

**COMMITTEE ON RESEARCH (COR)**

Wednesday, November 6, 2013

10:00 – 11:30 am

**KL 324**

Documents found at [UCMCROPS/COR1314/Resources](#) and  
[UCMCROPS/LibraryW.Group1314/Resources](#)

**AGENDA**

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- I. Susan Carter, Director of Research Development Services (10:00 – 10:20 am)**  
Overview of RDS services
- II. Chair’s Report – *Ruth Mostern***
- III. Consent Calendar**  
A. Approval of the agenda  
B. Approval of the October 28 meeting minutes **Pg. 1**
- IV. Library **Pg. 7****  
A. COR response to Library External Review Report Recommendations and Library’s 2020 Space Plan
- V. Composite Benefit Rates **Pg. 30****  
Background: In March 2013, former Senate Chair Peggy O’Day submitted a memo to Chancellor Leland and Provost Peterson opposing the proposal from the UCOP Steering Committee on Composite Benefit Rates to charge faculty summer salaries from grants and contracts the full academic year benefit rate. Update: UCM has not yet received our rate model from UCOP. Senate Chair will distribute information to standing committees when it is received.
- VI. Campuswide Review Item **Pg. 32****  
A. Enhancing campus diversity. Lead reviewer is FWDAF.  
Deadline for comments is Friday, November 22.

**VII. Systemwide Review Items**

- A. Online Cross-Campus Course Offerings **Pg. 35**

Lead reviewers are UGC, GC, and FWDAF.

Deadline for comments is Friday, November 8.

- B. Revisions to APM 25, 670, 671 **Pg. 58**

Lead reviewer is CAP.

Deadline for comments is January 31, 2014.

*All relevant documents are available on UCMCROPS/COR1314/*

*Resources/Review Items - Systemwide*

**VIII. Other Business**

**Next meeting is on Wednesday, November 20.** Vice Chair Marcia will present a table of ORU, CRU, and MRU comparisons. This will serve as the starting point for a revised ORU policy. David Noelle will lead the discussion on possible revisions to the criteria for the Senate faculty research/travel/share equipment grants

**Ongoing Business**

Lab Safety – *Jason Hein*

ORU Policy – *Roummel Marcia*

Faculty Research/Travel/Shared Equipment Grants – *David Noelle*

Indirect Cost Return – *YangQuan Chen*

**Committee on Research (COR)**  
**Minutes of Meeting**  
**October 28, 2013**

Pursuant to call, the Committee on Research met at 11:00 am on October 28, 2013, in Room 324 of the Kolligian Library, Chair Ruth Mostern presiding.

I. Chair's Report

Chair Mostern updated COR members on the October 14 meeting of the University Committee on Research Policy (UCORP):

--Library Open Access policy updates.

-- Composite Benefits Rate. The UC is moving toward a centralized payroll system which involves the simplification of different types of payroll statuses. However, UCORP was concerned last year – and wrote a strong memo to this effect – that the issue of calculating summer salary for faculty and post docs on research grants was unresolved. This issue will likely be addressed again on the ten campuses at the direction of the systemwide Senate.

--Steven Beckwith, Vice President for Research and Graduate Studies, updated UCORP on the rebudgeting of the Multicampus Research Programs and Initiatives (MRPI). The budgets have been significantly reduced and the approval process has been suspended. There is also no bridge funding nor a competition schedule. This issue will be likely be discussed on the ten campuses at the direction of the systemwide Senate.

--Lab safety. There was a discussion of mock OSHA inspections being held to prepare campuses for real inspections.

II. Consent Calendar

Today's agenda and the October 9 meeting minutes were approved as presented.

### III. Senate-Administration Library Working Group

The Working Group held its first meeting on October 8. The members received a memo from co-chairs Mostern and Donald Barclay to get feedback from their various constituencies on the Library's external review report's recommendations and the list of five overarching questions contained in the Working Group's charge. Members were asked to bring comments to the next Working Group meeting on November 13.

Chair Mostern asked COR members to comment on the recommendations contained in Appendix A of the Library external review report. The goal of COR's input is to assist the Library in obtaining resources so it can serve the campus's research mission. COR can help shed light on the fact that the Library is severely under-resourced. Under the Educational Effectiveness heading in the report, COR members acknowledged that the Library is inadequate to facilitate the work needed for PhD students to conduct their comprehensive exams. For example, the reading list for Humanities students can include several hundred books and the Library does not have that capacity. SSHA previously proposed a cost-sharing proposal to the Library that included the creation of one position in the Library that would carry out three roles: digital Humanities researcher, library science instructor, and bibliographer. That proposal was not accepted. The number of print volumes that the Library should contain will vary based on our needs, but generally, the Library needs a core collection of about 20,000 books. While digital resources are important, some disciplines also need a robust print collection.

Under the Discovery heading of the report, COR discussed the network strength in terms of bandwidth for digital resources. To ensure the success of this endeavor, this issue will have to include not just the Library but IT and other campus units. The issue of network strength also ties in to the infrastructure planning for Project 2020. VCR Traina pointed out that many campus units will be relocated to off-campus sites and the Kolligian Library West Wing will largely be free for the storage of printed volumes. This is what was intended when the campus was built.

Another issue is data management and this is important for funders who expect to see a data management plan. The external reviewers for the Library's review noted that the Library recognizes the importance of this issue but it lacks the staff, storage, or capacity to establish it. COR can assist the Library in reinforcing that data storage/curation are central; indeed, it is a core role of a contemporary library. For this to be a success, the Library must partner with IT.

Under the Collection heading of the report, COR members pointed out that the challenges are greater than just book acquisition. As the campus grows its graduate programs, students, and faculty, and adds fields in which journals are expensive, the Library needs an increase in its budget. For example, Public Health journal subscriptions are very expensive. The Open Access policy may somewhat alleviate this.

Under the Space heading, COR members discussed the Library's interest in providing additional quiet study hall space but that is not a core concern. COR strongly believes this should not be a priority. But, the committee can advise the Library on how to use the Kolligian Library West Wing for space for printed volumes. COR members briefly discussed the debate between physical volumes versus online publications and the preference for either option varies by disciplines

Under the Management heading, COR members agreed that the search for a permanent Head Librarian is needed as soon as possible. Provost Peterson has stated that the search will launch once the current campus searches are concluded. The Head Librarian is a voting member of the Academic Senate; furthermore, this is a critical time for our campus as we are undergoing Project 2020 and Strategic Focusing. It is imperative that we have a functional and thriving consultative structure with the Library.

Other Library issues that COR members discussed were those of data curation and the wide-range of faculty-developed scholarship from GIS to art demonstrative projects/exhibits. While the Library is service-oriented and

helpful on a case-by-case basis, the faculty need a systematic process in place to help them develop digital versions of their work.

**ACTION:** COR analyst will contact Interim Head Librarian Donald Barclay to inquire about a Library Strategic Plan and a Project 2020 space plan. Today's comments about the Library from COR members will be compiled into a memo and transmitted by the COR analyst to the Library Working Group members.

#### IV. Systemwide Review Items

--CITRIS 2010 report. COR members discussed the issues surrounding CITRIS and the status of funding. It was mentioned that an advisory committee will be formulated on campus to address this and other issues on campus. While CITRIS issues will return to COR's agenda later in the academic year, the specific systemwide review item involved the review of the 2010 report. CITRIS was reviewed by the campuses and UCOP in 2010. Former UCM Chancellor Steve Kang submitted comments on behalf of UCM in March 2011. However, Academic Council has recently discovered it did not opine on this item. It is now re-opening the review period for the ten campuses.

**ACTION:** COR analyst will transmit a memo to the Senate Chair stating that COR has no comments on the 2010 report but wishes to reaffirm its support and enthusiasm for CITRIS.

--APM 600 Final Review.

**ACTION:** COR analyst will transmit a memo to the Senate Chair stating that COR has no comments on the final review of APM 600.

--Senate Bylaw 55.

**ACTION:** COR analyst will transmit a memo to the Senate Chair stating that COR has no comments on the review of Senate Bylaw 55.

V. Conflict of Interest Statements

In spring 2013, Senate Committee on Rules & Elections chair Rick Dale suggested that Senate standing committees establish brief conflict of interest policies based on those at UC Riverside.

COR briefly discussed the circumstances under which recusal is necessary and when it is harmful. This issue will be more relevant in spring semester when the committee decides to whom to award funds for the annual Senate faculty research/travel/shared equipment grants. Considering COR's small numbers, it is not feasible for committee members to leave the room when their research areas are under discussion as the committee will lose that expertise for the discussion. However, committee members obviously cannot review their own grant proposals. The committee members agreed with the policy of recusing in cases of personal financial gain and in cases of spousal and immediate family issues.

**ACTION:** COR analyst will draft a Conflict of Interest statement for COR outlining the recusal policy in cases of personal financial gain and in cases of spousal and immediate family issues. The draft statement will be circulated among the committee for review and approval.

VI. ORU Policy Revision

Vice Chair Marcia, who is taking the lead on revising the current UCM ORU policy, summarized the discussion at the last COR meeting of October 9. The committee clarified the difference between ORU and CRU. The one-page policy that was drafted by GRC in 2011 is not comprehensive. The more detailed CRU policy from GRC in 2009 – partially inspired by the systemwide ORU policy – did not receive approval from Division Council that year and was therefore never implemented. Vice Chair Marcia also pointed out that some UC campuses do not have a local ORU policy – they use the systemwide ORU policy. Vice Chair Marcia also summarized his review of the systemwide Compendium.

The Compendium outlines the procedures for the appointment of a Director. The Chancellor approves Directors but in conjunction with CoC input and in parallel to other campus approval procedures. The Chancellor may delegate this authority. The Dean is involved in approving an ORU Director if the ORU is campus-specific and reports to the Dean. A reading of the various policies has revealed the following: 1) it is possible to establish an ORU within a School 2) if campus money is used to fund the ORU then the Academic Senate must approve its establishment and 3) if the ORU is funded by a Dean within a School, then the approval process occurs at the School level. ORU directors have authority to authorize grants (same fiscal authority as Dean for grants submittal). By signing PASS forms, Deans are taking responsibility for the proposed grants.

There are additional policies contained in the UCOP Contracts & Grants Manual.

COR members decided to draft only one ORU review procedure that contains designations about the different budgetary authority for the various entities (ORU, CRU, MRU). The procedure needs to include succinct definitions of all entities. A committee member suggested starting the process by constructing a simple table that designates the names of entities, their definitions, and how they differ from each other.

**ACTION:** COR analyst will distribute a link to the UCOP Contracts & Grants Manual to the committee for review. Vice Chair Marcia will draft a table with the various entities, their definitions, their differences, and their budgetary authorities. This table will be circulated among the committee and discussed at the November 20 COR meeting.

There being no further business, the meeting adjourned at 12:30 pm.

Attest: Ruth Mostern, Chair

Minutes prepared by: Simrin Takhar, Senate Senior Analyst






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COMMITTEE ON RESEARCH (COR)  
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October 30, 2013

**To:** Ruth Mostern, Co-Chair, Senate-Administration Library Working Group  
Donald Barclay, Co-Chair, Senate-Administration Library Working Group

**From:** Ruth Mostern, Chair, Committee on Research (COR) 

**Re:** COR Comments on Library External Review Report and 2020 Space Plan

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At its meeting on October 28, COR members reviewed and discussed the recommendations contained in Appendix A of the attached Library external review report. COR is also in receipt of the Library's 2020 space plan. COR's goal is to forge a collaborative, positive relationship with the Library and to help the Library obtain more resources as it continues to serve the campus's research mission. To that end, COR offers the following comments on the recommendations of the external review report and 2020 space plan.

**Response to Recommendations in Appendix A of Library's External Review Report**

- Educational Effectiveness. The Library needs improvements to better facilitate comprehensive exams for PhD students. For example, the reading list for Humanities students can include several hundred books. SSHA previously proposed a cost-sharing proposal to the Library that included the creation of one position in the Library that would carry out three roles: digital Humanities researcher, library science instructor, and bibliographer. That proposal was not accepted. The number of print volumes that the Library should contain will vary based on our needs, but generally, the Library needs a core collection of about 20,000 books. While digital resources are important, some disciplines also need a robust print collection.

- **Discovery.** COR is concerned with the network strength in terms of bandwidth for digital resources. To ensure the success of this endeavor, this project will have to include not just the Library but IT and other campus units. The issue of network strength also ties in to the infrastructure planning for Project 2020. Another issue is data management and this is important for funders who expect to see a data management plan. The external reviewers for the Library's review noted that the Library recognizes the importance of this issue but it lacks the staff, storage, or capacity to establish it. COR can assist the Library in reinforcing that data storage/curation are central; indeed, it is a core role of a contemporary library. For this to be a success, the Library must partner with IT.
- **Collection.** The challenges are greater than just book acquisition. As the campus grows its graduate programs, students, and faculty, and adds fields in which journals are expensive, the Library needs an increase in its budget. For example, Public Health journal subscriptions are very expensive. The Open Access policy may somewhat alleviate this.
- **Space.** COR agrees that additional quiet study hall space but that is not a core concern. COR strongly believes this should not be a priority. But, the committee can advise the Library on how to use the Kolligian Library West Wing for space for printed volumes.
- **Management.** Provost Peterson has stated that the search for a permanent Head Librarian will launch once the current campus searches are concluded. The Head Librarian is a voting member of the Academic Senate; furthermore, this is a critical time for our campus as we are undergoing Project 2020 and Strategic Focusing. It is imperative that we have a functional and thriving consultative structure with the Library.

