

UNIVERSITY OF CALIFORNIA



AMENDED

DIVISION MEETING OF THE MERCED ACADEMIC SENATE

FRIDAY, NOVEMBER 14, 2014

3:00-5:00 p.m.

Chancellor's Conference Room

232 Kolligian Library

ORDER OF BUSINESS

I. ANNOUNCEMENTS

40 min

- A. Division Chair Jian-Qiao Sun
- B. Provost and Executive Vice Chancellor Thomas W. Peterson

II. CONSENT CALENDAR

- A. Approval of the Draft Minutes of the May 1, 2014 Meeting pp. 5-17
- B. Annual Committee Reports (2013-2014)
 - [Division Council](#) pp. 18-20
 - [Committee on Academic Personnel](#) pp. 21-28
 - [Committee on Academic Planning and Resource Allocation](#) pp. 29-37
 - [Faculty Welfare, Diversity and Academic Freedom](#) pp. 38-48
 - [Graduate Council](#) pp. 49-64
 - [Undergraduate Council](#) pending
 - [Committee on Rules and Elections](#) pp. 65-68
 - [Committee on Research](#) pp. 69-82

III. PROPOSED DIVISION REGULATION CHANGES- CRE Chair Vanderschraaf

20 min

At the May 1, 2014 Meeting of the Division, the Committee on Rules and Elections (CRE) presented proposed changes to the Merced Regulations. The proposed changes to Division Regulations were meant to codify Graduate Council approved policies for graduate education per the recommendation of the Western Association of Schools and Colleges (WASC). After consultation with the standing committees and Office of the Registrar, CRE has finalized the revisions for final consideration.

- Rationale for proposed changes pp. 83-88
- Division Regulations (with track changes) pp. 89-111

- IV. GENERAL EDUCATION- *GE Chair Zanzucchi and VPDUE Whitt*** **20 min**
Update on the status of the General Education Program Review and synthesis of recommendations from the May 2014 General Education Retreat. **pp. 112-115**
- V. STANDING COMMITTEE REPORTS** **30 min**
- Committee on Academic Personnel, Member Fanis Tsoulouhas (oral)
Committee on Academic Planning and Resource Allocation, Chair Anne Kelley (oral)
Committee on Committees, Chair Patricia LiWang (oral)
Committee on Research, Chair David Noelle (oral)
Committee on Rules and Elections, Chair Peter Vanderschraaf (oral)
Faculty Welfare, Diversity and Academic Freedom, Vice Chair Tanya Golash-Boza (oral)
Graduate Council, Chair Kathleen Hull (oral)
Undergraduate Council, Chair Jack Vevea (oral)
- VI. PETITIONS OF STUDENTS**
- VII. UNFINISHED BUSINESS**
- VIII. NEW BUSINESS: None**

Agenda items deemed non-controversial by the Chair and the Vice Chair of the Division, in consultation with the Divisional Council, may be placed on a Consent Calendar under Special Orders. Should the meeting not attain a quorum, the Consent Calendar would be taken as approved. (Quorum = the lesser of 40% or 50 members of the Division.) At the request of any Divisional member, any Consent Calendar item is extracted for consideration under “New Business” later in the agenda.

Peter Vanderschraaf
Secretary/Parliamentarian

Glossary of Senate Acronyms

BOARS	<u>Board of Admissions and Relations with Schools</u>
CCGA	<u>Coordinating Committee on Graduate Affairs</u>
COUNCIL	<u>Academic Council</u>
UCAF	<u>University Committee on Academic Freedom</u>
UCAP	<u>University Committee on Academic Personnel</u>
UCAAD	<u>University Committee on Affirmative Action and Diversity</u>
UCCC	<u>University Committee on Computing and Communications</u>
UCEP	<u>University Committee on Educational Policy</u>
UCOC	<u>University Committee on Committees</u>
UCFW	<u>University Committee on Faculty Welfare</u>
UCIE	<u>University Committee on International Education</u>
UCOLASC	<u>University Committee on Library and Scholarly Communication</u>
UCPB	<u>University Committee on Planning and Budget</u>
UCOPE	<u>University Committee on Preparatory Education</u>
UCORP	<u>University Committee on Research Policy</u>
UCPT	<u>University Committee on Privilege and Tenure</u>
UCRJ	<u>University Committee on Rules and Jurisdiction</u>

2014-2015 SENATE COMMITTEE ASSIGNMENTS

DIVISION COUNCIL

Jian-Qiao Sun, Chair (SOE), COUNCIL
Cristián Ricci, Vice Chair (SSHA)
Peter Vanderschraaf, CRE Chair, Secretary/Parliamentarian (SSHA)
Jack Vevea, UGC Chair (SSHA)
Patricia LiWang, CoC Chair (SNS)
Theofanis "Fanis" Tsoulouhas, CAP Member (SSHA)
Kathleen Hull, GC Chair (SSHA)
Anne Kelley, CAPRA Chair (SNS)
Rudy Ortiz, FWDAF Chair (SNS)
David Noelle, COR Chair (SSHA)
Robin DeLugan, At-Large (SSHA) Assembly
Thomas Hansford, At-Large (SSHA) Assembly Alternate

COMMITTEE ON ACADEMIC PERSONNEL

Raymond Gibbs, Chair (UC Santa Cruz)
David Kelley, Vice Chair (SNS), UCAP
Theofanis "Fanis" Tsoulouhas (SSHA)
Michael Modest (SOE)
Michelle Yeh (UC Davis)
Gary Jacobson (UC San Diego)
John Leslie Redpath (UC Irvine)
Rajiv Singh (UC Davis)

COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION

Anne Kelley, Chair (SNS), UCPB
Joshua Viers, Vice Chair (SOE)
Mukesh Singhal (SOE)
Jan Wallander (SSHA)
Marilyn Fogel (SNS)
Cristián Ricci, Senate Vice Chair, (SSHA)
Ex-Officio: Jian-Qiao Sun, Senate Chair (SOE),
Danielle Bermudez (GSA) & Daisy Pelayo-Figueroa (ASUCM)

COMMITTEE ON COMMITTEES

Patricia LiWang, Chair (SNS), UCOC
Erik Menke, Secretary (SNS)
Wei-Chun Chin, (SOE)
Kara McCloskey (SOE)
Paul Gibbons (SSHA)
Kevin Mitchell (SNS)
Anna Song (SSHA)
Alexander Whalley (SSHA)
Ex-Officio: Jian-Qiao Sun, Senate Chair (SOE)

COMMITTEE ON RESEARCH

David Noelle, Chair (SSHA), UCORP
Deborah Wiebe, Vice Chair (SSHA) UCOLASC
Jason Hein (SNS)
YangQuan Chen (SOE)
Masashi Kitazawa (SNS)
Ex-Officio: Samuel Traina, VC for Research & Economic Development, Jian-Qiao Sun, Senate Chair (SOE), & Cristián Ricci, Senate Vice Chair (SSHA)

COMMITTEE ON RULES AND ELECTIONS

Peter Vanderschraaf, Chair (SSHA)
Lin Tian, Vice Chair (SNS)
Rick Dale (SSHA)

Ex-Officio: Jian-Qiao Sun, Senate Chair & Cristián Ricci Senate Vice Chair (SSHA)

FACULTY WELFARE, DIVERSITY AND ACADEMIC FREEDOM

Rudy Ortiz, Chair (SNS), UCAAD
Tanya Golash-Boza, Vice Chair (SSHA), UCFW
Shawn Newsam (SOE)
Linda Cameron (SSHA)
Nestor Oviedo (SNS)
Wei-Chun Chin (SOE)
Ex-Officio: Gregg Camfield, Interim VP for Faculty (SSHA),
Jian-Qiao Sun, Senate Chair (SOE), & Cristián Ricci, Senate Vice Chair (SSHA)

PRIVILEGE AND TENURE

Onuttom Narayan, Chair (UC Santa Cruz), UCPT
Paul Maglio, Vice Chair (SOE)
Jodie S. Holt (UC Riverside)
Thomas Joo (UC Davis)
Ex-Officio: Jian-Qiao Sun, Senate Chair (SOE), & Cristián Ricci, Senate Vice Chair (SSHA)

UNDERGRADUATE COUNCIL

Jack Vevea, Chair (SSHA), UCEP
Christopher Viney, Vice Chair (SOE), BOARS
YangQuan Chen (SOE), UCIE
Sholeh A. Quinn (SSHA), UCOPE
Kelvin Lwin (SOE)
Anne Zanzucchi (SSHA)
Harish S. Bhat (SNS)
Carrie Menke (SNS)
Katherine Steele Brokaw (SSHA)
Linda-Anne Rebhun (SSHA)
Mario Sifuentez (SSHA)
Marcos Garcia-Ojeda (SNS)
Nigel Hatton (SSHA)
Paul Gibbons (SSHA)
Ex Officio: Charles Nies, VC Student Affairs Cristián Ricci, Senate Vice Chair (SSHA), Elizabeth Whitt, VP and Dean of Undergraduate Education, Jian-Qiao Sun, Senate Chair (SOE), & Desiree McClain(ASUCM)
Lecturers(Non-voting): Kamal Dulai (SNS) & Iris Ruiz (Merritt Writing Program); *Liaisons:* Suzanne Sindi (SNS)

GRADUATE COUNCIL

Kathleen Hull, Chair (SSHA), CCGA
Michael N. Dawson, Vice Chair (SNS)
Ramesh Balasubramaniam (SSHA)
Sayantani Ghosh (SNS)
Sachin Goyal (SOE)
Changqing Li (SOE)
Victor Munoz (SOE)
Kurt Schnier (SSHA)
Miriam Barlow (SNS) Spring 2015 Only
Ex Officio: Marjorie Zatz, Dean of the Graduate Division,
Jian-Qiao Sun, Senate Chair (SOE), Cristián Ricci, Senate Vice Chair (SSHA) & Brandon Stark (GSA)
Consultant: Laura Martin, COIA & Tsu Ya, Graduate Admissions and Academic Service Manager

**REGULAR MEETING OF THE UC MERCED DIVISION
MAY 1, 2014
MINUTES OF THE MEETING**

I. CALL TO ORDER

Pursuant to call, the UC Merced Division Academic Senate met on Thursday, May 1, 2014 in Room 232 of the Kolligan Library. Senate Chair Ignacio López-Calvo presiding.

II. Announcements

A. Division Chair Ignacio López-Calvo: The Chair López-Calvo thanked everyone for attending and welcomed Chancellor Leland and Provost/EVC Peterson. Attendees were advised that CRE Vice Chair Vanderschraaf would be serving as the Secretary/Parliamentarian, and CoC Member McCloskey would substitute for CoC Chair LiWang.

- **Division Council Update:** Over the past few months the Division Council (DivCO) has engaged in numerous discussions on campus and systemwide issues, including the Course Buyout Policy, WASC Core Competencies, MAPP revisions, Medical Education, diversity hires, MOU, APM revisions, and Bylaw Revisions.
- **Active Searches:** The Senate is currently participating in several administrative searches, including the following: Assistant Vice-Chancellor for Finance, Assistant Vice-Chancellor for Real Estate, Vice-Provost for Faculty, and University Librarian.
- **FTE Request:** Due to enrollment decreases, only 7-9 faculty FTE lines would be available this year. Therefore, the Chancellor and Provost/EVC, in consultation with the Senate, decided to not launch the FTE proposal process until additional FTE lines were made available.
- **Strategic Academic Focusing Initiative:** Several town hall meetings were held to provide faculty the opportunity to express concerns and make suggestions to the strategic academic focusing initiative committee. Chair López-Calvo reminded faculty that proposals are due on May 2, 2014.
- **Start-Up Funds:** At the fall 2013 Meeting of the Division, numerous faculty members expressed concern regarding having to expend start up funds within the first three years of employment. As a result, Chair López-Calvo and Vice Chair Sun spoke with the Chancellor Leland and Provost/EVC Peterson. Senate leadership was assured that the policy would not be implemented until an alternative emergency fund was developed to support faculty financial needs.
- **UC Path & Open Access Policy:** UC Path will be implemented on April 1, 2014 and the Open Access Policy will take affect November 1, 2014.
- **Composite Benefit Rates:** At this time, there are continuing unresolved issues associated with the Composite Benefits Rates. To address these issues Systemwide Chair Jacob plans to provide several recommendations to

President Napolitano. Chancellor Leland added she believes the issue will be resolved at the next Chancellor's meeting.

- **Sexual Harassment Officer:** The Senate discussed the need for a Diversity Official and a single point of contact for sexual harassment and diversity issues. Chancellor Leland plans to delegate responsibility to the new Associate Chancellor. The position will have two components (1) diversity and campus climate and (2) risk management compliance.

B. Chancellor Dorothy Leland

Chancellor Leland discussed the new Memorandum of Understanding (MOU) that is an internal administrative agreement between the University of California Office of the President (UCOP) and UC Merced. For the past few years, the campus has had an MOU with the Office of the President that provided an additional ten thousand dollars per student. The new MOU will continue to provide an additional ten thousand dollars per student and will now also provide seed funding for a start up account. The campus has not had dedicated funds for start up and instead has drawn from vacant positions. This has the potential to create future problems when all positions are filled. The MOU will also include a commitment from UCOP for significant financial funding for Project 2020. Project 2020 would double the physical capacity of the campus through a partnership with private development. The MOU will clearly state that UCOP will provide between 25-50% of necessary funds for Project 2020.

Another new addition to the MOU is significant financial support from UCOP for the various mitigations needed to expand the campus. For example, we have significant roadway mitigation obligations, due to the increase in community traffic associated with the campus. Another example is the disturbance of wetlands from the campus build-out. In order to mitigate the reduction of wetlands, we are required to locate additional land and restore it to productive wetlands.

A faculty member asked if the MOU includes a commitment to the guarantee pool.

Chancellor Leland responded in the affirmative, as UC Merced has always had a commitment to the guarantee pool and will continue to do so. UCOP made a commitment to UC Merced that the guarantee pool is not just a UC Merced problem, but a systemwide issue. We have already outpaced our ability to serve as the only guarantee pool campus. Currently, in order to honor the guarantee pool, we have to defer admissions to the spring for admitted students in the guarantee pool. The deferral process places a number of students off cycle. This is good for campus revenue, but creates academic complications.

Chair López-Calvo added that he also brought this issue to the attention of the Academic Council at the beginning of the year. He asked Systemwide Senate leadership about the issue and both the Chair and the Vice-Chair provided the same response Chancellor Leland relayed. Systemwide is aware of the issues faced by our campus from lack of space to fairness in accepting guarantee pool applicants.

Chancellor Leland indicated that the campus will continue to be responsible for the majority of the guarantee pool, as all of the other campuses are ramping up their out-of-state and international enrollment because of the increased revenue associated with those students. UC Merced is not increasing enrollment of students paying non-resident tuition due to the historical commitment to the guarantee pool, which will be affecting the campus affects us negatively revenue wise.

A faculty member asked: Has there been any discussion on possibly modifying revenue streams?

Chancellor Leland responded that no discussion on modifying revenue streams has occurred. The official statement continues to be that we are honoring the master plan and the Chancellor's job is to inform them that the way we are currently honoring the plan will not be viable in the future. In the past, the guarantee pool obligation was addressed by UC System requiring every campus to hold a certain percentage of their open slots for students who qualified to attend the University of California, but were not admitted to their school of choice. It is unclear if the recommendation from UCOP will be to go back to the original form of addressing the master plan or to shrink the pool by tightening up some of the qualifications for admittance. The proposal will come from the UCOP and, unfortunately, campuses have not been invited to participate in the conversations.

C. Provost and Executive Vice Chancellor Thomas W. Peterson

Provost/EVC Peterson stated that is important to remember the trajectory we have been on with respect to increasing undergraduate enrollment and what that trajectory will look like in the next couple of years. The campus added approximately 600-800 additional undergraduate students over what the enrollment numbers were in previous years. Next year, those numbers will be closer to 100-150 and the year after that, approximately 400. The increase in projected enrollment growth is, in large part, linked to the guarantee pool, the large number of students who placed Merced as their first choice school, and a larger number of students accepting admission to UC Merced. Next year's enrollment is a decrease in the rate of growth, which puts the university back on track with the enrollment projections submitted to UCOP and the MOU..

This year, the campus is recruiting for 35 faculty positions, which are a combination of new positions and carryover positions. Additionally, all of the Schools have requested additional lines to address clear needs for spousal hires. The campus agrees that spousal hires are a very important element in our recruiting plan, along with addressing opportunities for developing a more diverse faculty. To grant all of the requested spousal hire positions, it would require an additional 12 positions, which would come out of future allocations for the campus. The approach may sound concerning, but it is the reality given the campus's financial situation and space constraints. The Provost/EVC is asking for a one-year hiatus in faculty recruitment to use this time constructively in order to finish the strategic academic focusing exercise and develop a strategic plan.

A faculty member raised her concern associated with the aspects of Project 2020, which calls for a much more accelerated growth for graduate education than undergraduate education. Given the situation that many faculty have reached their capacity for

supporting graduate students, Provost/EVC Peterson was asked to talk more about how the campus will reach 1,000 graduate students by 2020.

Provost/EVC Peterson responded that graduate student enrollment will be dependent on the campus revenue and the capacity to hire faculty. Important elements to consider are: (1) the continuing cost associated with salaries and their start-up packages, (2) space, and (3) tuition revenue associated with enrollment. Chancellor Leland added that reaching 1000 graduate students by 2020 is a stretch goal and through conversations with faculty, it is also clear that it was time to pay attention to the growth of our graduate programs to avoid being perceived as an undergraduate campus. If the development plan had kept pace with enrollment, the campus would not be in this situation. So even though we have additional classroom space, we continue to have a severe deficit of certain teaching laboratory spaces. Space constraints is the main reason for curtailing undergraduate enrollment for two years. This may allow graduate programs to grow in terms of the quality of students we bring into programs, but not in terms of the quantity of students.

Provost/EVC Peterson clarified that the campus has approximately 180 faculty and will be adding a minimum of 35 more faculty who could start next fall. Provost/EVC Peterson conveyed his commitment that if these 35 positions are not filled, they will be carried over until filled.

A faculty member asked about the plans for staff hires.

Provost/EVC Peterson responded that the following Monday, during the first budget meeting, many requests for staff support from across the campus would be discussed.

Chancellor Leland added that there were additional dollars projected to support staff growth, but the Schools have asked for opportunity hires for this year. A faculty member asked, as the next few years of faculty hiring unfold, about the ratio of ladder rank faculty to LPSOE and LSOE faculty.

Provost/EVC Peterson responded: The simple answer is that if we want to be in the same league as our sister institutions within the UC system. The campus needs to move to a higher ratio of ladder rank faculty. This does not mean that we stop hiring lectures, as they will continue to play an important role, but we have to move to a higher ratio of ladder-rank faculty. This means that ladder rank faculty will need to assume a larger amount of responsibility for both the undergraduate and graduate teaching load.

Chancellor Leland added that it is important to be aware that comparative ratios between faculty and student FTE are not a pressing concern for UCOP, because they see those ratios at the other campuses. An argument that has been and will continue to be made is that UC Merced cannot grow our graduate and research programs, except with the best ladder-rank faculty that we can find. This means that we need the MOU to support our growth as a graduate research university.

Chair López-Calvo added that if we do not want to be known as an undergraduate campus of the UC system, we need to make it clear to UCOP that we need to hire ladder rank faculty to grow our graduate student numbers. Otherwise, our graduate students will continue to be only 5 percent of the student population.

Provost/EVC Peterson then went on to discuss strategic academic focusing. The deadline to submit round two of the proposals is May 2, 2014. The Provost/EVC has been working with UCSF, who administers the open proposal site, to solve issues that were unanticipated. There is a new button that allows proposal submitters to add a new proposal. If that is done, please indicate in the original proposals' executive summary that the proposal has been replaced. Finally, proposals will not be rejected if the six-page limit is extended, but all proposals should be as succinct as possible and there is a method to add attachments if necessary.

D. Consent Calendar

- a. The minutes were approved as presented.
- b. Revisions to UC Merced Regulation 70.2- Course Drop Policy were approved as presented.
- c. Revisions to UC Merced Regulations 50. C- Incomplete Grade Policy were approved as presented.

E. DISCUSSION ITEMS

Chair López-Calvo introduced CRE Vice-Chair Peter Vanderschraaf and GC Chair Valerie Leppert to discuss proposed revisions to Merced Regulations. CRE Vice-Chair Vanderschraaf explained that the campus requested an expedited review from WASC for new CCGA approved programs originating from Interim Individualized Graduate Programs (IIGP). WASC approved the request and made a single recommendation to codify policies for graduate education in the UC Merced Regulations. On April 2, 2014, the Graduate Council proposed basic structural changes to facilitate inclusion of the graduate regulations and unanimously endorsed the proposed changes/additions.

The proposed structure for the Merced Regulations is listed below:

- Part I: General regulations (minor changes)
- Part II: Undergraduate regulations (no substantive changes proposed)
- Part III Graduate regulations (new)
- Part IV: Master's requirements (new)
- Part V: Doctor of Philosophy requirements (new)

The major proposed changes to existing Regulations are as follows:

Page 1. Added distinction between undergraduate / graduate and specified credit toward degree requirements

"Graduates: A course in which the grade A, B or S is received is counted toward degree requirements. A course in which the grade C, D, F, or U is received is not counted toward degree requirements. Grades I and IP are not counted until such time as they are replaced by grades A, B or S."

- Page 2 Specification of resolution of incompletes for graduate students

"For graduate students, the maximum amount of time that an instructor may allow for making up incomplete work is two semesters of enrollment, but stricter limits may be applied. The procedure is to process such

requests with the approval of the Dean of the School in which the course was offered. If not made up within the time allowed, an I grade will be converted to an F or U. Ordinarily, I grades do not affect GPA. However, when computing GPA to determine whether the student meets the minimum GPA requirements for graduation (3.0), I grades are counted as "F." A graduate student with an I grade may proceed toward a degree only at the discretion of the Dean of the Graduate Division."

Page 3. Suggest language that P/NP are not counted towards degree requirements
"For graduate students, the grade P is not considered as meeting the academic criteria for satisfactory progress, for university-administered fellowships, or for academic appointments/employment. A graduate student may elect P/NP grading for one course only (a maximum of 4 units) per semester. Under no circumstances will courses taken P/NP count toward unit and degree requirements for any graduate degree program."

The graduate specific regulation changes derive from material already in the Graduate Policies and Procedures Handbook (formerly Graduate Advisors Handbook). Graduate Council proposed the following organization for these sections:

- Part III, Section 1: Satisfactory Progress
- Part III, Section 2: General Requirements
- Part III, Section 3: Examinations
- Part IV, Section 1: Residency (Master's)
- Part IV, Section 2: Residency (Doctoral)
- Part V, Section 2: Advancement
- Part V, Section 3: advancement Committee
- Part V, Section 4: Doctoral Committee
- Part V, Section 5: Final Examination
- Part V, Section 6: Dissertation

F. 2014-2015 DIVISION CHAIR, VICE CHAIR, AND SECRETARY/PARLIAMENTARIAN

With no further questions, Chair López-Calvo encouraged senior faculty to serve on Senate committees due to our campus's small size and limited number of full professors. Chair López-Calvo then introduced CoC Member Kara McCloskey.

CoC Member McCloskey announced the elected 2014-2015 Division Chair, Vice Chair and Secretary/Parliamentarian below. :

- Jian-Qiao Sun, SOE , Division Chair
- Cristián Ricci, SSHA, Division Vice Chair
- Peter Vanderschraaf, SSHA, Secretary/Parliamentarian

G. STANDING COMMITTEE REPORTS

- a. **Committee on Academic Planning and Resource Allocation (CAPRA):** No report

b. Committee on Academic Personnel (CAP)-Vice Chair David Kelley

CAP has deliberated on routine merit cases, mid-career appraisals (MCA) and promotion cases. The Academic Personnel office (APO) established a November 15, 2014 deadline for the Schools and thanks everyone for their cooperation in meeting the deadline. CAP held its bi-annual meeting with faculty on September 20, 2013 attendees include APO staff, CAP members, the Provost/EVC, AP Chairs, Senate staff, and faculty. A variety of concerns were expressed at the meeting, which have been subject to some discussion between APO and CAP.

