follow lifestyle guidelines to minimize the impact and advancement of the disease and/or take medications with a significantly worse adverse effects profile. HCTF noted both moral objections to refusing to offer curative treatment whenever it is available and financial objections to the cost of treatment. Although costs are expected to drop as more drugs appear on the market, the cost of prescriptions continues to rise for cancer

treatments and other diseases. Alternative practices will continue to be discussed. In particular, there were discussions regarding “medical tourism” as might be applied to pharmacy benefits.

Finally, HCTF and UCFW were both concerned over the long-term strategic direction of UC Health, especially after a Rand report was presented to the Regents. The report included some radical recommendations, but shared governance was not reflected in the report or its analysis. It is expected that the “Kraus Group” will continue to meet, and that they will consider this issue. Ensuring that academic voices are heard in UC Health decisions is a goal for the new UCFW and HCTF.

INVESTMENT

Last year, student activists petitioned the Regents to divest from fossil fuels, and they submitted the Carbon Tracker 200 as companies they target. UCFW and TFIR remain skeptical that divestment would achieve the student activists’ goals, regardless of the fiscal impact of divestment to the University’s portfolio value. UCFW is also concerned that should UC accede to these demands, then the University will find itself on a slippery slope that called for additional divestment from other industries – regardless of the fiscal impact on the University’s portfolio. The Regents have convened a task force chaired by new Chief Investment Officer Jagdeep Bachher to investigate and report to the Board in the fall; Council Chair Mary Gilly is the Senate’s representative to the task force.

The Office of the Chief Investment Officer has continued to investigate best practices here, and they recommend an “ESG” approach to investment. This approach would require due diligence to include analysis of Environmental, Social, and Governance aspects of the target investment. Additionally, UC has joined the UN Principles for Responsible Investing, and continues to assess materials from which to develop new investment guidance for OCIO and the external managers and agencies with which it contracts for investment. A draft report was evaluated by TFIR, and edits are in progress.

This year, UCRP underwent an Experience Study, which assesses member experiences to determine if new assumptions are needed. Longevity and mortality were revisited, as were considerations such as allocation weightings, inflation assumptions, and return on investment. In the end, the consultants Mercer and Segal will recommend a slight adjustment to the assumed rate of return. This adjustment will increase the fund’s liability, but it better reflects current market realities. TFIR has supported the findings.

TFIR also supported the CFO’s plan to continue borrowing for UCRP to ensure that full ARC is contributed, despite the rate adjustment and as a supplement to the \$436M the governor will provide if UC makes the July 1, 2016 deadline for the new “option” activation. Returns this year show that, with last year’s borrowing, in-flow and out-flow from UCRP were nearly the same, so the improved funding ratio reflects market performance.

TFIR has monitored changes to the Fidelity Funds Menu portal for the last two years. Most members did not notice changes when the Menu was simplified the first time, as most of the funds that were cut or collapsed were seldom used. The final round of consolidation, however, impacted roughly 1 in 8 faculty, and they reported that messaging around the changes could have been more precise. Despite this, TFIR finds the simplified Menu easier to access and hopes that more employees will take advantage of it.

ASSESSING FACULTY WELFARE

Vice Provost for Academic Personnel has entered an agreement with the Collaborative on Academic Careers in Higher Education (COACHE), a Harvard think tank to develop faculty exit surveys. UCFW has long argued that recruitment and retention could be strengthened if more than anecdotal evidence were available to search committees, CAPs, academic personnel directors, and deans and chancellors. UCFW looks forward to helping refine the survey.

UCFW continues to be concerned about non-Senate faculty, be they temporary, clinical, or agricultural. For instance, non-Senate health sciences faculty constitute nearly 40% of the faculty systemwide, but little data is available to analyze their situation. The total remuneration study did not include health sciences faculty, yet the looming changes to the retirement system could have disproportionate impacts on that group.

OTHER POLICY ISSUES AND SYSTEMWIDE REVIEWS:

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

- 080 (Medical Separation)
- 133 (Limitation on Total Period of Service with Certain Academic Titles (“Stop the Clock”))
- 210.1.d (Review and Appraisal Committees)
- 279 (Volunteers)
- 330 (Specialists)
- 360 and 210.4 (Librarians)

Additional Items:

UCFW was pleased to receive updates on the following items, and will continue to monitor developments in these areas:

- Changes to Mortgage Origination Program
- Campus Climate Survey
- Negotiated Salary Trial Program
- Innovation Council
- UC Ventures
- UCPath Center

CORRESPONDENCE:

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

- Conflict of Interest and Conflict of Commitment
- Open Access Guidelines
- “Equity for Access” - Draft Guidelines for Pilot Program to Accept Equity for Access to University Facilities or Services
- Sexual Harassment and Sexual Violence Prevention
- Proposed State Constitutional Amendment 1

ACKNOWLEDGEMENTS:

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

Academic Affairs: Provost Aimée Dorr;
Academic Personnel: Vice Provost Susan Carlson and Director Janet Lockwood;
Budget: Former Vice President Patrick Lenz;
Finance: Executive Vice President Nathan Brostrom, Executive Director of Self-funded Health Plans Lori Taylor;
State Governmental Relations: Senior Vice President Nelson Peacock;
UC Health: Senior Vice President Jack Stobo;
Human Resources: Vice President Dwaine Duckett, Executive Director of Retirement Programs and Services Gary Schlimgen, Executive Director of Benefits Programs and Strategy Michael Baptista, Director of Benefits Programs Mark Esteban, and Executive Director for Compensation Programs and Strategy Dennis Larsen;
Office of the Chief Investment Officer: CIO Jagdeep Bachher, Associate CIO Arthur Guimaraes;
External consultants from Mercer, Deloitte, and Segal.

We are particularly grateful for the involvement, support and guidance from the Senate leadership, Chair Mary Gilly and Vice Chair Dan Hare, as well as the advice and perspective provided by Senate Executive Director Hillary Baxter. Finally, the committee is indebted to Kenneth Feer who has provided superb staff support.

Respectfully yours, UCFW 2014-15

Joel Dimsdale, Chair
Calvin Moore, Vice Chair
Mark Gergen, UCB
Lori Lubin, UCD
Bill Parker, UCI
David Lopez, UCLA
Sean Malloy, UCM
Victor Lippit, UCR
John Eggers, UCSD
Roberta Rehm, UCSF
Stan Awramik, UCSB
Jim Zachos, UCSC
Jim Chalfant, TFIR Chair
Robert May, HCTF Chair
Roger Anderson, CUCEA Chair (ex officio)
Shane White, UCRS Advisory Board Faculty Representative (ex officio)

**UNIVERSITY COMMITTEE
ON
LIBRARY AND SCHOLARLY COMMUNICATION**

2014-2015 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Library and Scholarly Communication (UCOLASC) met in person two times and once by teleconference in the 2014-2015 academic year to conduct business in accordance with its charge, outlined in [Senate Bylaw 185](#), to advise the President about the administration of University libraries and issues related to innovations in forms of scholarly communication. Highlights of the committee's major activities are outlined briefly below.

California Open Educational Resources Council

UCOLASC received a presentation in October about the [California Open Educational Resources Council](#) (COERC). On February 8, 2012, several lawmakers introduced legislation designed to increase the affordability of textbooks. The bill was approved by the Governor and filed with the Secretary of State on September 27, 2012. The target set in 2012 was to create an online library of free (or very low-cost) high-quality textbooks and this required that the COERC agree on courses. The Hewlett and Gates Foundations have provided funds to match the state funding; this funding will be used to support peer review boards. The Council only started meeting in early 2014. In the first phase to increase faculty adoption of materials, the Council selected five courses that had high enrollments across the segments. The Council convened groups of faculty to review and recommend the resources. These first five classes have started this Fall. The COERC progress reports may be found at the following link: <http://icas-ca.org/progress-reports>.

Any faculty who has developed materials for their courses might wish to share those resources. A UCOLASC member proposed to create a website where faculty could express preferences on material that was made openly accessible; this ranking would help other faculty members select material for their courses. The Council is considering partnering with other groups who have already created similar resources. UCOLASC members emphasized the importance of increasing awareness among California faculty about the current resources.