Other Library issues that COR members discussed were those of data curation and the wide-range of faculty-developed scholarship from GIS to art demonstrative projects/exhibits. The faculty need a systematic process in place to help them develop digital versions of their work.

### **2020 Space Plan**

(COR will discuss at November 6 meeting)



## Report on the External Periodic Review of the UC Merced Library University of California Merced, Merced, CA Executive Summary

### Overview

This Report on the External Periodic Review of the UC Merced Library is a result of off-site study of multiple documents, a review of the Library's electronic resources, and a one and one-half day site visit by the External Review Committee made up of two librarians, two faculty members, one graduate student, and one undergraduate student.

During the site visit, the External Review Committee interviewed many different individuals and groups on campus to gain a better understanding of the effectiveness and success of the Library. There is much to commend the Library for as a result of those conversations and the direct observations of the Committee.

The framework for this Report stems from the Association of College & Research Libraries (ACRL) *Standards for Libraries in Higher Education*.<sup>1</sup> We have used the Standards to help organize the areas of review into meaningful contexts. One of these Standards relates to Management and Budget and another relates to Personnel. This Report recommends additional staff and budget among other recommendations. We point this out here to be clear that these recommendations are not lightly made. Under other circumstances in a different institution, we would likely not be advocating for more staff and a larger budget. We do so in this Report based on what we believe is critical to the success of the University itself. The Library is crucial to UC Merced's Vision for 2025 and to many of the nearer term strategic goals of the University. To serve its key role it needs to continue to be supported.

### Strengths

The Library is, indeed, an impressive and agile organization with a profound commitment to the University itself and a sense of partnership and collaboration that is unusual in degree. During our site-visit and interviews with individuals and groups from across campus, we observed the following overarching strengths of the Library:

- An outward focused organizational culture
- An inventive, highly flexible, knowledgeable, and committed staff
- Effective stewardship and leadership
- Extraordinary collaborative spirit

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<sup>1</sup> Standards for Libraries in Higher Education. Chicago: Association of College & Research Libraries, 2011.  
<http://www.ala.org/acrl/standards/standardslibraries>

- A welcoming space and attitude

### Areas of Potential and Growth

The Library has done a magnificent job of “starting up” from scratch. In seven years, this Library has accomplished what many established university libraries have yet to accomplish – a tribute to the leadership interim University Librarian Donald Barclay (and his predecessor) provides. As with any organization, there remain areas of potential and possible growth. Among these are:

*Growing with the campus* – as the student body grows and as more programs are added, the Library must also grow to keep pace with the University and to support learning, teaching, and research. Over the next two-three years, meeting this growth will require:

- Several more positions at the professional level
- Several more positions at the library assistant level
- An increase in the Library’s operating budget to support growth of programs
- Attending to specific issues posed by the nature of the Kolligian Library Building

*Data assets* – the University appears to be serious about preserving and sharing its research data – a commendable goal. To fully embrace and accomplish this goal, however, the data curation program of the Library needs a better infrastructure than currently exists. Principal among the immediate needs are:

- An increase in network capacity with planned growth over the next three years
- An increase in storage capacity with planned growth over the next five-ten years

*Leadership and stewardship* – the Library has been led for three years by an interim Library Director. We recommend that the University move forward with appointing a permanent Library Director.

*Proven campus leadership and collaboration* – the Library’s stellar track record in working with others on campus in a highly collaborative manner is a major strength. We recommend that the Library’s leadership be included at the highest level of decision-making at the University. The Library is central to many of the institution’s strategic goals and plans and Library leaders would be useful in discussions related to those goals and plans.

We submit the following report in accordance with the University’s Periodic Review Process.

Respectfully submitted on April 25, 2013 by the External Periodic Review Committee:

Ms. Elizabeth Cowell, UC, Santa Cruz Library

Mr. Gregory Dachner, UC Merced Undergraduate Senior Student

Ms. Kathryn J. Deiss, chair, ACRL

Mr. Paul Gibbons, UC Merced Faculty

Dr. Anne Kelley, UC Merced Faculty

Ms. gayle k. yamada, UC Merced Graduate Student



## Report on the External Periodic Review of the UC Merced Library University of California Merced, Merced, CA

### *Introduction*

The University of California, Merced (UC Merced) requires all units to undertake a periodic self-review process to assess progress toward goals, adherence to mission, general unit effectiveness, alignment with University mission and goals, and impact on student learning and faculty research. An integral and required aspect of the periodic review process is the external review. The UC Merced Library is the subject of this external review report.

UC Merced appointed a team of six individuals external to the Library to conduct the external review: two UC Merced faculty members, a graduate student, an undergraduate student, an administrator from a different UC campus library, and a library consultant versed in external review processes and in the Association of College & Research Libraries (ACRL) *Standards for Libraries in Higher Education*.<sup>2</sup>

The present report provides the External Review Committee's observations on various aspects of the Library's strengths and potential and provides recommendations for further growth, development, and effectiveness. (see Appendix A for a summary of recommendations)

### *Methodology*

Members of the External Review Committee used a combination of methods to understand and review the Library in the most complete way possible. Prior to our day and a half on-site visit, interim University Librarian Donald Barclay provided a wide variety of documents relevant to the state of the Library. We studied Annual Reports, strategic plans, comparative statistics relative to other peer institutions, budget data, staffing data, reviewed the Library website and the electronic collections and resources served up to constituents from that site, and looked at the benefits resulting from participation in consortial partnerships. During the February 26-27, 2013 on-site visit, External Review Committee members interviewed administrators, Senate and non-Senate faculty, undergraduate and graduate students, librarians and staff at all levels, UC Merced IT personnel, the UC Merced Institutional Planning and Analysis representatives,

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<sup>22</sup> Standards for Libraries in Higher Education. Chicago: Association of College & Research Libraries, 2011.  
<http://www.ala.org/acrl/standards/standardslibraries>

and Center for Research on Teaching Excellence representatives. In addition, we reviewed the physical facility. This report will address the following areas based on the *ACRL Standards for Libraries in Higher Education*: Institutional Effectiveness, Educational Role, Discovery, Collections, Space, Management/Administration, Personnel, and External Relations. This report addresses each of these areas in turn beginning with the Principle of each of the Standards for context. In addition to considering effective library practices and standards, we kept in mind the unique young history, culture, and mission of the University of California, Merced.

### ***Institutional Effectiveness***

*Principle: Libraries define, develop, and measure outcomes that contribute to institutional effectiveness and apply findings for purposes of continuous improvement.*

The UC Merced Library established itself as a willing partner and collaborator with other units on campus from the very birth of the University.

The Library leadership and staff embrace the work of assessment and have been effectively establishing performance outcomes and measurements to show progress and impact. This Library's performance outcomes and transparency of process would be the envy of many a university library struggling to learn about assessment, organizational impact, and outcomes-oriented work.

The interim University Librarian and librarians have taken a pro-active, student-centered approach to setting their own strategic goals but are keenly aware of the institutional context and the opportunities to make a difference through working with other units outside the Library. Examples were brought forth by numerous groups interviewed during the external review process. These included, among many other examples, being applauded for stepping up to work with the Center for Research on Teaching Excellence (CRTE) on numerous occasions such as working on an experimental incubator classroom, collaborating with the Merritt Writing Program in teaching students and assessing student success and learning, implementing the e-Scholarship site for the Office of the Chancellor via a CDL service, playing a leadership role in helping faculty in the sciences comply with federal regulations regarding open research, and archiving the assessment work of other units on campus.

Such is the confidence in the Library's understanding of assessment that the director of Institutional Planning and Analysis expects librarians to assist in the future WASC accreditation preparation; specifically, librarians are expected to play a significant role in helping describe and design the assessment of information literacy competencies which figure largely in the revised WASC criteria.<sup>3</sup>

Aside from the work the Library does in partnership with other units on campus, the University Librarian and librarians work to understand the impact of their own teaching and research

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<sup>3</sup> Note: The *ACRL Standards for Libraries in Higher Education* used to frame this report were authored primarily by Patricia Iannuzzi, Dean of Libraries, University of Nevada Las Vegas (UNLV) on behalf of ACRL. Dean Iannuzzi is also a trainer of external reviewers for WASC on the topic of information literacy and on outcomes-based assessment.

assistance and support on those they provide these services to – students, faculty, and lecturers.

**Recommendations:** 

1. We support the Library's intention to add a staff member focused on programmatic assessment (a position that could be combined with other administrative needs of the Library as described in the Library's Strategic Agenda). Academic libraries nationwide are devoting positions and significant efforts to the work of assessment. (See also *Personnel* section below).
2. The Library should be considered when any new campus-wide initiative is being started. As a core service and demonstrated partner, the Library can help the University best if it has a seat at a high level decision-making table, such as the Chancellor's cabinet.
3. The Library should be part of discussions regarding any enterprise level technology systems that will affect services to students and faculty.

**Professional Values** 

*Principle: Libraries advance professional values of intellectual freedom, intellectual property rights and values, user privacy and confidentiality, collaboration, and user-centered service.*


Without reservation, the External Review Committee notes the strength of the Library's staff and particularly its professional staff of librarians. These individuals understand the intricacies of copyright, intellectual freedom, and user privacy. As noted above, this Library staff is extraordinarily user-focused whether serving students, Senate and non-Senate faculty, or administrators. Faculty mentioned the beneficial nature of the librarians' help when working on federal compliance regulations related to federally-funded research having to be made publicly available. The critical role of serving as the University's intellectual commons entails a deep understanding of the changing nature of scholarly communication. The External Review Committee was impressed with how much the small professional staff of the Library is accomplishing with limited resources.

**Educational Role**

*Principle: Libraries partner in the educational mission of the institution to develop and support information-literate learners who can discover, access, and use information effectively for academic success, research, and lifelong learning.*

Without professional librarians, the rich collections and resources of an academic library can be under-utilized and wasted. Over the past decade there has been a renewed realization that professional mediation between the world's burgeoning information resources and student and faculty needs is critical for academic and research success.

The interim University Librarian and the front-line librarians as well as other professional staff are actively engaged in providing information literacy services to students by collaborating with Senate and non-Senate faculty. And as described above under *Institutional Effectiveness*, the librarians are contributing to the success of learning programs in centers such as the CRTE

through teaching faculty and lecturers about open access, digital collections, trends in scholarly communication, and much more. 

Librarians have actively sought to understand the student demographics and to design services to meet the needs of this diverse student body. An innovative approach we were very impressed with is the roving peer-to-peer assistance program. This service shows a remarkable awareness of and respect for the undergraduate students as well as an awareness of the current research on student academic success and retention. It is one example among many related to innovative service design; and one that can serve as a model for other academic libraries and institutional units.

Indeed, education is at the core of the Library's mission. Because of this, the External Review Committee was surprised to find so much of this work done by so very few people. While impressive, this will not be scalable or sustainable into the future. In fact, the staffing of the Library is a concern across the board. This issue is covered in greater detail below under *Personnel*.

#### *Recommendations:*

1. Where appropriate, repurpose in-person workshops as podcasts or videos delivered through the Library's excellent website.
2. While we do not support what we understand will be proposed by several humanities/social sciences faculty members to create a bibliographer/reference librarian position, we understand that this proposal is motivated by some unmet need. In part this is related to print collection strength and in part to a perception that the librarians do not do reference work. Reference and research assistance has changed in the past decade and it is not the norm nor is it desirable to have librarians sitting at a desk waiting for someone to approach them. We support the concept of roving peer to peer assistance and librarians conducting research consultation as is currently the case. Additionally, we recommend moving the roving peer to peer service into classrooms or training graduate students to provide research assistance.
3. Continue to market instructional services to all departments; some faculty were not as aware of others about these services.
4. Design services for transfer students. We heard from faculty, staff, and students that transfer students do not have the benefit of the Library's instruction as first-year students do.

#### **Discovery**

***Principle: Libraries enable users to discover information in all formats through effective use of technology and organization of knowledge.***

No matter how rich or adequate a library's collections are, if students and faculty cannot easily access these resources (and the university's substantial investment in them) they are of marginal value. How accessible are the collections to UC Merced students and faculty?

The single most important portal for access to a library's information resources is its website. In



the digital era the website is the “face” of the library. Included in the website is the Library’s catalog of its holdings and the gateway to its services. How effective are the Library’s web pages? We discovered that faculty and students largely understand and can use the Library’s website. It is clear as well as rich in resources for students and faculty alike. Proprietary vendor names such as EBSCO still befuddle undergraduate students; however, they reported feeling comfortable approaching Library staff when unsure of a resource.

Faculty, lecturers, and graduate students spoke highly of the Library’s Interlibrary Loan services which are critical to a young and growing campus such as UC Merced’s with a purposefully smaller print collection.

The Library has been creative in helping “explain” services to users. The innovative iPod Touch Tour is an example of this creativity and user-orientation.