CAP opined on systemwide requests to review proposed revisions to the APM. CAP also advised VPAP David Ojcius and APO with regard to preparing bio-bibliographies. APO continues to refine Digital Measures. If there are additional comments or concerns with the process, CAP is interested in receiving them.

At the request of APO and the Provost/EVC, CAP advised on proposed revisions to the MAPP.

CAP's vice-chair continues to serve as the Merced representative to UCAP. One of the most contentious issues involves the voting rights of medical faculty in various bylaw units.

A faculty member asked whether the bio-bibliography will remain or if the use of CVs is sufficient.

CAP Vice-Chair Kelley responded that the bio-bibliography will remain for now and is helpful to CAP in the delineation between review periods.

A faculty member asked if CAP will formally solicit feedback on Digital Measures.

CAP Vice-Chair Kelley responded that CAP provides input to APO staff who maintains ownership of Digital Measures. At the last CAP/APO meeting, there was considerable discussion on proposed changes to Digital Measures. Faculty are encouraged to contact APO with additional, requested changes to Digital Measures.

CAP Vice-Chair Kelley stated that clarification is needed in regards to which publications were evaluated in previous review periods and which are to be given credit in the present review. Individual faculty members must make their own

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determination about including work in the pipeline when they complete their bio-bibliographies.

A faculty member inquired about the choice to include work in progress or in print.

CAP Vice Chair Kelley replied that it is at the discretion of individual faculty members.

A faculty member provided a scenario in which faculty request an acceleration, include work in progress, and the acceleration is not granted by the Provost/EVC.

CAP Vice-Chair Kelley explained that depending on the case, some may be evaluated as a normal advancement; some clarification may be needed in instances when accelerations are a year early.

A faculty member expressed concern with the first routine merit review for a new faculty member, when all publications were previously submitted in the appointment case.

CAP Vice-Chair Kelley explained that usually the initial review is very close to being proforma.

c. Committee on Committees (COC)- Member Kara McCloskey

Since the last Division meeting, CoC has appointed 21 Senate members to various campus committees, sub-committees and working groups, and it is now turning its attention to completing the Senate slate for AY 2014-15. Additionally, CoC encourages all Senate members to complete the Senate preference survey to help CoC align any invitation to serve with your preference for service.

d. Committee on Research (COR)- Chair Ruth Mostern

This is the inaugural year for the Committee on Research (COR). Last year's Graduate and Research Council split into the Graduate Council and Committee on Research, because since graduate business is extremely pressing and time consuming, research issues were not addressed. In its first year, COR has identified the development of policies for the establishment and the review of research units as a top priority. Although there has never been a full review process, in the past there have been two occasions, in 2009 and 2011, when the Senate considered policies for the Senate to approve Organized Research Units, Centralized Research Units, and other research entities on the campus.

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This year, COR reviewed previous proposals and identified where they were not aligned with systemwide procedures. After deliberating, COR proposed new policies and procedures which are currently under review by DivCo. The goal is to put in place a formal procedure by AY 2014-2015 for existing research units to undergo a formal review process recognized by the Senate. Once the procedures are in place it will help trigger formalized request for budgets and periodic reviews. It is essentially bringing the ecosystem of research units under the full scrutiny of the Senate evaluation process.

COR also completed the annual faculty grants review process where 17 grants were awarded from 51 proposals received. A few changes were made to the criteria and the committee is considering additional changes to the process and criteria for funding next year. The significant underlying issue is that the amount of money allocated for these faculty grants has not increased since the opening of the university. Consequently, the rate of funding is becoming increasingly lower and at some point it will not be worth the time to submit or review the proposals. COR wrote a memo to DivCo addressing this issue with the goal of working with the administration to address future fund allocations.

Additionally, COR is tracking lab safety issues and has assigned a committee member to provide ongoing updates.

COR is also examining indirect cost return policy and rate models. The committee is just starting this process and there is no formal policy that explains how indirect costs have been allocated and what amounts are returned to faculty research in a visible and transparent way. The committee plans to meet with VC Reese and VCPB Feitelberg to begin discussions on the topic.

COR reviewed the Public Health Major and Chair Mostern co-chaired with Interim Head Librarian Donald Barclay an adhoc committee called the Senate-Administration Library Working Group. The Working Group recommended that the Senate form a permanent Library Advisory Committee. This is a committee that exists at other UC campuses and it has not been perceived as a top priority on our campus due to the small size of our faculty. It has now been identified as a priority especially with the new Open Access Policy.

Provost/EVC Peterson asked if COR be willing to bench mark some indirect cost return models with regard to sharing with the faculty, departments, and Schools so that we have some examples to review.

Chair Mostern replied that COR has just begun reviewing examples and the challenge has been that elsewhere in the UC system it is hard to find tangible models.

Chancellor Leland stated that VCR Traina has been working on a model and hopes he is involved in the process.

Chair Mostern replied VRC Traina attends all COR meetings as he is an ex-officio member and has been extremely helpful in providing information to help understand how indirect cost return operates on campus.

Chancellor Leland went on to say that she found it interesting that UC Berkeley does not provide funds back to the faculty or provides a flat sum every year. Some campuses control it centrally and others allow for more control at the dean level. Our campus can develop a policy that works best for our situation.

A faculty member stated that a metric was proposed in the past for the amount of funds to be allocated for research per faculty member. That proposal does exist somewhere in the records.

Chair Mostern replied that it could be related to the indirect cost return conversation and increasing the size of funding for faculty grants.

e. Committee on Rules and Elections (CRE)- Chair Rick Dale

The Committee on Rules and Elections opined on a number of issues including the following: Online cross campus course offerings; Bylaw 55 revision; Clarification of MAPP procedures for career equity reviews; Self-Supporting Graduate Degree Programs; MCB Proposal; CIS emeritus voting issue and School Bylaw Updates.

Additionally, CRE issued a request for a review of the draft revisions to Regulations of the Merced Division which Chair Dale presented on earlier today. CRE also submitted the call for nominations to fill vacancies for four CoC members and one at-Large Member. Nomination petitions are available today and faculty are encouraged to nominate colleagues for these important positions. Petitions should be received in the Senate office by tomorrow May, 2 2014.

f. Faculty Welfare, Diversity and Academic Freedom (FWDAF)-Chair Rudy Ortiz

The Faculty Welfare, Diversity and Academic Freedom committee similar to the Committee on Research is in close to completing its inaugural year. The committee has representation on the Senate-Administration Faculty Salary Equity study which every campus is undertaking. The committee has had regular discussions regarding UC health plans and will be meeting with a campus representative on health care issues next week to discuss this further.

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FWDAF meets regularly with the campus Ombuds and partnered with APO to establish the faculty professional development workshop series. This series provides opportunities for training for junior faculty. Four workshops have been completed since the series' inception. The next workshop topic will be The Road to Tenure. Members of CAP including the CAP Chair will be in attendance.

Chancellor Leland asked to attend a FWDAF meeting to discuss the Campus Climate Survey Report and requested a FWDAF member to serve on the committee she formed to address the survey.

From a diversity perspective Chair Ortiz held several roundtable discussions with Provost/EVC Peterson, Senate Chair López-Calvo, and COR Chair Mostern. In addition, Chair Ortiz delivered presentations to the deans to discuss the potential for developing a mechanism to address campus diversity issues.

Chancellor Leland requested to be kept informed of any health plan issue and asked for a copy of the information that Human Resources submitted to FWDAF.

g. Graduate Council (GC)- Chair Valerie Leppert

The main issue the Graduate Council is undertaking are the changes to the Merced Regulations. Several Coordinating Committee on Graduate Affairs (CCGA) proposals were submitted and the committee is actively reviewing them. Sociology, EECS and ME have all been through review and nearing completion for final review and approval by CCGA. Molecular Cell Biology was reviewed by standing committee, the graduate dean, ALO, and the Provost/EVC.

For systemwide issues the committee has opined and contributed to policies that are being drafted on Self-Support Programs and Professional Degree Supplemental Tuition.

A rather important item that the Graduate Council and the CCGA participated in was an all UC campus meeting discussing graduate student support. Topics discussed include: non-resident tuition, multiyear offers, professional development, graduate student diversity and UC offering competitive graduate student support. A number of ideas were generated from the discussions which will need to be put forth at the campus level. For example, one of the proposals put forward is recycling resident tuition funds which we are already doing on our campus.

Graduate Council is also developing policies for graduate student guidelines for graduate groups to use as well as templates for new programs for policies, procedures, and bylaws.

FWDAF Chair Ortiz commented there is a growing sentiment in IH to do away with allowing graduate student support from traditional research awards. The idea is that they want to force campuses to use their T T and U awards to support students and they want research funding to go to research and not graduate student support.

Graduate Council Chair Leppert responded she would add the item to a future agenda as she was unaware of the sentiment but it would certainly affect the campus.

h. Undergraduate Council (UGC)- Chair Jay Sharping

The Undergraduate Council has been very busy this year with a near record number of course request forms coming through the committee. UGC approved the Public Health SSHA Major and will be considering the Community Research and Service Minor.

Program Review has been quite active as well. One of the main program reviews the committee completed was the review of Management. The committee also approved changes to the Undergraduate Management Major which is now the Management and Business Economics Major. The change continues to provide interaction between the management graduate and the undergraduate program. Additionally, there are several other program reviews taking place including General Education, Chemistry, History, Psychology, and Spanish are all on the way. To more efficiently address program review, a new subcommittee of the Graduate Council and the Undergraduate Council was created. One of the challenges with Program Review is to ensure robust conversations between the administration and the faculty during the process to ensure insightful information is received and acted upon. The committee is considering a joint faculty administration committee and this is a policy that is being drafted in collaboration with the Graduate Council.

Chair López-Calvo asked if he was talking about putting together SACAP and the Senate Program Review Subcommittee of UGC and GC?

Chair Sharping replied affirmatively.

For systemwide issues, the University Committee on Educational policy (UCEP) discussed Innovative Learning Technology (ILTI) infrastructure and the UC online related activities. An important item deriving from OP as well as UCEP is the Blue Ribbon Panel Evaluation of online education. The Governor provided ten million dollars to offer online education activities and as part of that, there was a study completed on its effectiveness. The study was not perceived favorably by many, but there are important lessons learned that should be gathered.

Chair López-Calvo added that a carry forward item from AY 2013-2014 was the proposal to split UGC into two committees as was done with GRC. The Chancellor has been very generous in offering stipends for both committee chairs next year and possibly a Senate analyst.

Chair López-Calvo ended the meeting by thanking everyone who served this year, including standing committee chairs, vice-chairs and especially the Senate staff, who do an amazing job every year. He then thanked Chancellor Leland and Provost/EVC Peterson, who have been very supportive of the Senate this year and were pleasant to work with.

H. PETITIONS FROM STUDENTS (NONE)

I. UNFINISHED BUSINESS (NONE)

J. NEW BUSINESS (NONE)

There being no further business, the meeting was adjourned.

Attest:

Ignacio López-Calvo, Senate Chair

Division Council
Merced Division of the Academic Senate
Annual Report 2013-2014

The Division Council (DivCo) held a total of 11 regularly scheduled one and a half hour, in-person meetings, 2 joint meetings and conducted some business via email with respect to its duties as outlined in UC Merced's Senate [Bylaw I.IV.3](#). In addition the Council met with President Janet Napolitano when she visited the Merced campus.

2013-2014 Accomplishments

The unofficial theme of DivCo this year was working effectively with the administration. Issues and concerns falling under this theme include the Memorandum of Understanding (MOU), the 2020 Project, and Strategic Academic Planning.

At the beginning of the 2013-2014 academic year, DivCo held a planning meeting and identified three issues that were priorities for the upcoming year:

- **Campus Challenges:** Determining space limitations.
- **Communication with the Administration:** Continuing to improve communication with the administration.
- **Graduate Recruitment:** Increasing graduate student recruitment and rebalancing the ratio of tenured and tenure-track faculty lecturers.
- **Strategic Planning:** Working effectively with the administration as we launch strategic planning.

2013-2014 List of Activities

The following summarizes the Division Council's activities and actions for 2013-2014. Please refer to the Division Council approved minutes and newsletter for details.

DivCo made recommendations to the Administration on the following items:

- President Napolitano Briefing Statements-Sent memo to Provost/EVC Peterson delineating the campus's success story.
- Periodic Review Oversight Committee (PROC)-Sent memo to Provost/EVC Peterson endorsing the Undergraduate and Graduate Council's new Periodic Review Oversight Committee charge and new program review process.
- Library's 2020 Space Plan-Forwarded standing committees' comments to Provost/EVC Peterson and Vice-Chancellor for Planning and Budget Feitelberg, expressing concerns with the Library's space plan.

DivCo reviewed and responded to the following campus items:

- Course Buyout Policy-Forwarded standing committees' and DivCo's comments to Provost/EVC Peterson disapproving of the policy.
- UC Merced Smoke and Tobacco Free Policy-forwarded standing committees' comments to Vice-Chancellor for Student Affairs Jane Lawrence with no overall objections to the policy.
- Online Cross Campus Offerings
- Campus Ethnic and Gender Diversity-Sent memo to Provost/EVC Peterson recommending the administration take proactive measures to address campus ethnic and gender diversity issues.
- CCGA Proposals-Sent memo to Provost/EVC Peterson endorsing the Sociology CCGA Proposal, Mechanical Engineering CCGA Proposal, and Electrical Engineering and Computer Science (EECS) CCGA Proposal.

- Management and Business Economics Major Review-Sent memo to Provost/EVC endorsing the proposed changes to the major.
- Senate-Administration Council on Assessment and Planning (SACAP) Proposed Revised Charge-endorsed revisions and provided suggestions.
- Course Buyout Policy 2.0-forwarded standing committees' and DivCo's comments and continued to express concerns with the policy.
- Memorandum of Understanding (MOU)-sent memo to Provost/EVC Peterson expressing overall support of the MOU for providing an understanding of the working relationship with the Office of the President and articulating raised concerns.
- WASC Core Competencies-Forwarded comments to Accreditation Liaison Officer & Coordinator of Institutional Assessment Martin and Vice-Provost and Dean for Undergraduate Education Whitt expressing concerns and requesting clarification.

DivCo opined on the following systemwide items:

- Proposed Changes to APM 600 Series-Reviewed and had no additional comments.
- Proposed Amendments to Senate Bylaw 55-Forwarded committee comments, concerns, and questions.
- 2010 CITRIS Report-Forwarded standing committee comments expressing support.
- Proposed Changes to APM 025, 670, and Proposed New Policy 671-Reviewed and had no additional comments.
- Proposed Revisions APM 035 Appendices A-1 & A-2-Forward standing committee responses offering no objections to the revisions.
- Moreno Report-Forwarded committees' comments supporting recommendations.
- Proposal to Adopt an Earlier Application Opening Date-Reviewed and had not additional comments.
- Self-Supporting Graduate Professional Degree Programs (SSGPDP)-Forwarded standing committee comments expressing concerns, posing questions and offering suggestions to reduce negative policy consequences.
- Professional Degree Supplemental Tuition Policy-Forwarded standing committee questions, comments and concerns.
- Innovative Technology Initiative Online Cross-Campus Course Pilot Project- Forwarded standing and executive committee questions, concerns and comments.
- 2nd Request Bylaw 55 review-Forwarded standing committee comments expressing reservations with extending voting rights on personnel cases to specific classes of non-Senate faculty colleagues in the health sciences department.
- Proposed Revised Draft APM 190 A-2-Forward comments endorsing the proposed revisions.
- Compendium Review-Reviewed and had no additional comments or suggested revisions.
- Revised Policy on Supplemental Military Pay-Forwarded comments endorsing the proposed revisions.
- Self-Supporting Graduate Professional Degree Programs (SSGDP) Round 2-Forwarded standing committee questions and concerns.

2013-2014 List of Guests:

Donald Barclay, Interim Librarian, September 24, 2013

Thomas W. Peterson, Provost/EVC, November 7, 2013, April 10, 2014

Professor Paul Brown, SSHA, February 24, 2014

Professor Gregg Camfield, SSHA, February 24, 2014, May 12, 2014

Chancellor Dorothy Leland, March 31, 2014

Professor Sean Malloy, SSHA, May 12, 2014

Laura Martin, Accreditation Liaison Officer & Coordinator of Institutional Assessment , May 12, 2014

Ann Kovalchick, CIO, May 12, 2014

Senate Office

The Academic Senate office continues to experience an increased workload with the ongoing growth of the campus, increase in the number of standing and subcommittees, as well as the requirements for Program Review and WASC. It is anticipated, with the implementation of the campus 2020 Plan, that the Senate office will need to empanel additional committees and additional staff to support them. In expectation of the need, the Senate office requested an additional FTE in the 2014-2015 Senate office budget request.

UCM Faculty

Ignacio López-Calvo, Chair (SSHA)
Jian-Qiao Sun, Vice Chair (SOE)
Anne Kelley, CAPRA Chair (SNS)
Valerie Leppert, GC Chair (SOE)
Jay Sharping, UGC Chair (SNS)
Ruth Mostern, COR Chair (SSHA)
Patricia LiWang, CoC Chair (SNS)
Theofanis Tsoulouhas, CAP Member (SSHA)
Rudy Ortiz, FWDAF Chair (SNS)
Rick Dale, Parliamentarian & CRE Chair (SSHA)
Paul Maglio, At-Large Member (SOE)
Robin DeLugan, At-Large Member (SSHA)

Senate Staff

Dejeuné Shelton, Executive Director
Fatima Paul, Assistant Director
Simrin Takhar, Principal Analyst
Mayra Chavez-Franco, Senate Analyst

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT
2013-2014**

TO THE MERCED DIVISION OF THE ACADEMIC SENATE:

The Committee on Academic Personnel (CAP) is pleased to report on its activities for the Academic Year 2013-2014.

I. CAP Membership

This year the CAP membership included two members from UCM and six external members. The UCM members were David Kelley, CAP Vice Chair (Natural Sciences) and Theofanis “Fanis” Tsoulouhas (School of Social Sciences, Humanities, and Arts). The external members were Raymond Gibbs, CAP Chair (UCSC, Psychology); Gary Jacobson (UCSD, Political Science); John Leslie Redpath (UCI, Biology); Richard Regosin (UCI, French and Italian); Rajiv Singh (UCD, Physics), and Michelle Yeh (UCD, East Asian Languages).

The CAP analyst this year was Simrin Takhar.

II. CAP Review of Academic Personnel Cases

CAP is charged with making recommendations on all Senate faculty appointments and academic advancements, including merit actions, promotions to tenure, promotions to Professor, and advancements across the barrier steps Professor V to VI and Professor IX to Above Scale.

Policies and Procedures

UCM CAP adheres to systemwide policies and procedures as described in the UC Academic Personnel Manual ([APM](#)). Policies and procedures not outlined in the APM, but practiced at other UC campuses, were generally observed at Merced.

The Merced Academic Personnel Policies & Procedures ([MAPP](#)) document is also a useful resource for faculty members, administrators and Academic Personnel Committee (APC) Chairs. As the MAPP is an evolving resource, CAP presented this Spring’s suggestions for revisions of the document to the Academic Personnel Office (APO) and the Division Council (DivCo).

Review Process

CAP’s review process begins when the committee receives files from APO, where they have been analyzed, vetted, and classified to facilitate further, efficient processing. The cases, as well as reviewer assignments, are distributed to the committee one week prior to CAP’s meeting and ensuing discussion of the files. CAP typically reviews fewer cases in the Fall (two to five) and many more in the Spring (five to eleven). One lead reviewer and one or two secondary reviewers, depending upon the proposed personnel action, are assigned to report on each case; however, all members are expected to read and become familiar with the files. Reviewer assignments are made according to members’ areas of expertise. Reviewers serve not as advocates of their areas, but as representatives who act in the best long-term interests of the

campus. Committee members who participate in a prior level of review for a file are recused from CAP's respective review of the file.

CAP convenes for two-hour meetings on Friday mornings; non-UCM members participate by teleconference. Reports from the primary and secondary readers on each case are followed by a thorough committee discussion, as well as a vote on the proposed action. CAP's quorum for all personnel actions is half plus one of its membership. On rare occasions, a vote on a case is deferred, and the file is returned for further information or clarification. After the meeting the CAP Chair prepares draft reports on the dossiers. These are then distributed to the committee for review, consultation, and approval. The final version of the report is sent as a letter to the Provost/Executive Vice Chancellor (EVC). If the Provost/EVC determines that no further deliberation is necessary, the substance of CAP's report and those of other levels of review are summarized by Academic Personnel in a letter that is transmitted to the dean of the candidate's school.

For the vast majority of the cases, the above process ends CAP's review of the file. The Provost/EVC communicates with CAP to discuss any disagreements with CAP's recommendation on particular cases.

Throughout the UC system certain categories of academic personnel cases, for example, appointment at tenure or promotion to tenure, require an additional formal review of the dossier and supplemental materials by an *ad hoc* committee of experts. This *ad hoc* committee is appointed by the Chancellor or the Chancellor's designate and its report is included in the materials submitted to CAP; the identity of the committee members is known only to CAP and the Chancellor or the Chancellor's designate. At the older campuses, these *ad hoc* committees generally involve three experts, with an outside Chair and one internal member from the relevant unit. Due to the limited number of tenured faculty at UCM, CAP frequently serves "as its own *ad hoc*"; however, when there is inadequate expertise within CAP to review a particular case, an *ad hoc* committee of expert faculty from other UC campuses is appointed by the Provost/EVC.

Recommendations

Appendix A provides a simple numerical summary and analysis of the CAP caseload for the 2013-2014 academic year. CAP reviewed a total of 128 cases (one case was returned for further information and is still pending at the time of this writing) during the year, compared to 98 the year prior. The committee agreed with the School recommendations without modification on 116 (91%) of the reviewed cases (see Table 2). In addition, CAP agreed with the School recommendations but with a modification (e.g., a higher or lower step) for another 5 cases (4%). For 6 other cases (5%), CAP voted against the recommendation or had a split vote for a merit, promotion, or appointment case. Two of these cases were appeals: one an appeal of non-appointment from AY 2012-2013 and one an appeal of non-reappointment, although CAP was asked to review the file after the faculty member had resigned.

Tables 1A – 1D detail caseloads and their respective outcomes according to the proposed personnel actions. Table 2 provides aggregate recommendations by the academic units.

CAP recommendations are transmitted to the Provost/EVC for a final level of review. The Provost/EVC is deeply involved in the academic personnel process, particularly in matters of

appointment and promotion at tenured levels. This final level of review gives significant weight to CAP's recommendations.

III. General Comments Regarding the Submission of Personnel Cases

In keeping with tradition, in the spring semester, the Provost/EVC and APO issued revised sections of the MAPP document for campus wide review. Along with the other Senate standing committees, CAP offered substantive feedback to improve the academic personnel process, specifically, recruitment and the process for Career Equity Reviews (CER). CAP suggested that the roles of Deans, AP Chairs, and search committees be made explicit and that the section should require the deans' concurrence with the unit chairs in the postponement, extension or cancellation of a search because of the short list composition. This consultation component will ensure a checks and balances system so that deans are not granted unilateral authority over the composition of the short list. CAP's other significant suggested revision was that CERs and merit increases should proceed separately.

CAP continues to emphasize the importance of Units/Schools getting their personnel reviews completed in a timely manner. Although there has been significant improvement this past year regarding this problem, CAP still is receiving files in late Spring and early Summer that should have been presented to us many months earlier. These delays are all originating at the Unit/School levels.

CAP continues to receive files in which Units/Schools have not properly enumerated the number and types of published materials that were specifically considered for the present review period. In some cases, the number of publications cited as relevant to a case will differ between the faculty member's statement, the Unit/School letter and the Dean's letter.