The Author's Alliance

In October, UCOLASC learned about the Author's Alliance, an organization founded by UC faculty members that promotes authorship for the public good by supporting authors who write to be read. The Alliance represents the interest of authors who want to share their creations through the potential of digital networks, in the face of the many barriers that impede public access. Among other activities, the Alliance has engaged in drawing copyright policy proposals, filed an amicus brief in *Authors Guild v Google*, prepared FAQs on Fair Use and Open Access, and created educational materials for authors looking to regain copyrights. It is important for copyright to not undermine the intended goal of faculty of reaching as wide a readership as possible. UCOLASC members expressed their keen interest in the Alliance, and suggested that the Alliance maintain a list of publishers who provide a reasonable amount of flexibility in their copyright agreements with faculty.

Open Access Policy Implementation

UCOLASC received two reports from the California Digital Library's Director of Publishing, Catherine Mitchell, about the implementation of the Senate's Open Access Policy at UCLA, UCSF, and UCI. In October, the committee reviewed the six-month progress report. Approximately 300 waivers were requested by UCSF faculty between May 2012 and July 2013, while 214 total waivers were requested by UCSF, UCLA and UCI faculty from July 2013 to October 2014. The data probably reflects demands for waivers from publishers, with the Nature Publishing Group requesting the largest number of waivers. The number of article uploads was relatively small. This may reflect a general lack of knowledge about the Open Access policy. In addition, the manual uploading process is perceived by some as time consuming. In a February memo to Academic Council, UCOLASC stated that, in spite of the low rate of paper uploads, the Open Access policy rollout has been successful and that UCOLASC found no reason why the policy should not be expanded to all ten campuses as planned. Further, the committee urged the Academic Council to request that the Office of the President provide the California Digital Library with the funding necessary to support the systemwide implementation. CDL is looking to secure long term funding to ensure that the system is operational for the long-term, and UCOLASC is committed to supporting this.

The Symplectic Elements harvester system was released to the pilot campuses (UCSF, UCLA and UCI) from January to March 2015, with the goal being to have the system up and running at all campuses by December 2015. The harvesting tool makes it easy for faculty to “claim” and deposit their publications, and provides faculty with a comprehensive list of publications with accurate citations. This promotes more compliance with the OA policy while saving money and staff resources. Emails automatically generated by Symplectic and sent to UCLA faculty on January 14, urging them to log in to eScholarship to upload their publications, produced a 25% response rate, with 250 items deposited in the first 48 hours. A total of 542 articles have been deposited in the four weeks since the release of the harvester. OSC and UCOLASC are very pleased with these results, but also concerned that many faculty may still be still unaware of the tool or the policy. University Librarians are considering new strategies to increase the visibility and faculty awareness of the policy.

The twelve-month report which will be prepared for UCOLASC’s Fall meeting may include data on faculty participation, usage data, user surveys/anecdotal reports from campuses, and integration/cost. This report will be reviewed by UCOLASC and forwarded to the Academic Council.

Journal Licensing Negotiations

UCOLASC received reports on journal licensing negotiations from CDL’s Director of Collections, Ivy Anderson, in October and May. UC is starting to license new Nature journals that are in high demand; the baseline deal with Nature for systemwide purchasing is very good. UC had a trial with the citation database SCOPUS last year, which will continue for another year. Most research institutions are already licensing SCOPUS and Elsevier has offered UC a competitive price. SCOPUS has been the best source for the Symplectic Elements harvester according to the CDL, and thus it is hoped that it will receive continuing support, as it is integral to the success of the Open Access policy.

Consultation with the UC Press

In February, UC Press Director Alison Mudditt briefed UCOLASC on two new Open Access (OA) programs that UC Press launched in late January—[Collabra](#), an OA journal program, and [Luminos](#), an OA monograph program. UC Press believes that Collabra and Luminos offer a more sustainable business model that will help address the crisis of the high cost of scholarly publishing. The programs also align with the new Open Access policy and the larger mission of the UC Press—to give “*voice, reach, and impact*” to the scholarship it publishes.

Some UCOLASC members expressed concerns about some aspects of the Luminos’ publication costs and about the pay-to-publish model. Suggestions from UCOLASC included that the UC Press explore a less expensive model that would allow faculty to select specific publication and marketing services from a menu of options. The committee was also informed that the Mellon Foundation recently awarded the UC Press and CDL a \$750K grant to develop a cloud-based content management system for digital monographs that is expected to increase efficiencies and reduce costs.

Challenges Facing Scholarly Communications in the Humanities

UCOLASC’s February meeting included a discussion focused specifically on scholarly communications in the Humanities, a system that involves multiple players and functions. Budgetary pressures on university presses have downstream implications in promotion and tenure for faculty in the Humanities. As presses react to this pressure by downsizing and retrenching, they publish fewer titles, particularly in the Humanities, making it more difficult for faculty to publish and achieve tenure.

Several members proposed that UCOLASC request that the Academic Senate form a new Special Committee to consider the crisis from a modern UC perspective, to help the university get ahead of the changes in scholarly publishing that are expected to occur over the next decade. A memo outlining this proposal was sent by Chair Manduchi to the committee for discussion in July and this matter will be on the agenda for UCOLASC’s October 2015 meeting.

Copyright and Software

Senior UC Counsels Rita Hao and Angus McDonald from the Office of General Counsel joined the February meeting to discuss copyright in the context of software. The committee suggested that UC copyright policy should provide more direction about faculty ownership of software, particularly computer code, that computer science faculty use in teaching and distribute to students, or that faculty researchers use to share results. The Senior Counsels noted that the Office of General Counsel does not set UC policy, and only assists in its interpretation and enforcement. Federal copyright law mandates that employers, in general, own the copyright to their employees’ work, although the academic tradition, which is also codified in the [1992 UC Copyright Policy](#), says that faculty retain ownership of scholarly or aesthetic work. The 1992 policy, however, is outdated, and does not address the ownership of software or code specifically.

Software presents unique issues, and not all computer code rises to the level of copyright. The Senior Counsels noted that the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), and specifically its Subcommittee on Copyright Policy, has authority over UC copyright ownership policies, and would be the final arbiter of any policy amendment. The Senior Counsels also discussed elements of the UC's 2003 [Policy for Ownership of Course Materials](#), and the "fair use" exception to intellectual property law. They noted that a new revision of the [UC Policy on Copyright and Fair Use](#) will be circulated for systemwide review later this year. It was agreed that SLASIAC should consider revisions to the UC Copyright Policy that incorporate software and copyright issues. It was also suggested that UCOLASC might produce a general statement of purpose to help guide the effort. Chair Manduchi commented that issues with the copyright policy were discussed at a SLASIAC meeting. While certain aspects of the policy are still not clear, the new revision represents a substantially improved version. This revision includes a new definition of the class of employees allowed to own their scholarly work and it will address some issues related to software copyright ownership. UCOLASC wrote a letter in December 2014 requesting that the policy clearly state when the verb "author" applies and that a passage on University Authors who do not own the copyright in their scholarly work also be clarified. The revised Presidential Policy on Copyright and Fair Use was issued effective July 9, 2015. The revised policy can be found online at: <http://copyright.universityofcalifornia.edu/resources/copyright-fair-use.html>

Regional Library Facility Planning

During the February and May meetings, UCOLASC briefly discussed issues related to regional library facility planning. In the modern hybrid library environment, an increasing number of materials are digital, but there is still a need to preserve physical copies of infrequently used materials of enduring value. UC has two shared storage facilities, in Richmond and Los Angeles, which provide long-term physical space for materials, which students and faculty can access through the interlibrary loan service. However, these resources are expected to reach capacity in only a few years. The libraries are exploring the extent to which they can eliminate duplicate copies of materials consistent with persistence guidelines, but they will still need more physical space to house the growing collections. The librarians will be studying proposals for expanding the Northern Regional Library Facility (NRLF) in Richmond as well as lower-cost alternatives in the Central Valley, and potential funding mechanisms.

UCOLASC members commended the librarians for moving the space and preservation issue forward and expressed interest in reviewing the options and plans as they develop. Members noted the need for robust loss-prevention systems at the campus libraries and the need to educate the public (and UCOP) about the critical importance of preservation and of the libraries themselves. It was noted that the book still has a strong future in the academy and in libraries. In June UCOLASC sent a letter to the Chair of SLASIAC in support of the expansion of the Northern Regional Library Facility.