The Library has been effective in leading open access and digitization activities on campus. Initiatives such as the digitization grant received from the Institute of Museum and Library Services early on and the creation of open access theses and dissertations are a service to the University and to scholars beyond the University community.

There are clearly many strengths to which to point. We would like to place a special focus in this section, however, on the data assets and data curation issues we learned about during the site visit. The UC Merced Library’s current Strategic Agenda mentions the Library having a data curation clearinghouse within the next two to three years. While there is a knowledgeable librarian designated to do data curation, there is not infrastructure capacity for this individual to actually accomplish this work. We believe that data curation will be impossible without the University making a significant investment in network strength and robustness. With a 1 gigabit pipeline – as is currently the case – the Library cannot begin to do anything serious in the important area of data curation. In addition to the minimal network capacity, there is no significant data storage capacity on campus. This must also be addressed on campus as a campus-wide issue. Given its stature as the “first university of the 21<sup>st</sup> Century,” we see the clear potential for doing the work of data curation in the most professional way if only the University can provide the infrastructure. We note that even the smallest of the other UC campuses has membership in Internet 2 which allows for access to more robust network capacity. Internet 2 may not be a community that UC Merced is ready for now, but there should be conversations about this in relation to strategic directions of the University. The Library would be a central user of Internet 2 when and if UC Merced joins.

*Recommendations:*

1. The University needs to find resources to increase the network strength into and out of the Library and the University. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. However, without the network capacity this expertise is not utilized nor will data curation needs be met. A possible plan for staging this is to increase the network capacity over the course of three years: 3 gigabits in one year, 5 gigabits in the second year, and 10 gigabits in the third year. Alternatively, this growth could be planned over a greater span of years. We

recommend that planning for network enhancement be discussed with the new CIO as promptly as possible and that the interim University Librarian and Digital Curation Librarian be part of these conversations.

2. All other UC system campuses are members of the Internet 2 community. While UC Merced is young in its research program and output, membership in Internet 2 may be something for which the University will want the new CIO to begin planning. Internet 2 network capacity would greatly enhance the institution's ability to manage research data and for the Library to engage in true data curation in the future. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. We mention this with the understanding that there are significant costs, administrative issues, and complexities in planning to bring the Internet 2 network to the campus and also that this may not be an immediate need but one for which the University will need a plan.
3. Ensure robust data storage on campus. This becomes a bit less critical if the network can carry big data to off-site storage. However, the University is young and should be agile enough to create storage and network capacity to manage at least some part of its own data assets.
4. Once the new CIO is in place, there should be a rigorous discussion about where technology support and Library systems support overlap and where there needs to be consolidation and service commitment made. For instance, if the thinking is that there should be more support from campus IT – more centralization of IT support – then there need to be explicit service commitments on the part of the CIO related to this support. This has not been the case until now. Service has been weak and thus, the Library has actually built somewhat of a redundant system support of its own – often serving campus IT rather than the other way around.
5. Partner with the California Digital Library and leverage system-wide services where possible to provide more robust digital management services to the campus.

### ***Collections***

*Principle: Libraries provide access to collections sufficient in quality, depth, diversity, format, and currency to support the research and teaching missions of the institution.*

Most university libraries are increasing their investments in electronic resources and continuing to negotiate hard for reasonable license terms on those resources. Print resources continue to be necessary for a variety of disciplines. This is the case at UC Merced as well. The Library has invested intelligently and extensively in digital resources while maintaining a smaller print collection.

UC Merced's Library has made good decisions regarding the electronic collections, including purchasing all periodicals in electronic format from the beginning of the institution's founding. Though it must be pointed out that while some of these resources are purchased through the University of California or other joint purchasing entity, UC Merced pays for its share. The misconception that we often find on campuses is that electronic means free and that could not

be further from the truth. The Library will continue to need funds allocated to electronic collection building.

While electronic resources appear to be serving the sciences, there were definite concerns about the collection in the area of the humanities and social sciences. While the Library cannot reasonably support every discipline in complete depth, there appears to be a need for a stronger print collection for the humanities and social sciences. A proactive stance on this is critical to avoid having the Library respond to outmoded ways of thinking about what libraries are and what librarians do.

We heard from different constituents that the print collections are not adequate for the current curriculum needs. The allocation for print materials should be increased to accommodate the growing student body. Assignments have required that students use print materials and these must be adequate in number, subject, and level to serve student needs appropriately.

The topic of text books and the possibility of putting costly text books on print reserve came up when we spoke with undergraduate students and faculty. While not a standard operating procedure for many libraries including UC Merced's, this appears to be a deep need in the UC Merced student population, so it may be worth considering.

#### *Recommendations*

1. Develop a "library impact statement" that details the core disciplinary needs in terms of the literature/resources needed for every new academic program and ladder-rank faculty hire. This should be completed by the division or department beginning the new program and should be vetted by the chief academic officer with the University Librarian and the Head of Collection Services.
2. Related to the first recommendation, we recommend that, for each new academic program, there be "start-up" funds for library materials/resources.
3. Use the *Resources for College Libraries*<sup>4</sup> tool to assess print collection strength in humanities and social sciences.
4. Consider a small print reserves service. The purpose and need is two-fold: faculty indicated that, on occasion, having a print format of a particular resource is important (as opposed to a digital source) and that it would be very useful to their teaching if they could offer students print Supplemental Course Resources in addition to the digital SCR in the CROPS system. The second reason for this recommendation is that both faculty and students agreed that a small textbook collection in the Supplemental Course Materials would be optimal. The textbook cost issue is a significant one for the student demographic served by UC Merced. While we understand the forward thinking nature of the Library's original decision to have a digital reserves system only, we feel this recommendation deserves some consideration. We are also aware of the current policy

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<sup>4</sup> *Resources for College Libraries* is a collection development tool created by ACRL Choice and R.R Bowker. This resource provides bibliographic information for core print and electronic collections in all disciplines. See: <http://www.bowker.com/en-US/products/rcl/>

regarding not purchasing textbooks but think this is very important to revisit and consider.

5. Have the faculty scan their Supplemental Course Resources content directly into the UCMCROPS system thereby releasing valuable staff time which could be reallocated to a more pressing area of library services.

### **Space**

*Principle: Libraries are the intellectual commons where users interact with ideas in both physical and virtual environments to expand learning and facilitate the creation of new knowledge.*

The academic library's physical space remains important in spite of the intensive use of electronic resources. In fact, most premier academic libraries in the United States and Canada are spending more time and energy studying and redesigning their physical spaces to reflect modern-day study and research practices and behaviors.

Over the past decade, many academic libraries have experienced a decline in the number of students and faculty using the physical library. In many others, however, the number of users has gone up. Often the difference is the design and appeal of the physical space. The UC Merced Library building sees a significant amount of daily and evening traffic.

The Kolligian Library Building is a new and very attractive building with much natural light and what would appear to be a good deal of user and collection space – though there is more need than capacity for users. The strengths of this library space are that it is open and generous in spirit, user technology needs are well forecasted (although there is room for growth in that area), and there is adequate space for the present print collections.

The need for a quiet study area was expressed by all constituencies with which the External Review Committee spoke. The architecture of the library that is responsible for a modern, open feeling is also the reason for a very high noise level. Building materials such as concrete and glass bounce noise up the open stairwell. While there are some quiet spaces, students felt there simply are not enough places to get away from noise.

Crucially, the Library is also reaching capacity limits as the student enrollment trajectory rises dramatically. The Library building is at 85-90% capacity during finals, and this is only going to become more difficult as the student population grows towards the 2020 goal of 10,000 enrolled students. There is a concomitant problem in sustaining this growth on the wireless network. A strong look at the building and student behaviors and use of the space is necessary. These are problems that cannot entirely be resolved by asking the Library staff to be creative. More people in a space simply equals more people needing more space. The problems of seating space, quiet space, and a robust enough wireless network are the main issues that need to be addressed.

### *Recommendations*

1. Reclaim Library space currently being used by other offices and functions or begin planning for expansion of the Library to accommodate the growth of student and faculty

populations. While we realize that there are other building priorities currently, planning for a new wing or expansion of the Library will take time. We see this planning as taking place over the next five to ten years.

2. Establish a quiet study space or spaces elsewhere on campus. This quiet study space should be accessible during the non-operational hours of the Library. We envision this study space to be operated by the UC Merced Library, and with minimal-level resources there, including computers with all library electronic resources and potentially with some part-time reference and research assistance.
3. Conduct a seating analysis and planning assessment to begin to creatively address the seating limitation problem. While an additional quiet study space may be useful in this regard, even that may not sustain needs in the coming decade given campus growth.
4. Add textile sound-deadening art to walls; such hangings may help stop sound bouncing to some degree. One relatively simple and inexpensive aid could be the stapling or gluing of carpet remnants to the bottoms of chairs and tables and stairs. These carpet samples or remnants are relatively economical. While this does meddle with the integrity of the original furniture, it has been shown to help in other buildings with high traffic and noise levels.
5. Establish a stronger network and wireless network in the building. (see also *Discovery* above)
6. There appears to be an intermittent issue related to the remotely controlled door locks and lights in the Library building. Due to radically different needs and hours from other parts of the campus, the Library should be given control of its door locks and lighting.

### ***Management/Administration***

*Principle: Libraries engage in continuous planning and assessment to inform resource allocation and to meet their mission effectively and efficiently.*

The Library currently does not have a permanent University Librarian. Donald Barclay has been serving as interim University Librarian for two years. While we and those whom we interviewed believe his leadership to be excellent and admirable, it is difficult for an interim University Librarian to fully advocate for the Library with less than complete authority and commitment from the institution. The interim position also interferes with establishing a very strong advocate role external to the Library (both on campus and within the UC system and beyond). Not having a permanent University Librarian may also interfere with the successful application for grants. Many granting institutions want to see commitment from the institution and a permanent University Librarian would show this.

In spite of this, the interim University Librarian and staff are laudably conducting outcomes based assessment insofar as is possible to do given the small and thinly spread staff (see Personnel below).

### ***Budget***

We highlight the Library budget under *Management/Administration* because of what we perceive to be a very serious – we would even say the most significant – problem facing the Library today: a drastically inadequate budget for current operations, demands, and growth.

This problem is going to become even more severe and could well hamper the institutional aspirations to grow its research and graduate programs at the same time as it grows, exponentially, its undergraduate population. The Library budget is, in 2013, almost precisely as it was at the beginning of its existence seven years ago. While it is understood that the University of California system at large as well as California itself have suffered extreme fiscal distress, it is thoroughly unrealistic to demand increased services, programmatic innovation, support for research, growth of information resources, development of a robust data curation program, and higher graduation levels for undergraduates with a flat Library budget. The growth of the student body in the past six years alone is daunting when one considers that each of those undergraduate and graduate students require assistance, instruction, and resources from the Library. In addition, there is the problem of the afore-mentioned collection support for new academic programs and faculty.

The Library funding issue is a University issue, not simply a Library issue. To reach the institutional goal of 10,000 enrolled students by 2020 and to successfully pursue a research intensive ranking, the Library budget must be enhanced significantly. Recurring funding for several badly needed positions and for collections and user space is crucial.

#### *Recommendations:*

1. Move forward to appoint a permanent University Librarian.
2. Increase the Library budget relative to student growth and strategic goals of UC Merced.
3. Establish a Library Advisory Committee, composed of administrators, faculty, staff, and students, that can advocate for the Library; this Committee could even be charged with creating external fund development strategies.

#### ***Personnel***

*Principle: Libraries provide sufficient number and quality of personnel to ensure excellence and to function successfully in an environment of continuous change.*

As noted throughout this report, the Library is accomplishing remarkable things with a very small staff. The number of instruction sessions, the variety of innovative programs, the strong outreach and collaborative efforts with other units on campus, all take personnel resources. Staff members described themselves as empowered to create and innovate, and to be nimble in the face of change. This empowered staff is a significant strength of the Library and of the University, and every effort should be made to ensure that they are recognized and given opportunities for growth

The current staff is working hard – perhaps over-working to the point of burn-out – because individually and collectively they are committed to the ideals of the UC Merced campus. Admirable though this may be, continuing demands with little influx of resources will affect the Library's ability to continue to innovate and create at the level desired by all Library staff members as well as by the University administration.

One of the laudable hallmarks of the Library is its very lean and nimble structure and staffing. The External Review Committee wishes to emphasize that, in its opinion, there are limits that

even the most innovative staff members reach when faced with a campus growing by leaps and bounds.

*Recommendations:*

1. Add a minimum of two professional positions to the staff: one of these positions needs to be allocated to outreach and student engagement and another should be devoted to programmatic assessment (as described in the *Institutional Effectiveness* section above).
2. Add a minimum of two library career staff positions: one night/weekend supervisor which is critical to safety and supervision of student staff and another devoted to electronic resources management.
3. Encourage and fund professional development at the national level as well as at the state level.

***External Relations***

*Principle: Libraries engage the campus and broader community through multiple strategies in order to advocate, educate, and promote their value.*

During our site visit interviews, the Library was repeatedly commended for its very effective outreach to the campus community and beyond. The lack of territoriality and organizational “ego” shown by the Library is remarkable, indeed. This behavior and leadership should be recognized and rewarded by including the Library interim director and staff in campus-wide decision-making.