Finally, and related to the above, there remain cases in which publications are being advanced for a review which have already been evaluated in one form or another in past personnel actions (and this is a particular problem for merit reviews). With the exception of career reviews (i.e., promotions), individual publications can only count once in the review process. It is appropriate acknowledge when a faculty member has been given additional rewards for a prior publication (e.g., when a previously published article or book has now won an award). But personnel letters should not again count papers from a previous review as part of the present review period just when, for example, an article that was earlier in press has now been published. In spring semester, CAP submitted this feedback to APO in response to APO's request for input on Digital Measures, the system used to generate the bio-bibliography.

Overall, CAP hopes to push Units/School to be more specific and accurate in its count of various publications and other scholarly activities in its letters.

IV. Counsel to Provost/EVC

The CAP Chair briefly discusses each week's cases, after CAP has voted on its recommendation, with the Provost/EVC and the Vice Provost of Academic Personnel (VPAP). These discussions mostly focus on individual cases, but there were other general discussions regarding the preparation of academic personnel files, differences between the Academic Divisions in their recommendations, and CAP procedures. CAP also had several conversations with the

Provost/EVC and the VPAP, along with the Deans, regarding the Deans' role in the faculty appointment process and how best to transmit that information to CAP in specific appointment cases.

V. Academic Personnel Meetings

Fall Meeting

As is becoming an annual tradition at the UCM campus, the Provost/EVC and the VPAP requested CAP's presence at a fall academic personnel meeting. The meeting, held on September 20, 2013, was also attended by faculty and administrators. CAP was represented by Vice Chair David Kelly, along with one other internal member and three of the six other external members. The committee participated in three discussion sessions. The first morning session was held with Assistant Professors and Academic Personnel. This session began with a brief introduction to the academic personnel review process. A second, lunch, meeting was held involving CAP members, Provost/EVC, VPAP, AP Chairs, and UCM faculty. This was followed by an afternoon session and was open to all faculty members, School APC Chairs, School personnel staff, the Deans, and Academic Personnel. This session was devoted to questions and answers on various facets of the academic personnel process at UCM. Brief minutes from both sessions are available in the APO. One of the most significant discussion items raised by untenured faculty was the lack of a functional research infrastructure at UCM and the adverse impact their trajectory towards tenure. After the meeting, CAP submitted a memo to the Provost/EVC to express its desire to work with the Provost/EVC to find solutions to these problems.

Spring Meeting

Academic Personnel, CAP, the Deans, and the School AP Chairs convened during the spring semester to discuss the academic review process, as well as academic personnel policies and procedures. This meeting was held on May 9, 2014. CAP was represented by Chair Ray Gibbs, Vice Chair David Kelley, and one other internal member. Discussion items focused on the preparation of the Case Analysis, Bio-Bibliography elements, and the Merit Short Form.

VI. Academic Senate Review Items

The Division Council transmitted to CAP various campus and systemwide proposals and documents for review. The Committee returned formal opinions on some of these, including proposed revisions to APM 35 and 600, as well as Senate Bylaw 55. We also, as mentioned above, gave extensive feedback on MAPP.

VII. Acknowledgments

CAP would like to acknowledge its excellent working relationship with David Ojcus in his role as Vice Provost of Academic Personnel. The committee would also like to acknowledge APO, the Deans, the APC Chairs, and the AP staff in each school for their dedication to excellence in the personnel review process at UC Merced, and the Senate Analyst assigned to CAP this past year. Finally, CAP lost a valuable, longstanding, member of the committee this past Winter with the passing of Professor Richard Regosin from UC Irvine. Richard served on CAP at UCM for the past seven years. He was devoted to maintaining fairness in the academic personnel process,

and took great pleasure in the excellence of faculty appointments and advancement here at UCM. We will miss Richard's insightful observations and his marvelous sense of humor.

Respectfully,

Raymond W. Gibbs, Jr., Chair (UCSC)

David F. Kelley, Vice Chair (UCM)

Theofanis "Fanis" Tsoulouhas (UCM)

Gary Jacobson (UCSD)

John Leslie Redpath (UCI)

Richard Regosin (UCI)

Rajiv Singh (UCD)

Michelle Yeh (UCD)

APPENDIX A

2013-2014 COMMITTEE ON ACADEMIC PERSONNEL TABLES 1A-1D FINAL RECOMMENDATIONS BY ACTION TYPE

	CAP Recommendation				
	Agreed	Modification	Disagreed	Pending	TOTAL
TOTAL PERSONNEL CASES	116	5	6*	1	128

*Includes one split vote

	CAP Recommendation				
TABLE 1A APPOINTMENTS	Agreed	Modification	Disagreed	Pending	TOTAL
Assistant Professor (3 Acting)	34	2	0	0	36
Associate Professor	2	0	1*	0	3
Professor (1 Adjunct)	5	0	0	1	6
Lecturer Series (LPSOE)	2	0	0	0	2
Chairs	3	0	0	0	3
Total	46	2	1	1	50
% CAP Agreed with Proposal					92
% CAP Agreed or Modified Proposal					96

*Includes appeal of non-appointment from AY 2012-13

	CAP Recommendation				
TABLE 1B PROMOTIONS	Agreed	Modification	Disagreed	Pending	TOTAL
Associate Professor	9	1	1	0	11
Professor	1	0	0	0	1
Professor VI	1	0	0	0	1
Above Scale	0	0	0	0	0
LSOE	3	0	0	0	3
Total	14	1	1	0	16
% CAP Agreed with Proposal					88
% CAP Agreed or Modified Proposal					94

	CAP Recommendation				
TABLE 1C MERIT INCREASE	Agreed	Modification	Disagreed	Pending	TOTAL
LPSOE/SOE	3	1	0	0	4
Assistant	24*	0	0	0	24
Associate Professor	18	1	1	0	20
Professor	9**	0	2	0	11
Total	54	2	3	0	59
% CAP Agreed with Proposal					92
% CAP Agreed or Modified Proposal					95

*Includes one MCA only, no merit increase

**Includes one quinquennial mandatory review with merit increase

TABLE 1D REAPPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant	2	0	1*	0	3
Associate	0	0	0	0	0
Professor	0	0	0	0	0
Total	2	0	1	0	3
% CAP Agreed with Proposal					67
% CAP Agreed or Modified Proposal					67

*Includes one split vote

TABLE 2
FINAL RECOMMENDATIONS ON SCHOOL PROPOSALS
2013-2014

School	Number Proposed	CAP Recommendation					% CAP agreed w/unit without modification	% CAP agreed w/unit or modified up or down
		Agree	Modify-Up	Modify-Down	Disagree	Pending		
Engineering	18	14	2	0	1*	1	82	94
(MCA)	2							
Natural Sciences	41	38	0	1	2	0	93	95
(MCA)	1							
Social Sciences, Humanities, and Arts	69	64	2	0	3	0	93	96
(MCA)	5							
TOTALS	128	116	4	1	6	1	91**	95**
(MCA)	8							

*Includes one split vote.

** Calculated based on 127 recommendations. One case was returned for further information and is pending.

TABLE 3
CASES REVIEWED BY CAP 2005-2014

	2005-2006	2006-2007	2007-2008	2008-2009
Total Cases	61	56	82	61
Total Appointments	43	32	45	22
Total Promotions	3	2	2	3
Total Merit Increases	14	22	35	33
Total Other	1	0	0	3

	2009-2010	2010-2011	2011-2012	2012-2013
Total Cases	63	96	90	98
Total Appointments	13	34	33	30
Total Promotions	10	17	18	13
Total Merit Increases	40	39	38	47
Total Other	0	6	1	0

	2013-2104
Total Cases	128*
Total Appointments	50
Total Promotions	16
Total Merit Increases	58
Total Other	4 1 MCA only 3 reappointments *1 case pending

COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION (CAPRA)
ANNUAL REPORT
AY 2013-2014

To the Merced Division of the Academic Senate:

The Committee on Academic Planning (CAPRA) held a total of 11 regularly scheduled in-person meetings and conducted some business via email with respect to its duties as outlined in UC Merced's Senate [Bylaw II.IV.1](#).

2013-2014, as with 2012-2013, was another transition year in terms of a new budget and planning process. As part of the Chancellor's [Project 2020](#), the Provost/EVC introduced the Strategic Academic Focusing (SAF) initiative in fall 2013 led by a working group comprised of faculty and administrators. The goal of SAF was to determine the academic programs and research areas in which additional investment is most likely to establish a position of leadership and a unique identity for UC Merced. Faculty were asked to submit collaborative, interdisciplinary proposals to the working group. Ultimately, these research themes are intended to help shape faculty hiring for the next 6-8 years. While CAPRA conducted normal Senate business, much of the academic year was focused on ascertaining CAPRA's role in the SAF initiative and whether CAPRA should request the traditional academic plans and FTE allocations from the Schools or request FTE proposals in concert with the Provost's SAF process.

FTE Requests Process

At its first meeting of the fall semester, CAPRA met with the Provost/EVC to discuss the AY 2014-2015 FTE process in the context of SAF and CAPRA's role. (Traditionally, the call for FTE proposals is submitted from the Provost/EVC to the Schools. CAPRA, in parallel, submits its criteria for evaluating the requests. In the last academic year, the Provost's call for FTE proposals was embedded in the larger, campus budget call.) As the SAF process was still in a nascent stage, the Provost/EVC requested feedback from CAPRA on the process of submitting the traditional call for FTE proposals to the Schools and recommendations on the criteria needed to evaluate the hiring requests.

CAPRA devoted much of the fall semester to drafting a new process and criteria for evaluating faculty FTE requests for AY 2014-2015. In preparation, CAPRA solicited broad feedback from School Executive Committees and School Deans on the challenges

faced during last year's FTE process and subsequently shared this feedback with the Provost/EVC at a joint meeting of CAPRA and Division Council in the middle of the fall semester.

In addition to addressing the challenges in last year's FTE process, CAPRA sought to ease the workload burden on faculty by drafting the process and criteria in a way that allowed faculty to submit the same or modified proposals to both the Provost/EVC's SAF and to CAPRA for consideration. CAPRA's final proposed process and criteria were submitted to the Provost/EVC in November 2013 and suggested two rounds of submission: 1) requests for new FTEs submitted to the Senate Office by Bylaw 55 units, graduate groups, or recognized campus or multicampus research institutes and 2) revised FTE requests submitted to the Senate Office, lead Dean, and School Executive Committee that include a longer-term strategic plan that describes that group's planned trajectory through 2020. In the final stage, the requested FTE positions would be ranked in priority both by the School Dean and by the faculty of each hiring unit within the School and submitted to the Senate Office. In this proposed process, CAPRA encouraged cluster hires, connections to organized research units, and included language on cross-School and interdisciplinary considerations.

As the SAF working group continued to convene, CAPRA continued to monitor the campus budget developments and the impact on the faculty hiring process. At the beginning of spring semester, CAPRA again met with the Provost/EVC to discuss updates. CAPRA was particularly concerned with the timeline, as an October communication from the SAF working group indicated that the conclusion of the SAF process would be March or April, which would be too late for the FTE process to occur as new faculty lines must be allocated no later than July. Other major issues discussed with the Provost/EVC at this time were the possible sweeping of unexpended funds in faculty startup accounts and other faculty-controlled accounts such as graduate group support funds and the need for CAPRA to receive the final reports from campus committees that convene to discuss academic space and resources. The Provost/EVC related that hiring plans will have to reflect a roadmap that describes a multi-year trajectory for the campus to strengthen the research themes as well as the other areas of research that may not exactly align with the themes. Also, the campus budget was still not ready to be disseminated at this time. While the Provost/EVC had no issues with

CAPRA's proposed FTE process and criteria, he asked CAPRA to consider revising the call to reflect a scaling back on new faculty positions for one year to allow the campus to catch up. With the lack of a roadmap from the SAF, this slowing of faculty growth could allow the campus to better plan for future hires. CAPRA agreed to revise the draft to reflect a call for FTE requests only, decoupled from a larger, strategic plan request.

Towards the end of the spring semester, the Provost/EVC submitted a letter to the campus announcing that no new faculty lines will be allocated for next year. Faculty searches during the upcoming year will be limited to those positions already allocated and not yet filled. Accordingly, there would be no new FTE requests to be evaluated by CAPRA this year.

CAPRA turned its attention late in the spring semester to devising a mechanism for tracking the FTE allocations that are borrowed or accelerated from future years to fill targets of opportunity hires or spousal hires this year. (Part of the Provost/EVC's rationale for holding off on allocating new faculty lines for the coming academic year was that the number of faculty lines actually approved for search during this current year exceeded the target originally discussed by last year's CAPRA, in part owing to additional allocations made for spousal hires and other special circumstances.) CAPRA believed that faculty would find this information useful as it will improve strategic planning and ensure trust in shared governance. CAPRA also intends to use this information to assist the Provost in making the most efficient use of limited resources to meet ever increasing demands. At the end of the spring semester, CAPRA requested from the Provost/EVC and Academic Personnel office a list of all new faculty lines originally allocated for search at the start of the current academic year and a corresponding list of all other new faculty lines that were approved through special mechanisms after the original allocation was made. In each case, CAPRA requested the title and identifying number of the position, rank(s) of the search, and unit(s) to which the allocation was made and to receive a list of all currently allocated faculty lines by their identifying number, whether they are currently vacant or filled, and if filled, the rank and unit to which the line is assigned. CAPRA believed such historical information data are vital to establishing a baseline for future reference and made this request to improve how it can assist the Provost/EVC and the campus community in

decision making. It was CAPRA's assertion that since faculty hiring is a complicated process, the fulfillment of this request will provide a necessary baseline as strategic plans move forward and hiring commences once again. CAPRA looks forward to receiving this information in the next academic year.

In June, the Chancellor announced the new Memorandum of Understanding (MOU) with UCOP which contained significant implications for CAPRA with regards to undergraduate enrollment growth, the ratio of students to faculty, and the growth of interdisciplinary programs. CAPRA met with the Provost/EVC in July 2014 to discuss the MOU's implications as well as future consultation between the Provost/EVC and CAPRA on academic planning, space issues, and strategic focusing. At this meeting, the Provost/EVC made it clear that the targets for student growth and faculty hiring contained in the MOU are entirely contingent upon the success of Project 2020 in obtaining the required research, instructional, and office space. Members of CAPRA voiced their concern that student growth not be allowed to outpace faculty growth, which is limited by research space and startup funds. The Provost/EVC also stated that CAPRA would be asked to comment on the recommendations of the Strategic Academic Focusing committee this fall and gave a definite deadline of the end of calendar year 2014 for completion of the SAF process, which should provide adequate time for a new faculty FTE process to be carried out during AY 14-15.

CAPRA also opined on the following issues:

Composite Benefit Rates and UC PATH

UC PATH is a systemwide initiative that strives to centralize each UC campus's payroll functions for staff, students, and faculty. As part of its implementation, the UC system is changing to a system of pooled benefit rates, meaning that each category of employee will be assessed a fixed percentage of salary for benefits. Under the current situation, the funding source is assessed the actual benefit rate for that individual employee rather than an average. Two aspects of this change are significant issues for faculty: whether faculty summer salaries (usually paid through faculty research grants) are charged benefits at the same rate as academic year salaries, and the establishment of a predictable benefit rate for postdocs. CAPRA invited Vice Chancellor for Planning & Budget Dan Feitelberg to a meeting in fall semester. VC Feitelberg related that the composite benefit rates issue is linked to UC PATH and the latter is undergoing further

review prior to implementation. However, he was unable to provide any information about the campus-level modeling of the effects of various benefit rate scenarios that had been discussed extensively at the systemwide level (UCPB). Upon requesting input from CAPRA, committee members advised VC Feitelberg that faculty members require stability in the rate modeling.

Visit of UC President Janet Napolitano

In fall 2013, President Napolitano visited UCM and met with various constituencies including faculty members. Prior to the meeting, CAPRA members felt that the various issues should be imparted to President Napolitano: lack of funding in light of the divestiture of state funds, possible sources of non-state funding, the implications of budget cuts for a growing campus, and the uniqueness of this campus and the many space challenges the campus has as we move towards becoming a full-fledged UC campus. It is difficult to recruit high-quality faculty and graduate students due to our lack of space and resources and UC Merced needs continued support from UCOP.

Faculty Start up Funds

The issue of unspent start up funds was discussed throughout the academic year as these outstanding commitments may make it more difficult to request additional funding from UCOP. The Provost/EVC emphasized that he remains committed to viable, competitive start up packages for new faculty hires, but that he must take a more quantitative approach. He intends to focus on what faculty members specifically need and when they should spend the funds, however, he will also explore ways to provide faculty with bridge funding and funding for international travel. He emphasized that no start up funds will be seized or swept.

Systemwide Review Items

- APM revisions. CAPRA opined on several proposed revisions to various sections of the APM as requested by systemwide and Division Council.
- Professional Degree Supplemental Tuition Policy. CAPRA discussed the new and more detailed guidelines and judged that the proposed changes do not hold significant implications for the campus.
- Composite Benefit Rates. CAPRA was concerned with post doc rates and the systemwide proposal of imposing the same benefit rate for summer

and academic year salary. Faculty believe this practice is essentially a tax on their grants. UCOP has proposed different rate proposals and all have been rejected by the campuses.

- Compendium revisions. CAPRA opined on the proposed revisions to the Compendium and judged that they do not have significant implications on academic planning and space at this time.
- University Committee on Planning and Budget (UCPB) updates. UCPB discussed the following issues this academic year: capital outlay issues, enrollment management, funding streams, composite benefit rates, rebenching, the UC Retirement Program, and the state budget.

Campus Review Items

- Course Buyout Policy. The Provost/EVC and School Deans submitted two proposals to the Academic Senate. CAPRA was not unanimous in its judgment of the first iteration which stipulated that cost to buy out a course is 1/6 of 9-month salary plus benefits and that faculty must teach an undergraduate course that contributes significantly to the major. The majority of CAPRA believed that the cost of buying out a course should be a fixed dollar amount that accounts for the cost of hiring a lecturer for one course. In the second iteration from the Provost/EVC which contained the same main tenets as the original version, some CAPRA members again judged that course buyout should not be pegged to faculty members' salaries and that the cost of buying out a course should be a fixed dollar amount that accounts for the cost of hiring a lecturer for one course. While a few CAPRA members felt the cost was reasonable, other committee members argued that the high cost discourages faculty from buying out courses and taxes faculty grants. CAPRA requested that Division Council conduct research to discover how other UC campuses determine the cost of buying out courses.
- PhD Program Proposals. CAPRA opined on the following proposals, found that they were sound in the areas of academic planning, budget, and resource allocations, and recommended approval: Physics, Electrical Engineering & Computer Science, Sociology, and Molecular Cell Biology.

- Mechanical Engineering PhD program proposal. CAPRA recommended the proposal be revised so that the proposed growth trajectory of the program considers the resource limitations on the campus. Later in the semester CAPRA revised the revised proposal and while the committee still had reservations about the program's ambitious growth profile and the space, staff, and graduate student support the group requests, it recommended approval of the revised proposal.
- Public Health major. CAPRA opined on this proposed major in SSHA and found that it was sound in the area of resource allocations and recommended its approval.
- English minor. CAPRA opined on this proposed minor in SSHA and found that it was sound in the area of resource allocations and recommended approval.
- Community Research and Service minor. CAPRA opined on this proposed minor in SSHA, which required the completion of one course, and was generally supportive of its approval. However, CAPRA requested clarification of the number of faculty who will be participating in the course, the number of students each of these faculty will be expected to supervise, and whether this supervision will be in addition to or in place of the faculty members' other teaching assignments.
- Diversity hires. The Committee on Faculty Welfare, Diversity, and Academic Freedom suggested late in the spring semester that in light of the announcement of the severely limited numbers of new faculty FTEs next year, the Provost/EVC should consider allocating the few positions based on diversity considerations. CAPRA stated that any allocation model would not be feasible at this late point in time: the MAPP requires that all faculty positions be nationally advertised and some disciplines begin recruiting in July and August.
- Medical Education Task Force. A task force was previously formed on campus to plan the future trajectory of the medical education initiative. Professor Paul Brown from SSHA debriefed Division Council on the task force's findings and Division Council subsequently drafted a charge for a future medical education task force. CAPRA voiced its support for the formation of a task force and expressed its desire to see how medical

education would enhance UC Merced's stature as a comprehensive research university with broad strengths in research and teaching across a range of traditional academic disciplines.

- MAPP revisions. As per procedures, in the spring semester, the Academic Personnel office, in conjunction with the Provost/EVC, submitted a set of proposed revisions to the MAPP. CAPRA had comments on two particular revisions: 1) Section 1005 pertaining to voting procedures and physical presence. CAPRA requested clarification that faculty may be allowed to discuss a personnel case by phone or email but also cautioned against confidentiality breaches. 2) Section 2012 E pertaining to recruitment. The proposed revisions gave the deans the authority to cancel a faculty search if he or she does not approve of the interview list due to inadequate diversity. Deans are required to give a written explanation of a decision to close the search but CAPRA requested clarification on to whom this letter is submitted. The Academic Personnel office will take all campus comments under consideration and will circulate a revised draft.
- Committee on Research's (COR) proposed research unit policies. COR drafted a comprehensive set of policies on the establishment and review of research unit policies. CAPRA's main comments were that the proposed review cycles for research units are too burdensome on faculty who concurrently undergo reviews for other units to which they belong, the policies grant too much authority to the Vice Chancellor for Research, and the policies mention no specific role of the faculty in the allocation of funding and space to research units. CAPRA recommended the policies be revised to resemble those that govern graduate groups.
- Library Space 2020 plan. As part of Project 2020, the Library submitted to the administration its plans for future space. CAPRA's main comment was that the plan should specify which unit, if not the Library, should be in charge of study halls.
- Senate-Administration Library Working Group. The final report from this working group, which was submitted to the Senate Chair and Provost/EVC, suggested that the library's budget grow commensurate with student and faculty growth and that the Merced division should

create a standing committee on library and scholarly communication issues, similar to other UC campuses. CAPRA supported both of these main recommendations and pointed out the need for additional space as the campus continues to grow.

Respectfully submitted:

CAPRA members:

Anne Kelley, Chair (SNS) – UCPB representative

Mukesh Singhal, Vice Chair (SOE)

Jan Wallander, (SSHA)

Jian-Qiao Sun, Senate Vice Chair (SOE)

Marilyn Fogel, (SNS)

Joshua Viers, (SOE) – spring term

Ex officio, non-voting members:

Ignacio López-Calvo, Senate Chair (SSHA)

Student Representatives:

Edwin Gibb, Graduate Student Representative, GSA – fall term

Brandon Stark, Graduate Student Representative, GSA – spring term

Sagir Kadiwala, Undergraduate Student Representative, ASUCM

Staff:

Simrin Takhar

COMMITTEE ON FACULTY WELFARE, DIVERSITY, AND ACADEMIC FREEDOM
ANNUAL REPORT
AY 2013-2014

To the Merced Division of the Academic Senate:

Academic Year (AY) 2013-2014 was the inaugural year of the Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF). The committee is an amalgamation of the extant Faculty Welfare and Academic Freedom committees with the addition of a focus on diversity. The committee held 6 regularly scheduled in-person meetings and conducted some business via email with respect to its duties as outlined in UC Merced's Senate Bylaw [II.III.5](#). Due to the increased complexity and volume of issues faced by UCM faculty, the Academic Senate deemed it appropriate to add the Diversity and Academic Freedom functions to the committee. As the Merced Division grows, the three functions will likely be divided into two or three standing Senate committees as is currently done on other UC campuses.

At its first meeting of the AY, FWDAF identified three over-arching issues to focus on during the year: **(1)** to convey the importance of increasing diversity among the faculty, **(2)** to ensure the inclusion of diversity as a consideration in faculty recruitment, and **(3)** to make recommendations on increasing faculty retention. These main issues served as the focal points for all the committee's activities during the AY.

FWDAF conducted the following business:

Consultation with Ombuds

At the beginning of the AY, FWDAF met with campus Ombuds, De Acker, to formalize a preliminary list of issues facing the faculty with the goal of assessing how FWDAF can coordinate efforts with the Ombuds during the AY. At the final meeting of the year, Ombuds Acker provided updates on the main issues she addressed with faculty that included: **(1)** the need for consistency on policies for family leave and active service/modified duty, **(2)** the campus climate survey results (there were several responses from faculty indicating they felt intimidated or bullied), and **(3)** the need for a faculty mentoring program.