Fair Access to Science and Technology Research Act

In May, UCOLASC members considered if the committee should submit a letter in support of the Fair Access to Science and Technology Research (FASTR) Act. All of the UC libraries are formally supporting this Act, originally introduced back in 2013. The primary issue with the Act is related to the length of the embargo, whether it should be six or twelve months. Committee members supported submitting a letter of support and expressed support for the six month embargo. At the time of this report, this memo had not yet been drafted.

Joint Meeting with University Librarians

UCOLASC met with the University Librarians in February to discuss common topics of interest including open access and the joint project between the University Library and CDL to investigate a sustainable open access model, supported by a grant from the Mellon Foundation.

Other Issues and Additional Business

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

- The President's proposed new Open Access Policy for Non-Senate UC Authors

Campus Reports

UCOLASC devoted part of each regular meeting to member reports about issues facing divisional Senate library committees. In these discussions, faculty members touched on library budget and space issues.

Committee Consultations and Acknowledgements

UCOLASC acknowledges the contributions of its administrative consultants and guests. The committee benefited from consultation and reports from University Librarians Convener Lorelei Tanji (UCI), CDL Executive Director Laine Farley, CDL Director of Collections Ivy Anderson, CDL Director of Publishing Catherine Mitchell, and Librarians Association of

the University of California President Matthew Conner (UCD). UCOLASC also consulted the Academic Senate chair, vice chair, and executive director about issues facing the Academic Senate.

Respectfully submitted:

Roberto Manduchi, Chair (SC)
Maxine Craig (D)
Deborah Wiebe (M)
Patricia McDaniel (SF)
Thomas Shannon (B)
David Sabean (LA)

Eric Bakovic, Vice Chair (SD)
Edward Dimendberg (I)
Lucille Chia (R)
Luca de Alfaro (SC)
Candace Waid (SB)

Mary Gilly (Chair, Academic Senate, *Ex Officio*, (I))
Dan Hare (Vice Chair, Academic Senate, *Ex Officio*, (R))
Brenda Abrams, Principal Analyst

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB) ANNUAL REPORT 2014-15

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) held nine regular meetings in Academic Year 2014-15 to conduct business pursuant to its duties to advise the President and other University agencies on policy regarding planning, budget, and resource allocation as outlined in Senate Bylaw 190 and in the *University-wide Review Processes for Academic Programs, Academic Units, and Research Units* (the “Compendium”). UCPB also scheduled additional teleconferences between regular meetings to address specific issues. The major activities of UCPB and the issues it addressed this year are outlined briefly, as follows:

MONITORING STATE BUDGET NEGOTIATIONS

Senior leaders from the UCOP Offices of the Chief Financial Officer and Government Relations joined UCPB to inform the committee about the progress of budget negotiations in Sacramento, budget contingency planning, capital projects, tuition policy, proposed performance outcome measures, and other UC-specific budget matters. Administrators briefed UCPB on their efforts to inform and apprise legislators and Regents about UC’s cost-saving projects, options for adjusting cost drivers and revenues, and the critical need for new revenue to maintain quality. UCPB members emphasized the ongoing need for UC to inform policymakers about higher education issues and to encourage policymakers to take a long-term view of UC’s needs.

Budget negotiations between President Napolitano and Governor Brown led to a budget framework being adopted over the summer of 2015; it includes several programmatic details as well as funding dicta. The direct involvement of Governor Brown, whose staff requested several reports and analyses of UC functions, altered the negotiation dynamic this year. UCPB met with a representative from the Governor’s staff and tried to convey the unique role of UC in the State economy, the role and importance of graduate work to the undergraduate experience, and the utility of having regular and predictable budgets both for tuition planning for families and for the University’s academic planning, which are both multi-year obligations. UCPB observes that the direct, person-to-person nature of the negotiations this year had mixed results for UC. Some one-time funding guarantees are promising, but others come with considerable constraints of yet unknown impact. Currently, budgetary constraints do not make it easy for the University to balance its educational, research and service missions along with the need for reinvestment in quality that was lost during the past State economic crisis.

One concern was a lack of opportunity for UCPB to provide input in a timely manner on the budget. UCPB was often briefed, but after decisions had already been made, partly a consequence of this year’s negotiation and legislative processes. UCPB is working with the Administration and Academic Council to improve consultation, and timely information flow, through adjustments and additions to the meeting calendar. It was recognized that this situation was also partly a consequence of the incompatibility of the timing of the budget planning process at UCOP, which occurs largely at the end of the summer and in the early fall, while the active term of UCPB ends on September 1. Hence, UCPB has proposed to Academic Council that a change be made in the calendar term of UCPB so that the sitting committee would remain active until October 1. UCPB has also communicated to Academic Council its concern over the lack of timely consultation on budgetary issues; that concern was forwarded as part of a memorandum from Council to UCOP on more general issues regarding shared governance.

CAPITAL PROJECTS FUNDING

UCPB met with the Chief Financial Officer division regarding capital project planning and funding. Of particular focus was the Merced 2020 plan: the road envisioned to bring UC Merced into full flight as a mature campus. External economic pressures and local considerations have forced the reconceptualization of the Merced campus growth plan. UCPB will continue to closely monitor development of the plans under the design, build, finance, operate, and maintain (DBFOM) model that is being considered. DBFOM has a strong pedigree in Europe, but it is new to the United States and to higher education projects, but the Merced demands are similarly unique.

UCPB also received updates on UC's bond rating and liquidity management strategies.

ENROLLMENT MANAGEMENT

Enrollment management is a pressing issue that has been an agenda item of every meeting of UCPB this year and last. UCPB has continuously pressed UCOP to develop the necessary comprehensive, systemwide enrollment management plan, administered by UCOP, as necessary to implement the Rebenching Project successfully. UCPB has reiterated that the System-wide Funding Streams Initiative may have inadvertently provided some financial incentives for campuses to enroll non-residents, to under-enroll resident undergraduates, and potentially to convert state-funded professional programs to self-supporting status.

Although UCPB recognizes the difficulty of developing enrollment plans when state funding fluctuates, is made conditional, and is announced after admissions decisions are made, UCPB nonetheless believes it is critical for UC to develop and follow an enrollment plan for all types of students. This plan can inform allocation of state funds as available and guide tuition growth projections.

The Senate has repeatedly advocated for maintaining access affordability and quality; all requiring adequate funding, and quality particularly being a goal that cannot easily be rebuilt once damaged. A long term plan is needed.

GRADUATE EDUCATION AND RESEARCH SUPPORT

University support for graduate programs also received much discussion by UCPB this year. The administration continues to develop guidelines to govern self-supporting graduate and professional degree programs (SSGPDPs) and to determine when increases in professional degree supplemental tuition (PDST) are appropriate. UCPB supported the Academic Council position that new SSGPDPs should clearly demonstrate how self-supporting status will bring unique advantages to the program and should show how they will mitigate deleterious impacts on state-supported programs. The committee remains concerned that resources might be shifted to "revenue generating" programs at the expense of academic quality; the committee still calls for greater financial oversight to preclude and address potential conflicts of interest.

This spring, UCPB initiated routine review of SSGPDP proposals. UCPB developed an evaluation template based on the Academic Planning Council's SSGPDP proposal guidelines, and assigned each proposal a lead reviewer. UCPB noted on many proposals that faculty are expected to teach or supervise capstone type projects on an overload basis, and that long-term physical plant costs are often not considered in a realistic way. As SSGPDP proposals increase, the need for increased budget exactitude becomes clear.

UCPB also met with Provost Dorr to discuss doctoral student support and the institution's role in protecting and promoting graduate education and research. The protracted recruitment of a new vice president in this area is being monitored closely.

INVESTMENT POLICY

In ongoing efforts to reduce UCRP's unfunded liability, the campuses borrowed \$700M from STIP to supplement employer and employee contributions. As a result, the plan's funding status improved. Additional borrowing is expected in future years, too. The Office of the Chief Investment Officer (OCIO) reported to UCPB that the investment allocations are under review, not just for UCRP but for the endowment, as well. When considered in conjunction with the experience study conducted by Human Resources, Mercer Consulting, and Segal, new allocations could follow from new rate of return assumptions. UCPB joined her sister committee, the University Committee on Faculty Welfare, and their Task Force on Investment and Retirement, in studying additional funding projections to reflect the impact of various contribution levels and return assumptions.