The Library is seen as conducting outreach services that ultimately support not only students and faculty but also administrative units on campus. The uniformly positive perception of the Library by administrators demonstrated the integral way in which the Library performs as a part of the University. The Library is seen as non-territorial and open in its dealings with others on campus.

The centrality of this particular Library to the success of the academic enterprise at UC Merced cannot be overstated. Perhaps more than in most institutions, the Library is critical to the recruitment, retention, and graduation of students as well as to the growing research initiatives on campus.

## **Conclusion**

The UC Merced Library has innovation and flexibility in its DNA. As part of a very young institution, the Library embraces a “start up” mindset. This means that assumptions that are givens in other institutions’ libraries are pushed against, that outmoded concepts are simply side-stepped, and that figuring out new ways of doing things is the norm. This has been an enormous boon to the UC Merced institution as a whole as librarians, new faculty, lecturers, undergraduate and graduate students collectively created the “new.”

The nature of organizational culture is that as an organization matures, flexibility and free-wheeling innovation often become more difficult. Policy and procedure can overtake the “start up” mindset and maintaining can become more important than creating. While this is a drastic statement to make, we make it to point up that the Library has the spirit and mindset, and, critically, the key people to continue to foster innovation and to support the growth trajectory of UC Merced. However, this spirit and these mental models will suffer if there is not some substantial fresh commitment and recognition, on the part of the University, of the Library’s centrality to the success of the unique enterprise that is UC Merced.

Respectfully submitted by the External Periodic Review Committee:

Ms. Elizabeth Cowell  
Mr. Gregory Dachner  
Ms. Kathryn J. Deiss, chair  
Mr. Paul Gibbons  
Dr. Anne Kelley  
Ms. gayle k. yamada

April 25, 2013



# Report on the External Periodic Review of the UC Merced Library

## University of California Merced, Merced, CA

### Appendix A – Recommendations

#### *Institutional Effectiveness*

1. We support the Library's intention to add a staff member focused on programmatic assessment (a position that could be combined with other administrative needs of the Library as described in the Library's Strategic Agenda). Academic libraries nationwide are devoting positions and significant efforts to the work of assessment. (See also *Personnel* section below).
2. The Library should be considered when any new campus-wide initiative is being started. As a core service and demonstrated partner, the Library can help the University best if it has a seat at a high level decision-making table, such as the Chancellor's cabinet.
3. The Library should be part of discussions regarding any enterprise level technology systems that will affect services to students and faculty.

#### *Educational Role*

1. Where appropriate, repurpose in-person workshops as podcasts or videos delivered through the Library's website.
2. While we do not support what we understand will be proposed by several humanities/social sciences faculty members to create a bibliographer/reference librarian position, we understand that this proposal is motivated by some unmet need. In part this is related to print collection strength and in part to a perception that the librarians do not do reference work. Reference and research assistance has changed in the past decade and it is not the norm nor is it desirable to have librarians sitting at a desk waiting for someone to approach them. We support the concept of roving peer to peer assistance and librarians conducting research consultation as is currently the case. Additionally, we recommend moving the roving peer to peer service into classrooms or training graduate students to provide research assistance.
3. Continue to market instructional services to all departments; some faculty were not as aware of others about these services.
4. Design services for transfer students. We heard from faculty, staff, and students that transfer students do not have the benefit of the Library's instruction as first-year students do.

#### *Discovery*

1. The University needs to find resources to increase the network strength into and out of the Library and the University. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. However, without the network capacity this expertise is not utilized nor will data curation needs be met. A possible plan

for staging this is to increase the network capacity over the course of three years: 3 gigabits in one year, 5 gigabits in the second year, and 10 gigabits in the third year. Alternatively, this growth could be planned over a greater span of years. We recommend that planning for network enhancement be discussed with the new CIO as promptly as possible and that the interim University Librarian and Digital Curation Librarian be part of these conversations.

2. All other UC system campuses are members of the Internet 2 community. While UC Merced is young in its research program and output, membership in Internet 2 may be something for which the University will want the new CIO to begin planning. Internet 2 network capacity would greatly enhance the institution's ability to manage research data and for the Library to engage in true data curation in the future. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. We mention this with the understanding that there are significant costs, administrative issues, and complexities in planning to bring the Internet 2 network to the campus and also that this may not be an immediate need but one for which the University will need a plan.
3. Ensure robust data storage on campus. This becomes a bit less critical if the network can carry big data to off-site storage. However, the University is young and should be agile enough to create storage and network capacity to manage at least some part of its own data assets.
4. Once the new CIO is in place, there should be a rigorous discussion about where technology support and Library systems support overlap and where there needs to be consolidation and service commitment made. For instance, if the thinking is that there should be more support from campus IT – more centralization of IT support – then there need to be explicit service commitments on the part of the CIO related to this support. This has not been the case until now. Service has been weak and thus, the Library has actually built somewhat of a redundant system support of its own – often serving campus IT rather than the other way around.
5. Partner with the California Digital Library and leverage system-wide services where possible to provide more robust digital management services to the campus.

### ***Collections***

1. Develop a “library impact statement” that details the core disciplinary needs in terms of the literature/resources needed for every new academic program and ladder-rank faculty hire. This should be completed by the division or department beginning the new program and should be vetted by the chief academic officer with the University Librarian and the Head of Collection Services.
2. Related to the first recommendation, we recommend that, for each new academic program, there be “start-up” funds for library materials/resources.

3. Use the *Resources for College Libraries*<sup>5</sup> tool to assess print collection strength in humanities and social sciences.
4. Consider a small print reserves service. The purpose and need is two-fold: faculty indicated that, on occasion, having a print format of a particular resource is important (as opposed to a digital source) and that it would be very useful to their teaching if they could offer students print Supplemental Course Resources in addition to the digital SCR in the CROPS system. The second reason for this recommendation is that both faculty and students agreed that a small textbook collection in the Supplemental Course Materials would be optimal. The textbook cost issue is a significant one for the student demographic served by UC Merced. While we understand the forward thinking nature of the Library's original decision to have a digital reserves system only, we feel this recommendation deserves some consideration. We are also aware of the current policy regarding not purchasing textbooks but think this is very important to revisit and consider.
5. Have the faculty scan their Supplemental Course Resources content directly into the UCMCROPS system thereby releasing valuable staff time which could be reallocated to a more pressing area of library services.

### Space

1. Reclaim Library space currently being used by other offices and functions or begin planning for expansion of the Library to accommodate the growth of student and faculty populations. While we realize that there are other building priorities currently, planning for a new wing or expansion of the Library will take time. We see this planning as taking place over the next five to ten years.
2. Establish a quiet study space or spaces elsewhere on campus. This quiet study space should be accessible during the non-operational hours of the Library. We envision this study space to be operated by the UC Merced Library, and with minimal-level resources there, including computers with all library electronic resources and potentially with some part-time reference and research assistance.
3. Conduct a seating analysis and planning assessment to begin to creatively address the seating limitation problem. While an additional quiet study space may be useful in this regard, even that may not sustain needs in the coming decade given campus growth.
4. Add textile sound-deadening art to walls, such as, hangings, may help stop sound bouncing to some degree. One relatively simple and inexpensive aid could be the stapling or gluing of carpet remnants to the bottoms of chairs and tables and stairs. These carpet samples or remnants are relatively economical. While this does meddle with the integrity of the original furniture, it has been shown to help in other buildings with high traffic and noise levels.
5. Establish a stronger network and wireless network in the building. (see also *Discovery* above)

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<sup>5</sup> Resources for College Libraries is a collection development tool created by ACRL Choice and R.R Bowker. This resource provides bibliographic information for core print and electronic collections in all disciplines. See: <http://www.bowker.com/en-US/products/rcl/>

6. There appears to be an intermittent issue related to the remotely controlled door locks and lights in the Library building. Due to radically different needs and hours from other parts of the campus, perhaps the Library should be given control of its door locks and lighting.

### ***Management/Administration & Budget***

1. Move forward to appoint a permanent University Librarian.
2. Increase the Library budget relative to student growth and strategic goals of UC Merced.
3. Establish a Library Advisory Committee, composed of administrators, faculty, staff, and students, that can advocate for the Library; this Committee could even be charged with creating external fund development strategies.

### ***Personnel***

1. Add a minimum of two professional positions to the staff: one of these positions needs to be allocated to outreach and student engagement and another should be devoted to programmatic assessment (as described in the *Institutional Effectiveness* section above).
2. Add a minimum of two library career staff positions: one night/weekend supervisor which is critical to safety and supervision of student staff and another devoted to electronic resources management.
3. Encourage and fund professional development at the national level as well as at the state level.

## **Library Space for UC Merced: A Vision for 2020**

The UC Merced Library currently provides spaces for the campus community to study, do research, and collaborate; in addition, it provides a portion of the space needed for campus events. As of 2013 the Kolligian Library Building seats approximately 900-1000 and contains physical collection storage space for up to 200,000 volumes. Given the current collection size of 110,000 print books, a historical print-collection growth rate of 5,000 to 7,000 volumes per year, and the expected emergence of the e-book as the preferred format for scholarly publishing, it is unlikely that UC Merced will need additional stack space by 2020. Similarly, the compactness of the proposed 2020 campus footprint coupled with the availability of remote access to the library's digital information resources means there will never be a need for freestanding branch libraries or subject/departmental libraries occupying one or more floors of campus buildings.

However, by 2020 the UC Merced campus will need additional library commonspace to support individual study and group collaboration, both of which are crucial to student success. With the 2012-2013 campus population of 5,700 students, existing library space is already proving inadequate—during regular academic terms the library's seats were frequently occupied at rates of 50%-70%. These extraordinarily high occupancy rates are due to the fact that 1) the library provides attractive spaces for study and collaboration and 2) there are few other places on campus where students can go. While it is good that library space is well used, such high rates of occupancy contribute to a noisy/busy environment, overload the wireless network infrastructure, and put extra strain on library services, furniture, and fixtures. Obviously, without additional spaces similar to those now available in the library, the campus cannot support a 2020 student population projected to be 43% larger than the 2012-2013 population.

### **Creating Library Commonsplace at UC Merced**

A solution to the campus's 2020 library space problem is to plan for and build two or three 5,000-square-foot library commonsplaces to be incorporated in future buildings. We coined the term "library commonspace" to describe a space roughly similar in size, ambiance, and functionality to the current KL355 space, but with two-to-three collaborative workrooms included in, or adjacent to, the main commonspace.

The current square-footage of library space available for study and collaboration is approximately 70,000 square feet, so an addition of 10,000 to 15,000 square feet represents a 10% to 20% gain for the campus. While this increase falls short of corresponding to a 43% increase in the student body, such factors as increased reliance on online courses and additional un-programmed and public spaces in new campus buildings will take some pressure off of library spaces.

The purpose of each library commonspace is to directly support the learning outcomes of UC Merced students. Each commonspace will achieve this by providing an appropriate combination of individual and collaborative spaces as well access to appropriate information resources and technology.

### **Physical Configuration**

Each library commonspace will occupy approximately 5,000 assignable square feet, with the configuration of furniture and rooms within each space influenced by how it is intended to be used and to what extent it balances support for individual study with support for collaborative learning. Flexibility will be key in the design of all library commonspaces; even so, it is inevitable that library commonspaces will need to be re-configured every seven-to-ten years to address changing needs.

### **Technology**

Each library commonspace will be outfitted with appropriate technology to support student learning outcomes. This includes digital technology, of course, but it could also include print or other technologies. As with furnishings, the technology in library commonspaces must be flexible and provided with regular upgrades as needs and technologies change. That said, library commonspaces are not computer labs and should never be treated as such.

The design and technology of library commonspaces could be influenced by the academic focus of the campus buildings in which they are housed. One can imagine that a library commonspace located in a largely humanities-focused building might include technology specifically designed to support work in the digital humanities, while a similar space in a heavily engineering-focused building might incorporate advanced computer-aided design technologies.

Library commonspaces should also serve as locations for readings, guest lectures, receptions, and other special events so long as such use does not excessively interfere with the overall purpose of supporting student success. This reflects the current use pattern of KL355.

To prevent library commonspaces from being converted into cube farms or computer labs the first time the host building experiences a space crunch, library commonspaces must be managed as campus-wide resources rather than falling under the direct control of any single administrator or faculty group.

### **Connection to the Library**

In consultation with other stakeholders, UC Merced librarians should play a lead role in the design and equipping of library commonspaces and have responsibility for their day-to-day management. While it is possible that a librarian could be permanently officed in a library commonspace, it is more likely that librarians will support these spaces via real-time

audio/video technology. It is also possible that librarians will keep regular office hours in library commonspace and/or accept appointments to consult with students, faculty, or staff in a library commonspace.