Workshop Series for Untenured Faculty

As the first step towards the establishment of a future, comprehensive faculty mentoring program, FWDAF and the Academic Personnel office (APO) collaborated to create a professional development workshop series for untenured faculty. Monthly topics included: **(1)** the work/life balance, **(2)** publishing advice, **(3)** starting and managing a lab/students, and **(4)** advice on promotion to tenure. The workshop series was well-received by the faculty, prompting the FWDAF and APO to continue the series for AY 14-15. For the AY, FWDAF requested a workshop to be held on the topic of hiring a successful candidate, as junior faculty on search committees could benefit from guidance on this issue. In the future, it is hoped that the faculty mentoring program will include a dedicated budget to cover travel between UC campuses by UCM faculty members and their external mentors.

FWDAF recommended to Division Council at the end of the AY that a new Senate award be created to recognize excellence in faculty mentoring.

Vice Provost for Faculty candidate interviews

FWDAF members participated in interviews with candidates for the position of Vice Provost for Faculty. As of July 2014, the position was not yet filled.

Diversity Recommendations to Division Council

In the fall semester, Chair Ortiz, Committee on Research Chair Ruth Mostern, and Senate Chair Ignacio López-Calvo met with the Provost/EVC to discuss how Senate committees can help the Provost/EVC enhance diversity at UCM. The Provost/EVC was supportive but requested data for guidance on moving forward and framing the issues. Senate Chair López-Calvo then issued a memo to all Senate standing committee chairs requesting them to opine on a set of general questions on diversity at UCM. FWDAF chose to issue an abbreviated diversity survey to all Senate faculty to assess the faculty's perception of diversity issues on campus and used the data in its response to the Senate Chair's memo.

FWDAF made the following recommendations to Division Council: **(1)** UCM could enhance ethnic and gender diversity among the faculty and graduate students on our campus by heavier recruitment of President's Postdoctoral Fellows (Chair Ortiz intends to invite Sheila O'Rourke, the former Director of the President's Postdoctoral

Fellowship program, to campus next year), (2) encouragement of cluster hires and target hires of opportunity, and the importance of educating colleagues on diversity, (3) administrative leadership should partner with the Academic Senate to commit to increasing diversity by earmarking funds and resources, and (4) UCM should attract and retain diverse faculty and graduate students by expending more resources toward this effort and nurturing and supporting current faculty by providing them with the necessary infrastructure to succeed.

In spring 2014, the faculty learned that a very limited number of new faculty FTE lines would be allocated for the next AY. FWDAF submitted a memo to Division Council advocating taking this limitation as an opportunity to promote excellence and diversity at UC Merced. FWDAF suggested that the Deans and the Provost work together to translate these three to five lines into target of opportunity hires. Division Council asked other standing Senate committees to opine on FWDAF's proposal. The consensus was that it was too late in the AY for the Provost's office and APO to conduct any meaningful allocation process.

Beyond Diversity

While FWDAF responded to Division Council's directive to provide recommendations on enhancing faculty diversity, the committee proactively tasked itself with delving more fully into this timely and important issue that impacts the University of California system, and not just UC Merced. In providing its recommendations to Division Council, the FWDAF examined the following reports: (1) the campus climate survey of 2011, (2) FWDAF's abbreviated survey on faculty's perceptions of diversity, (3) the Moreno Report, and (4) the October 2011 report of the President's Advisory Council on Campus Climate, Culture, and Inclusion - Faculty Diversity Working Group.

The campus climate survey findings from 2011 reflected a lack of individuals from underrepresented groups (allowing for some issues with the appropriate categorization/definition of individuals) and a score of slightly above average for support for diversity. FWDAF's own brief survey of faculty revealed that the majority of these respondents were supportive of diversity and suggested that the University should put more resources into hiring more diverse faculty. However, the survey also reflected that some respondents believed diversity was at odds with excellence. In response, FWDAF submitted a separate memo to Division Council to point out the

major flaws in the argument that diversity and excellence (or “quality”) are potentially opposing goals. Excellence in the context of a university setting is the by-product of smart, motivated scholars who are given the tools, resources, and an environment that allow them to effectively apply their talents. Understanding excellence as the combined by-product of the individual and their environment also has important consequences for how we treat faculty once they are hired. The Moreno Report, while wholly unfortunate, proved timely for FWDAF and provided further evidence for UC as an institution to re-evaluate and/or implement more robust measures to ensure a secure and collegial workplace environment for all employees. The report from the Faculty Diversity Working Group contained eleven best practices and recommendations to assess measures of progress and accountability for ensuring faculty diversity. Each campus was asked to opine on the report and a previous FW committee at UC Merced endorsed it. This year’s FWDAF affirmed its continued support and endorsement of these practices and related this to Division Council.

Collaboration with Chancellor Leland on Diversity

This year, Chancellor Leland tasked the School of Natural Sciences dean, Juan Meza, with framing over-arching questions related to faculty and staff retention. Dean Meza attended the last FWDAF meeting in fall semester and asked for input on framing the questions. FWDAF suggested the following: **(1)** efforts should be made to speak to the founding faculty and assess their comfort with their current positions to determine if there are measures to be taken to secure their employment, **(2)** extremely successful (grant funding, publications, creative works, teaching/training excellence, etc.) faculty need to be identified (either by groups or deans) and their retention secured via incentives, merit promotions, bridge funding etc., **(3)** UC Merced could do more to promote a climate of mentoring by offering programs for junior faculty and incentives for senior faculty to organize mentoring initiatives, **(4)** aside from the buyout policy, the administration needs to provide incentives to promote faculty successes, **(5)** a robust intramural granting mechanism is needed along with more efficient bridge-funding processes, **(6)** prioritize finding space for Castle faculty on campus, **(7)** provide adequate and appropriate laboratory or other research facilities for all faculty, but especially for untenured faculty that are working to establish new research programs, **(8)** offer course releases for faculty who become Chairs and Directors of Undergraduate and Graduate Studies within their units, and **(9)** provide support for spousal employment.

Collaboration with Provost/EVC and School Deans on Diversity

FWDAF Chair Ortiz met with the Provost/EVC and School Deans on diversity in faculty searches where he encouraged the Provost/EVC to initiate a process now so that the campus can establish best practices in faculty hiring in the future.

At the final meeting of the AY, FWDAF provided a summary of the committee's activities for the Provost/EVC, specifically, in the areas of faculty diversity and retention. Diversity must be a joint faculty and administrative issue and that increased diversity must be based on an incentive system, not a punishment system. Opportunity or thematic hires could be viable options to achieve this end. It is important to be proactive by implementing measures to address retention of faculty now before it becomes a potential problem. Furthermore, FWDAF recognizes that untenured faculty in particular are harmed when their senior colleagues separate from the university. Lastly, diversity and excellence are not orthogonal.

Moreno Report

In response to incidences of racial discrimination experienced by faculty at UCLA, former California Supreme Court Justice Carlos Moreno co-authored a compelling report with attorney Connie Rice, former UC Davis professor, Maga Jackson-Triche, UCLA professor emeritus, Gary Nash, and Bob Suzuki, former president of Cal Poly Pomona. UC President Janet Napolitano responded by requesting Academic Council to establish a joint Senate-Administration Working Group to work with the ten campuses on their policies and procedures regarding discrimination.

UCM's Division Council issued a directive to standing Senate committees to review this report and identified FWDAF as the lead reviewer. FWDAF members agreed on the need for UC Merced to clarify the procedures in place to deal with an incident of discrimination or bias, and stated the need for a campus discrimination officer. Other recommendations from FWDAF was to couple the implications of the Moreno Report to the faculty professional development workshop series; a future seminar topic can relate to mentoring and how senior faculty can learn to engage junior faculty and inform them of their rights if they ever experience discrimination or bias. Senior faculty could be trained to help guide junior faculty through the appropriate channels to seek redress. While the short-term goal is to nurture the individual, the long-term goal is to prevent the University as an institution from perpetuating inequality and racism.

Senate-Administration Faculty Salary Equity Subcommittee

Originally formed in AY 2012-2013 as a result of UCOP's directive, the subcommittee this year included two members from FWDAF as well as staff from Institutional Research & Decision Support (IRDS) and APO. A report was previously submitted by each UC campus in January 2012. In AY 2013-2014, the subcommittee was tasked with drafting a progress report that was submitted to UCOP in November 2013. That report was completed after the subcommittee reviewed the results of both an analysis of compensation and commitments made at time of hire for evidence of gender and ethnic inequity, and a pilot study that adapted widely accepted intra-institutional equity methodology to smaller campuses like UC Merced by using inter-institutional salary data. Another report was submitted by the subcommittee in summer 2014, well before UCOP's deadline of January 2015.

Family-Friendly Policies

FWDAF addressed the need for administration and Schools to share and to distribute consistent and clear information on faculty members' rights to family leave and Active Service Modified Duty. This year, a dedicated staff position was created in APO for the purpose of serving the needs of the faculty in this area.

Campus Visit of UC President Janet Napolitano

In fall 2013, FWDAF representatives attended the invited session of Senate members and President Napolitano to share insight on topical issues facing UC Merced.

Campus Visit of Systemwide Vice Provost for Academic Affairs, Susan Carlson

VP Carlson visited UC Merced in February 2014 and held a separate meeting with FWDAF members. The major topics that were discussed were faculty mentoring, promotion of and best practices for diversity in faculty hiring, strategies for UC Merced in the absence of a diversity officer, cluster hires and targets of opportunity hires, and strategies for faculty retention.

Indirect Cost Return

Vice Chancellor for Research (VCR) Sam Traina attended a FWDAF meeting in spring 2014 to discuss indirect cost return modeling. FWDAF's position was that any allocation formula will have an impact on faculty retention and expressed an interest in assisting

the VCR and the Provost/EVC. VCR Traina suggested that the committee should consider some basic principles around allocation, either directly to PIs or through the School Deans as the future allocation structure should benefit both groups.

Chancellor's Campus Climate and Diversity Working Group

In spring 2014, Chancellor Leland attended a joint meeting of FWDAF and Division Council to discuss the results from the latest campus climate survey. At her request, a member of FWDAF was selected to serve on the Chancellor's campus climate and diversity working group to review the survey data and help identify three or four key areas on which to create an action plan. In addition, the working group will be asked to provide recommendations on whether additional queries are needed to understand the data. In June 2014, the Chancellor and the working group held a retreat attended by Professor Tanya Golash-Boza, FWDAF's representative on the working group. This issue will extend into the next academic year.

Recommendation for New Senate Award for Mentoring

In spring 2014, FWDAF submitted a proposal to Division Council requesting funding for a new faculty Senate award in recognition of excellence in faculty mentorship of post-docs, visiting faculty, and junior faculty and/or other faculty or staff. As of the end of the AY, this proposal was still being discussed in Division Council and will be carried over for consideration in AY 2014-2015.

Systemwide Review Items

- APM revisions. FWDAF opined on several proposed revisions to various sections of the APM as requested by systemwide and Division Council.
- Online Cross-Campus Course Offerings. Last year's Faculty Welfare (and UCFW) committee raised many concerns about the copyright issues associated with UCOE. While the current document under review deals more with the intricacies of the copyright agreement, FWDAF was adamant that the articulation of online courses must remain in the hands of the Academic Senate and more particularly in the hands of faculty in the relevant disciplines/majors. FWDAF was also concerned that the current document did not include any procedure to assess the long-term impacts of online courses.

- **UC Care.** This academic year witnessed the discontinuing of certain health care plans available to UC faculty and staff and consequently, approximately 30% of UC employees were required to change plans. UC Care, underwritten by the UC system, was intended to replace Blue Cross PPO as the new PPO health plan option. The implementation of UC Care was controversial as it was initially unclear how many area physicians would be part of the health plan's network. During the AY, UCOP representatives held town hall meetings on the Merced campus and launched a dedicated UC Care informational website. FWDAF monitored the developments throughout the AY as more issues and complaints were filed.
- **2010 CITRIS Report.** It was discovered by Academic Council that standing Senate committees were never invited to opine on the academic review of CITRIS and so this year's Division Council issued the directive for standing committees to review the report. FWDAF expressed support of the report's recommendations to form an external advisory board committee and its inclusion of diversity considerations. The committee urged that the advisory board not only be constituted by diverse disciplines, but that the board include gender, race and ethnic diversity.
- **Senate Bylaw 55 Proposed Revisions.** This item, which was reviewed twice by the UC campuses, proposed the extension of voting rights to further series. FWDAF had reservations about the possible precedence the proposed amendment may set for the future in terms of the expansion of voting rights to further series, however, the safeguards that are built into the proposed revisions - voting franchise extension is voluntary and must be subject to approval by tenured faculty in individual schools, departments, and Division Council - provide an acceptable set of checks-and-balances to preserve the integrity of the institution.
- **University Committee on Affirmative Action & Diversity (UCAAD) updates.** UCAAD discussed the following major issues this academic year: **(1)** Hispanic Serving Institution Initiative, **(2)** APM 210 C and D (diversity in hiring), **(3)** faculty salary equity studies, **(4)** Moreno Report, **(5)** graduate student funding, the need for more multi-year guaranteed GSR appointments, summer bridge funding for graduate students, and **(6)** the President's Postdoctoral Fellowship Program.

- University Committee on Academic Freedom (UCAF) updates. UCAF discussed the following major issues this academic year: **(1)** proposed revisions to Senate Bylaw 55 and **(2)** proposed revised language for the leave policy in APM 210. This revision was intended to allow for an expanded use of tenure clock stoppage to allow for child-bearing and adoption in addition to other major life events that might prevent the faculty member from making good progress toward tenure.
- University Committee on Faculty Welfare (UCFW) updates. UCFW discussed the following major issues this academic year: **(1)** UC Care health plan and **(2)** the unfunded liability issues surrounding the UC Retirement Program.

Campus Review Items

- Course Buyout Policy. FWDAF opined on the Provost/EVC's draft course buyout policy and stated that the proposal did not justify the 17% (1/6th of 9-month salary + benefits) cost to buy out a course. The cost of the buyout should be the actual cost to cover the lecturer's salary and benefits regardless of the salary and rank of the professor requesting the buyout. Moreover, the proposed policy does not provide exceptions, which are important as many federal grants require more than one course per semester with such release time for the life of the grant (which can be up to five years). The current proposed policy also fails to provide some proviso for these state funds being released to the awardee as a potential incentive for having obtained an extramural grant that provides for the buyout.
- MAPP revisions. As per procedures, in the spring semester, APO, in conjunction with the Provost/EVC, submitted a set of proposed revisions to the MAPP. Regarding Section 2012 E (selection process) the committee agreed that the Deans should retain authority over the short list, but took issue with the language that the Deans can postpone, extend, or cancel a search based on inadequate diversity. FWDAF members stated that this is a punishment-based system and we should instead encourage an incentive-based system. APO will take all campus comments under consideration and will circulate a revised draft.
- SACAP revised charge. FWDAF judged that the revised charge held no implications for faculty welfare, diversity, or academic freedom.

- WASC Core Competency Expectations. FWDAF had no comments on the specific provisions of the document; however, the committee conveyed its grave concerns over the larger issue of WASC's impact on faculty control of the curriculum. A major concern of the FWDAF is that the measures have also resulted in a large drain on faculty time and resources.
- Proposed Medical Education Task Force. A task force was previously formed on campus to plan the future trajectory of the medical education initiative. Professor Paul Brown from SSHA debriefed Division Council on the task force's findings and Division Council subsequently drafted a charge for a future medical education task force. FWDAF agreed that this is a prudent approach to assess the feasibility of whether to continue to pursue medical education at UC Merced at this time. FWDAF requested a thorough SWOT analysis of developing a medical education program at UC Merced at this time as opposed to in the future. The committee also stated that the UC Merced SJV PRIME should be represented on the task force.
- Moreno Report. FWDAF was identified as the lead reviewer of the report and provided the aforementioned input and recommendations.
- Senate-Administration Library Working Group report. The final report from this working group, which was submitted to the Senate Chair and Provost/EVC, suggested that the library's budget grow commensurate with student and faculty growth and that the Merced division should create a standing committee on library and scholarly communication issues, similar to other UC campuses. FWDAF endorsed the Working Group's report.
- Committee on Research's (COR) proposed research unit policies. COR drafted a comprehensive set of policies on the establishment and review of research unit policies. While FWDAF generally approved of the proposed policies, the committee suggested that the policies should state how the research units would contribute to the training of students, the management plan should mention leadership, conflict resolution and intellectual property, the five year reviews should explicitly mention the terms "evaluation" and "year-to-date impacts" beyond accomplishments and should include a comprehensive SWOT analysis, and the frequency of the review may need to be every three years depending on the unit and/or budget.

- PhD Program Proposals. FWDAF opined on the following proposals and found that they were sound in the areas of faculty welfare, diversity, and academic freedom: **(1)** Molecular Cell Biology, **(2)** Electrical Engineering and Computer Science, **(3)** Mechanical Engineering, **(4)** Physics, and **(5)** Sociology.
- Public Health major. FWDAF opined on this proposed major in SSHA and found that it was sound in the areas of faculty welfare, diversity, and academic freedom.
- Community Research and Service minor. FWDAF opined on this proposed minor in SSHA and found that it was sound in the areas of faculty welfare, diversity, and academic freedom.

Respectfully submitted:

Faculty Welfare, Diversity, and Academic Freedom members:

Rudy Ortiz, Chair (SNS) – UCAAD representative

Linda Cameron, Vice Chair (SSHA) – UCFW representative

Sean Malloy, (SSHA) – UCAF representative

Asmeret Asefaw Berhe, (SNS)

Shawn Newsam, (SoE)

Tanya Golash-Boza, (SSHA)

Ex officio, non-voting members:

David Ojcius, Vice Provost of Academic Personnel

Ignacio López-Calvo, Senate Chair

Jian-Qiao Sun, Senate Vice Chair

Staff:

Simrin Takhar

**GRADUATE COUNCIL
ANNUAL REPORT
2013-2014**

TO THE MERCED DIVISION OF THE ACADEMIC SENATE:

During the academic year 2013-2014, the Graduate Council (GC) met 15 times in person and conducted some business via email with respect to its duties as outlined in UCM Senate Bylaw II.IV.3.B. The issues that GC considered and acted on this year are described as follows:

Administrative Structure

- The Graduate Council operated with three standing subcommittees that met via email throughout the year:
 - Awards Subcommittee reviewed guidelines, applications and provided recommendations on awardees to the Graduate Division.
 - Membership: Sayantani Ghosh (SNS), Sachin Goyal (SOE), and Paul Almeida (SSHA)
 - CRF Subcommittee reviewed all graduate course request forms and provided a recommendation to the council as a whole.
 - Membership: Erin Johnson (SNS), Sachin Goyal (SOE), and Paul Almeida (SSHA)
 - Policy Subcommittee provided the initial review and recommendations on all graduate policies and systemwide policies.
 - Memberships: Kathleen Hull (SSHA) and Valerie Leppert (SOE)
- GC added informal consultants to the membership that included a staff representative from the Office of Graduate Studies and the Coordinator of Institutional Assessment in order to provide an opportunity for administrative consultation.

CCGA Proposals

- **GC Lead Reviewers and Process**

Given the complexity of the UCM CCGA proposal review process, GC defined the timeline, process and revised the pre-review rubric for CCGA Proposals. Proposals were assigned to individual GC members as lead reviewers, who did not have a conflict of interest.
- **AY 2014-15 CCGA Proposal Submission Deadlines**

GC finalized the deadline submission dates for new proposing graduate programs that was distributed to emphasis areas under the IIGP that intended to submit a CCGA proposal soon. Faculty lead contacts were asked to respond with the anticipated date in which the CCGA proposal would be submitted to GC for approval.

Draft Graduate Council Committee Manual

- GC created a manual intended to provide members with an overview of responsibilities and procedures that assist every member in carrying out the duties of the Graduate

Council. Members also felt that the procedures and guidelines would improve the institutional memory, efficiency and effectiveness of the Graduate Council.

Graduate Course Request

- **Approved CRFs**

GC reviewed and approved 44 courses.

- **Joint Online CRF System**

Last year, it was agreed that the graduate CRF approval system would be integrated with the Undergraduate CRF Management System. Funding was made available by Acting Dean Kello and Provost/EVC Peterson for the CRF on-line system. On behalf of the Graduate Division, the Senate Office hired two undergraduate students to enter missing undergraduate CRFs and 330 graduate CRFS into the system. The time frame for implementation of the new joint CRF system was reevaluated and its completion date is expected to be before fall 2014.

Graduate Group Bylaws

- Graduate Council drafted the Bylaws policy and template based on Graduate Group Chair comments requesting examples of approved templates for new and proposed modifications to exiting graduate group bylaws. The approved policy and template were based on the UC Davis Graduate Program Bylaws Template.

Graduate Group Policies and Procedures

- **Annual Review:** In order to ensure continuing compliance with campus and systemwide policies and streamline the review process, GC identified reviewer assignments and created an internal review criteria worksheet. Members agreed to require all graduate groups to include a cover page that included the graduate group name; degree type the policies pertain to, list the date of previous approved revisions, current revision date, and last date approved by the Graduate Council. The Council also suggested that groups may wish to provide a description of how students are typically supported by the program without including specific dollar amounts.
- **Template and Guidelines:** Review of graduate group policies and procedures has been conducted without a policy that governs what components and information should be included in these documents. UC Davis developed a template for graduate groups that guides the formatting, content and streamlines the review for the Graduate Council. Members discussed if a similar template should be adapted for the campus. Graduate Council agreed that a template would be helpful for new graduate groups. However, all graduate groups would be able to use the template, but final implementation decision should be left to the graduate groups.

Graduate Group Websites

- WASC granted UC Merced the opportunity to submit a Fast Track Authorization Proposal that would expedite the review process for new stand-alone PhD programs

originating from existing programs under the IIGP. With the Fast Track Review of new doctoral and master's degree emerging from existing emphases within the Interim Individualized Graduate Program (IIGP), once approval is received from CCGA and UCOP, WASC should be able to provide a decision within 30 days. In the development of the Fast Track Authorization Proposal, GC asked graduate group chairs to: review their faculty membership and distinguish between "core" and "affiliate" faculty, and update their graduate group websites to reflect their updated list of membership.

Graduate Professional Advancement Initiative

- GC was asked to review and provide comments on proposed plans for the Graduate Professional Advancement Initiative (PAI) for UC Merced graduate students, launched in fall 2013. GC recommended planning initiatives for incoming graduate students, getting the graduate group chairs involved to leverage existing graduate group initiatives, making sure initiatives are aligned with the set of professional learning outcomes that are being developed by the Assessment Office, and incorporating Alumni into the PAI initiatives.