UCPB continued to discuss current efforts to have UC divest from fossil fuels, noting concerns about financial impact, whether the University should use its "Bully Pulpit," and how subsequent calls for divestment in other areas should be handled. CIO Bachher and his staff have been conducting an investigation into environmental, social, and governance (ESG) responsible investing. This framework should allow matters of conscience to be considered along with real returns.

UCPB also heard, with interest, updates on the development of UC Ventures, a program intended to help campus-based inventors secure internal and external venture capital funding. UCPB gave feedback on the draft business plan, and looks forward to future updates.

UCPB similarly reviewed and responded to draft guidelines for a plan to accept "equity for access" from either internal or external inventors to University facilities, incubators, and campus spirit. Significant concerns regarding conflict of interest and administrative approval and evaluation processes were identified.

CASH COMPENSATION AND HEALTH AND WELFARE BENEFITS

Following promulgation of the 2014 Total Remuneration Study for ladder-rank faculty, UCPB was alarmed at the deterioration in UC's remunerative competitiveness, especially in terms of cash compensation and the disproportionate impact on mid-career faculty bound by UC's "golden handcuffs". In response, a joint Senate-administration work group was formed to advise the President on (1) how best to allocate the current year's 3% salary increase, and (2) how best to close the 12% cash compensation gap over the next few years. UCPB was disappointed that the workgroup's advice on (1) did not receive traction, and that it was disbanded before it opined on (2). UCPB holds that 1.5% range adjustments will be out-paced by competitor increases of greater than 1.5% percent, and even the full 3% overall increase will not begin to close the extant faculty salary gap. Unless some action is taken to address the total remuneration gap, UCPB is extremely concerned that faculty recruitment and retention will be negatively impacted, and UC quality will fall soon after. UCPB is also very concerned about the impact of non-competitive ladder salaries on the viability of the merit and promotion system, which is viewed by UCPB as a major factor in having established UCs current quality. Unfortunately, faculty total remuneration gap between the University and its comparators continues to widen, even though the state has largely recovered from the past recession.

The 2014 Total Remuneration study also illustrated conclusively that UC's health and welfare benefits no longer offset UC's lagging cash compensation. Employee contributions of 8% of payroll to UCRP, taken in conjunction with annual increases in health insurance premiums, co-pays, and out-of-pocket maximums, means that the monetary value of UC's benefits are only at the competitor baseline; they are not more generous and do not bring a competitive edge. Further decreases in employer support for employee benefits could compound the recruitment and retention difficulties.

UCPB also received reports on the performance of UC Care, UC's self-funded employee insurance plan. UCPB was pleased to hear that financial performance is within normal parameters, but the committee continued to press for improvements in care delivery and billing clarity. UCPB has concerns about UC Care suffering from adverse selection given the cost of the plan and the enrolled employee profile. Plan expansion should be deferred until the current version is financially secure,

and operational issues have been resolved.

OTHER BRIEFINGS

- Agriculture and Natural Resources: UCPB kept abreast of developments in ANR through its representative to the Academic Council Special Committee on ANR, Riverside Representative Barish. UCPB also met with senior officials from ANR to understand and appreciate the unique financial situation of ANR and to begin to brainstorm paths forward.
- Education Abroad Program: UCPB participates in the EAP governing committee, and heard directly from EAP Associate Vice Provost Guinard. UCPB remains concerned that structural budget issues remain unresolved, and communicated these concerns to Provost Dorr.

CORRESPONDENCE

In addition to memoranda addressing the above, UCPB submitted opinions and analyses on the following:

- Senate by-law revisions: 128.D2 (Vice Chairs) and 182 (UCIE)
- APM 210.1.d (Appraisal and Review Committees)
- Proposed “Copyright and Fair Use” Policy
- Proposed State Constitutional Amendment 1
- 10 Proposed SSGPDPs, and one non-resident tuition increase proposal

UCPB REPRESENTATION

Chair Gary Leal represented UCPB at the Academic Council, the Academic Assembly, the Academic Planning Council, and the Provost’s Budget Advisory Group. He also served on the UC Education Abroad Program Governing Committee and was Chair of Finance Committee for UCEAP. UCPB Vice Chair Shane White represented UCPB on the Technology Transfer Advisory Committee (TTAC), and was also a member of the UC Education Abroad Program Governing Committee. UCPB was represented on the Academic Council Special Committee on Laboratory Issues by Berkeley Representative Bernard Sadoulet, and on the Academic Council Special Committee on Agriculture and Natural Resources by Riverside Representative Ken Barish.

ACKNOWLEDGMENTS

UCPB is most grateful to the following committee consultants and guests for their valuable contributions: Vice President Patrick Lenz, Associate Vice President Debora Obley; Provost Aimée Dorr; Todd Greenspan, Director of Academic Planning, Pamela Brown in the Office Institutional Research and Academic Planning, Vice Provost Susan Carlson and Interim Vice President of Research & Graduate Studies Bill Tucker; Executive Vice President and CFO Nathan Brostrom; and Chief Investment Officer Jagdeep Bachher.

Respectfully submitted:

| | |
|---|--|
| Gary Leal, <i>Chair</i> (UCSB) | Julian Betts, San Diego |
| Shane White, <i>Vice Chair</i> (UCLA) | Russ Pieper, San Francisco |
| Bernard Sadoulet, Berkeley | Josh Schimmel, Santa Barbara |
| Christopher Reynolds, Davis | Daniel Friedman, Santa Cruz |
| Abel Klein, Irvine | Mary Gilly, <i>ex officio</i> |
| David Sears and James Luck, Los Angeles | Dan Hare, <i>ex officio</i> |
| Anne Myers Kelly, Merced | Guillermo Rogel, Undergraduate Student |
| Ken Barish, Riverside | Kenneth Feer, Analyst |

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

During the 2014-15 academic year, the University Committee on Preparatory Education (UCOPE) met twice and the UCOPE English for Multilingual Students Advisory Group met once. Both groups considered matters in accordance with their duties as set forth in Senate Bylaw 192, which states that UCOPE shall advise the President on matters relating to preparatory and remedial education (including the language needs of students from diverse linguistic backgrounds); monitor and conduct periodic reviews and evaluations of preparatory and remedial education; supervise the University of California Entry Level Writing Requirement (ELWR); monitor the development and use of placement examinations in mathematics; and work with the Board of Admissions and Relations with Schools (BOARS) to communicate these standards to all high schools and colleges in California.

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

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

Under the leadership of consultant George Gadda, UCOPE members selected the essay to be used in the 2015 UC-AWPE administration, in accord with Senate Regulation 636B.1. This annual event involved UCOPE members reviewing sample essays to ensure that norming procedures used in evaluation of the exam would be consistent with SR 636A and SR 636B.1. Julie Lind, AWPE Coordinator, Undergraduate Admissions, reported that the program is expected to remain in good financial health. The exam revenue will continue to slowly drop as the number of test takers with fee waivers slowly rises. UC expected to test about 15,000 students at the May 9th administration. The number of students paying the full fee without a waiver or reduction continues to drop slightly, down from 48% in 2013 to 45.4% last year. The decrease in those students paying the full fee is slowly having an impact on the resources for the program. Currently, the program is in good financial shape. The increase in fee waivers and available revenue will be carefully monitored in order to avoid any surprises. At the April meeting, under the guidance of AWPE Committee Chair Gadda samples of student exams were read and calibrated in advance of the May administration.

UC Systemwide Math Diagnostic Test

This issue came to UCOPE in 2013 from UCSD and the Math Diagnostic Testing Project. UCLA had used the MDTP test for many years but wanted to eliminate the paper exam and not require the physical presence of students. UCLA asked MDTP to develop the online exam and MDTP approached UCOPE's immediate past chair Ross Frank about potential interest in using the online test systemwide. UCLA is going through field testing of the online exam which will continue for about two more years. UCOPE will monitor the field testing at UCLA in the years ahead.