DRAFT



OFFICE OF THE ACADEMIC SENATE  
PEGGY O'DAY, CHAIR  
[senatechair@ucmerced.edu](mailto:senatechair@ucmerced.edu)

UNIVERSITY OF CALIFORNIA, MERCED  
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MERCED, CA 95343  
(209) 228-7930; fax (209) 228-7955

**March 21, 2013**

**CHANCELLOR LELAND  
PROVOST/EVC PETERSON**

**RE: Proposed Composite Benefit Rate in UC Path for Faculty Summer Salaries**

Dear Chancellor Leland and Provost Peterson,

The Merced Division Academic Senate strongly protests the proposal from the UCOP Steering Committee on Composite Benefit Rates to charge faculty summer salaries from grants and contracts the full academic year benefit rate (proposed at 34.5% for Merced). This represents an additional tax on faculty research awards that does not reflect actual costs of benefits.

As pointed out in memos to the Steering Committee from the UC systemwide Committee on Faculty Welfare and the Academic Council over the last few months, faculty health insurance and retirement (UCRP) benefits are provided over the 12-month calendar year for faculty with 9-month academic year appointments. Faculty summer salary for 9-month appointments is not defined as "covered compensation" on which health insurance and retirement benefits are calculated. The only retirement benefit from summer salary is a separate contribution to an employee's Defined Contribution (DC) plan whose allocations are equally shared between the employee and the "employer," which is defined for summer salary as the funding source, not UC. The current faculty summer salary benefit rate on our campus is 11%. The "employer contribution" to the employee's DC plan is currently 3.5%, so faculty are already paying more from their research awards than the retirement benefit they actually receive to their DC plan.

It is unclear why the current benefit rate is 11% for summer salaries on our campus. Increasing this tax to the academic year rate unfairly charges faculty for benefits they do not receive. It penalizes successful faculty who obtain external funding, draws funds away from research and graduate students, and puts faculty at a competitive disadvantage because of the excessive costs of both benefits and institutional overhead that drive total award amounts too high.

We advocate either a 0% benefit rate for faculty summer salary (currently modeled as Scenario K), or at most, a rate that reflects actual benefits received (3.5%). Given that the implementation of UC Path has been delayed until July 2014, we hope that further discussion and modeling can take place to determine an equitable set of rates for all UC campuses.

Sincerely,

A handwritten signature in cursive script that reads "Peggy O'Day".

Peggy O'Day  
Chair, Merced Division of the Academic Senate



cc: VC for Administration Miller  
VC for Research Traina  
Acting Dean of the Graduate Division Kello  
Dean Aldenderfer  
Dean Hirleman  
Dean Meza  
Budget Director Jefferds  
Faculty Welfare Committee  
Division Council  
Senate Office

## Simrin Takhar

---

**From:** Dejeune Shelton <dshelton2@ucmerced.edu>  
**Sent:** Wednesday, October 30, 2013 9:17 PM  
**To:** capra1314@ucmcrops.ucmerced.edu; coc1314@ucmcrops.ucmerced.edu; gc1314@ucmcrops.ucmerced.edu; cor1314@ucmcrops.ucmerced.edu; cre1314@ucmcrops.ucmerced.edu; fwdaf1314@ucmcrops.ucmerced.edu; ugc1314@ucmcrops.ucmerced.edu; Erik Menke; Marcelo Kallmann; Jeffrey Gilger  
**Cc:** Anthony Sali; Shannon Adamson; Katie Butterfield; divco1314@ucmcrops.ucmerced.edu  
**Subject:** Request for Comments On Campus Ethnic and Gender Diversity Issues

### Standing Committee Chairs Executive Committee Chairs

On behalf of Senate Chair López-Calvo, attached and embedded below please find a request for comments on campus diversity issues.

At the October 22, 2013 Division Council meeting, DivCo discussed a meeting held with Provost/EVC Peterson, Senate Chair López-Calvo, FWDAF Chair Ortiz, and COR Chair Mostern regarding issues surrounding diversity. At this meeting, Provost/EVC Peterson requested FWDAF consult with Senate committees for a list of challenges about diversity on this campus and the possible solutions.

Please provide your comments to [senatachair@ucmerced.edu](mailto:senatachair@ucmerced.edu) by **Friday, November 22, 2013**. Please let me know if your committee chooses not to opine.

Dejeuné M. Shelton  
Executive Director, Merced Academic Senate  
5200 North Lake Road, Suite 346  
Merced, CA 95343  
209-228-7954

---

October 30, 2013

### Standing Committee Chairs School Executive Committee Chairs

#### Re: Campus Issues of Diversity

The Faculty Welfare, Diversity, & Academic Freedom committee (FWDAF) believes that the diversity of our campus's faculty could be a great strength, and that our campus would be better situated to achieve its goals by enhancing its diversity among faculty and graduate students. Growing and preserving that diversity is an essential component in serving UC Merced's student population,

which is the most ethnically diverse in the UC system. Diversity is a specific mission of the UC system. To address this issue, Provost/EVC Peterson has requested Senate and School Executive committees to consider opportunities to advance campus diversity. Senate and School Executive committees are requested to answer the following questions in their consideration of diversity:

1. How can we enhance ethnic and gender diversity among the faculty and graduate students on our campus?
2. What kind of leadership efforts should be made to ensure a commitment to diversity?
3. How do we attract and retain diverse faculty and graduate students?
4. What are the committee's concerns, if any, about diversity practices and what are your recommendations for improvement?

Sincerely,



Ignacio López-Calvo, Chair

Division Council

cc: Senate Office

[see attachment: "image002.png", size: 1951 bytes]

[see attachment: "image001.emz", size: 1885 bytes]

[see attachment: "Chair2StandingCommitteeandECChairsDiversity.pdf", size: 243831 bytes]

Attachments:

[image002.png](#)

[image001.emz](#)

[Chair2StandingCommitteeandECChairsDiversity.pdf](#)

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OFFICE OF THE ACADEMIC SENATE  
IGNACIO LÓPEZ-CALVO, CHAIR  
[senatechair@ucmerced.edu](mailto:senatechair@ucmerced.edu)

UNIVERSITY OF CALIFORNIA, MERCED  
5200 NORTH LAKE ROAD  
MERCED, CA 95343  
(209) 228-7954; fax (209) 228-7955

**October 30, 2013**

**Standing Committee Chairs  
School Executive Committee Chairs**

**Re: Campus Issues of Diversity**

The Faculty Welfare, Diversity, & Academic Freedom committee (FWDAF) believes that the diversity of our campus's faculty could be a great strength, and that our campus would be better situated to achieve its goals by enhancing its diversity among faculty and graduate students. Growing and preserving that diversity is an essential component in serving UC Merced's student population, which is the most ethnically diverse in the UC system. Diversity is a specific mission of the UC system. To address this issue, Provost/EVC Peterson has requested Senate and School Executive committees to consider opportunities to advance campus diversity. Senate and School Executive committees are requested to answer the following questions in their consideration of diversity:

1. How can we enhance ethnic and gender diversity among the faculty and graduate students on our campus?
2. What kind of leadership efforts should be made to ensure a commitment to diversity?
3. How do we attract and retain diverse faculty and graduate students?
4. What are the committee's concerns, if any, about diversity practices and what are your recommendations for improvement?

Sincerely,

A handwritten signature in black ink, reading "Ignacio López-Calvo".

Ignacio López-Calvo, Chair  
Division Council

cc: Senate Office



Innovative Learning Technology Initiative

Office of the Provost  
Academic Senate  
UC Online Education

October 8, 2013

## EXECUTIVE VICE CHANCELLORS

Dear Colleagues:

At our last COVC meeting, I provided an update on the status of Online Education at UC and asked for your support and assistance in moving forward with cross-campus online course offerings for Winter and Spring 2014. This letter presents the help we are requesting now, assuming your campus is willing to participate at all.

As you already know, we are undertaking a 2013-14 pilot project that will jump start cross-campus offerings during the academic year, help identify what is needed to make cross-campus academic year offerings work for students, faculty, and campuses, and help guide development of the hub that will be created to provide technological underpinnings for cross-campus courses in the long run. We plan to build on lessons learned from this pilot as we continue our work to offer during the academic year high-quality online courses to undergraduate students across the UC system. The project will involve the following:

1. A limited number of courses for which ILTI will cover the additional costs incurred when UC undergraduates from other campuses enroll in the course (see two attachments, one a current preliminary list and the other a PDF with basic information about each course on the list),
2. Efforts to publicize the courses at every campus willing to have its students participate,
3. Efforts we will help organize to obtain approval on participating campuses so that each course will count not only for units toward graduation but also toward satisfaction of GE, pre-major, or major requirements, and
4. Use, to the extent possible, of a technological "mini-hub" system to handle the cross-campus processes (see attachment with technical information) and use of the current paper-based system otherwise.

Below is what we need from you just as quickly as possible. Please send the requested information below to Ellen Osmundson ([ellen.osmundson@ucop.edu](mailto:ellen.osmundson@ucop.edu)) and Keith Williams ([keith.williams@ucop.edu](mailto:keith.williams@ucop.edu)) and copy me.

1. The courses identified in the attachments are ones the faculty member and department are planning to offer in winter/spring 2014 and willing to open up to students from other campuses. Is there any reason to think any course from your campus would not be offered or could not be offered to enrolled UC undergraduates from other campuses?

Executive Vice Chancellors  
October 8, 2013  
Page Two

2. Do you want your enrolled undergraduates to be able to take any of these courses in winter or spring quarter 2014 or spring semester 2014? If the answer to this question is "NO," none of the rest of the questions needs to be answered.
3. How can we best advertise the available courses to your undergraduates? Who will serve as the designated point person for this effort on your campus?
4. How should we go about seeking GE, pre-major, and/or major credit for students on your campus who might take any of the available courses from other campuses? We believe the articulation officer on your campus would be a good place to start, particularly for pre-major and/or major credit. Do you have any reservations about us doing that?
5. Does your campus have any undergraduate online courses scheduled for winter/spring 2014 that are not included in the attachments that you would like to have included in this pilot project? If so, please let us know how to contact the instructor.

Thank you again for your continuing interest in and support of this initiative. We are ready to dive into all the work needed to open up winter/spring 2014 online courses to cross-campus enrollment by November 18. Your answers to our questions will help us do this in ways that are consistent with what you want for your campus.

Cordially,



Aimée Dorr  
Provost and Executive Vice President

Attachments (3)

Cc: Academic Council Chair Jacob  
Academic Council Vice Chair Gilly  
Interim Director Williams  
Executive Director Winnacker  
Project Coordinator Osmundson  
Planning Analyst Tran-Taylor  
Executive Assistants to the Vice Chancellors  
Event Planner Wong

# UC Berkeley

## American Cybercultures: Principles of Internet Citizenship

### Catalog Description

*Art W23 (4 units, Semester System)*

This online course establishes internet citizenship as the process of forming online communities through participation. The course itself seeks to establish a community of learners, innovators, and explorers who engage with 23 principles of internet culture through missions. The missions include topics aggregation, networking, identity, amplification, and subversion. Students work in small groups with about five members and complete learning missions through research and creative assignments using photography, writing, video, and user interaction design. By commenting on each other's creative online works, students earn course points which add up to achievement badges. This badge system validates innovation, media literacy, uniqueness, whimsy, and play, but moves toward mature forms of democratic community development, linked to the concepts of internet and community citizenship, and creativity in art and technology.

### Additional Information

Internet Citizenship is a new form of citizenship we can establish by participating in a global network of information exchange. It grows from communication, reciprocity and sharing. Internet citizenship is different from national citizenship, which we acquire by birth or immigration. It is more akin to urban citizenship, which we acquire through labor. The labor of internet citizenship is to click, write, upload and download, code, comment, work and play online. In doing so, we shape the communities of the internet, which are in constant formation.

<b>Course Developer</b>	Greg Niemeyer, Art Practice
<b>Website</b>	<a href="http://art.berkeley.edu/people/faculty_detail.php?person=10">http://art.berkeley.edu/people/faculty_detail.php?person=10</a>
<b>Previous Online Offerings</b>	Spring 2013; Summer 2013
<b>Cross-campus Enrollment</b>	Can enroll up to 60 students from across campuses for spring semester, 2014.
<b>Exams</b>	None, unique badge system based on course accomplishments
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCB</b>	American Cultures Arts & Literature

# UC Berkeley

## General Psychology

*Psychology W1 (3 units, Semester System)*

### **Catalog Description**

Introduction to the principal areas, problems, and concepts of psychology.

### **Additional Information**

This course will survey the scientific study of mental life and the mental functions that underlie human experience, thought, and action. The emphasis is on cognitive processes and social interactions characteristic of adults. However, research on nonhuman animals, as well as biological, developmental, and pathological processes, will be introduced as relevant.

<b>Course Developer</b>	John Kihlstrom, Psychology
<b>Website</b>	<a href="http://psychology.berkeley.edu/people/john-f-kihlstrom">http://psychology.berkeley.edu/people/john-f-kihlstrom</a>
<b>Previous Online Offerings</b>	Summer 2012 & 2013
<b>Cross-campus Enrollment</b>	25
<b>Exams</b>	Online proctoring service
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCB</b>	Social & Behavioral Sciences



# UC Berkeley

## Introduction to Probability and Statistics for Business

*Statistics W21 (4 units, Semester System)*

### **Catalog Description**

Descriptive statistics, probability models and related concepts, sample surveys, estimates, confidence intervals, tests of significance, controlled experiments vs. observational studies, correlation and regression.