Graduate Program Review

- **Graduate Program Review Policy**
 - **November 7, 2013 Version:** In May 2013, GC was asked to revise the Graduate Program Review Policy to allow the establishment of a Joint Undergraduate-Graduate Program Review Committee. As a result GC made several edits to: clarify that all emphasis areas under the Interim-Individualized Graduate Program (IIGP) and stand-alone programs are subject to Program Review, added a clause for Conflict of Interest in the CoC appointment of members to PRC, continued with references to Masters not MA (as it fails to represent MS degrees), defined differences between graduate advisor and major professor throughout the document, replaced the School Dean with Lead Dean for graduate programs, and change scientific to scholarly to cover all fieldwork and publications on-campus. The "working draft" was shared with UGC Chair Sharping and Joint PRC Chair Camfield with a request to schedule a meeting to identify steps for reviewing the undergraduate and graduate program review policies. On October 28, the revised Graduate Program Review Policy was circulated as an email consent item. Comments were received from GC members, Joint Program Review Committee Chair Gregg Camfield, and Senate Office Program Review Manager Fatima Paul. Chair Leppert consolidated all recommendations and made final revisions to the document. All revisions were minor and mainly typographical edits. GC approved the final revision to the Graduate Program Review Policy on November 7, 2013.
 - **May 2014 Version:** Throughout the academic year there was internal discussion on revising the SACAP charge and membership so that it replaces the Program Review Committee in organizing program reviews. The proposed revisions to the SACAP charge would allow this Senate-Administrative Committee to make

policy revision suggestions to UGC and GC. GC was supportive of the proposed changes - revision of SACAP to a PROC with joint senate-administrative oversight of academic peer-based program review, along with its existing SACAP responsibilities; and revision of GC and UGC program review policies to reflect this. While members recognized the merits of a comprehensive PROC policy for review of both undergraduate and graduate programs, they were concerned with the time left to draft a new unified policy for UGC/GC review and approval, and DivCo's endorsement this academic year. As a result, PRC Chair Camfield, UGC Chair Sharping and GC Chair Leppert met to discuss the proposed revisions to the Program Review Policies. In the revised GC policy, the reviews would be conducted by PROC (SACAP), preparation phase would be longer, and the program review schedule would be modified. PROC will take on coordinating academic program reviews to make sure the administrative component would be integrated and clarify that new proposals count for program review. Members suggested adding Provost/EVC to the membership of PROC to elevate the importance of the committee.

- **Joint Program Review Committee Charge**

GC reviewed the draft Program Review Committee Charge and questions were raised regarding the use consultants versus ex-officio members on the committee.

- **Revised Graduate Program Review Cycle**

Political Science, Applied Mathematics, Interdisciplinary Humanities, and Physics were approved as a stand-alone graduate program by CCGA. GC revised the Graduate Program Review Cycle to reflect the programs' new review cycle.

- **Social Sciences Program Review**

Four programs were scheduled to undergo program review in AY 2013-2014 and all except Social Sciences submitted a CCGA proposal. Graduate Council chose to undertake an abbreviated form of Program Review for the Social Sciences IIGP Emphasis. The review excluded Sociology, and asked Economics and Public Health to report on their current status and future plans as tracks under the Social Sciences IIGP Emphasis, and to provide details regarding plans for submission of a CCGA proposal for stand-alone graduate program status. GC obtained verbal information concerning the history and future of the Economics Track from Professor Kurt Schnier and information on the Public Health Track from Professor Paul Brown.

Graduate Student and Program Funding

- **Graduate Student Summer Funding**

GC asked for an update on the proposed funding plans for the academic year. Graduate Dean Kello indicated that funding levels for graduate student summer funding would be similar to last year. All funds were allocated directly to graduate groups and no call for summer funding would be disseminated. Members raised their concern regarding

the lack of information conveyed to students and Graduate Dean Kello scheduled a meeting with the Graduate Group Chairs to request that information for funding be communicated to their graduate students.

- **2014-2015 Graduate Group & Student Funding**

Graduate Dean Kello announced that the same funding model (from AY 2013-2014) would be used to determine the AY2014-2015 funding levels for graduate groups and students.

Graduate Student Mentoring Guidelines and Best Practices

- The Graduate Program Review Policy requires Graduate Groups to provide mentoring guidelines in order to address the programmatic climate of the graduate program and no mentoring policy/guidelines exist for UC Merced. GC drafted a set of minimum requirements, along with some best practice recommendations for graduate student mentoring. GC requested feedback from GSA, Graduate Group Chairs, Graduate Group Coordinators, Graduate Division, Ombudsman, and Campus legal before final GC approval. The mentoring guidelines and best practices document were revised to incorporate the comments received.

Graduate Student Oral Examination List

- GC reviewed the Interim Librarian's notification of the Library's intention to expand the university's print collection through graduate student oral examinations lists (or equivalent) in the Social Sciences and Humanities. In general members were supportive of this initiative. GC noted their appreciation of the efforts of the Library in working to improve the print collection and looks forward to the development of a comprehensive plan (and associated allocation of resources) to expand the print collection across all disciplines on campus.

Requests from the Graduate Division

- **First Year Fellowship**

- **Guidelines:** GC reviewed the draft 2014-2015 First Year Fellowship Guidelines and provided an annotated copy of the guidelines with in-line comments and recommendations. GC requested that the Graduate Division send documents to GC for review that includes all track-changes to expedite the review and that the calls clearly state the number of fellowships that will be awarded. Graduate Division was also asked to develop an application for the Chancellor Fellowship similar to that of the Eugene Cota-Robles Fellowship and define what diversity means for the Eugene Cota-Robles Fellowship. GC also recommended requesting specific information from graduate groups regarding which GRE score should be weighted more and asking graduate groups to use broad metrics for diversity.
- **Review and Rankings:** A total of 22 applications were received for the Chancellors Fellowship and 21 for the Eugene Cota-Robles Fellowship. GC was asked by the Graduate Division to provide a rank list of nominees for the Chancellor Graduate Fellowship and Eugene Cota-Robles Fellowship.

- **Catalog: Graduate Studies Section**

GC voted unanimously in favor of the revisions to the 2014-2015 UCM Catalog Graduate Studies Section. Members noted that the master's degree differentiation and formatting of master/doctoral degree information should be considered for next year's call for revisions.

- **Continuing Student Fellowship**

- **Guidelines:** GC was asked by the Graduate Division to provide feedback on draft 2014-2015 Continuing Student Fellowship Guidelines that included a new fellowship titled the Graduate Dean Dissertation Year Fellowship.
- **Review and Rankings:** A total of 44 applications were received for the continuing student fellowships. GC provided complete rankings for the Miguel Velez Fellowship, Presidential Dissertation Year Fellowship, Fletcher Jones Fellowship,, Faculty Mentorship Program and Graduate Dean Dissertation Fellowship,.

- **Graduate Advisors Handbook**

- **Coordinating Revisions:** GC established and implemented a process for the review of the Graduate Advisors Handbook to ensure collaboration and coordination between the GC and Graduate Division In the proposed process, Graduate Council would "own" the Graduate Advisors Handbook throughout the academic year and the Graduate Division would "own" the document during the summer.
- **Name Change:** Acting Graduate Dean Kello proposed changing the name of the Graduate Advisors Handbook to better reflect the use of the document. Graduate Council was in favor of changing the name and unanimously voted to change the document title to the Graduate Policies and Procedures.

- **Graduate Division Periodic Review**

- **Self-Study Report:** GC's comments on the self-study report were solicited by Acting Dean Kello. Members discussed and had three major concerns with the self-study report. Members felt that the report needed to articulate a better strategy for growing the number of MS/MA students, should examine the roles of the graduate division and the schools in administration and financial support of graduate programs.
- **Meeting with the Graduate Division External Review Team:** Graduate Division underwent periodic review on October 10-11, and in preparation for meeting with the review team, GC discussed the concerns that would be addressed with the review team. Members agreed to discuss the role of the Graduate Division and the Schools in graduate education, student recruitment in STEM fields and international students, gender diversity in graduate programs, graduate student mentoring needs, NRT waiver post-candidacy, need to streamline the process for properly charging training grants and fellowships, and improved processing of visas for international students.

- **Outstanding Teaching Award**

GC reviewed the revised 2013-2014 Outstanding Teaching Award (OTA) call and proposed timeline. The Awards Subcommittee were asked to evaluate the 23 nominees from 1 to 3, 3 being the highest ranked nominee. The Awards Subcommittee considered each nominees contribution to teaching and pedagogy by reviewing the teaching statement and letter(s) of recommendation. The individual rankings were compiled and the average rankings were used. The subcommittee rankings were discussed and approved by GC.

- **Policy for Publishing Dissertations**

Acting Graduate Dean Kello asked GC to opine on the policies for publishing and withholding dissertations with the implementation of Open Access. The request originated from concerns raised by SSHA graduate students regarding the effects of publishing their dissertation as some publishers may be unwilling to publish some version of it as a book. GC was in favor of drafting and implementing a policy similar to UC Berkeley. Acting Graduate Dean Kello consulted with the Graduate Group Chairs and no recommendations were made against adopting a policy similar to UC Berkeley's. GC reviewed UC Berkeley's Policy for Thesis/Dissertation Embargoes and agreed to adopt the proposal.

Requests from Graduate Emphasis Areas/Groups

- **Changes to Graduate Group Policies and Procedures**

Graduate Groups were unclear whether every change made to the graduate policies and procedures should be approved by the Graduate Council. A memo was sent to Graduate Groups notifying them that all changes to Graduate Policies and Procedures should be sent to Graduate Council as a notification for review. Specifically, any changes to a graduate program's degree requirements require the approval of the Council to ensure they are consistent with campus and systemwide policies. GC noted that corrections to typos or grammatical changes did not require review.

- **Environmental Systems (ES) Graduate Degree Requirements**

ES faculty submitted minor changes to their graduate degree requirements for the PhD and MS program. The submitted document contained some problems with the coursework requirement for the MS Plan I, the scholarship graduate group exception for ES of "C" being accepted in partial satisfaction of degree requirements, and outcome of critical exams. GC requested changes and a second version of the degree requirements were approved.

- **Graduate Minors and Emphasis**

- **Graduate Minor Areas:** Graduate Council received a request from the Psychological Sciences Graduate Group on the possibility of establishing a graduate minor. The graduate group was informed that typically UC campuses establish informal concentrations, or designated emphases and/or certificates. GC requested

information from ALO Martin asking if establishing certificates or designated emphasis on campus would trigger a Substantive Change Review or if there would be any WASC implications associated with creating these non-degree graduate programs. ALO Martin conveyed that she does not expect much impact and at most WASC would need to be notified of the establishment of non-degree graduate programs. Chair Leppert also informally consulted with CCGA regarding the practice of graduate “minors” and the feedback received indicated that graduate “minors” are not the norm nor are they formally annotated on transcripts. The Psychological Sciences Graduate Group based their request on the [UCLA Graduate Program in Psychology Handbook](#) and the UCLA GC Analyst confirmed that the graduate “minor” is informal and only reviewed internally. In general, members had no objections with the Psychological Sciences developing a graduate “minor”; however GC would need to develop a policy to ensure clarity, uniformity, establish a mechanism for programmatic review, and consultation process with the administration to ensure appropriate resource allocation. GC in consultation with the Graduate Dean, Registrar and ALO agreed to work on how best to distinguish tracks, emphasis, concentrations, and minor areas on transcripts in the next academic year.

- **Graduate Emphasis:** GC received a request from Interdisciplinary Humanities Graduate Group for three emphases to be created and appear (in addition to the degree name) in graduate student transcripts. Members briefly discussed how best to distinguish tracks, emphasis, concentrations, and minor areas, and the need to maintain the integrity of the degree program in doing so. Members agreed that it would be a rollover item next year.

- **Graduate Student Appointment as TAs for Graduate Courses**

GC received a request to clarify if a graduate student can be appointed as a TA for a graduate-level statistics or methods course. APM 410- Appointment and Promotion of Student Teachers governs the appointment of TAs and sets no restrictions that TAs can only be assigned for an undergraduate course. Members reviewed the relevant appointment policies of UCB, UCLA, UCD and USCS and had no objections for graduate students to be appointed as TAs for graduate courses. GC agreed to draft a general policy that would require a graduate student TA for a graduate course to be in good standing, advanced to candidacy, and to have taken and passed the course for which the TA appointment would be made with a grade of B or better, and to not be currently enrolled in the course during their appointment. The suggestion was made for the approval process to require the Graduate Group Chair, Lead Dean and Graduate Dean to approve future graduate student appointments. In addition, the Graduate Dean would be delegated authority by Graduate Council to approve any exceptions to policy.

- **Request for the approval of Graduate Instruction**

GC reviewed two requests from the Interdisciplinary Humanities Graduate Group to allow two post-doctoral scholars to teach graduate courses once in the fall 2014 term.

The request was approved based on the high level of scholarship, and teaching experience of the post-docs proposed. However, GC expressed concern about the use of post-docs for graduate instruction across all graduate programs, and reaffirmed its role in review and approval of such requests.

Request to Renew the Interim Individual Graduate Program (IIGP)

- Given the support that the IIGP has provided in successfully growing the graduate programs at UC Merced, GC requested an extension of the IIGP for AY 2014-2015. CCGA granted the extension on May 7, 2014 along with a request for a brief account of current emphases still under the IIGP umbrella and their expected timetable for transition to a regular status. CCGA also indicated their expectation that no new emphases be created within the IIGP.

Review Requests from DivCo

- **Campus Ethnic and Gender Diversity Issues**
Provost/EVC Peterson asked the Senate to consider opportunities to advance campus diversity. GC recommended providing funding opportunities, based on merit, for faculty and graduate students that enhance the research diversity on campus, and requested the School Deans to strengthen the oversight process within their school for ensuring adherence to best practices for recruitment and advertising. Members also recommended obtaining data to find out if diversity of the faculty is a retention issue for faculty and graduate students.
- **Conflict of Interest Policy**
Last year, CRE and DivCo decided to “test run” the UC Riverside model of having each standing committee compose a Conflict of Interests (COI) statement (or equivalent) at the start of each academic year. GC reviewed the request and identified the review of CCGA Proposals as the main GC business where a COI may arise. Members agreed that in order to avoid a COI, Graduate Council members will recuse themselves from the discussion and voting if they are a member of the proposing graduate group. The 2013-2014 GC Conflict of Interest Policy was approved on September 26, 2014.
- **COR Review Process for Research Units:** GC reviewed and strongly supported the proposed COR Review Process for Research Units.
- **FWDAF Diversity Hires Memo**
In response to DivCo’s request, GC reviewed the memo from the FWDAF committee regarding diversity hires. Graduate Council was generally supportive of diversity being achieved in hiring faculty of distinguished scholarship, but with respect to this particular proposal members were concerned that this plan might indirectly favor particular fields of study and/or programs that engage more heavily in diversity scholarship. Members also asked: how would the administration and faculty advertise

these searches? How will hires be prioritized? How will excellence be determined across fields? GC recommended obtaining empirical data to define the metrics for diversity at UC Merced by school and discipline, and the specific diversity categories within them that need special attention.

- **Joint Medical Education Task Force Charge**

GC reviewed and was supportive of the proposed Joint Medical Education Task Force charge and membership. GC recommended clarifying that consultation should be conducted through formal senate consultation processes and that HSRI faculty School representatives be limited to one per school, in order to avoid the appearance of a Conflict of Interest.

- **Joint Senate-Administration Library Working Group Final Report:** GC reviewed the final report submitted by the Joint Senate-Administration Library Working Group. Members were very supportive of the report's recommendations to grow the library budget and establish a library advisory group. GC recommend that priority be given to training library staff to provide increased support for graduate students and that the library provide clear delegation of responsibilities for all departments involved in the publication of dissertations.

- **Library's 2020 Space Plan**

GC had strong objections to the proposed 2020 Space Plan that did not seem to prioritize an alignment with the academic research and teaching mission of the university. Member's major concerns were that the space plan did not address the shortcomings in regards to the library's traditional roles in growing and maintaining print collections, and a print reserves section. GC also noted that the Library's role is not providing common space or special event space for the campus, that management of it by the library may detract from their academic mission.

- **Proposed Course Buyout Policy**

Provost/EVC Peterson asked the Senate to opine on the proposed draft Course Buyout Policy developed in conjunction with the School Deans in May 2012. GC reviewed the proposed policy and recommend adding language that would make the timeline for approval more specific and/or establish a notification process for program chairs. Members also felt that the cost of the buyout should be reduced, that the teaching requirement should be left to the schools and programs to define, and funds obtained through a course buyout should be allocated to the programs, instead of the Dean, to pay for teaching needs.

- **Proposed revisions to the MAPP**

GC reviewed the latest proposed revisions to the MAPP and provided comments regarding: 1) the Section on Academic Student Employees, and 2) the need to consider adding sections governing Graduate Group Chair appointments.

- **Revised Draft Course Buyout Policy 1.0**

GC reviewed the draft Course Buyout Policy 1.0 submitted by Provost/EVC Peterson and remained concerned with timeline for approval and cost of the buyout. GC also recommended adding language that would make the timeline for approval more specific and/or establish a notification process for program chairs.

- **Revised SACAP Charge**

GC reviewed the proposed revisions to the Senate-Administration Council on Assessment and Planning (SACAP) charge. In general, members had no objections to the proposed revisions to the charge and membership. However, GC noted the need for the Senate to advocate for the integration of Program Review and School Assessment efforts.

- **SSHA Community Research and Service Undergraduate Minor**

GC reviewed the School of Social Sciences, Humanities and Arts proposed minor in Community Research and Service. Members felt that the proposed program cleverly leveraged existing programs and courses in SSHA and SOE to create a distinctive cross-campus minor that can become a signature program at UC Merced. GC also agreed with the plan to initially limit enrollment, proposed fundraising plans, and the goal of monitoring of the resource impact of the program.

- **UCAF Memo- Academic Freedom and Faculty Control of the Curriculum**

GC discussed via email and was extremely concerned with the April 29, 2014 UCAF memo expressing concern about possible curtailment of academic freedom at UC Merced due to assessment practices, particularly given that this issue has not been raised at UC Merced with Graduate Council, or discussed in any depth within Divisional Council. With regard to UCAF's concern over Graduate Council's CRF policy, that requires Course Learning Outcomes that articulate with Program Learning Outcomes to be listed in every syllabus, GC noted that this arises from WASC substantive change requirements, which other UCs are not under for their MS/MA, or PhD degrees. While undergraduate programs at UC Merced are no longer under substantive change requirements, graduate programs will likely be under them until about 2020 (when 10 WASC-approved graduate programs will have been in place for 10 years). Finally, with regard to "learning outcomes" preventing faculty from approaching their subject in the classroom in unconventional or novel ways, GC noted that "learning outcomes" have been defined by faculty, and at the graduate level, they are written with so much breadth that is difficult to envision them restraining the subject content or mode of delivery for any course.

- **UCM Smoke and Tobacco Free Policy**

In general, GC had no objections to the proposed policy that would go into effect January 1, 2014. Members commented on the need to make sure all campus constituents

are kept informed of the on-campus cessation resources that will be made available as a direct result of the implementation of this policy.

- **Undergraduate Major in Public Health**

GC had two primary concerns about the impact on graduate education of starting a new undergraduate Public Health major. As a result, GC recommended requesting more information on the resource needs (to ensure a high academic quality program) and a teaching rotation for all undergraduate and anticipated graduate courses (to demonstrate that both can be delivered with current resources).

- **Undergraduate Council Reorganization**

GC provided comments from the perspective of the current committee's workload following the split last year of the Graduate Research Council into Graduate Council and the Committee on Research.

- **WASC Five Core Competency Expectation**

WASC's redesigned the reaccreditation process and among several new accreditation expectations is that institutions must ensure the development of "five core competencies" in all baccalaureate programs. GC reviewed the proposed plan and had no concerns or comments.

Review Requests from Senate Committees

- **Library's External Review Report**

In response to the Senate-Administration Library Working Group's request, GC reviewed the Library's external review report and the working group's five guiding questions. Members were concerned that the review did not address the question if the tasks the Library undertakes are prioritized in a way that aligns with the academic research and teaching mission of the university. GC also noted that it would be a very good idea to consider having a library impact statement prepared when new academic programs (and courses) are being considered and given the current space constraints at UC Merced, which are only anticipated to get worse, it is important that campus, in particular senate, consultation be sought in planning the use of space in the library. GC was also very concerned with the "institutional effectiveness" and the "educational role" section of the report that seems to largely focus on undergraduate students, perhaps to the detriment of graduate students and faculty.

- **Proposed Changes to the Academic Integrity Task Force**

GC was asked to review the proposed changes to the charge and membership of the Academic Integrity Task Force, and agreed with the goal of revising the proposed policy to better contextualize student interest that encourage academic integrity. In the spirit of reinforcing the charge of the Task Force, members recommended creating campus guidelines for Graduate Student Teaching Assistants and guidelines for conducting final examinations. GC also noted that changes to the academic honesty policy that fall under

Standing Order of the Regents 105.2 should be approved by the Academic Senate and incorporated into UC Merced Senate Regulations and that UC Merced Senate Regulations *do not presently* address components of the current academic honesty policy that fall under SOR 105.2 (e.g. grading options when academic dishonesty has been determined to have occurred either through admission or adjudication).

- **Seminar Courses**

GC received a notification via email that Undergraduate Council would be discussing seminar enrollment sizes. GC found that at the systemwide level there are no guidelines or restrictions for graduate seminar enrollment. Members felt that faculty should be able to determine when the enrollment size might have possible implications on the level of quality of graduate courses and that faculty would benefit from general course definitions.

Senate Awards

- An ad-hoc subcommittee reviewed and selected a nominee for the Senate Distinguished Graduate Teaching/Mentorship Award.

Systemwide Business

- **Systemwide Items Reviewed by GC**

- **2010 CITRIS Academic Review:** Graduate Council reviewed the documents related to the Systemwide 2010 CITRIS Academic Review and had no objections or comments.
- **APM 025, APM 670, and proposed new APM 671:** GC reviewed and had no objections to the documents related to the proposed revisions of APM 025- Conflict of Commitment and Outside Activities of Faculty, APM 670- Health Sciences Compensation Plan, and proposed new APM 671- Conflict of Commitment and Outside Professional Activities of Health Sciences Compensation Plan Participants.
- **APM 035, Appendices A-1 and A-2:** GC reviewed the documents related to the proposed revisions of APM 035- Affirmative Action and Nondiscrimination in Employment, Appendices A-1 and A-2. Members noted the need to incorporate changes mandated by the Violence Against Women Act (VAWA) into current training for faculty and staff, and to develop new training for students.
- **APM 190 and Appendix A-2:** GC reviewed and had no objections to the proposed revisions to APM 190- UC Policy on the Protection of Whistleblowers from Retaliation and Appendix A-2 Procedures for Reviewing Retaliation Complaints.
- **APM 290, APM 510 and APM 600 Series:** Graduate Council reviewed the documents related to the final review of APM 290- Regents' Professors and Regents' Lecturers, APM 510- Intercampus Transfers, and APM 600 Series- Salary Administration. Members had no objections to the proposed revisions.
- **CCGA Guidance for Master's Degree Titles:** GC reviewed the draft CCGA Guidance for Masters Degrees that explains the current issues concerning Masters'

- titles for SSP or PDST programs in the UC System. Members agreed with the proposal to establish and provide guidelines for master's degree titles.
- **Innovative Learning Technology Initiative (ILTI) Online Cross-Campus Course Pilot Project:** Graduate Council found this effort to be mainly relevant to undergraduate education; however, GC noted that there are some existing efforts of cross-campus graduate course sharing, and that they would like to see an effort extended to formalize these relationships, develop clear policies and support infrastructure around them, as well. Members were also concerned with how the online cross-campus courses count for faculty teaching load, and TA/Instructional/IT support for students at the non-host campus.
 - **Moreno Report:** GC was asked to opine on the Moreno Report and any Senate procedures that can illustrate whether the current anti-discrimination policies and process are effective.
 - **Professional Degree Supplemental Tuition Policy (PDST):** GC was concerned with the academic and financial arguments for what type of programs fall under the PDST vs. SSGPDP policy. Members also felt that articulation of how a PDST program may convert to SSGPDP would be helpful and consultation of the Academic Senate should be sought when existing state-supported programs consider conversion to PDST status.
 - **Proposed revisions to Senate Bylaw 55:** GC reviewed the documents related to the two alternative versions of proposed amendments to Senate Bylaw 55- Departmental Voting Rights. Members supported the more restrictive amendments to both versions and expressed hesitancy over extending voting rights to non-senate faculty, given the different performance expectations and cultures that may exist for such faculty vs. senate faculty; and lack of clarity concerning the specific titles to which this privilege would be extended and the resulting impact at both the campus and systemwide levels.
 - **Proposed revisions to the Compendium:** GC reviewed and had no objections to the proposed revisions to the Compendium: University Review Process for Academic Programs, Academic Units, and Research Units.
 - **Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy:**
 - **Round #1:** GC reviewed the proposed revised policy that included implementation information and removed barriers for forming self-supporting programs that allow the University to serve more students and expand revenue generation. Members were concerned with the ambiguity about what may be considered a "professional master's program," accessibility of programs for state residents, and the need to establish a tracking mechanism to demonstrate that self-supporting program are not having a deleterious effect on the state-supported mission of the UC system.
 - **Round #2:** GC reiterated the importance of tracking the academic and financial implications of these programs on the institution, particularly given the large number of them under consideration across the system as evidenced in the recently collected 5 year planning perspectives.