ELWR/AWPE Task Force

The UCI representative and Consultant Gadda reported on the work of the ELWR/AWPE Task Force in April. The group found that the AWPE is effective in screening for ELWR placements and is less effective for anything beyond that. A concern is that the current policy climate, and the rise of the Common Core and its assessments, could eventually result in an encroachment on UC's values in determining these placements. It is recommended that UCOPE should be much more diligent in managing the statistical information about reliability. The task force suggested that UCOPE might initiate campus participation in a study looking at the question of whether students in the subsequent course are identified by instructors as needing entry level writing. The study would then look back at how the students satisfied the ELWR.

The idea is to conduct a validity study to be overseen by a workgroup constituted with various kinds of expertise. These studies require significant campus participation so funding will be necessary in order to undertake this effort. Another option would be to find a researcher focused on this area who could publish the results. The questions UCOPE is attempting to answer need to be carefully defined. One basic question is whether there are particular populations of students, and means of satisfying the ELWR that are allowing under prepared students to fall through the cracks. Consultants from Undergraduate Admissions indicated that the request for the available data can be made to UCOP's Institutional Research Unit.

The New ACT Enhanced Exam

In April, Han Mi Yoon-Wu, Associate Director, Undergraduate Admissions at UCOP, consulted with the committee about a draft implementation plan related to the new ACT enhanced exam to be utilized starting September, 2015. The change is primarily to the writing component, which is called the "enhanced writing exam." In the past, UC has used the combined English writing score as a criterion to pass out of the ELWR, but the new ACT will have a different score, called the English Writing Arts. BOARS has already stated that for UC the essay is required. Additionally, BOARS has indicated this will only be used to fill the test requirement but no scores on the redesigned SAT will be used for clearing the English subject area or to calculate the statewide index eligibility.

UCOPE members agreed to adopt a position consistent with BOARS' regarding the ACT, which is that the current combined English writing and the new English language arts score would substitute for each other in the current cut off for the ELWR requirement and that for any student applying for for Fall 2016 admission the new SAT essay scores, will not be used for satisfaction of the ELWR. Subsequent to the introduction of the new SAT, UCOPE will review data from the exam. More information, including some data, should be available for the committee's Fall 2015 meeting.

Smarter Balanced Assessment

UCOPE was joined by Monica Lin, Associate Director, Undergraduate Admissions and Nina Moore, Executive Director of P-20, Teaching and Leadership, Department of Diversity and Engagement to discuss the development of a plan for faculty decision making on how UC will treat student scores on the Smarter Balanced Assessment. This assessment is currently being administered in California. UCOPE will eventually be asked to provide recommendations but no decisions have to be made at this time. The Office of the President has made efforts to support the transition to new assessments.

BOARS has been engaged in discussions about intersegmental decisions and statewide planning efforts to ensure that UC has a voice in this matter. A national research agenda is being developed for how Smarter Balanced scores align with long standing SAT, ACT and other exams. A UC specific study might be possible and UCOPE can contribute to the design of the research agenda. Next year, UCOP will provide additional information for UCOPE about the Smarter Balanced Assessment development and implementation.

AWPE Committee Chair and Chief Reader

The committee's April 2015 meeting included a discussion about the retirement of UCOPE consultant, George Gadda, as lecturer in writing at UCLA and a plan for him as to continue as Chair of the AWPE Committee and Chief Reader for a period of up to three years. UCOPE submitted a memo to the Academic Council in July requesting that it endorse this proposed plan and the committee's recommendation that a search be initiated during this period to recruit a successor with the candidate chosen sufficiently in advance that he/she is able to "apprentice" for a year in order to learn the flow of the responsibilities as well as the difficulties and challenges of the position.

UCOPE will initiate and lead the search and will call upon the UC Council of Writing Programs to help identify and recommend to UCOPE leading candidates for appointment as Chair. UCOPE will have final approval over who is appointed to be the new Chair and Chief Reader. Once appointed, it is anticipated that the new AWPE Committee Chair and Chief Reader will need several years to develop the level of expertise required for the position. Consequently, UCOPE recommended that the appointment of the new AWPE Chair and Chief Reader Committee Chair and Chief Reader be offered a long-term contract after a probationary period. Finally, for the purposes of planning, UCOPE strongly recommends that campus Preparatory Education committees begin identifying and nurturing future leaders to oversee the administration of the systemwide AWPE. A specific plan for expanding this pool of individuals should be created.

The Committee on Preparatory Education was pleased that the Academic Council endorsed this transition plan on July 29, 2015.

EMS Advisory Group

Chair Scarcella joined UCOPE by phone in April to report on this group's recent meeting. Influxes of international students at some campuses have been leveling off. The Group's activities include drafting a paper on support services for international students. Many members of the EMS Advisory Group are retiring and Chair Scarcella announced that Dana Ferris from UCD will be taking over as chair of the EMS Advisory Group.

UCOPE Representation

UCOPE Chair Bruce Cooperstein represented the committee at meetings of the Intersegmental Committee of Academic Senates.

Acknowledgements

UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: UCLA Writing Program Director and Chair of the Analytical Writing Placement Examination Committee George Gadda; EMS Advisory Group Chair Robin Scarcella and all members of the EMS Advisory Group; Director of Undergraduate Admissions Michael Treviño; AWPE Coordinator Julie Lind; Associate Director, Undergraduate Admissions Han Mi Yoon-Wu; Associate Director, Undergraduate Admissions Monica Lin; and Executive Director of P-20, Teaching and Leadership, Department of Diversity and Engagement Nina Moore. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCOPE meetings this year.

Respectfully submitted,

Bruce Cooperstein, Chair (SC)
Robert Newcomb (D)
Sholeh Quinn (M)
Benjamin Brecher (SB)

Caroline Streeter, Vice Chair (LA)
Bradley Queen (I)
John William Gary (R)
Gabriel Elkaim (SC)

Mary Gilly ((I), Chair, Academic Senate, *Ex Officio*)
Dan Hare ((I), Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Principal Policy Analyst

UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2014-15

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research; for formulating, coordinating, and revising general research policies and procedures; and for advising the President on research. During the 2014-15 academic year, UCORP met eight times. This report briefly outlines the committee's activities.

RESEARCH POLICY ISSUES

1. Commercialization of Research.

The UC Innovation Council was formed to support President Napolitano's innovation, entrepreneurship, and technology commercialization initiative, which aims to leverage the scale and diversity of UC's ten campuses, five medical centers and three affiliated national labs and to build a vibrant and innovative entrepreneurial culture across the system. It is an outside group of advisers that comprise a cross-section of investment and business executives, venture capitalists and technology experts. The Innovation Council will advise the president on topics such as creating an entrepreneurial environment at UC, communicating opportunities, assessing best practices, investing in innovation, and providing rewards and recognition for faculty participants.

The council receives administrative and technical support from the IAS System-wide Programs & Initiatives group. There are two workgroups – (a) Reward and Recognition and (b) Entrepreneurship (which is examining mechanics and policy issues). There is also a focus group regarding the entrepreneurial area that involves business partners and faculty innovators. As a part of the Innovation Council's Reward and Recognition working group chaired by Ann Marie Sastry, UCOP is conducting a series of facilitated focus groups to explore opportunities for and perceived barriers to creating a more innovative and entrepreneurial culture at UC. The three focus groups will be targeted to senior administrators, entrepreneurial faculty, and industry leaders. The senior administrator group met in June/July and there are plans to hold the remaining two focus group meetings in September. Another workgroup helps President's Senior Advisor Reg Kelly with Academic Innovation Centers. This workgroup will address: (a) how structures should be set up for fields other than medicine and (b) how to get knowledge out so as to benefit the public.

UCORP members saw the strength of the Innovation Council's system-wide efforts as lying in the blending of central support and multi-campus moorings. In providing feedback, UCORP expressed concern about the possibility of conflict of interest and conflict of commitment for UC researchers. UCORP also noted that the Innovation Council's top-down method of identifying promising research might benefit from cultivation of more campus-level contacts. To avoid duplication efforts at the system and divisional levels, the Innovation Council might focus on research areas where bringing in researchers from multiple campuses provided special advantages in terms of expertise, resources, and/or pursuit contracts and grants. There were unresolved questions about: how system-wide leadership would benefit commercialization efforts; faculty incentives to commercialize research; whether private

motives could conflict with institutional goals; how corporate cooperation and concessions would be sought; how to deal with investor unwillingness to invest in “proof of concept” projects.