### **Additional Information**

In this introductory probability and statistics course, students will explore a broad range of concepts, including reasoning and fallacies, descriptive statistics, probability models and related concepts, combinatorics, sample surveys, estimates, confidence intervals, tests of significance, controlled experiments vs. observational studies, and correlation and regression.

<b>Course Developer</b>	Dr. Phil Stark, Statistics
<b>Website</b>	<a href="http://www.stat.berkeley.edu/~stark/">http://www.stat.berkeley.edu/~stark/</a>
<b>Previous Online Offerings</b>	Spring 2013; Summer 2013
<b>Cross-campus Enrollment</b>	Still to be fully determined, but potentially unlimited
<b>Exams</b>	In-person proctored exams
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCB</b>	

# UC Berkeley

## Introduction to Computer Programming for Scientists and Engineers

*Engineering W7 (4 units, Semester System)*

### **Catalog Description**

Elements of procedural and object-oriented programming. Induction, iteration, and recursion. Real functions and floating-point computations for engineering analysis. Introduction to data structures. Representative examples are drawn from mathematics, science, and engineering.

<b>Course Developer</b>	Dr. Panos Papadopolous & Dr. Andy Packard, Mechanical Engineering;
<b>Website</b>	Andy: <a href="http://www.me.berkeley.edu/faculty/packard/">http://www.me.berkeley.edu/faculty/packard/</a> Panos: <a href="http://www.me.berkeley.edu/faculty/papadopoulos/">http://www.me.berkeley.edu/faculty/papadopoulos/</a>
<b>Previous Online Offerings</b>	Summer 2013
<b>Cross-campus Enrollment</b>	To be determined
<b>TA Ratio</b>	37 students per 50% TA
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCB</b>	

# UC Davis

## Global Climate Change Convergence of Biological, Geophysical, & Social Sciences

*Science and Society 25V (3 units, Quarter System)*

### **Catalog Description**

Causes of global climate change and the biological, geophysical, and social consequences of such change. Methods used by different scientists for predicting future events. Complexity of global affairs. Decision making under uncertainty.

<b>Course Developer</b>	Dr. Arnold Bloom; Plant Sciences	
<b>Website</b>	<a href="http://www.plantsciences.ucdavis.edu">www.plantsciences.ucdavis.edu</a>	
<b>Previous Online Offerings</b>	Spring 2012 & 2013; Winter 2013	
<b>Cross-campus Enrollment</b>	55	
<b>Exams</b>	In-person proctored at a campus or an approved proctoring center	
<b>Term to be Offered</b>	Winter 2014, Spring 2014	
<b>GE Credit at UCD</b>	Oral Skills Quantitative Scientific Science & Engineering	Social Sciences Visual World Cultures Writing Experience

# UC Davis

## Elementary Spanish

*Spanish 3V (5 units, Quarter System)*

### **Catalog Description**

Continuation of course 1 or 1S in the areas of grammar and basic language skills. Hybrid format combining classroom instruction with technologically based materials.

### **Additional Information**

Spanish 3V is the second part of a 2-part course series (2V and 3V) that establishes a firm grasp of the present and past tense while exposing students to a wide variety of Spanish-speaking cultures drawing from Spain, Mexico, Argentina, Peru, Central America, and the Caribbean. At the completion of this series, students will have fulfilled a language requirement and will be prepared to move on to second year Intermediate Spanish.

<b>Course Developer</b>	Dr. Robert J. Blake
<b>Website</b>	<a href="http://spanish.ucdavis.edu">http://spanish.ucdavis.edu</a>
<b>Previous Online Offerings</b>	SPA 2V has been offered in Spring 2013, Fall 2013
<b>Cross-campus Enrollment</b>	TBD, probably not more than 25.
<b>Exams</b>	Proctored: arranged through language labs on campuses
<b>Term to be Offered</b>	Winter 2014
<b>GE Credit at UCD</b>	World Cultures

# UC Davis

## Terrorism & War

*Science and Society 7V (4 units, Quarter System)*

### **Catalog Description**

Exploration of terrorism and war from science and social sciences perspectives. Terrorist cells and groups; biological, chemical, nuclear, and environmental terrorism; intelligence gathering and espionage; military strategy; genocide; epochal wars; clash of civilizations; nation building; and future global scenarios.

<b>Course Developer</b>	Dr. James R. Carey
<b>Website</b>	<a href="http://entomology.ucdavis.edu/">http://entomology.ucdavis.edu/</a>
<b>Previous Online Offerings</b>	Spring 2013
<b>Cross-campus Enrollment</b>	90
<b>Exams</b>	In-person proctored at a campus or an approved proctoring center.
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCD</b>	Science & Engineering Social Sciences Writing Experience

# UC Davis

## Expository Writing

*University Writing Program 1 (4 units, Quarter System)*

### **Catalog Description**

Composition, the essay, paragraph structure, diction, and related topics. Frequent writing assignments.

### **Additional Information**

Instructors will typically select an anthology of non-fiction articles, such as *Signs of Life*, or compile a packet of readings from a variety of sources, which reflect a variety of disciplinary issues and conventions. Reading assignments are designed to develop students' reading skills and to provide material for writing assignments.

<b>Course Developer</b>	Dr. Carl Whithaus
<b>Website</b>	<a href="http://writing.ucdavis.edu/faculty-staff/directory/whithaus">http://writing.ucdavis.edu/faculty-staff/directory/whithaus</a>
<b>Previous Online Offerings</b>	Offered as a hybrid
<b>Cross-campus Enrollment</b>	18-20 (1 section in spring for cross-campus)
<b>Exams</b>	All written work graded by instructor. Final exam proctored.
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCD</b>	Arts & Humanities Writing Experience

# UC Irvine

## Pre-Calculus Mathematics

*Math 1B (4 units, Quarter System)*

### **Catalog Description**

Preparation for calculus and other mathematics courses. Exponentials, logarithms, trigonometry, polynomials, and rational functions.

### **Additional Information**

Pre-Calculus 1B is structured so that students will acquire a solid foundation in algebra and trigonometry. The course concentrates on the various functions that are important to the study of calculus. Emphasis is placed on understanding the properties of linear, piece-wise, exponential, logarithmic and trigonometric functions. Students will learn to work with various types of functions in symbolic, graphical, numerical and verbal form.

<b>Course Developer</b>	Dr. Sarah Eichhorn, Dr. Rachel Lehman, Mathematics
<b>Website</b>	<a href="http://www.math.uci.edu/people">http://www.math.uci.edu/people</a>
<b>Previous Online Offerings</b>	Summer 2012, 2013 (2); Fall 2012, 2013; Winter 2013
<b>Cross-campus Enrollment</b>	No limit from instructor
<b>Exams</b>	In person on UCI campus or using an online proctoring – cost: \$25-\$40
<b>Term to be Offered</b>	Winter 2014
<b>GE Credit at UCI</b>	Units towards graduation

# UC Irvine

## Introduction to Writing and Rhetoric

*Writing 39A (4 units, Quarter System)*

### **Catalog Description**

Deals with the writing of expository essays, principles of rhetoric, paragraph development, and the fundamentals of sentence-level mechanics. Frequent papers, some exercises.

### **Additional Information**

Students in the Intro to Writing & Rhetoric course will develop their writing through language-intensive exercises, participation in community based writing in blogs and forums, and completion of a writing portfolio. Students will also have the opportunity to experiment with various writing forms ranging from the personal narrative, to a thesis-driven essay project.

<b>Course Developer</b>	Dr. Daniel Gross
<b>Website</b>	<a href="http://www.humanities.uci.edu/english/courses">http://www.humanities.uci.edu/english/courses</a>
<b>Previous Online Offerings</b>	Winter 2013; Summer 2013
<b>Cross-campus Enrollment</b>	TBD
<b>Exams</b>	Written assignments are graded by instructor.
<b>Term to be Offered</b>	Winter 2014; Spring 2014
<b>GE Credit at UCI</b>	Writing



# UC Los Angeles

## Diversity, Disagreement & Democracy: Can't We All Get Along?

*Political Science 115D (4 units, Quarter System)*

### Catalog Description

Lecture, three or four hours; discussion, one hour (when scheduled). Designed for juniors/seniors. Can't we all just get along? Study of diversity, disagreement, and democracy. Diversity covers individual differences, cultural differences, and human universals; groupism, factionalism, and identity politics; multiculturalism and one-world ethics. Disagreement includes moral, ideological, and party-political disagreement; resolvable and irresolvable kinds of disagreement; groupthink and group polarization; herding and information cascades. Democracy stands for political mechanisms of information aggregation; political mechanisms to resolve differences, or to keep peace among people with irresolvable differences; emergence and spread of democracy, liberty, and rule of law.

<b>Course Developer</b>	Dr. Susanne Lohmann
<b>Website</b>	<a href="http://www.polisci.ucla.edu/people/faculty#jkl">http://www.polisci.ucla.edu/people/faculty#jkl</a>
<b>Previous Online Offerings</b>	Spring 2012& 2013
<b>Cross-campus Enrollment</b>	50
<b>Exams</b>	None, grades from weekly written assignments
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCLA</b>	Upper division course

# UC Riverside

## Dance: Cultures and Context

*Dance 7V (4 units, Quarter System)*

### **Catalog Description**

Students study dance as an art form, cultural practice and meaning-making activity, with particular attention to histories of race, gender, sexuality, class, and nation. Intended for non majors.

### **Additional Information**

Dance: Cultures and Contexts, a course developed as part of UC Riverside's world-renowned dance studies program, explores the significance of dance by introducing historical and cultural contexts for various dance practices.

<b>Course Developer</b>	Dr. Jacqueline Shea Murphy
<b>Website</b>	<a href="http://www.dance.ucr.edu/people/faculty/index.html">http://www.dance.ucr.edu/people/faculty/index.html</a>
<b>Previous Online Offerings</b>	Fall 2012; Summer 2013
<b>Cross-campus Enrollment</b>	Up to 66
<b>Exams</b>	Final exam: online proctoring. Cost ~\$33
<b>Term to be Offered</b>	Winter 2014
<b>GE Credit at UCR</b>	Humanities GE credit for: College of Humanities, Arts, and Social Sciences College of Natural and Agricultural Sciences College of Engineering School of Business Administration

# UC Riverside

## Introduction to Computer Science for Science Mathematics and Engineering I

*Computer Science 10V (4 units, Quarter System)*

### Catalog Description

Discussion, 2 hours; written work, 6 hours. Prerequisite(s): a college mathematics course (may be taken concurrently) or credit or Math 009A from the Advanced Placement Examination or the Mathematics Advisory Examination. Covers problem solving through structured programming of algorithms on computers using the C++ object-oriented language. Includes variables, expressions, input/output (I/O), branches, loops, functions, parameters, arrays, strings, file I/O, and classes. Also covers software design, testing, and debugging. Uses an online instruction approach.

### Additional Information

This course will familiarize students with the basic concepts underlying computer programming using the powerful and widely used programming language, C++. Students will get an introduction to computers and programming, understand variables, input & output and arithmetic, learn construction programs, testing and debugging as well as functions, packaging data strings, vectors, arrays, and classes

<b>Course Developer</b>	Dr. Frank Vahid
<b>Website</b>	<a href="http://www1.cs.ucr.edu/people/faculty/">http://www1.cs.ucr.edu/people/faculty/</a>
<b>Previous Online Offerings</b>	Spring 2013; Summer 2013; Fall 2013
<b>Cross-campus Enrollment</b>	No limit if resources are available for TAs, etc.
<b>Exams</b>	Exams use online proctoring (~30/exam)
<b>Term to be Offered</b>	Winter, 2014; Spring 2014
<b>GE Credit at UCR</b>	Natural Sciences and Mathematics GE credit for: College of Humanities, Arts, and Social Sciences College of Natural and Agricultural Sciences College of Engineering School of Business Administration

# UC Riverside

## Introduction to Computer Science for Science, Mathematics and Engineering II

*Computer Science 12V (4 units, Quarter System)*

### Catalog Description

Discussion, 2 hours; written work, 6 hours. Prerequisite(s): CS 010 or CS 010V with a grade of “C” or better; familiarity with the C or C++ language. Covers structured and object-oriented programming in C++. Emphasizes good programming principles and development of substantial programs. Topics include recursion, pointers, linked lists, abstract data types, and libraries. Also covers software engineering principles. Uses an online instruction approach.

### Additional Information

This course builds upon the basic computer programming and introductory C++ concepts mastered in Introduction to Computer Science I.

<b>Course Developer</b>	Dr. Frank Vahid
<b>Website</b>	<a href="http://www1.cs.ucr.edu/people/faculty/">http://www1.cs.ucr.edu/people/faculty/</a>
<b>Previous Online Offerings</b>	none
<b>Cross-campus Enrollment</b>	No limit if resources are available for TAs, etc.
<b>Exams</b>	Online proctoring service
<b>Term to be Offered</b>	Winter 2014
<b>GE Credit at UCR</b>	Natural Sciences and Mathematics GE for: College of Humanities, Arts, and Social Sciences College of Natural and Agricultural Sciences College of Engineering School of Business Administration

# UC Riverside

## Introduction to Latin American History

*History 75V (4 units, Quarter System)*

### Catalog Description

#### Additional Information

This course covers the historical heritage of Latin America from its Indian, Spanish, and African origins to the present, including the related Latino experience in the United States. Contemporary and historical themes will range from poverty, revolution, race relations, and imperialism to music, art, sports, popular culture, and social mores.