- **UC Policy on Supplement to Military Pay Four-Year Renewal-** GC had no objections to the proposed extension and revisions to the University of California Policy on Supplement to Military Pay.
- **Coordinating Committee on Graduate Affairs (CCGA)**
GC Chair Valerie Leppert reports on CCGA activities included the following:
 - Revisions to APM 035, Appendices A-1 and A-2
 - Draft Policy on Professional Degree Supplemental Tuition (PDST)
 - Proposed revisions to the CCGA Handbook
 - Proposed revision to the Compendium
 - Review of the Physics CCGA Proposal
 - Review of the Applied Mathematics CCGA Proposal
 - Review of the Interdisciplinary Humanities CCGA Proposal
 - Review of the Sociology CCGA Proposal
 - Proposed revisions to the Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy
 - Draft formal letter, summary and format that will be an essential guide for President Napolitano in approving graduate programs
 - UC Conference on Doctoral Student Support

UCM Senate Regulations

- The campus received WASC Interim Approval for Fast Track Review of new Doctoral degrees emerging from existing emphases within the Interim Individualized Graduate Program (IIGP). WASC made one single recommendation to the campus: formalize graduate policies by including them in our Senate Regulations. In response to WASC's request, GC proposed changes to Division Regulations that codify Graduate Council approved policies for graduate education. On April 2, 2014, GC unanimously endorsed the proposed revisions and a track changes copy with recommendations was sent to the Committee on Rules and Elections for their consideration. GC also proposed significant formatting changes and proposed changes to approved language of the Division Regulations.

White Paper on Graduate Student Enrollment

- The 2020 plan outlines a tripling of graduate student enrollment in the next six years. Faculty and graduate groups, who must ultimately admit graduate students, perceive several barriers to achieving this goal. As a result, GC developed the white paper that seeks to outline those barriers and possible solutions to overcoming them.

Respectfully submitted,

Valerie Leppert, Chair and CCGA Representative (SOE)

Kathleen Hull, Vice Chair (SSHA)

Erin Johnson (SNS)

Sayantani Ghosh (SNS)

Sachin Goyal (SOE)
Paul Almeida (SSHA)

Ex-Officio

Ignacio López-Calvo, Divisional Council Chair (SSHA)
Jian-Qiao Sun, Division Council Vice Chair (SOE)
Chris Kello, Acting Dean of the Graduate Division (SSHA)

Student Representative

Henry Pai (SOE)

Consultants

Laura Martin, Coordinator of Institutional Assessment
Tsu Ya, Graduate Admissions and Academic Services Manager

Senate Staff

Mayra Chavez-Franco, Senate Analyst

**COMMITTEE ON RULES AND ELECTIONS
ANNUAL REPORT
2013-2014**

TO THE MERCED DIVISION OF THE ACADEMIC SENATE

In academic year 2013-2014, the Committee on Rules and Elections (CRE) conducted business via teleconference, e-mail and in person meetings.

GENERAL PROCEDURES

The Committee on Rules and Elections (CRE) issues formal Legislative Rulings to resolve disputes or clear up ambiguities regarding Senate authority, procedures, or jurisdiction. Legislative Rulings are binding unless modified by subsequent legislation or action from the Board of Regents. CRE also prepares and reports to the Division, or to any of its Faculties, such changes and additions to their Bylaws and Regulations as it deems advisable; formally supervises all changes and additions to the Bylaws and Regulations proposed by other committees or by individuals; edits and publishes the Manual of the Merced Division at such intervals as it deems expedient; and determines whether a person meets the conditions for membership in the Division.

ELECTIONS

- ***Academic Senate Election:*** The call for nominations for four positions on the Committee on Committees and one At-large member of the Divisional Council was distributed to the Senate membership on March 13, 2014. All positions for both committees were for two-year terms. Nominating petitions required five signatures including the signature of the candidate showing willingness to serve. Complete forms were due to the Senate on April 2, 2014. On May 19, 2014 CRE extended the nomination period to allow nominations to be returned to the Senate office on May 30, 2014.
- ***Online Voting System:*** CRE continued to use the system developed in collaboration with the Cognitive & Information Sciences Unit, the IT Department and Central Authentication Service.

FORMAL LEGISLATIVE RULINGS ISSUED

CRE made no formal legislative rulings in AY 2013-2014.

REVIEW REQUEST ITEMS FROM DIVCO:

Campus

- **8/28/13 Appointment of Professor Martha Conklin as Acting Director of SNRI:** CRE considered the appointment of Professor Conklin as Acting Director of SNRI, while also serving as AP Chair for Engineering. CRE decided the Bylaws do not seem to preclude a double appointment as Director and Bylaw 55 unit chair.
- **9/24/13 SACAP Charge:** CRE reviewed the SACAP charge and a concern was raised regarding one of the revisions related to the SACAP's voting procedures. CRE advised

that the charge specify that the voting procedures ensure equitable Senate/Administration representation to avoid biases on one side or the other.

- **9/24/13 Physics CCGA Proposal:** CRE considered the Physics CCGA proposal and recommended moving forward with the proposal.
- **10/1/13 Bylaw Unit Voting Process for Personnel Matters:** CRE discussed Bylaw unit voting processes for personnel matters and advised on the following:
 - Provisions 55.B.8 and 55.C permit some flexibility in voting procedures by a unit.
 - 55.C states that faculty already permitted to vote on a case must approve any changes to voting procedures by a two-thirds majority.
 - It seems natural to have all faculty veto on *new* appointments (hiring) at any level.
 - It is very unusual and CRE advises against having faculty at the Assistant level voting on advancement (“barrier”) tenure cases, for several reasons.
- **4/18/14 CRE Comments on MCB Graduate Program Proposal:** CRE reviewed the bylaws of the proposed program, and identified no major concerns. The committee noted three issues that may be worth considering for MCB and encouraged moving forward with the proposal regardless, as the below identified issues could be added at a later date, if desired.
 - To be explicit that the student representative does not receive a vote (implied, but it may be helpful to future activities for this to be explicit in the document)
 - The chair currently chooses the representatives, but if the representation is meant to be deliberate on behalf of the student body, the MCB group may consider having the graduate student body more involved in the selection process for their representative.
 - Make plane one or two criteria that might guide this selection process (e.g., a more senior graduate student).

Systemwide

- **1/15/14 Proposal to Change Bylaw 55 for Salaried Non-Senate Faculty (NSF):** CRE considered the proposal to amend Senate Bylaw 55, and raised the minor concerns summarized below:
 - Faculty of various stripes may have expectations and duties that differ quite radically. Additionally, the tenure expectations on Senate members may be quite different from evaluation of NSF clinical series.
 - The amendment has the risk of being a substantial change to systemwide bylaws for what is a relatively small slice of individuals across the whole system; does this create a precedent for a cascade to recognize other series?
 - The flexibility, inherent in inevitable subsequent amendments to a new BL 55.E, may be a concern, or a boom, depending on one’s perspective. So the concern of reciprocity was raised.
- **1/23/14 Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy Review:** CRE discussed Self-Supporting Graduate Professional Degree Programs

(SSGPDP) issues. CRE noted that this is a new and relatively unfamiliar issue to both CRE and UC Merced's faculty and nevertheless shared these general thoughts:

- The document clearly wishes to make the original mission of self-supporting program more flexible—yet the name and spirit seems still to be narrowing.
- In the spirit of shared governance, if the self-supporting programs are intended to open up new opportunities for creating degree programs that can stand alone in terms of resources, then it seems that flexibility may come in the form of programs that may be hard to establish as “professional”, yet may still satisfy needs and be in demand (e.g., 5th year master's programs in topics that may not have an existing professional society that supplies accreditation, but yet serve a specific potential educational function that is In demand). The shared governance issue here is that the curriculum belongs to the faculty. If a faculty body can carefully justify a self-supporting program according to all the resource-based guidelines, CRE is unsure of the reason to specify “professional”. CRE questioned if this will put constraints on how faculty can design these courses of study in a manner that is orthogonal to the budgetary/resource concerns. If this is true, this may put undue constraints on a faculty body's development of advanced curriculum using new approaches for delivery (e.g., hybrid) or new topics (e.g., data science, digital humanities, etc.) that goes against the spirit of faculty control over these academic domains.
- From a quite different angel, does a professional program blur the distinction between the standard roles of shared governance? On DivCo and in other committees there has been some discussion that professional master's degrees can decouple academic programs from state support and, by implications, from coordination with administration, what are the implications here for the long-standing structures inherent in the relationship between administration and faculty at the UC? Expanding these programs may have such broad structural implications.

REQUESTS FROM THE SCHOOLS

- ***9/18/2013 Review of SOE Bylaws:*** In June 2013 CRE offered comments to the SOE faculty regarding an updated set of School Bylaws. The comments were only suggestions and were not deemed required in order for SOE faculty to finalize their updated Bylaws and should be considered approved whether the suggestions are followed or not.
- ***4/22/14 Guidance on Procedures for Updating School Bylaws:*** CRE clarified the process by which schools update their bylaws. CRE stated that school's faculty is sovereign and can update its bylaws as faculty see fit, via voting procedures specified in existing bylaws. While it is not necessary for the Division to approve bylaws, consultation (e.g. through CRE) is recommended before sending a ballot to faculty to reduce the possibility that a revision may be a variance with systemwide or Division bylaws. CRE noted that the Division Council does not approve bylaws changes, in fact, neither does CRE. It is the school's faculty who approve their own bylaws.

- **4/30/14 Addition of Emeritus Voting to Group Bylaws:** CRE considered an issue in the Cognitive & Information Sciences Bylaw 55 unit where the unit voted long ago to grant emeritus faculty voting rights in their group. In some recent voting, one emeritus voter in the group was left off ballots inadvertently. CRE recommended that CIS/SSHA simply move forward with granting their emeritus colleague voting privileges and noted that no further action is needed to grant these privileges, as the voting privilege is current in the group. Regarding moving forward with this group and others, CRE recommended referring to systemwide bylaw 55.D.4.c.i.: "When a group, as a class (e.g., emeritus), is granted the privilege to vote outside of default bylaw 55 provisions, this privilege must be extended for at least a year."

REQUESTS FROM STANDING COMMITTEES

- **1/22/14 Clarify of MAPP procedures for Career Equity Reviews:** Discussions at DivCo regarding the campus policy on Career Equity Reviews (CER) promoted CRE to review the relevant sections in the UC Merced's Academic Personnel Policies & Procedures (MAPP) and compare it to that of UCLA ("Merit Equity Review"). CRE considered these documents together and made the following recommendations:
 - The MAPP could offer clearer guidelines on how to formulate a committee to evaluate a CER's, in particular, conditions under which a faculty might bypass a unit chair or whole unit.
 - The MAPP could give a bit more concrete guidance on initiating and drawing up the CER. UCLA's document offers an example that is straight forward and easy to implement
- **5/13/14 Graduate Group Bylaw Template Review:** At the Graduate Council's request CRE vetted the draft Graduate Group Bylaws Template and had no additional comments or revisions. CRE encouraged the Graduate Council to move forward with its adoption.
- **8/15/14 COR's Revised Research Unit Policies:** CRE reviewed the revisions made by COR to propose research unit policies and had no additional comments or concerns.

Respectfully submitted,

Rick Dale, Chair
Peter Vanderschraaf (SSHA)
Paul Almeida (SSHA)

Ex- Officio
Ignacio Lopez-Calvo, Divisional Chair (SSHA)
Jian-Qiao Sun, Division Vice Chair (SOE)

Staff
Dejeuné Shelton

COMMITTEE ON RESEARCH (COR)
ANNUAL REPORT
AY 2013-2014

To the Merced Division of the Academic Senate:

In its inaugural year as a standing Senate committee separate from the former Graduate and Research Council, the Committee on Research (COR) held a total of 16 regularly scheduled in-person meetings and conducted some business via email with respect to its duties as outlined in UC Merced's Senate [Bylaw II.III.7](#).

At the first meeting of fall semester, COR members outlined four overarching goals the committee would work on throughout the academic year and identified the committee members who would serve as lead on the issues: 1) draft policies on the establishment and review of organized research units (ORU, CRU, Centers, and Core Research Facilities), 2) establish the committee's role in campus lab safety, 3) reexamine the criteria in the call for proposals for the annual Senate faculty research and travel grants, and 4) determine the campus's indirect cost return model and make recommendations on future allocations. While COR conducted regular Senate business throughout the year, these four issues served as the guidepost for much of the committee's work.

Establishment and Review of Research Units

While the Graduate and Research Councils previously attempted to draft policies on research units in AY 2008-2009 and AY 2010-2011, neither of these prior efforts made it through the formal Academic Senate or administrative approval process to the implementation stage. COR judged that it was imperative for UCM to have a comprehensive policy by which research units are approved, implemented, funded, and periodically reviewed. It is important that the Senate plays a role in commenting on the academic value of ORU proposals as well as their feasibility with the current availability of resources. Finally, any new policy must include the three main points of funding existing units, approving new units, and the periodic review of all units. In drafting these comprehensive procedures, COR members analyzed the procedures on other UC campuses, the ORU process followed by UCOP, and the systemwide Compendium.

In February 2014, COR submitted to Division Council a cover memo explaining the justification and background for drafting research units policies as well as (1) a table outlining different types of research units on campus (multi-campus, organized, centralized research units and core facilities), (2) a flow chart of the processes that proposals for establishing a research unit must go through for campus approval, (3) the review criteria for evaluating such proposals, and (4) the criteria for five-year reviews for existing research units. Division Council then asked all standing Senate committees to opine on the proposed research unit policies. The Committee on Academic Planning and Resource Allocation (CAPRA) and the Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF) raised minor issues with the policies and in July 2014, COR members met to revise the policies to address the two committees' concerns.

COR then submitted its revised policies to the Senate Chair with the request that he ask standing committees to review the revised policies and ask Division Council to vote prior to the start of fall instruction so that the policies can be implemented in time for AY 14-15. In August 2014, Division Council voted to approve the policies and the Senate Chair submitted them to Provost/EVC Peterson with the intention of implementation for fall 2014.

Lab Safety

In in the last academic year, there were many critical issues involving faculty labs. While COR is advisory, the committee believed it must nonetheless be cognizant of the external regulations and state laws pertaining to lab and field research safety. COR selected one committee member to keep COR apprised of pertinent lab safety issues.

During the AY 13-14, COR discussed 1) the need for clarity on the health care for GSRs in addition to that of graduate students, undergraduate students, visiting researchers, and lab volunteers; and 2) the need for clarity on PIs' personal liability in case any of the aforementioned individuals experience an accident in the lab. Input on these issues was solicited from Acting Dean of Graduate Studies Chris Kello and Assistant Dean Concon.

In the last academic year, an attempt was made to formulate the Campus Safety Committee but the Committee on Committees did not select faculty members to serve. In spring 2014, ex-officio COR member Vice Chancellor for Research (VCR) Sam Traina provided a draft charge for the Campus Safety Committee which COR reviewed. The

Committee on Committees completed the slate of faculty members and the committee was officially convened.

Annual Senate Faculty Research and Travel Grants

COR conducted lengthy and careful discussions the eligibility criteria for the annual Senate faculty research and travel grants program. To aid its discussions, COR analyzed the criteria used by other UC campuses.

Some potential changes COR considered were gearing the grants towards: 1) untenured faculty members who need bridge funding (as done on another UC campus), 2) faculty members who have specific research needs (e.g., equipment, data), or 3) faculty members who are attempting to apply for extramural funding (as done on another UC campus). Other issues COR debated were how to distribute funds equitably across the Schools, how to assess quality of proposals across disciplines and Schools and whether COR should involve the Schools in the proposal reviewing process, how to balance funding numerous small need-based bridge funding proposals versus fewer larger-scale proposals and how to weigh proposals from faculty members who have already been awarded a Senate grant against faculty members submitting a first-time proposal.

In February 2014, COR submitted the call for proposals to all Senate faculty. The committee then submitted a memo to Division Council, requesting that Division Council work with Provost/EVC Tom Peterson and VCR Traina to develop and implement a mechanism to ensure that future Senate funds grow in proportion to the size of the faculty.

Upon conclusion of the awards process in spring 2014, COR submitted a second memo to Division Council to relate that COR received a high number of meritorious proposals that could not be funded due to the severe lack of adequate funding provided to the Senate. Moreover, while COR members were as conscientious as possible with rating each proposal against various criteria, the funding issue was an obstacle the committee could not appropriately surmount. The traditional, flat-rate funding is not sustainable as the faculty continues to grow. If funding is not increased proportional to faculty growth, the annual Senate faculty grants process will be in jeopardy, as faculty will not see the incentive of spending an inordinate amount of time drafting a proposal when the likelihood of funding is so low.

COR also discussed the grants process for the next academic year, and made note of the various suggestions to next year's COR: 1) generate a form which all PIs are required to fill with the objective information that COR needs to make the objective components of the assessment more clear, 2) carefully consider how to weigh each criterion, especially that of PIs' previous funding, 3) during the fall semester, ask each School executive committee to develop criteria for quality reviews and send these criteria to COR for comment, and 4) encourage faculty to submit joint proposals.

Indirect Cost Return

UCM is undergoing another change in its rate calculation, thereby making this issue a timely one for AY 13-14. To prepare for its recommendations to the administration, COR members studied the distribution models and rate calculations of other UC campuses. COR's aim this year was to encourage budgetary accounting transparency in the allocation of indirect cost return and to ensure that the funds are used to support the campus's research enterprise. Discretionary funds – formerly called opportunity funds – are important to the faculty in light of the changing of the parameters of extending start up packages.

In spring 2014, COR drafted a proposed indirect cost return model and submitted it to Vice Chancellor for Business & Administrative Services, Michael Reese and Vice Chancellor for Planning & Budget, Dan Feitelberg. Both VCs attended a COR meeting in the spring semester where they related that this year represents a fresh start for the campus for reevaluating indirect cost return and what works best for UCM. COR members informed the VCs that if start up funds are moved to non-research related purposes, the equivalent amount of money should be cycled back into the campus research enterprise. Many faculty keep their start up funds beyond the normal time period due to the lack of unit/departmental, unrestricted funding available for faculty. Moreover, while the Senate continues to maintain its annual faculty research grants program, the amount of funding allocated to this program by the Provost/EVC has not risen in proportion to the growth in faculty numbers.

It was agreed upon by all parties that any indirect cost return model should provide to faculty flexibility, predictability, and transparency. Another meeting was held in August 2014 with COR members, VC Reese and Feitelberg, VCR Traina, incoming Controller Michael Riley, and incoming AVC for Finance Donna Jones to continue the

conversation as the next academic year draws closer. It was agreed that COR and the administration would work closely together in AY 14-15 to communicate the new policy to faculty.

COR also conducted the following business:

Open Access Policy

Interim Head Librarian Donald Barclay provided COR members with updates on the Open Access policy. The policy was approved by the systemwide Senate in the last academic year and the implementation this academic year is being handled by the California Digital Library (CDL). While authors will not be “punished” for not uploading their work according to the Open Access policy, federal agencies are requiring publications to be accessed openly in certain circumstances. Faculty members have the option of obtaining a waiver or an embargo from their publishers if they do not want to upload their work at this time. The test campuses are UCSF, UCLA, and UCI implemented the policy on November 1, 2013. In May 2014, the systemwide Senate reviewed the policy. All campuses will be affected by the end of 2014.

Open Access policy will not apply retroactively, rather, only to published work going forward from this point. All scholarly publishers are notified and should be prepared. Authors are encouraged to review the Open Access policy to determine whether the policy applies to conference proceedings and book chapters in addition to peer-reviewed articles.

Senate-Administration Library Working Group

In the last academic year, a joint Senate-Administration Library Working Group was formed in response to concerns with the communication challenges between the faculty and the Library as well as the Library’s contribution to the campus’s research mission. Since the Working Group was not populated in a timely manner, the Committee on Committees this year finalized a slate of faculty members, undergraduate, and graduate students to serve on the AY 13-14 Working Group. COR Chair Ruth Mostern and Interim Head Librarian Donald Barclay served as co-chairs of the Working Group.

As campus stakeholders in the Library, the Working Group was tasked with reviewing the Library’s internal strategic materials and external review report and provide its own report to the Senate and Administration by the end of the AY 13-14. This is UCM’s first library advisory committee; equivalent committees are already established on other campuses.

The Working Group held three meetings in fall 2013. Members elicited feedback from their constituencies on the Library's external review report and made recommendations intended for inclusion in the Working Group's final report to the Senate Chair and Provost/EVC.

COR was one of the constituencies whose feedback the Working Group solicited on the Library's external review report. COR stated to the Working Group that it strongly believes that an excellent and adequately funded Library is critical to the research mission of UCM and COR hopes to see the Senate develop a collaborative and positive relationship with the Library. COR also expressed its hope that Senate advocacy can help rectify the problem that the Library's budget and resource allocation have not increased substantially since the opening of the campus. The committee related to the Library its many concerns with the report, including items related to space, collections, education effectiveness, and management.

The Working Group submitted its final report in January 2014 to the Senate Chair and Provost/EVC. The report include recommendations on how a long term consultative structure between the Library and its stakeholders should be implemented, the Working Group's support of the creation of a permanent Library and Scholarly Information Advisory Committee with a membership and charge akin to such committees at other UC campuses, and the recommendation that the Library, as an academic unit, needs a budget that grows commensurate with student and faculty growth.

Division Council was asked to opine on the final report, specifically the main recommendation that a standing committee of the Senate be formed to deal with library and scholarly communications issues, as currently done on other campuses. Division Council did not vote on this item but will carry it over to AY 14-15.

Visit of UC President Janet Napolitano

In fall 2013, President Napolitano visited UCM and met with various constituencies including faculty members. COR representatives attended the invited session of Senate members and President Napolitano to share insight on topical issues facing UC Merced.

Updates from VCR Sam Traina

Throughout the academic year, COR members benefited from updates on various research-related issues from VCR Traina, an ex-officio committee member. In addition to providing the committee with information on indirect cost return and the systemwide Vice Chancellors meetings, VCR Traina informed the committee about systemwide research initiatives such as the Presidential Grand Challenge Initiative. Campus VCRs were asked to provide recommendations on the formulation of such a program and which research foci on their campuses would be eligible. The proposals must be multi-campus collaborations but are independent of MRUs and the main criteria for proposals may include the distinctiveness of the research foci and its potential impact. In addition, VCR Traina related to COR that President Napolitano expressed her desire to grow the area of technology commercialization to keep California industries viable and competitive; to achieve this, funds may be allocated to licenses for UC intellectual property.

Director of Research Development Services Susan Carter

COR also heard updates from Director of RDS, Susan Carter and her staff. RDS aims to be the faculty's first point of contact for pre-award services and proposal development. One of RDS's current projects is the implementation of an integrated, online submission system which RDS will help faculty to use. It will be analogous to NSF's Fast Lane and will become the default proposal submission system for the campus. RDS also holds grant writing workshops with untenured faculty every spring semester and also conducts grant writing training for graduate students. In addition, a new project will involve taking untenured faculty to Washington, D.C. to familiarize them with granting agencies.

Sequestration

As a result of the federal government shutdown in fall 2013, the UCOP Office of Research asked for UCORP's assistance in collecting stories from faculty members at the ten UC campuses that illustrate the negative impact that sequestration is having on their research programs. All campus faculty members were subsequently sent an email from the Senate requesting stories of how the sequester and current government shutdown are affecting their research programs. COR worked with the office of Governmental Relations and Research Development Services on these stories in an

effort to support the campus research enterprise and to use in future advocacy efforts for the campus.