UC Ventures includes an independent fund that will be used to pursue investments in UC research-fueled enterprises, subject to the approval of the UC Regents. The Office of the Chief Investment Officer will make an initial commitment of up to \$250 million to the fund, with 10% of the amount to be used for innovation on the campuses. The goal is to help nascent projects reach their next step by providing access to UC researchers. The plan is to launch the fund after team selection in Spring 2016.

UC Innovation & Entrepreneurship. Regis Kelly is the UC President’s Senior Advisor on Innovation & Entrepreneurship. He is also the Director of the California Institute for Quantitative Biosciences (QB3) at UCSF. His UCOP focus includes getting faculty members interested in taking their ideas to the world and helping post docs to start their own companies.

At QB3, classes are offered on entrepreneurship and innovation, such as “start-up in a box” class and business grant application workshops. Participants are three times more likely to get a grant. Participants can also go to QB3 for advice and service. Dr. Kelly has been working with campus leaders interested in providing similar support.

2. Multi-campus Research Programs and Initiatives (MRPI). The MRPI program supports innovative multicampus research collaborations that strengthen UC’s position as a leading public research university. This program was cut during the recession. In 2014-15, President Napolitano has restored \$2.6 million to the MRPI program on a one-time basis, and in the 2015-16 budget, a permanent \$2 million restoration has been proposed. UCORP members’ concerns included frustration with the inflexibility of central funds, especially for a mission-critical endeavor such as research. In October 2014, 186 MRPI proposals were received; the reviews occurred in November. In response to the request from faculty and campus leaders, the frequency of the competition was accelerated to once every two years, and two funding options were offered for new awards: 2-year planning awards, and multi-year program awards. Ultimately, 20 proposals were funded as MRPI awards across the breadth of university scholarship, for a total multi-year investment of approximately \$23.5 million. The next competition is scheduled for 2016, with new awards beginning January 2017. The total annual budget is currently projected to be \$8.3 million for both new and continuing award commitments. Additional information can be found: <http://ucop.edu/research-initiatives/programs/mrpi/index.html>

Provost Dorr asked UCORP to review the Compendium section on MRPIs. UCORP suggested that the MRPI program no longer be included in the Compendium, given that the focus of the Compendium is on programs that are formally established (such as Multicampus Research Units). The research projects supported by MRPI grants do not have the same formal organizational status.

3. UC Laboratory Fees Research Program. The UC Lab Fees Research Program is funded by a portion of the fees the University receives for its management of the Los Alamos and Lawrence Livermore National Labs. A new request for proposals (RFP) was released in spring of 2015, with a 3-year award term. The 2015 total is \$13.5M, which decreased from \$18-20M. This is the third cycle of this program, following 2009 and 2012. A two-year cycle is being used now to better match other funding programs. The funded research will bring mutual benefit to the campuses and labs and serve the public interest. These areas have been identified: 1) new or short-term programs that need help getting out of the gate; 2) graduate fellows; and 3) larger research and training programs, which may receive up to 4 years of funding.
4. Graduate Fellowship Program Update. This program is a new pilot under the lab fee program. The Regents have set aside an initial \$400K investment to support 3 students for 2 years or 2 students for 3 years, available to Ph.D. students who have advanced to candidacy for up to 3 years of research at the national labs. It is intended for UC graduate students who are doing dissertation research. They can apply for 2 years of funding (such as in-residence fellowship at the labs), and would receive a UC faculty mentor. There is a lab commitment component, which would provide a meaningful research opportunity; the students would spend a significant time at the labs.

Vice President Budil noted that the program is a good strategic investment and partnership opportunity. Her office is committed to fostering more connections between the labs and campuses, to giving more students experience in the labs, and to protecting the lab free program, though fee restructuring is likely over the next few years. Members appreciated three aspects of the program: the unique educational and research opportunity that is being presented, that UC is the pipeline to lab employment, and that graduate students are the best link between the labs and the campuses.

5. Biosafety Level (BSL) 3 Inventory. President Napolitano appointed a task force to examine UC's hazardous chemical storage and usage protocols. Environment Health and Safety (EH&S) staff leads this project. The task force include two Academic Senate representatives, along with three at-large faculty members, all of whom run BSL3 labs. The charge to the group is to inventory labs, supplies, and storage practices. Findings will be reviewed and redacted by the Office of General Counsel; next steps may include promulgation of best practices, enhanced training, improved decommissioning procedures, and revised exit interview strategies.
6. Doctoral Student Support. In January 2015, recommendations to improve doctoral student support were presented to the Regents. The recommendations are the result of a systemwide workshop. The recommendations addresses four areas: 1) non-resident supplemental tuition (NRST), 2) net stipends and multi-year support guarantees, 3) professional development, and 4) diversity. UCORP members noted that it would be politically difficult to propose eliminating NRST while simultaneously pursuing 5% tuition increases.
7. Openness in Research Policy. At the request of the Vice Chancellors for Research, UC is considering whether to accept federally sponsored research that includes citizenship and

publication restrictions. Traditionally, UC has not accepted funds with “strings”, but this could open new avenues of research and income for the University. Some researchers reach “dead ends” and must change the direction of their inquiry or find a new means of pursuing it. In some departments, federal funding comes largely from the Department of Defense, and the number of projects they sponsor without citizenship and publication restrictions is diminishing. On the other hand, taking this step could restrict the availability of top graduate students to participate on research. UC has long-standing commitments to principles of non-discrimination, but this change could ease that position. Another concern is that additional compliance costs would be incurred, and some infrastructure would need updated.

UCORP advised that the new policy should include a clear statement of principles, limiting the expansion to projects funded by the federal government and for reasons of national security only. No classified research would be allowed in regular campus facilities under this possible change. Campuses would have the option to participate, having weighed carefully the benefits and impacts to students and faculty. Fundamental research would still occur in non-secure zones of the campuses.

8. Communications. UCORP was interested in the various communication approaches used to inform the public about UC Research. The issues discussed included how the public conversation can be expanded to include the importance of research at the University. The resources of campus-level communications departments are limited and often focused on communicating to alumni. ORGS met OP groups to discuss their communication needs. Below are UCOP links to the various communications tools:

www.universityofcalifornia.edu – this site is more news driven. There is a very research intensive section under News > Research.

<https://www.youtube.com/user/UCwebvideo> video content with teachable format. Have partnered with Discovery. Videos made at UC/UCOP, and are published weekly.

<http://ucresearch.tumblr.com/>

<https://flipboard.com/@ucfiatlux>

<https://instagram.com/uofcalifornia/>

<http://ucfoodobserver.com/>

<http://public.universityofcalifornia.edu/#home>

The Conversation is a non-UC, daily online publication that publishes research-based articles by professors and researchers. *The Conversation* is supported by six large foundations. The ideal of this publication is to present accurate information in 600-800 words. Bruce Wilson, who oversees the Development and University Relations of *The Conversation*, is encouraging UC to participate and is visiting each campuses.

9. Open Access Policy. On July 24, 2013 the Academic Senate adopted an open access policy that called on Senate authors to take advantage of U.S. copyright law to grant to the University a non-exclusive license (limited to the purpose of making the work openly available) for each scholarly article authored while employed by UC. During the 2014-15 academic year, the policy was extended to all UC employees and students. The interim report stated that the goal is to have all UC campuses’ publication deposits by the end of fall 2015 semester. This is not about archiving documents; it’s about open access. This policy also puts

pressure on the publishers to aggregate data on authors information and types of articles. The UC California Digital Library (CDL) is not enforcing the policy, but helping with the implementation of the policy and process of deposit, by complying and being efficient. The hope is to integrate this with reporting systems. The benefit for UC is to reduce the price of the licenses of academic journals, and bargain better with the publishers. From the library perspective, UC pays too much for subscription rates as their budgets are decreasing.