<b>Course Developer</b>	Dr. Juliette Levy
<b>Website</b>	<a href="http://www.history.ucr.edu/People/Faculty/Levy/index.html">http://www.history.ucr.edu/People/Faculty/Levy/index.html</a>
<b>Previous Online Offerings</b>	Summer 2013
<b>Cross-campus Enrollment</b>	TBD
<b>TA Ratio</b>	TBD
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCR</b>	Humanities GE credit for: College of Humanities, Arts, and Social Sciences College of Natural and Agricultural Sciences College of Engineering School of Business Administration

# UC Santa Cruz

## Introduction to Fresh Water: Processes and Policy

*Environmental Sciences 65 (5 units, Quarter System)*

### **Catalog Description**

Introduction to freshwater resources from multiple scientific and policy perspectives. After a review of basic concepts, water issues affecting cities, farms, open space, and multiple-use landscapes are studied.

<b>Course Developer</b>	Dr. Brent Haddad
<b>Website</b>	<a href="http://www.soe.ucsc.edu/people/faculty#H">http://www.soe.ucsc.edu/people/faculty#H</a>
<b>Previous Online Offerings</b>	Spring 2012; Fall 2012
<b>Cross-campus Enrollment</b>	~30
<b>Exams</b>	Exams done online using online proctoring service, additional cost to students
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCSC</b>	Perspectives (Environmental Awareness)

# UC Santa Cruz

## Calculus for Mathematics, Science and Engineering

*Math 19A (5 units, Quarter System)*

### Catalog Description

The limit of a function, calculating limits, continuity, tangents, velocities, and other instantaneous rates of change. Derivatives, the chain rule, implicit differentiation, higher derivatives. Exponential functions, inverse functions, and their derivatives. The mean value theorem, monotonic functions, concavity, and points of inflection. Applied maximum and minimum problems.

### Additional Information

With a focus on differential calculus, Calculus 1 is a standard mathematics course with applications to nearly all quantitative-based courses of study including chemistry, computer engineering, computer science, electrical engineering, information systems management, mathematics, and physics majors.

<b>Course Developer</b>	Tony Tromba
<b>Website</b>	<a href="http://www.math.ucsc.edu/faculty-research/regular.php">http://www.math.ucsc.edu/faculty-research/regular.php</a>
<b>Previous Online Offerings</b>	Spring 2013; Summer 2013; Fall 2013
<b>Cross-campus Enrollment</b>	No limit, subject to TA support being available.
<b>Exams</b>	In person on host campus, online proctor (\$20 - \$40)
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCSC</b>	Mathematical and Formal Reasoning Introductions to Disciplines Natural Sciences and Engineering Quantitative Courses

# UC Santa Cruz

## Calculus for Mathematics, Science and Engineering

*Math 19B (5 units, Quarter System)*

### Course Description

With a focus on differential calculus, Calculus 1 is a standard mathematics course with applications to nearly all quantitative-based courses of study including chemistry, computer engineering, computer science, electrical engineering, information systems management, mathematics, and physics majors.

<b>Course Developer</b>	Tony Tromba
<b>Website</b>	<a href="http://www.math.ucsc.edu/faculty-research/regular.php">http://www.math.ucsc.edu/faculty-research/regular.php</a>
<b>Previous Online Offerings</b>	Offered for 1 <sup>st</sup> time in Spring 2014
<b>Cross-campus Enrollment</b>	No limit, subject to TA support being available.
<b>Exams</b>	In-person on host campus; online through Proctor U (\$20 - \$40/exam)
<b>Term to be Offered</b>	Spring 2014
<b>GE Credit at UCSC</b>	Mathematical and Formal Reasoning Introductions to Disciplines Natural Sciences and Engineering Quantitative Courses



### Pilot Project: Winter/Spring 2014 Cross-Campus Online Course Offerings

Below is a list of online courses that as of October 8, 2013 are expected to be offered for cross-campus enrollment in Winter and Spring 2014. The list may change slightly as more information becomes available. For further information, contact Keith Williams ([keith.wiliams@ucop.edu](mailto:keith.wiliams@ucop.edu)) or Ellen Osmundson ([ellen.osmundson@ucop.edu](mailto:ellen.osmundson@ucop.edu)).

Host Campus	Online Course
<b><i>Spring Semester</i></b>	
UC Berkeley	<ul style="list-style-type: none"> <li>• Art W23: American Cybercultures: Principles of Internet Citizenship</li> <li>• Psych W1: General Psychology</li> <li>• Stats W21: Intro to Probability and Statistics for Business</li> <li>• Engineering W7: Intro to Computer Programming for Scientists and Engineers (possible, but not certain)</li> </ul>
<b><i>Winter Quarter</i></b>	
UC Davis	<ul style="list-style-type: none"> <li>• Science and Society 25V: Global Climate Change Convergence of Biological, Geophysical, &amp; Social Sciences</li> <li>• Spanish 3V: Elementary Spanish</li> </ul>
UC Irvine	<ul style="list-style-type: none"> <li>• Math 1B: Pre-Calculus</li> <li>• Writing 39A: Introduction to Writing and Rhetoric</li> </ul>
UC Riverside	<ul style="list-style-type: none"> <li>• CS 10V: Introduction to Computer Science for Science, Mathematics and Engineering</li> <li>• CS 12V: Introduction to Computer Science for Science, Mathematics and Engineering</li> <li>• Dance 7V: Dance: Cultures &amp; Contexts</li> </ul>
<b><i>Spring Quarter</i></b>	
UC Davis	<ul style="list-style-type: none"> <li>• Science and Society 25V: Global Climate Change Convergence of Biological, Geophysical, &amp; Social Sciences</li> <li>• Science &amp; Society 7V: Terrorism &amp; War</li> <li>• UWP 1: Expository Writing</li> </ul>
UC Irvine	<ul style="list-style-type: none"> <li>• Writing 39A: Introduction to Writing and Rhetoric</li> </ul>
UC Los Angeles	<ul style="list-style-type: none"> <li>• Political Science 115D: Diversity, Disagreement &amp; Democracy</li> </ul>
UC Riverside	<ul style="list-style-type: none"> <li>• History 75V: Introduction to Latin American History;</li> <li>• CS 10V: Introduction to Computer Science for Science, Mathematics and Engineering</li> </ul>
UC Santa Cruz	<ul style="list-style-type: none"> <li>• Environmental Sciences 65: Introduction to Fresh Water: Processes and Policy</li> <li>• Math 19A: Calculus for Mathematics, Science and Engineering</li> <li>• Math 19B: Calculus for Mathematics, Science and Engineering</li> </ul>

**Pilot Project**  
**Cross-Campus Enrollment for Winter and Spring Terms, 2014**  
**Electronic Infrastructure**

ILTI has been working in conjunction with UCOE to leverage the work done in the past two years to enable, in the short term, an interim process for enrolling students across UC campuses, sometimes labeled the “mini-hub”. This process will both enable cross-campus enrollment at the earliest possible date and will also serve as a pilot for development of a more robust communications hub. The work group discussing the long-term solutions to cross-campus enrollment has begun meeting with a report due near the end of fall quarter.

Faculty developers for approximately 20 courses have expressed an interest in making their course available for enrollment of students from other UC campuses in winter and spring terms, 2014. In some cases there are still final agreements to be made, and specific details to be provided. The lists may change as more information becomes available. The ILTI Steering Committee has indicated that funds to support the instructional costs associated with providing instruction for students enrolling from campuses other than the host campus would be covered by ILTI funds; for example, costs for additional TAs, instructors, readers, and any marginal costs associated with LMS hosting.

Most of the electronic infrastructure is already in place for seven campuses (Berkeley, Davis, Irvine, Los Angeles, Riverside, Santa Cruz) to be able to offer and enroll students in courses across campuses by winter quarter and spring semester. The ability to authenticate students using their home campus IDs is currently in progress. For those terms, the learning management systems (LMS) that can be included are UCOE’s and Berkeley’s version of Canvas, and a version of Moodle at UCLA for which a transfer protocol exists. Students from San Diego and Santa Barbara can also enroll in winter quarter cross-campus courses, but they will have to use the existing manual simultaneous enrollment process.

The ability to offer electronic enrollment in courses at the other campuses will be ready in spring 2014 for San Diego and Santa Barbara, and possibly San Francisco. The delay is because the capabilities for transferring student information to UCOE have not yet been put in place for those campuses. Efforts are also being made to enable offering courses through at least some other campus-based LMSs starting with spring quarter.

By early November there will be a website that will have a listing of courses available by quarter and semester terms for winter/spring 2014. There will be information about each course available on the website, including a syllabus. Most of that information can be made available to campuses in a different format and almost immediately.

When the infrastructure is in place on or about November 18<sup>th</sup>, if a student desires to enroll, there will be a link to our enrollment system where students can authenticate using their home campus student ID and enroll in a course. As noted below, we will have established with the registrars from each campus a process to then inform the student’s home campus SIS system of the enrollment, most likely in a manner similar to what is currently done with simultaneous enrollment. Since electronic enrollment into cross-campus courses is a new process for everyone, it may also be possible that with a campus’s cooperation we could devise a way to approve students prior to the November 18<sup>th</sup> date to ensure they get a spot in a given course so the late enrollment date (November 18) does not cause students concern about getting a full load.

Preparatory work that needs to be done in cooperation with campuses:

We are hoping campuses will be able to help us identify the best ways to deal with the issues listed below by identifying appropriate contacts who can work with us to do the following (most of which likely will be done manually, initially):

- a. Identify possible students: What is the best method to recruit on each campus those students interested in enrolling in the available courses; e.g., should it be opened to all students or initially targeted to certain majors based on the courses available (likely the best option initially)? How do we identify students ineligible for academic or other reasons?
- b. Approval for major or GE requirements: What is the best process to identify course articulations or approvals for any of these courses to count toward specific major or GE requirements. Is there a campus contact(s) to help us identify who to talk to or who could work with us to identify likely approval situations? The typical process for approval usually does not require getting direct Academic Senate approval, instead being handled by major and college faculty or staff advisors, but that can vary by campus and the newness of the cross-campus enrollment opportunities may call for a more in-depth look at process and policy. The process could potentially involve articulation officers if the desire is to develop a campuswide articulation. Often a course from another UC can be approved to substitute for a home campus course for a specific major requirement by a faculty or staff advisor in the department or program of the major. GE requirements are usually approved at the college level, though that process varies considerably across the system. We are happy to try to help with whatever processes would be appropriate.
- c. Work with the registrar and financial aid offices: For campuses with students taking cross-campus courses:
  - We will need to make sure there are no issues with authentication of UCM students into the UCOE enrollment system and the LMS that will be used for these courses – Canvas. This should not be a problem once the infrastructure on our end is in place.
  - We will need to work with registrar and financial aid staff to identify a system by which we can provide a pathway for students to learn about courses (cross-campus database website) and enroll in them through our enrollment system. We will also need to work out the procedures we need to follow to notify the campus registrar when a student enrolls in (or drops) a cross-campus course through our cross-campus enrollment process (sometimes termed the mini-hub) so the campus can post appropriate enrollment information needed in their systems for financial aid, workload and any other monitoring. This should be the same or similar to the process currently used for simultaneous enrollment.

As of October 9, 2013 we have asked the EVC/P on each campus to assist us with handling items “a” and “b” above. The presentation here elaborates on that request. Item “c” above is new information.

*Prepared by  
Keith Williams  
Interim Director, UCOE  
Member of ILTI Steering Committee  
October 8, 2013*



OFFICE OF THE VICE PROVOST --  
ACADEMIC PERSONNEL

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

October 25, 2013

COUNCIL OF VICE CHANCELLORS  
LABORATORY DIRECTOR ALIVISATOS  
ACADEMIC COUNCIL CHAIR JACOB  
ANR VICE PRESIDENT ALLEN-DIAZ

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM)  
Section 025, Conflict of Commitment and Outside Activities of Faculty Members,  
Proposed Revised APM - 670, Health Sciences Compensation Plan, and Proposed New  
APM Section 671, Conflict of Commitment and Outside Professional Activities of Health  
Sciences Compensation Plan Participants**

Dear Colleagues:

Enclosed for Systemwide Review are proposed revisions to APM - 025, Conflict of Commitment and Outside Activities of Faculty Members, proposed revised APM - 670, Health Sciences Compensation Plan, and proposed new policy APM - 671, Conflict of Commitment and Outside Professional Activities of Health Sciences Compensation Plan Members (APM - 671 would replace Appendix B in current APM - 670). The enclosed Rationale for Proposed Revisions to APM - 025 and New Policy APM - 671 provides additional context and specific information that is, I hope, helpful during review.