Faculty Start up Funds

This academic year, Provost/EVC Peterson announced his intention to reexamine the parameters around start up funds and their extension. COR submitted a memo to Division Council that stated while the committee understands the Provost/EVC's dilemma of asking UCOP for financial support when there is seemingly "unspent" money already on campus in the form of start up funds, these funds should be viewed as encumbered rather than unspent, as faculty members routinely count on their start up funds to pay for a range of items and salaries in the absence of departmental and extramural funding. COR offered its support to the Provost/EVC but emphasized that sweeping start up funds before establishing an alternative funding source will be cause irreparable damage to the faculty and the campus's research mission. COR expressed its hope that the Senate will be provided with a plan detailing where the start up funds will go and what the alternative funding source is, as the campus's core research mission cannot be fulfilled without adequate faculty research support.

Emergency Funding for Faculty

A common theme facing COR throughout the academic year was the lack of bridge funding for faculty members who face an unexpected shortfall in research funds. The committee noted that there are a number of circumstances that might cause this problem to occur, and that the Office of Research periodically receives requests from faculty who are in this situation. The Senate is not well positioned to administer an emergency fund source that requires rapid turnaround; therefore, COR requested that Division Council work with the Provost/EVC VCR Traina to establish in the next budget allocation cycle, an emergency fund source, controlled by the central administration, to be used by faculty members experiencing gaps in funding.

Planning for AY 14-15

At its last meeting of AY 13-14, COR outlined a list of suggested issues that next year's committee should conduct reviews of the following: shared facilities (with RDS Director Susan Carter), the grants preparation and management system with Research Accounting staff and Sponsored Projects staff, and Institutional Review Board and

Institutional Animal Care and Use Committee issues. Finally, next year's COR should call one joint meeting with COR, Graduate Council, and the new Vice Provost for Graduate Education and Dean of the Graduate Division.

Systemwide Review Items

- APM revisions. COR opined on several proposed revisions to various sections of the APM as requested by systemwide and Division Council.
- 2010 CITRIS Report. It was discovered by Academic Council that standing Senate committees were never invited to opine on the academic review of CITRIS. This year's Division Council issued the directive for standing committees to review the report. While COR had no comments on the report, the committee reaffirmed its enthusiasm and support for CITRIS and its benefit to the UCM research agenda.
- Online Cross-Campus Courses. Robust systemwide online courses might constrain our growth by making it more difficult to justify hiring faculty in certain fields. On the other hand, they could also provide opportunities for our graduate and undergraduate students, some of whom may be intellectually isolated, to be more engaged in the system. COR pointed out that UCM needs to be mindful about reconciling the growth of our own programs, faculty, and students with the offering of remote, online courses in ways that advantage our campus.
- Self-supporting Graduate Professional Degree Programs Policy (SSGPDPP). Self-supporting programs are dependent on tuition to sustain themselves and as such, the COR was concerned for their potential to impact research and teaching enterprise mission of the University, for instance creating the risk that faculty may be recruited and evaluated not on the basis of their contributions to research and core teaching, but for their ability to recruit students to self-supporting programs in order to generate more tuition. COR was also wary of situations in which a state-funded program is closely conjoined with a related private, self-supporting program. This could create a cross-cannibalization effect whereby one program overpowers the other. COR advised that self-supporting programs be tied to a significant regulatory structure and be subject to Senate oversight.
- University Committee on Research Policy (UCORP) updates. UCORP discussed the following major issues this academic year: Open Access policy, composite

benefits rate, Multicampus Research Programs and Initiatives (MRPI), lab safety, and the Portfolio Review Group (PRG). UCOP acknowledged that MRPI is drastically underfunded and consequently allocated \$3 million for the program this year and at least \$6 million over the next two years. The PRG is the committee tasked by UCOP with reviewing all UC programs that are funded through the UC Office of Research. School of Natural Sciences Dean Juan C. Meza was UCM's representative on the PRG this year. The PRG issued two reports which required reviewing by each campus Senate's COR. UCM's COR was pleased that PRG supported increased funding for the MRPI program and the natural reserves but was concerned that the PRG was critical about the California Institutes for Science and Innovation (CAL ISI). COR recommends that a faculty representative from UCM be named to PRG next year.

- University Committee on Library and Scholarly Communications (UCOLASC) updates. UCOLASC discussed the following major issues this academic year: Open Access policy, off-site storage facilities, and copyright issues for graduate students working as GSRs.

Campus Review Items

- MAPP. As per procedures, in the spring semester, APO, in conjunction with the Provost/EVC, submitted a set of proposed revisions to the MAPP. COR had no comments on the suggested revisions.
- PhD Program Proposals. COR reviewed the following PhD proposals and judged that they enhanced the research mission of the campus, related appropriately to the campus's current research profile, and that the research areas emphasized in the proposals had the potential for extramural support: Mechanical Engineering, Sociology, and Molecular Cell Biology. COR recommended their approval.
- Physics PhD proposal. COR suggested that the proposal could be strengthened in the following ways: by including a compact summary of this dual justification for establishing a new graduate program, by providing some support for the choice of the three focal research areas of specialization, by clarifying staffing needs, and by exploring how the proposed program could contribute to

establishing UCM as a world leading institution in some broad strategic research areas consistent with campus-wide planning.

- Electrical Engineering & Computer Science (EECS) PhD proposal. COR suggested that the proposal could be strengthened by a more thorough discussion of what the research fields are and why they are the research foci of the proposed graduate program, by explicitly stating what these research connections are and how they fit within the particular research theme, and by further discussing the directions of growth in research areas within EECS. In reviewing the revised EECS proposal, COR still had concerns about particular components of the proposal. COR requested that EECS submit a cover memo that indicated which section of the proposal addresses the following points: 1) intelligent systems and distributed systems are the research foci of the program. 2) if the EECS faculty members are “anticipating to transition towards off campus cloud based system”, then this should be stated explicitly.
- Public Health major. COR’s two main concerns with this proposed major in SSHA were 1) the planning for public health and health sciences - including medical education, HSRI, the nascent public health bylaw group, and the proposed public health undergraduate major - is occurring on a piecemeal basis, simultaneously, and on many fronts. COR recommended that all health-related initiatives be presented in a comprehensive, holistic package and strategically aligned with the 2020 Project. 2) the lack of a single organizational structure to administer and plan the public health major and how the absence of this guiding entity will impact the campus research mission. COR therefore recommended that approval of the public health major be delayed until one organizational structure can be established to manage public health and human health educational activities without interference in the research mission.
- Community Research and Service. COR opined on this proposed minor in SSHA and found it sound in the advancement of the campus research mission.
- Course buyout policy. COR opined on the Provost/EVC’s proposed course buyout policy and had three major concerns: 1) by imposing a buyout cost that is higher than the actual cost of a lecturer hire, it disincentivizes research in favor of teaching, thereby hindering the overall research mission of the University. 2) it creates a sliding scale since it ties the cost of buyout to the faculty members’ salary rather than the real cost of hiring a replacement lecturer. Instead, the

policy should be based upon a transparent accounting of the actual cost of replacing a faculty member's teaching. 3) It places too much power in the hands of the Deans, who are the sole arbiters of buyout requests, and who can effectively use buyouts to impose a hidden indirect cost on faculty grants in order to fund unrelated activities in the Schools.

- Diversity hires. The Committee on Faculty Welfare, Diversity, and Academic Freedom suggested late in the spring semester that in light of the announcement of the severely limited numbers of new faculty FTEs next year, the Provost/EVC should consider allocating the few positions based on diversity considerations. COR strongly agreed that diversity is essential to research excellence. However, in light of the Provost's May 1 letter to faculty about the limited number of new FTE lines for next year, COR believed that any competitive process to allocate such limited resources at this point in time would be a significant burden to faculty with little impact on diversity given the small number of lines in play. COR suggested that the best way to support the campus's research enterprise is to develop thoughtful, long-term strategic academic focusing plans that include diversity considerations.
- Smoke and Tobacco-Free Policy. In January 2014, UCM officially became a smoke and tobacco-free campus. Senate committees were invited to comment on the policy. COR was concerned by the second exception to the policy that states "UC Merced Institutional Review Board-approved medical research, only if tobacco use is integral to the research protocol." COR suggested removal of the word "medical", which would then allow the exception to cover all research at UC Merced, including behavioral studies. COR did not want the policy to be too restrictive as to impede the research mission of all disciplines in the University.
- Senate-Administration Library Working Group report. COR endorsed the Working Group's recommendations in fall 2013.
- Library's 2020 Space Plan. As part of Project 2020, the Library submitted to the administration its plans for future space. COR strongly believed that an excellent and adequately funded library is critical to the research mission of UC Merced. COR hopes to see the Senate develop a collaborative, positive relationship with the Library, and we trust that Senate support can assist the Library in obtaining resources adequate to a research university as it continues to serve the campus's research mission. However, COR's concerns with the Library's 2020 Space Plan

were: the plan called for developing new spaces instead of restoring KL to its original purpose, study hall spaces should be managed by another unit rather than the Library, there are significant deficiencies in the Library's core legacy print collection, and the plan did not make any reference to an expansion in Library staff and equipment (e.g. scanning and recording facilities that are needed for digital project development), nor to the needed core IT infrastructure that is required for expanded bandwidth and data curation.

- Enhancing diversity. Division Council issued a memo to all Senate standing committees with a list of four overarching questions about diversity of UCM faculty and graduate students. Attracting more diverse faculty and graduate students enhances the research profile of the University; and diversity-friendly policies (such as improved family leave support for graduate students) can also assist with retention of diverse graduate students and faculty. COR recommended investigating the feasibility of creating the position of a chief diversity officer on campus. In addition, although the possibilities vary across fields and disciplines, there is the possibility of increasing faculty diversity through target of opportunity hires, pursuing the Presidential Post Doc pool, and cluster hiring. Finally, UCM's graduate student population lags behind our faculty population in terms of diversity, and COR recommended identifying initiatives to recruit and retain a more diverse graduate student body.
- Medical Education Task Force. A task force was previously formed on campus to plan the future trajectory of the medical education initiative. Professor Paul Brown from SSHA debriefed Division Council on the task force's findings and Division Council subsequently drafted a charge for a future medical education task force. COR emphasized the importance of ensuring that the medical education effort does not utilize resources that are earmarked for established campus research programs in terms of resources and funding.

Respectfully submitted:

COR members:

Ruth Mostern, Chair (SSHA) – UCORP and UCOLASC representative

Roummel Marcia, Vice Chair (SNS)

David Noelle, (SSHA)

Jason Hein, (SNS)

YangQuan Chen, (SoE)

Ex officio, non-voting members:

Sam Traina, Vice Chancellor for Research & Economic Development

Student Representatives:

Brandon Stark, Graduate Student Guest – fall term

Edwin Gibb, Graduate Student Guest – spring term

Staff:

Simrin Takhar

Background on the Proposed Changes to Division Regulations

- WASC requested changes to Regulations to codify policies for graduate education.
- April 2nd, 2014: Grad Council unanimously endorsed the proposed changes.
- May 1st, 2014: Proposed regulation changes were presented to the Division.
- Summer 2014-Present: Regulations were further revised as a result of consultation with the Office of the Registrar.

Grad Council Proposed Changes to Division Regulations

Basic structural changes facilitate inclusion of the graduate regulations.

Proposed structure for Regulations run from Part I to Part V.

Part I: General regulations (minor changes, see below)

Part II: Undergraduate regulations (minor changes proposed)

Part III: Graduate regulations (new)

Part IV: Master's requirements (new)

Part V: Doctor of Philosophy requirements (new)

Main Proposed Changes to Existing Regulations

- p. 1. Added distinction between undergrad / grad and specified credit toward degree requirements

“Graduates: A course in which the grade A, B or S is received is counted toward degree requirements. A course in which the grade C, D, F, or U is received is not counted toward degree requirements. Grades I and IP are not counted until such time as they are replaced by grades A, B or S.”

- p. 2. Specification of resolution of incompletes for graduate students

“For graduate students, the maximum amount of time that an instructor may allow for making up incomplete work is two semesters of enrollment, but stricter limits may be applied. The procedure is to process such requests with the approval of the Dean of the School in which the course was offered. If not made up within the time allowed, an I grade will be converted to an F or U. Ordinarily, I grades do not affect GPA. However, when computing GPA to determine whether the student meets the minimum GPA requirements for graduation (3.0), I grades are counted as “F.” A graduate student with an I grade may proceed toward a degree only at the discretion of the Dean of the Graduate Division.”

Main Proposed Changes to Existing Regulations (continued)

- p. 3. Suggest language that P/NP are not counted towards degree requirements

“For graduate students, the grade P is not considered as meeting the academic criteria for satisfactory progress, for university-administered fellowships, or for academic appointments/employment. A graduate student may elect P/NP grading for one course only (a maximum of 4 units) per semester. Under no circumstances will courses taken P/NP count toward unit and degree requirements for any graduate degree program.”

- p. 8. Added Section 2. Graduation

A. Residency Requirement

A minimum of 24 of the last 36 units in academic residence is required prior to the award of the bachelor's degree. Under certain circumstances, the appropriate dean or Vice Provost for Undergraduate Education may grant exceptions, such as when a student attends classes at another UC campus as an approved visitor or participates in one of the following: UC Education Abroad, UC Washington Center Program or UC Sacramento Center.

B. Scholarship Requirement

To receive a bachelor's degree, an undergraduate student must have a cumulative 2.0 grade point average.”

Main New Graduate-Specific Regulations

New sections requested by WASC as part of negotiations for obtaining an expedited review process for new CCGA approved programs.

Much of the new verbiage derives from material already in the Graduate Policies and Procedures Handbook (formerly Graduate Advisors Handbook); the main proposal, with prior GC-approved changes, is to include this as organized sections in the Division Regulations.

These are three new graduate parts proposed in Regulations.

Main New Graduate-Specific Regulations

These proposed for the graduate sections in Regulations are:

Part III, Section 1: Satisfactory Progress...

Part III, Section 2: General Requirements

Part III, Section 3: Examinations

Part IV, Section 1: Residency (Master's)

Part IV, Section 2: Master's Requirements

Part IV, Section 3: Thesis

Part V, Section 1: Residency (Doctoral)

Part V, Section 2: Advancement

Part V, Section 3: Advancement Committee

Part V, Section 4: Doctoral Committee

Part V, Section 5: Final Examination

Part V, Section 6: Dissertation

REGULATIONS OF THE MERCED DIVISION

PART I GENERAL REGULATIONS

SECTION 1-: GRADES (Am 30 Jan 08)

A. Grading System

UC Merced's grading system is as follows.

- A Excellent
- B Good
- C Fair
- D Barely passing
- F Not passing
- P Passed (grade of C- or better by an undergraduate student)
- S Satisfactory (passed at a minimum level of B or better by a graduate student)
- NP Not passed ([undergraduate only](#))
- U Unsatisfactory ([graduate only](#))
- I Incomplete
- IP In progress
- W Withdrew
- NR No report (when an instructor fails to report a grade for a student)

a. Credit Toward Degree Requirements

Undergraduates: A course in which the grade A, B, C, D, or ~~P or S~~ is received is counted toward degree requirements. A course in which the grade F or NP is received is not counted toward degree requirements. Grades of I or IP are not counted until such times as they are replaced by grades A, B, C, D or ~~P or S~~.

Graduates: A course in which the grade A, B or S is received is counted toward degree requirements. A course in which the grade C, D, F, or U is received ~~is~~ is not counted toward degree requirements. Grades I and IP are not counted until such time as they are replaced by grades A, B or S.

b. Grade Points

Grades of A, B, C and D may be modified by a plus (+) or minus (-). Grade points are assigned as follows: A+ = 4.0; A = 4.0; A- = 3.7; B+ = 3.3; B = 3.0; B- = 2.7; C+ = 2.3; C = 2.0; C- = 1.7; D+ = 1.3; D = 1.0; D- = 0.7; F = 0.0; I = 0.0; P/NP = n/a. The grades P, S, NP, U, I, and IP carry no grade points and the units in courses so graded are excluded in determination of the grade-point average.

(Note: In these regulations 'units' refer to semester units unless explicitly stated otherwise.)

B. Change of Grade

All grades except Incomplete and In-Progress are considered final when assigned by an instructor at the end of a term. An instructor may request a change of grade when a computational or procedural error occurred in the original assignment of a grade, but a grade may not be changed as a result of re-evaluation of a student's work. No final grade may be revised as a result of reexamination or the submission of additional work after the close of term.

C. Incomplete (I) (Am 01 May 14)

The grade of I may be assigned when the instructor determines that a student's work is of passing quality and represents a significant portion of the requirements for a final grade, but is incomplete for a good cause. (Good cause may include current illness, serious personal problems, an accident, a recent death in the immediate family, a large and necessary increase in working hours or other situations of equal gravity.) It is the student's responsibility to obtain written permission from the instructor to receive an I grade as opposed to a nonpassing grade. An ~~The~~ Incomplete form ~~petition~~ is available from the Office of the Registrar's website and it must be filed prior to the end of the final examination period. ~~If, however, extenuating circumstances exist where submission of the I grade form is not possible before the end of the final examination period, an instructor may submit an I grade, but the form, including student and instructor signatures, must be submitted to the Office of the Registrar before the first day of instruction of the next semester (which would include the summer sessions). If the form is not received by the Office of the Registrar before the first day of instruction of the next semester, then the I grade will revert to an F, NP, or U.~~

If an I grade is assigned, students may receive unit credit and grade points by satisfactorily completing the coursework as specified by the instructor. Students should not reenroll in the course; if they do, it is recorded twice on the transcript. Once an I grade is assigned, it remains permanently on the transcript until replaced by another grade notation that ~~along with the passing grade~~ students may later receive for that course.

I grades are not counted in computing the grade point average. An I grade received in the fall term must be replaced by the first day of instruction in the following fall term. An I grade received in the spring or summer terms must be replaced by the first day of instruction in the following spring term.

Except as noted below, any I grade that has not been replaced within the above deadlines will be converted to grade F (or NP/U if taken passed/not passed). After that time, but not retroactively, the grade is counted in computing a student's grade-point average.

Exception: If a degree is conferred before the end of the above deadlines following the assignment of an I grade, the grade will not be converted to an F (or NP/U). However, the student still has the option of removing the I grade within the above deadlines.

Undergraduate students with 15 or more units of I on their record may not register without permission of the appropriate Dean.

For graduate students, the maximum amount of time that an instructor may allow for making up incomplete work is two semesters of enrollment, but stricter limits may be applied. The procedure is to process such requests with the approval of the Dean of the School in which the course was offered. If not made up within the time allowed, an I grade will be converted to an F or U-.

For Graduate students, ordinarily, I grades do not affect GPA. However, when computing GPA to determine whether the graduate student meets the minimum GPA requirements for graduation (3.0), I grades are counted as "F." A graduate student with an I grade may proceed toward a degree only at the discretion of the Dean of the Graduate Division.

D. In Progress (IP)

For a course extending over more than one term, where the evaluation of the student's performance is deferred until the end of the final term, provisional grades of In Progress (IP) shall be assigned in the intervening terms. The provisional grades shall be replaced by the final grade, if the student completes the full sequence. The grade IP is not included in the grade-point average. If the full sequence of courses is not completed, the IP will be replaced by a grade of Incomplete. Further changes in the student's record will be subject to the rules pertaining to I grades.

E. Passed/Not Passed (P/NP)

Undergraduate students in good standing who are enrolled in at least 12 units may take certain courses on a Passed/Not Passed (P/NP) basis. Students may enroll in one course each term on a P/NP basis (two courses if they have not elected the P/NP in the preceding term).

Changes to and from the P/NP option must be made during the enrollment period. No changes can be made after the first two weeks of classes without the approval of the appropriate Dean.

The grade P is assigned for a letter grade of C- or better. If the student earns a grade of D+ or below, the grade will be recorded as NP. In both cases, the student's grade will not be computed into the grade point average. A student may not repeat on a P/NP basis a course that was previously taken on a letter-graded basis.

Credit for courses taken on a P/NP bases is limited to one-third of the total units taken and passed on the UC Merced campus at the time the degree is awarded.

A course that is required, or a prerequisite, for a student's major may be taken on a P/NP basis only upon approval of the Faculty. Academic Schools may designate some courses as Passed/Not Passed only. Students do not have the option of taking these courses for a letter grade.

For graduate students, the grade P is not considered as meeting the academic criteria for satisfactory progress, for university-administered fellowships, or for academic appointments/employment. A graduate student may elect P/NP grading for one course only (a maximum of 4 units) per semester. Under no circumstances will courses taken P/NP count toward unit and degree requirements for any graduate degree program.

F. Grade Satisfactory/Unsatisfactory (S/U)

The grade of S is awarded to graduate students for work in graduate courses that otherwise would receive a grade of B or better.

Graduate students, under certain circumstances, may be assigned grades of S or U, but units earned in this way will not be counted in calculating the grade point average. A student cannot self-elect S/U grading. The S/U grading for a course is assigned by the instructor before the students register prior to when students register -and must be assigned to all participants in a graduate course with the approval of the Graduate Council. Petitions to elect S/U grading are available from the Graduate School's web site at gradstudies.ucmerced.edu and must be signed by the student's graduate advisor. Graduate students may petition to take no more than one course per semester on a S/U grading basis. A graduate course in which a C, D or F grade is received may not be repeated with the S/U option.

In specific approved courses, instructors will assign only Satisfactory or Unsatisfactory grades. Such courses count toward the maximum number of units graded S allowable toward the degree, as specified by each degree program.

SECTION 2: COURSES

70. COURSE SCHEDULE CHANGES

A. Adding a Course

During the first week of instruction students may add a course(s) provided that space is available. During the second and third weeks of instruction, a student may add courses only with the permission of the instructor. After the third week of instruction, students may add a class only with the permission of both the instructor and the appropriate Dean. A fee will be assessed for adding a course after the third week.

<u>1st week</u>	<u>students may add if space available</u>
<u>2nd - 3rd week</u>	<u>with instructor's approval</u>

after 3rd week fee assessed and only with instructor's and appropriate Dean's approval

B. Dropping a Course (Am 01 May 14)

During the first ~~four~~three weeks of instruction, students may drop a course or courses without paying a fee and without further approval. After the ~~fourth~~third week of instruction and until the end of the tenth week of instruction, ~~-(close of business on the Friday of that week)-~~, a student may drop for emergency reasons or for good cause with the signed approval of the instructor of record and confirmed by the Dean of the school with which the student is affiliated, provided: (1) the student is not on special probation (i.e. students who have successfully appealed disqualification), (2) dropping the course would be to the educational benefit of the student (in the judgment of the instructor and Dean), and (3) the student is not being investigated for academic dishonesty in that course. Dropping between the 4th and 10th weeks will be approved only provided the student submits a written description of the special circumstances warranting this action; therefore students should continue to attend the course until their drop request is approved. Any request to drop beginning in the eleventh week of instruction will only be considered under exceptional circumstances (illness or injury substantiated by a doctor's note; recent death in the immediate family or other circumstances of equal gravity), and will only be considered following both signed approval of the instructor of record and submission of a petition that is approved by the dean of the school with which the student is affiliated.

All drops must be received by the Office of the Registrar by the deadlines specified. For students dropping after the ~~third~~fourth week of instruction, a fee will be assessed and a "W" notation will be assigned by the Office of the Registrar and appear ~~under the course grade~~ on the student's permanent transcript. Courses in which a "W" has been entered on a student's record carry no grade points, are not calculated in the grade point average, and will not be considered as courses attempted in assessing the student's progress to degree. Nevertheless, it is a marker used to indicate that the student was enrolled in the class beyond the ~~third~~fourth week of instruction. It does not indicate whether the student was passing or failing. (Am 22 May 08)

AC. REPETITION OF COURSESRepetition of Courses

a. Undergraduate Students

A student may repeat only those courses in which a grade of D, F, or Not Passed was received. Courses in which a grade of D or F has been earned may not be repeated on a Passed/Not Passed basis.

Repetition of a course more than once requires approval by the appropriate Dean in all instances. Degree credit for a course will be given only once, but the grade assigned at each enrollment shall be permanently recorded.