10. Principles Guidelines. The Principles Guidelines provides formal guidance on implementation of the “Principles Regarding Future Research Results.” The Academic Council reviewed the Guidelines in the summer, and approved them on July 29, 2014. UCOP Issues Management, Policy Analysis and Coordination (IMPAC) noticed that the language in Section 2 of the Guidelines seemed inconsistent with the university’s communications regarding unionization of graduate students. Former Senate Chair Bill Jacobs worked with Executive Directors Streitz and Winnaker on suitable revisions. The version that was sent to UCORP had revisions in Section 2. There was much discussion on “with a faculty advisor”, the faculty advisor’s obligation to the student, and who will advocate for the student. The Guidelines were issued by the Provost in July 2015.
11. Guidelines on Accepting and Managing Equity in Return for Access to University Facilities and/or Services. The equity is overseen by the Chief Investment Officer (CIO) and the process of accepting equity for access to University facilities is intended to mirror licensing equity by taking a percentage in exchange for housing and services. Concerns include the following (1) space is financed by tax-free bonds used by companies; some think that this should be taxed; (2) possible conflict of interest; and (3) non-profit status of the University. UCORP members also expressed concern about lack of faculty oversight, both in regard to the possibility that private companies might overburden scarce research space and equipment and in regard to the financial and legal intricacies of hosting start-ups on campus. UCORP suggested that, if University relationships with companies in which UC has an equity interest were to be handled efficiently, specialized expertise in finance and law would be needed. Therefore, the establishment of a system-wide faculty advisory committee would be an important step in making such expertise readily available to all campuses.
12. UC MEXUS MRU Program Review. According to the UC *Compendium*, Multicampus Research Units (MRUs) go through a regular review every five years and a sunset review every 15 years. UC MEXUS is scheduled for a Sunset 15-year review, and UCORP is the lead committee; UCPB and CCGA are also part of the review. UC Research Initiatives of ORGS staff the reviews and streamlined the review documents. UCORP participated in the improvement of the review documents; the goal was to update the forms in an effort to encourage a more concise response from the MRU. The reviews will occur in September 2015 with the goal of being finished in November 2015. UCORP suggested a somewhat broader review that included a review of the research team, not just the Director. However, this may not be possible as the Director is committed for 5 years whereas the leadership team is not. The Director may be invited to make a presentation to UCORP.
13. Catalyst RFP. In December 2014, President Napolitano announced the first recipients of the President’s Research Catalyst Awards. These projects involve multi-campus, multi-

disciplinary efforts, incorporating research, as well as teaching and learning for undergraduate and graduate students. The 5 inaugural 2015 Catalyst Awards were selected from the highly competitive MRPI pool, and represented a \$3.1 million additional investment in outstanding multicampus research by the President. In Spring 2015, a separate Catalyst Award RFP garnered 177 letters of intent (LOIs) with a total funding request of \$190 million. There are about 60% STEM and 40% Arts and Humanities, and Social Sciences, and other fields. The initiative will fund up to \$7 million for this competition (new 2016 Catalyst Awards). Up to 30 LOIs were identified in July 2015 to proceed to full proposals for a merit review in Fall 2016. Additional information can be found at this link: <http://ucop.edu/research-initiatives/programs/catalyst-awards/index.html>

14. NSF Funding and American COMPETES Reauthorization Act of 2015, H.R. 1806.
(from http://www.geosociety.org/geopolicy/news/2015/1504_COMPETES.htm)

Background. On 20 May 2015, the House passed the America COMPETES Reauthorization Act of 2015, H.R. 1806, which authorizes the National Science Foundation (NSF), National Institute of Standards and Technology (NIST), and research at the Department of Energy (DOE) for fiscal years 2016 and 2017. Although the bill includes overall increases for all three agencies from FY 2015 funding levels, it contains several sections that are of great concern to the scientific community, including cuts to the NSF geoscience directorate.

The bill sets NSF funding at the directorate level and unevenly distributes it between programs, with engineering, computer science, biology, math and physical science programs receiving authorization increases and geoscience and social science programs receiving authorization cuts. ORGS sent a letter of concern to Academic Council Chair Gilly, who brought up the issue with the President's Office. The UC Office of Federal Governmental Relations shared documents regarding the importance of UC research and the impact of this decision with ORGS.

RESEARCH PORTFOLIO

1. Portfolio Review Group (PRG)

The PRG is a joint Senate-Administration group that was charged to advise the Vice President for Research and Graduate Studies on the portfolio of research enterprises centrally funded at UC. PRG was tasked to evaluate UC's research investments for academic breadth, depth, flexibility, and vitality. UCORP contributed to the creation of the Portfolio Review Group in 2011-12. During 2012-13, UCORP Chair Kleeman nominated Academic Senate members to serve on the PRG and met with the newly appointed PRG Chair to provide an Academic Senate perspective on the history and purpose of the PRG. In 2013-14, PRG issued its recommendations in two parts. The first part focused on research projects with fungible monies, and the second part focused on projects with restricted funding. PRG found that the programs that are most likely to advance knowledge and lead to new research topics are also the programs that are most at risk for being defunded or underfunded.

In response, and in recognition of the fact that OP has disproportionately cut research programs and that across-the-board cuts disproportionately impacted research programs, UCORP worked with the University Committee on Planning and Budget (UCPB) to develop an argument for a guaranteed minimum level of central research funding. A visible

institutional commitment to basic research into new scientific and social areas—and the benefits that research brings—is needed, especially for a public research university charged with acting as the research arm of the state. Institutional actions must reflect the fact that research quality is imperative for faculty and graduate student recruitment and retention, as well as for a quality undergraduate academic experience.

In 2014-15, a three-year cycle was proposed for the PRG in future. Faculty representation was less than administrative representation in the first Group. UCORP recommended stronger faculty representation in the next cycle. A letter was issued to several program directors for strategic plans with a deadline of end of August 2015.

2. UC Natural Reserve System (NRS) Strategic Plan. The following eight goals are described in the NRS strategic plan:
 - i. Achieve financial sustainability with seven initiatives.
 - ii. Develop a coordinated, high-functioning NRS faculty and staff with 11 initiatives.
 - iii. Get the word out about the reserve system to partners and stakeholders.
 - iv. Increase effectiveness in training students. Teacher training.
 - v. Engage groups that are not well represented (such as working with HBCUs and Tribal Colleges) in the conservation community and environmental stewardship.
 - vi. Encourage arts and humanities involvement at the NRS reserves.
 - vii. Continue to foster world-class scientific research while supporting investigations addressing the effects of climate change on California's biodiversity.
 - viii. Exceed NRS stakeholder expectations for meeting the responsibilities of environmental stewardship and ecosystem protection.

Since the 50th anniversary is coming up there is a challenge to raise \$50 million.

3. Agriculture and Natural Resources (ANR)

During 2011-12, the Academic Council created the Academic Council Special Committee on Agriculture and Natural Resources (ACSCANR), comprised of representatives from impacted divisions, UCORP, and the University Committee on Planning and Budget (UCPB). Chair Brouillette represented UCORP on ACSCANR during 2014-15.

4. Department of Energy National Laboratories

UCORP was also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI) by Chair Brouillette. ACSCOLI monitored the fee penalty at Los Alamos Lab and supported Berkeley Lab Management on the rehired retiree proposal.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT

In addition to the above, UCORP responded to requests that it review of several policies and white papers with systemwide import:

- Future of the Office of Research and Graduate Studies (ORGS)
- Proposed Amendments to Senate Regulation 682
- Proposed Changes to APM 330 (Specialists)
- Doctoral Student Support
- Proposed Revisions to APM 210.1.d (Review and Appraisal Committee)

- Proposed Presidential Policy on Open Access
- The Compendium and MRPIs
- Constitutional Autonomy of UC

FUTURE/CURRENT STATUS OF ORGS

Provost Dorr stated that final decisions on the future of the Office of Research and Graduate Studies (ORGS) will not be made until the strategic review of the Office of the President has concluded. One of the large questions to be addressed is whether and how to redistribute the responsibilities overseen by ORGS. A significant question is where best to house graduate studies since several academic affairs departments touch on this issue. Most stakeholders are not keen to divorce graduate studies and research, but the connection between graduate studies and technology transfer is not readily apparent. Another outstanding question is whether Innovation will become a new department at the Office of the President. If so, will it be an academic unit or a business unit?

President Napolitano indicated that the position of vice president for research and graduate studies would be divided into two jobs: one focusing inward, on the internal concerns of the University, and one facing outward, on interactions between UC and external institutions and organizations. The President is interested in innovation and entrepreneurship, which heretofore resided in ORGS.