### Overview

The proposal is responsive to campus administrator and faculty requests to clarify the purpose, scope, and compliance requirements concerning conflict of commitment policy for general campus faculty and for Health Sciences Compensation Plan (HSCP or the Plan) faculty. The fundamental difference underlying conflict of commitment policy for general campus faculty and HSCP faculty relates to the treatment of compensation earned via outside professional activities. Central to the proposed draft APM - 025 is the concept that faculty owe their primary professional allegiance to the University in terms of time and effort, a concept that pertains to HSCP faculty as well. However, APM - 025 de-emphasizes compensation as an element of policy since there are no restrictions or limits on the types and amounts of compensation that may be earned by general campus faculty. For HSCP participants, given the operations of the Plan, the University is concerned about time, effort, *and* earnings (types, amounts, and disposition). Thus, a separate policy, contained in APM - 671, is required to provide guidance as to how all earnings are treated under the Plan.

To enhance clarity and to foster consistent interpretation, APM - 671 will house all concepts and policy related to conflict of commitment and outside professional activities of HSCP participants. APM - 025 will no longer apply to HSCP participants; however, all relevant language for APM - 025 will appear in APM - 671 as well. This means HSCP faculty will no longer have to shift back and forth between two policies. Eligibility for governance under APM - 025 or APM - 671 will be mutually exclusive: HSCP

participants will be subject to APM - 671 and all other faculty, including health sciences faculty who are *not* members of the Plan, will be subject to APM - 025.

### **Management Consultation**

The Office of Academic Personnel circulated drafts of APM - 025 and APM - 671 during the late fall and winter 2012-2013 for Management Consultation. Reviewers generally conveyed support and several offered recommendations. Here are some of the recommendations that have been incorporated in the Systemwide Review drafts:

Policy and Purpose. New language is added to establish a normative structure at the beginning of the two policies. Initial draft language has been edited to reflect one standard to describe a faculty member's obligation to the University stated in the definition of Conflict of Commitment: "A conflict of commitment occurs when a faculty member's outside activities interfere with the faculty member's full-time professional obligations to the University of California."

Definitions. Proposed language returns to the definition of Outside Professional Activities in current APM - 025 which reads: "...Outside Professional Activities are defined as those activities that are within a faculty member's area of professional, academic expertise and that advance or communicate that expertise through interaction with industry, the community, or the public..." Outside Consulting is identified as a subset of Outside Professional Activities. The definition of Conflict of Interest is omitted in favor of a brief reference to conflict of interest policies.

Categories I, II, and III. Internal references are added to assist the reader in interpreting and understanding the policy. Category I activities are described as those most likely to create a conflict of commitment because they: 1) are similar in nature to core University duties but are performed for third parties, and 2) require significant professional commitment. Subsections on student involvement and the use of University resources are returned to the General Principles section rather than included as Category I activities so that all faculty are subject to these provisions. Category II activities are described clearly as outside the course and scope of the faculty member's regular University appointment. The description of Category III activities is modified to state that they are within the course and scope of employment.

Eligibility. New language makes clear that all faculty holding appointments in the specified title series are subject to the policy; however, faculty holding appointments of less than 50 percent time are not subject to the prior approval and annual reporting requirements.

### **Systemwide Review**

Systemwide Review is a public review distributed to the Executive Vice Chancellors, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees and union membership about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review.

Employees should be afforded the opportunity to review and comment on the draft new policy, available online at: <http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees affected by these proposals.

This letter and enclosures anticipate that you will begin Systemwide Review of the proposed draft and submit comments no later than February 1, 2014. Please send comments on the proposed policy to [ADV-VPCARLSON-SA@ucop.edu](mailto:ADV-VPCARLSON-SA@ucop.edu). Questions may be directed to Janet Lockwood at [Janet.Lockwood@ucop.edu](mailto:Janet.Lockwood@ucop.edu) or (510) 987-9499.

Sincerely,



Susan Carlson  
Vice Provost  
Academic Personnel

Enclosures: Proposed Revised APM - 025 (redline and clean copy)  
Proposed Revised APM - 670 (redline)  
Proposed New APM - 671 (redline comparing APM - 671 to Appendix B, APM - 670 and clean copy)  
Rationale for Proposed Revisions to APM - 025 and New Policy APM - 671  
Model Communication

cc: President Napolitano  
Chancellors  
Provost and Executive Vice President Dorr  
Executive Vice President Brostrom  
Senior Vice President Stobo  
Senior Vice President Vacca  
Vice President Beckwith  
Vice President Duckett  
Vice Provosts – Academic Personnel  
Associate Vice President Nation  
Interim Chief Risk Officer Lloyd  
Academic Personnel Directors  
Health Sciences Deans  
Health Sciences Working Group  
Executive Director Fox  
Executive Director Rodrigues  
Executive Director Tanaka  
Executive Director Winnacker  
Deputy General Counsel Drown  
Deputy General Counsel Nosowsky  
Senior Counsel Van Houten  
Senior Counsel Auriti  
Deputy Compliance Officer Hilliard  
Director Chester  
Manager Lockwood  
Human Resources Policy Analyst Bello  
Senior Administrative Analyst Rupert

**UNIVERSITY OF CALIFORNIA OFFICE OF THE PRESIDENT  
Office of Academic Personnel**

**Rationale for Proposed Revised Draft APM - 025 and New Policy APM - 671,  
Conflict of Commitment and Outside Professional Activities of Faculty**

**Introduction**

APM - 025 is the University's systemwide policy that addresses conflict of commitment and outside activities of faculty members, providing faculty and administrators with guidelines to meet University regulations governing conflict of commitment. Feedback from faculty, campus administrators, and UCOP units indicates that the current policy is confusing, redundant, and somewhat ineffective. Compliance requirements at times seem arbitrarily applied and may be out-of-date, for example the definition of covered populations. In addition, the policy is silent on many practical issues, which appears to have led to inconsistent implementation among the campuses.

Additionally, Health Sciences Compensation Plan (HSCP or the Plan) faculty are currently subject to two policies addressing conflict of commitment and outside activities: APM - 025 and APM - 670, Appendix B, Guidelines on Occasional Outside Professional Activities by Health Sciences Compensation Plan Participants. This means that HSCP faculty must satisfy two separate and different reporting requirements under both policies.

**Conceptual Foundation for Initial Drafts**

In January 2011, former Provost Pitts charged UCOP Academic Personnel with determining whether APM - 025 and APM - 670, Appendix B, Guidelines on Outside Professional Activities, could be merged to create one overarching policy governing outside activities for all University of California faculty. To fulfill that charge, UCOP Academic Personnel convened two work groups, one to address APM - 025 within the general campus context, and the other to address APM - 025 and APM - 670, Appendix B within the Plan context.

The first work group reviewed the chronology and history of APM - 025 development and issuance, conceptual questions and themes, and comparator institutional policies. This work group identified specific areas of APM - 025 that would benefit from revision, recommended substantive and structural revisions to improve the policy, and drafted new policy incorporating those recommendations.

The second work group was then convened to review proposed revisions to APM - 025 and to consider whether APM - 025 and APM - 670, Appendix B could be merged. This work group reviewed the chronology and history of APM - 670, Appendix B development and issuance, conceptual questions and themes, comparator institutional policies, and campus implementation procedures, report forms, protocols, and matters related to campus interpretation. This work group found that the current structure, placing policy and guidelines within APM - 025 and APM - 670, Appendix B is organizationally confusing for faculty and administrators alike, leading to difficulties interpreting policy principles and compliance requirements. Current policies are unclear and sometimes provide conflicting guidance for implementation. Therefore, to enhance clarity and to foster consistent interpretation, it was recommended that one new, separate policy, APM - 671, should house all concepts and policy related to conflict of commitment and outside professional activities of Plan participants. Subsequently, proposed draft APM - 025 language was integrated into APM - 671 to collate all relevant concepts and guidelines

in one policy document rather than requiring faculty to shift back and forth between two policies; this also allows for one reporting requirement rather than two different reporting requirements. Eligibility for governance under APM - 025 or APM - 671 is mutually exclusive: Plan participants will be subject to APM - 671 and all other faculty, including health sciences faculty who are *not* participants in the Plan, will be subject to APM - 025.

The work group identified additional reasons for drafting the new APM - 671:

Increase clarity. Current policies lead to unintended confusion regarding concepts central both to general campus faculty and to HSCP faculty regarding prior approval to engage in certain activities and subsequent reporting requirements. In its section-by-section analysis of proposed draft APM - 025, the work group agreed that if APM - 025 and APM - 670, Appendix B were merged, there would have to be separate paragraphs for general campus faculty and for HSCP faculty in almost every section of policy, leading once again to confusion for all faculty.

Specify treatment of outside earnings. While reporting outside earnings is not required of general campus faculty, it is, and should be, required of HSCP faculty. Health sciences campuses run large-scale business enterprises integral to the academic program. The success of the combined academic/business enterprise is dependent on the productivity and revenue generation by Plan participants. Unlike general campus faculty, Plan participants are eligible to receive additional negotiated and incentive compensation. (Faculty participating in the current general campus negotiated salary trial program would remain covered under APM - 025.)

### **Proposed Revised Draft APM - 025**

The general intent of APM - 025 is to ensure that when a faculty member engages in activities outside of the University, that these activities do not interfere with the fulfillment of the appointee's academic duties at the University. While some professional conflicts are inevitable, and not all conflicts can be eliminated, APM - 025 has evolved to manage the conflicts that arise when outside activities appear to interfere with an appointee's duties.

APM - 025 is rewritten to replace current language with concise statements where possible, including a straightforward declaration of the purpose and scope of the policy, and a statement that outside professional activities, regardless of the category, must not interfere with a faculty member's full-time professional obligation to the University. Outside professional activities remain divided into three categories. The policy section includes a description of the type of activity, the compliance requirements, and examples of the activities, which are described as follows:

Category I. These are activities that are likely to cause a conflict of commitment and thus require prior approval, count toward the appointee's maximum 39/48 days devoted to outside professional activities, and require disclosure in annual reporting.

Category II. These are activities that carry a moderate to low potential for conflict and do not require prior approval, count toward the appointee's maximum 39/48 days devoted to outside professional activities, and require disclosure in annual reporting.



Category III. These are activities that are unlikely to cause a conflict of commitment. As such, these activities do not require prior approval, do not count toward the appointee's maximum 39/48 days devoted to outside professional activities, and do not require disclosure in annual reporting.

While all academic appointees owe a professional commitment to the University, only the faculty as defined in APM - 110-4-15 who hold appointments at 50 percent time or more are required to comply with prior approval and reporting requirements.

Draft language generally reduces the emphasis on compensation found in current APM - 025, given that it is the nature of the activity and time allocated to outside activities that are central to the policy for general campus faculty, rather than whether compensation is received. The disclosure of compensation amounts is not required for general campus faculty; the amount of compensation is often not known, most peer institutions do not require this, and there would be no benefit gained by requesting this information or identifying activities based on compensation when there are no limitations imposed on the amount of income that may be earned. Policy reduces the emphasis on compensation as a determining factor and increases emphasis on the likely level of interference with University duties. Additionally, language excludes "Outside Non-Professional Activities" which are unrelated to the academic appointment or to a faculty member's professional obligations to the University.

#### **Proposed New Policy APM - 671**

Current APM - 670, Appendix B, Guidelines on Outside Professional Activities provides units with the choice of one of two options for managing outside professional activity income: 1) the University-wide Standard Requirement, allowing Health Sciences Compensation Plan participants to retain payments from 21 days of service (other than patient care) per fiscal year to governmental agencies, non-profit health or education-related organizations, continuing health education programs administered by the University, or to University Extension, if such service has been approved by the Dean and the Chancellor, or 2) the Alternative Option allowing Plan participants to retain income from up to 48 days of service (other than patient care) per fiscal year to all entities specified in the Standard Requirement, plus income from for-profit consulting and expert witness testimony. Campuses have interpreted these options in different ways, which has led to divergent and conflicting processes, suggesting that the policy structure and language is unclear and confusing.

Revised APM - 670 issued in July 2012 has incorporated some changes to emphasize policy requirements and safeguards relevant to both options for managing outside professional activities, moving sections-- from Appendix B to the body of APM - 670--on good standing criteria, establishment of an Advisory Committee, and reference to specific related policies, all of which must be described in School Implementing Procedures.

Proposed APM - 671 describes one method for managing outside professional activities and income which combines elements of the University-wide Standard Requirement and the Alternative Option. This method includes the following details:

- A minimum 21 days and maximum 48 days annually to engage in outside professional activities, the specific time limit to be specified in School/Department Implementing Procedures
- Increasing the maximum annual outside professional activities earnings approval threshold to \$40,000 or 40 percent of the fiscal year base salary scale (Scale 0)
- A pre-approval requirement after either the time or dollar threshold has been reached
- The requirement that school/department Implementing Procedures define taxation for the first \$40,000 earned and subsequent earnings
- The requirement that school/department Implementing Procedures clearly define the types of activities for which time limits and income earned count toward the approval threshold.

Current APM - 670 is clear regarding the disposition of clinical income. APM - 670-19-a states that “All clinical income is due to the Plan. In no case will Plan participants be allowed to retain income from patient care activities.” This principle is central to the HSCP and to establishing guidelines for outside professional activities and is incorporated into proposed APM - 671.