The Provost will re-write the job description and appoint a search committee, which will involve UCORP and CCGA. Recommendation presented by ORGS include looking for: (1) a new VP who has a deep understanding of academic research, is knowledgeable about a broad range of scholarly disciplines, and is willing to craft set of competitive programs; (2) a strong and effective advocate for research within OP and with outside constituents; (3) a candidate who is effective at communicating to the President, her office and the outside; (4) a VP who would be the voice of UC, instead of one campus; (5) a strong advocate for increased research funding, especially at the federal level; (6) visionary with outreach. The job description is going to the President with a target start date of July 1, 2016

The Provost asked Interim VP Tucker to continue as Interim VP in 2015-16. The UC Observatory Director Search is completed. The Berkeley Lab Director will be presented to the Regents in November with a possible start date of January 1, 2016.

UCORP REPRESENTATION:

UCORP members participated on the following systemwide bodies during the year: Academic Assembly (Chair Brouillette), Academic Council (Chair Brouillette), Academic Council Special Committee on Lab Issues (Chair Brouillette), Academic Council Special Committee on Agriculture and Natural Resources (Chair Brouillette), and the Academic Planning Council (Chair Brouillette). Throughout the year, UCORP's representatives provided updates on the activities of these groups.

ACKNOWLEDGEMENTS:

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: William Tucker, Interim Vice President for Research and

Graduate Studies (ORGS); Mary Croughan, Executive Director for Research Grants and Program Office (RGPO), ORGS; Kathleen Erwin, Director, UC Research Initiatives, RGPO; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination (RPAC), ORGS; and Dotti Miller, Interim Deputy to the Vice President (ORGS).

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

Respectfully submitted, UCORP 2014-15:

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Massimo Mazzotti, UCB
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Rufus Edwards, UCI
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Heidi Brayman-Hackel, UCR
Terry Jernigan, UCSD
Srikantan Nagarajan, UCSF
Carlos Garcia-Cervera, UCSB
Steve Whittaker, UCSC
Alexander Dodge, Undergraduate Student Representative (UCSD)
Jason Rothman, Graduate Student Representative (UCR)
Jocelyn Surla Banaria, Principal Committee Analyst (UCOP)

VII. REPORTS ON SPECIAL COMMITTEES [NONE]

VIII. REPORTS OF STANDING COMMITTEES

A. Academic Council

1. Amendments to Bylaw 140 [ACTION]

Following a systemwide Senate review, the Academic Council recommended at its November 23, 2015 meeting that Senate Bylaw 140, which defines the membership, duties, and title of the University Committee on Affirmative Action and Diversity (UCAAD), be amended as proposed by UCAAD to include the word “equity” in UCAAD’s title. The committee’s new name would read the University Committee on Affirmative Action, Diversity, and Equity (UCAADE). The University Committee on Rules and Jurisdiction certified that the legislation is consonant with the Code of the Academic Senate. This Bylaw was last amended in 1997.

Justification for Revisions to Bylaw 140

In the past several years, the scope of UCAAD has broadened, reflecting the increasing spectrum and expression of diversity throughout the state. Rights, protections, and concerns for undocumented students, transgender individuals, and victims of sexual violence have been discussed at the division and systemwide level, as have micro-aggressions and unperceived bias. In response, UCAAD felt that its mission would be better expressed through the inclusion of the word “equity” in its name and bylaws. This addition is meant to underscore the attention UCAAD intends to focus on issues of equal treatment as well as its historical roles tied to affirmative action and diversity issues.

Proposed Revised Bylaw 140 (red-line)

140. Affirmative Action, ~~and~~ Diversity, and Equity

- A. Membership shall be determined in accordance with Bylaw 128. One undergraduate and one graduate student shall sit with the Committee. [See [Bylaw 128.E.](#)] The Vice Chair shall be chosen in accordance with Bylaw 128.D.1. and 3. (Am 4 Jun 91; Am 28 May 03; Am 9 May 07)
- B. Duties. Consistent with Bylaw 40, the Committee shall: (Am 28 03)
 1. Confer with the President on general policies bearing on affirmative action, ~~and~~ diversity, and equity for academic personnel, students, and academic programs. (Am 28 May 2003; Am 12 May 2004)
 2. Establish basic policy and procedures for coordinating the work of the Divisional Committees concerned with affirmative action, ~~and~~ diversity, and equity. (Am 28 May 2003)
 3. Report annually to the Assembly the state of affirmative action, ~~and~~ diversity, and equity in the University. This report shall include a review of the annual reports of the Divisional Committees on Affirmative Action, ~~and~~ Diversity, and Equity (or equivalent committees). (Am 28 May 2003).
 4. Review the information on affirmative action, ~~and~~ diversity, and equity provided by the campus and University administrations and report said findings to the Academic Council. The information shall consist of data and analyses of working conditions, salaries, advancement, separation for women and ethnic minorities, and may also include data and analyses relating to lesbian, gay, bisexual, and transgender individuals. (Am 14 Oct 2010)

5. Undertake studies of policies and practices affecting affirmative action, ~~and~~ diversity, and equity and make recommendations to appropriate University bodies. (Am 28 May 2003)

ACTION: Endorse the proposed revisions to Bylaw 140.

2. Amendments to Senate Regulation 417 [ACTION]

Following a systemwide Senate review, the Academic Council recommended at its November 23, 2015 meeting that Senate Regulation 417 be amended as proposed by the Board of Admissions and Relations with Schools (BOARS). The University Committee on Rules and Jurisdiction certified that the legislation is consonant with the Code of the Academic Senate.

Justification for Revisions to Senate Regulation 417

When SR 417 was enacted in June 2009, the word “Community” should not have been included as a modifier to “College.” The actual intent was that all college/university units must be treated the same. As the regulation is now written, high school students who have completed college level courses at a four-year college/university, including a UC campus, would be excluded from being allowed to apply as freshmen applicants. Replacing “community college” with “lower division” allows students who have completed four-year college/university coursework while enrolled in high school to apply as freshmen, which is consistent with the way UC treats high school students who earn credit at community colleges.

Proposed Revised Regulation 417

Part II. Admission

Title I. Academic Colleges

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~~ lower division coursework prior to high school graduation will also be viewed as freshmen. High school graduates who have completed college-level work post-graduation 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. (En 17 June 2009)

ACTION: Endorse the proposed revisions to Regulation 417.

3. Amendments to Senate Regulation 621

Following a systemwide Senate review, the Academic Council recommended at its November 23, 2015 meeting that Senate Regulation 621 be amended as proposed by the Board of Admissions and Relations with Schools (BOARS). The University Committee on Rules and Jurisdiction certified that the legislation is consonant with the Code of the Academic Senate.

Justification for Revisions to Regulation 621

This regulation, as currently written, appears to limit the standardized examination credit students may present to the University (in this case, the College Board’s “Advanced Placement” exams). It is possible that in 1983, when regulation 621 was enacted, UC enrolled few students who had presented other standardized exam credit, such as the International Baccalaureate (IB) program or Advanced-Level (A-

Level) examinations. Since that time, however, the number of students seeking admission to UC from abroad has increased dramatically, while, at the same time, the number of domestic students who complete IB and AP examinations has also increased. As a result, it is recommended that this regulation be revised to encompass the fuller suite of standardized examinations that BOARS determines is acceptable for transfer credit

Proposed Revised Regulation 621

Article 2. Credit by Examination

621. ~~Advanced Placement~~ Standardized Examination Credit (En 25 May 83)

Students who enter the University with ~~advanced placement~~ credit from any standardized examination that BOARS determines is acceptable for transfer credit may exceed by the amount of this credit:

- A. the maximum unit limitations requiring the selection of a major field of study; and
- B. the maximum unit limitation requiring graduation.

ACTION: Endorse the proposed revisions to Regulation 621.

IX. REPORTS OF STANDING COMMITTEES

A. Academic Council (continued)

- **J. Daniel Hare, Chair, Assembly of the Academic Senate**

- 1. Update on Retirement Options Task Force**
- 2. Update on Progress of the Budget Framework Initiative**
- 3. Joint Committee on Sexual Violence, Assault, and Harassment**
- 4. Regents Work Group on Principles of Intolerance**

X. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]

XI. PETITIONS OF STUDENTS [NONE]

XII. UNFINISHED BUSINESS [NONE]

XIII. NEW BUSINESS