In computing grade point average of an undergraduate who repeats courses in which the student received a D or F, only the most recently earned grade and grade points shall be used for the first 16 units repeated. In the case of further repetitions, the grade point average shall be based on all grades assigned and total units attempted.

b. Graduate Students

A graduate student may repeat only those courses in which a grade below a B, ~~of~~ C, D, F or U was received. Courses in which a grade a B, ~~of~~ C, D or F has been earned may not be repeated on an S/U basis.

Courses may not be repeated more than once.

In computing grade point average of a graduate student who repeats courses in which the student received a ~~below a B, C, D or F~~, only the most recently earned grade and grade points shall be used for the first 8 units repeated. ~~Courses in which a grade below a B, or a grade of U, was received may be repeated only once. Only the most recently earned grade will be used in computing the student's grade point average for the first 8 units of repeated graduate course work. In the case of further repetitions-Thereafter,~~ both the earlier and later grades will be used.

Graduate students who have repeated 8 or ~~fewerless~~ units of upper division or graduate coursework are responsible for verification~~ing that calculation of their grade point average correctly uses the most recent grade earned in the repeated courses.s.~~

SECTION 3: WITHDRAWAL FROM THE UNIVERSITY (W)

Students who find that they will not attend the University for a semester in which they have enrolled may cancel their registration only if instruction for that semester has not yet begun. To do so, they must formally request a cancellation of their registration from the Registrar's Office. If instruction has already begun and students find it necessary to stop attending *all* classes, they must formally request withdrawal from the University. When a completed withdrawal form is approved by the Dean of the School with which the student is affiliated, a W notation will be assigned for each course in which the student has been enrolled. Students also will not be eligible to re-enroll until they have been ~~readmitted~~instated. Students who withdraw during a term must file a Notice of Cancellation/Withdrawal, available from the Office of the Registrar's website at registrar.ucmerced.edu. Before considering a complete withdrawal, students are urged to consult *with* an academic advisor and the Office of Financial Aid and Scholarships, if appropriate, to consider the full implications of this action.

Please see the refund policies for specific details on refund rules. Students who fail to submit an approved petition for cancellation/withdrawal will receive F, NP or U grades, as appropriate, for all courses in which they are enrolled for that term.

PART II. UNDERGRADUATE STUDENTS

SECTION 1. NORMAL PROGRESS TO DEGREE

UC Merced undergraduate degree programs are designed to be completed in 8 terms or 4 academic years. To meet the normal progress requirement, undergraduate students are expected to enroll in and pass an average of 15 ~~credits~~ units per term, completing the 120 ~~units~~ credits necessary for graduation in 4 years. The Registrar's Office and the appropriate Dean will ensure that students are making normal progress towards their degrees. Extensions of enrollment beyond 9 terms require the approval of the student's School. In order to remain in good standing, students must meet the minimum progress requirements of the campus. (See Section ~~652~~ Academic Probation, and Dismissal, and Minimum Progress.)

A. Unit Conversion

Unit credit earned by students on any campus of the University of California, while that campus is on a quarter calendar, will be equivalent to credit earned on the Merced Campus as follows: Each quarter unit is equivalent to two-thirds of a semester unit.

B. Multiple Major Policy

An ~~student~~ undergraduate student in good academic standing who wishes to declare more than one major must petition the undergraduate School(s) responsible for the majors and receive School Dean's (Deans') approval. A School Dean may deny the petition for the additional major(s) if it is determined by the School(s) that there is too much overlap in the proposed coursework to justify allowing the student to receive the additional major(s).

No more than 12 upper-division units (excluding units required for School and university-level general education) may be used to satisfy requirements for all majors simultaneously, whether these units are explicitly required by the majors or count as electives toward the majors.

Students must satisfy all requirements for each major, including general education requirements across Schools, if applicable. Coursework for the majors must be completed in 165 semester units or 11 semesters, whichever is greater, from the onset of college work, including AP and transfer credit.

Majors earned will be noted on the student's transcript and diploma. If the majors lead to different degrees (B.A. and B.S.), that fact will be noted on the transcript and the two-degree designations will appear on the diploma. A student who has declared multiple majors may

choose to graduate with fewer majors, but if so may not continue at the University to complete any remaining major(s).

~~A.~~ **SECTION 2. GRADUATION**

A. Residency Requirement

A minimum of 24 of the last 36 units in academic residence is required prior to the award of the bachelor's degree. Under certain circumstances, the appropriate dean or Vice Provost for Undergraduate Education may grant exceptions, such as when a student attends classes at another UC campus as an approved visitor or participates in one of the following: UC Education Abroad, UC Washington Center Program or UC Sacramento Center.

B. Scholarship Requirement

To receive a bachelor's degree, an undergraduate student must have a cumulative 2.0 grade point average.

~~60.~~ **REPETITION OF COURSES**

~~—~~ **Undergraduate Students**

~~A student may repeat only those courses in which a grade of D, F, or Not Passed was received. Courses in which a grade of D or F has been earned may not be repeated on a Passed/Not Passed basis.~~

~~Repetition of a course more than once requires approval by the appropriate Dean in all instances. Degree credit for a course will be given only once, but the grade assigned at each enrollment shall be permanently recorded.~~

~~In computing grade point average of an undergraduate who repeats courses in which the student received a D or F, only the most recently earned grade and grade points shall be used for the first 16 units repeated. In the case of further repetitions, the grade point average shall be based on all grades assigned and total units attempted.~~

~~65~~ **SECTION 32. ACADEMIC PROBATION, DISMISSAL, AND MINIMUM PROGRESS**

(Am 04 Mar 09)

A. Academic Probation

An undergraduate student is placed on academic probation if one of the following occurs:

- (1) The student's semester grade point average is less than 2.0,
- or
- (2) The student's cumulative University of California grade point average is less than 2.0.

Probation Status: Academic review occurs at the end of each academic semester. When a student is placed on academic probation, the university notifies the student, and the student's official transcript states "Academic Probation" for the affected semester. While on academic probation, the student is under the supervision of his/her School or advising unit.

Removal from Declared Major: A student on probation may be removed from a declared major or changed to Undeclared due to failure to meet the particular standards or fulfill specific requirements that the student's School may impose. If the student is removed from a declared major or changed to Undeclared, the student may apply to be reinstated to a School as follows:

Lower Division Students (fewer than 60 units earned at the end of the semester in which the student applies) must meet these requirements:

- a. Cumulative University of California grade point average of at least 2.0
- b. Current semester grade point average of at least 2.0
- c. Major grade point average of 2.0-2.5 (minimum varies by School)
- d. Completion of all lower division major courses with grades of C- or higher

Upper Division Students (greater than 60 units earned at the end of the semester in which the student applies) must meet the requirements listed above for Lower Division students and must also complete 8-16 units (minimum varies by School) of upper division major requirements.

Return to Good Standing: Once a student has met grade point average standards listed above, the student's academic status returns to regular academic standing.

B. Academic Dismissal

An undergraduate student is subject to academic dismissal from the university if one of the following occurs:

- (1) The student has been on academic probation for two or more semesters and the student's cumulative grade point average is less than 2.0,
- or
- (2) The student's semester grade point average is less than 1.5 and the student's cumulative grade point average is less than 2.0.

Academic Dismissal Appeals: A student not previously on probation who earns a semester grade point average below 1.5 is offered the opportunity to appeal dismissal. The student who is subject to academic dismissal and does not complete the appeal process as prescribed is automatically dismissed. The student whose appeal is approved returns on probation and is under the supervision of the appropriate School or advising unit.

Dismissal Status: When a student is academically dismissed, the university notifies the student, and the student's official transcript states "Academic Dismissal" for the affected semester.

Note: A student who is academically dismissed may return after fulfilling reinstatement requirements (see the [Reinstatement policy](#) on the Office of the Registrar website).

C. Minimum Progress

An undergraduate student is subject to administrative probation if the student does not complete a minimum of 24 University of California units during an academic year, including summer.

Return to Good Standing: Once the student has completed 24 units during a subsequent academic year, the student's minimum progress status returns to good standing.

Note: Minimum unit completion does not apply to part-time students or to students who have a Dean's approval to carry fewer units than the minimum progress load (reasons may include medical disability, employment, a serious personal problem, a recent death in the immediate family, the primary responsibility for the care of a family, or a serious accident involving the student).

~~70. COURSE SCHEDULE CHANGES~~

~~A. Adding a Course~~

~~During the first week of instruction students may add a course(s) provided that space is available. During the second and third weeks of instruction, a student may add courses only with the permission of the instructor. After the third week of instruction, students may add a class only with the permission of both the instructor and the appropriate Dean. A fee will be assessed for adding a course after the third week.~~

1st week	students may add if space available
2nd – 3rd week	with instructor's approval
after 3rd week	fee assessed and only with instructor's and appropriate Dean's approval

B. Dropping a Course

~~During the first four weeks of instruction, students may drop a course or courses without paying a fee and without further approval. After the fourth week of instruction and until the end of the tenth week of instruction (close of business on the Friday of that week), a student may drop for emergency reasons or for good cause with the signed approval of the instructor of record and confirmed by the Dean of the school with which the student is affiliated, provided: (1) the student is not on special probation (i.e. students who have successfully appealed disqualification), (2) dropping the course would be to the educational benefit of the student (in the judgment of the instructor and Dean), and (3) the student is not being investigated for academic dishonesty in that course. Dropping between the 4th and 10th weeks will be approved only provided the student submits a written description of the special circumstances warranting this action; therefore students should continue to attend the course until their drop request is approved. Any request to drop beginning in the eleventh week of instruction will only be considered under exceptional circumstances (illness or injury substantiated by a doctor's note; recent death in the immediate family or other circumstances of equal gravity), and will only be considered following both signed approval of the instructor of record and submission of a petition that is approved by the dean of the school with which the student is affiliated.~~

~~All drops must be received by the Office of the Registrar by the deadlines specified. For students dropping after the fourth week of instruction, a fee will be assessed and a “W” notation will be assigned by the Office of the Registrar and appear under the course grade on the student's permanent transcript. Courses in which a “W” has been entered on a student's record carry no grade points, are not calculated in the grade point average, and will not be considered as courses attempted in assessing the student's progress to degree. Nevertheless, it is a marker used to indicate that the student was enrolled in the class beyond the fourth week of instruction. It does not indicate whether the student was passing or failing. (Am 22 May 08)~~

C. Withdrawal from the University (W)

~~Students who find that they will not attend the University for a semester in which they have enrolled may cancel their registration only if instruction for that semester has not yet begun. To do so, they must formally request a cancellation of their registration from the Registrar's Office. If instruction has already begun and students find it necessary to stop attending *all* classes, they must formally request withdrawal from the University. When a completed withdrawal form is approved by the Dean of the School with which the student is affiliated, a W notation will be assigned for each course in which the student has been enrolled. Students also will not be eligible to re-enroll until they have been readmitted. Students who withdraw during a term must file a Notice of Cancellation/Withdrawal, available from the Office of the Registrar's website at registrar.ucmerced.edu. Before considering a complete withdrawal, students are urged to consult an academic advisor and the Office of Financial Aid and Scholarships, if appropriate, to consider the full implications of this action.~~

~~Please see the refund policies for specific details on refund rules. Students who fail to submit an approved petition for cancellation/withdrawal will receive F, NP or U grades, as appropriate, for all courses in which they are enrolled for that term.~~

75SECTION 43. HONORS AT GRADUATION (SR 640)

A. Honors at Graduation (SR 640)

To be eligible for honors at graduation, an undergraduate student must have completed a minimum of 50 semester units at the University of California, of which a minimum of 43 units must have been taken for a letter grade and a minimum of 30 units must have been completed at UC Merced. The grade point average achieved must rank in the top 2 percent of the student's School for highest honors, the next 4 percent for high honors, and the next 10 percent for honors at graduation. The number of recipients eligible under these percentages shall be rounded up to the next higher integer. (En 30 Jan 08)

B. Dean's Honor List

Students will be eligible for the Dean's Honor List if they have earned in any one semester a minimum of 12 graded units with a 3.5 grade point average or better with no grade of I or NP. Dean's Honors are listed on student transcripts. Any student who has been found to violate the academic integrity policies during an academic year will not be eligible for the Dean's Honor List during that academic year. (En 11 Jun 08)

C. Chancellor's Honor List

Students who are placed on the Dean's Honor List for both semesters in a single academic year (fall and spring) will be placed on the Chancellor's Honor List for that academic year. (En 11 Jun 08)

PART III. GRADUATE STUDENTS

SECTION 180. SATISFACTORY PROGRESS, UNSATISFACTORY PROGRESS, AND ACADEMIC DISQUALIFICATION

A. Satisfactory Progress

A graduate student is expected to maintain satisfactory progress toward an approved academic objective as defined by the faculty of the program, and in accordance with policies of the Graduate Council and the University. Satisfactory progress is determined on the basis of both the student's recent academic record and overall performance. Student records should be

reviewed with special attention to the following criteria:

- a. GPA - the student must maintain at least a 3.0 cumulative grade point average.
- b. Normal Time to Degree – the student must advance to candidacy and complete the degree within the limitations established by the Graduate Council.
- c. Grade Reports - all I, W, U, or NR grades should be reviewed and appropriate action taken as needed. Accumulation of no more than 8 units of combined Incomplete, Unsatisfactory, C or lower grades at any one time is allowed.
- d. P/NP - no courses graded "Pass" are to be included as part of the advanced degree program, nor are they to be considered as satisfying academic criteria for University-administered fellowships and academic appointments/employment.
- e. Enrollment Units - students must be enrolled for at least 8 graduate or upper-division units of credit each semester, including credit for supervised teaching and research, unless part-time status or a Planned Educational Leave Program (PELP) has been approved in advance by the Graduate Dean. In cases of approved part-time status, enrollment in seven (7) or fewer units of credit toward the degree is expected each semester.
- f. Distribution of units - the number of upper-division and graduate-level units of credit completed toward degree requirements each semester should be at least eight and no more than 16 units, unless an exception has been approved in advance.
- g. Residency - time in residence prior to advancement to candidacy for the Ph.D. or professional doctorate degree should be within acceptable limits (ordinarily, no more than four years).

Notices of potential unsatisfactory progress should be sent in writing to the student; a copy should also be retained in the Graduate Group files and another copy sent to the Graduate Dean. The written communication should include specific details on areas that require improvement, provide an outline for future expectations of academic progress, and set meeting dates to maintain continuity in advisement.

B. Unsatisfactory Progress

A graduate student who has not demonstrated satisfactory academic progress is not eligible for any academic appointment/employment and may not receive fellowship support or other awards. Criteria for determining unsatisfactory progress towards degree are outlined below.

- a. An overall grade point average below 3.0; or
- b. A grade point average below 3.0 in two successive semesters; or
- c. Fewer than 8 units completed and applicable toward the advanced degree requirements in the last two semesters; or
- d. Failure to establish a GPA prior to the beginning of the third semester; or
- e. Failure to complete required courses or examinations satisfactorily within the period specified by the graduate program; or
- f. Failure to pass a required examination in two attempts; or

- g. Failure to progress academically within the Normal Time to Degree framework specified for the student's graduate program; or
- h. The appropriate faculty committee's evaluation that there has not been satisfactory progress toward completion of the thesis or dissertation.

C. Academic Disqualification

Graduate students who fail to make satisfactory academic progress must be officially disqualified from the university in writing by UCM's Graduate Dean after consultation with the student's Graduate Group faculty. However, in those cases where the student and the Graduate Group mutually agree that the student will terminate their status as a graduate student (e.g., a decision to end graduate study with a Master's Degree or a decision to withdraw from graduate study for other reasons), then the Graduate Group and/or student may independently notify the other of this mutual agreement. In all such cases, the Graduate Division should receive a copy of this documentation between the graduate group and graduate student.

Upon recommendation of academic disqualification, the student's academic record is reviewed carefully by the Graduate Dean in consultation with the student's faculty graduate advisor. Unless there are indications of procedural error or other substantive mitigating factors to explain the student's unsatisfactory record, the Graduate Dean will notify the student of the impending action in writing, and will provide a reasonable opportunity for the student to alert the Graduate Dean as to erroneous information or academic records, to submit other relevant information or comments in writing, or to request a second review of their academic performance.

Appeals: Students will be given 30 days (from the date of the Graduate Dean's letter notifying them of the impending disqualification action) to respond in writing to the recommendation for disqualification. Student appeals will be considered only if based upon appropriate cause, such as: (1) procedural error; (2) judgments based on non-academic criteria; (3) apparent personal bias; (4) specific mitigating circumstances affecting academic performance; or (5) discrimination on the basis of race, gender, or handicap not pertaining to required academic performance. Following this period of time (30 days), if the student does not respond, a formal/final notice of academic disqualification will be sent to the student by the Graduate Dean.

Following final notice of disqualification, the student may appeal to the Graduate Dean only on the basis of procedural error. A graduate student who has been disqualified will not be allowed to register again without approval of the Graduate Group and the Graduate Dean.

SECTION 2. GENERAL REQUIREMENTS FOR GRADUATE DEGREES

Most requirements for graduate degree programs are determined by the Graduate Group that offers the degree. However, the Graduate Council, on behalf of the Academic Senate, has approval authority over all graduate programs on the Merced campus. Graduate students

must complete a minimum of 4 units of letter-graded coursework, either upper division or graduate-level, at some point prior to receiving a graduate degree at UC Merced.

A. Second Advanced Degrees

If admitted for a second graduate degree, student will be held to all the usual degree requirements and University regulations pertaining to fees, examinations for advancement to candidacy, residency, etc. Courses already applied to any previously earned graduate degree cannot be applied toward the requirements of the second degree.

a. Second Master's Degree

In accordance with the policy approved by the Graduate Council, the Graduate Dean has delegated the authority to admit students for a second Master's degree to the Graduate Groups. While official policy is to discourage duplication of degrees, graduate groups may allow more than one degree at the same level, including more than one academic or professional master's.

b. Second Ph.D.

Admissions for a second Ph.D. is rarely granted and must be handled as an exception to policy and approved by the Graduate Dean. All requests must be made in writing to the Dean and should include strong justification for admitting the applicant for a second Ph.D., as well as a statement assuring the Dean that the applicant's first Ph.D. is an unrelated area and that there will be no duplication or waiving of coursework.

B. Transfer of Credit

Transfer of credit toward master's degree requirements are governed by the University regulation and policy summarized in the Graduate Policies and Procedures Handbook. Courses taken toward a graduate degree at another institution cannot be transferred for credit toward a Ph.D. at UCM. However a course requirement may be waived if a similar course was taken at another institution.

SECTION 3. EXAMINATIONS

A. Scheduling of Examinations

Ordinarily, examinations that are required for an advanced degree, including language and comprehensive examinations and qualifying or final examinations for the Ph.D. may be given only during an academic session for which the student has registered. However, with the approval of the graduate committee of the Graduate Group, such examinations may be given between the end of any academic session for which the student was registered and the beginning of the next regular academic session. In such cases, written notification of intent must be submitted to the Graduate Dean at least two weeks in advance of the exam.

B. Examination Results

Examinations can result in either a pass, fail, or partial pass by unanimous consensus of the Examination Committee.

C. Repeat of Critical Examinations

In accordance with Academic Senate policy, a graduate student shall have the option of taking a second examination in the event of unsatisfactory performance on a critical examination. Included are the Comprehensive Examination, Comprehensive Examination for Master's Degrees, the Ph.D. Qualifying Examination, the Ph.D. Candidacy Examination, and the Final Examination on the Ph.D. Dissertation. The second examination may have a format different from the first, but the substance should remain the same. A student whose performance on the second attempt is also unsatisfactory, or who does not undertake a second examination within a reasonable period of time, is subject to academic disqualification. A third examination may be given only with the approval of the Graduate Group committee and the Graduate Dean.

PART IV. MASTER'S DEGREE REQUIREMENTS

SECTION 1. RESIDENCY REQUIREMENT

A minimum of two semesters in academic residence is required prior to the award of most master's degrees. A minimum period of study of one semester in-residence must intervene between formal advancement to candidacy and the conferring of the Master's degree (AR 686).

SECTION 2. MASTER'S DEGREE REQUIREMENTS

The master's degree is attained by: Plan I, the Thesis option, or Plan II, the Comprehensive Examination option. A program may offer the option of one or both plans with the approval of the Graduate Council. Each of these plans has minimal coursework requirements, but programs may impose additional requirements.

Plan I (Thesis)

In addition to the thesis, a minimum of 24 semester units in approved courses is also required, at least 20 of which must be earned in 200 series graduate-level courses exclusive of credit given for thesis research and preparation. A general examination is also required.

Plan II (Comprehensive Examination)

In addition to the comprehensive examination, a minimum of 30 semester units in approved courses, at least 24 of which must be from graduate-level courses in the 200 series.

SECTION 3. THESIS (PLAN I)

Under Plan I a thesis is required. A committee of three faculty members recommended by the Graduate Group Chair and appointed by the Graduate Dean shall approve the subject, pass on the content of the thesis, and administer the general examination. Usually one of the committee members directs the work.

A. Membership

The thesis committee is comprised of a minimum of three voting members of the University of California Academic Senate -- not necessarily the Merced Division -- or the equivalent. A majority of the committee, but not necessarily all, shall be affiliated with the program.

Chair: The Chair of the committee shall always be a member of the Merced Division and of the Graduate Group supervising the master's program; no exceptions will be granted for this position.

General Members: Non-faculty members (i.e. Professional Researchers) will be considered for general membership on the committee on an exception-only basis. The Graduate Dean, on behalf of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Graduate Group Chair to the Graduate Dean two weeks prior to the examination to allow a reasonable time for review.

Oversight Member: If the Chair, Thesis Advisor or other member of the committee has a financial interest in an outside entity that carries the possibility of a conflict of interest that is potentially harmful to the graduate student, an Oversight Member must be appointed in addition to the two general members. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role as Oversight Member. See exceptions below for procedures to appoint an Oversight Member.

Role of Oversight Member: The Oversight Member shall participate on all student research advisory and/or thesis committees. An additional role of the Oversight Member is to be fully cognizant of the issues related to the possible conflict of interest and its potential impact on the student, and to be fully cognizant of the UCM resources available should a conflict of interest problem arise. If there do not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file and a copy forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she shall not sign off on the committee deliberation, but shall instead inform the Graduate Dean in writing.

B. Appointment Procedures

The qualifications of all committee members must be evaluated and approved by the Graduate Group Chair or designee. When the membership of the proposed committee conforms to Senate

policy as defined in this regulation, the Graduate Dean, on behalf of the Graduate Council, may delegate to the Graduate Group the authority to appoint, evaluate, and approve the committee. When the proposed membership deviates from this policy a request for an exception must be submitted in writing to the Graduate Dean.

C. Exceptions on Appointment

Oversight Member: In cases where an Oversight Member is needed, the ~~The~~ Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor, and the Graduate Group Chair. The Graduate Group Chair shall submit a written request to appoint an Oversight Member to the Graduate Dean no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Graduate Dean will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

General Member: Non-faculty members (i.e. Professional Researchers) and faculty members holding professorial titles from other universities will be considered for general membership on the committee on an exception-only basis with approval of the Graduate Dean.

D. Responsibilities

It is the responsibility of the Graduate Group Chair, the Chair of the Candidacy Committee, and the Graduate Division to: (1) to inform the student regarding the policy on Thesis Committees – including full disclosure of issues pertaining to possible conflict of interest that is potentially harmful to graduate students; (2) to provide graduate students with a policy statement on such possible conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and (3) to ensure that these Academic Senate policies are followed.

E. Comprehensive Examination (Plan II)

A final comprehensive examination, the nature of which is to be determined by the Graduate Group and approved by the Graduate Council, is required of candidates following Plan II. The content of the exam represents a capstone requirement that integrates the intellectual substance of the program.

F. Advancement to Candidacy

Graduate students must be advanced to candidacy for their degree prior to the beginning of the final semester of enrollment. An *Application for Advancement to Candidacy* initiated by the student and approved by the Graduate Group should be submitted to the Graduate Dean.

PART V. DOCTOR OF PHILOSOPHY REQUIREMENTS

SECTION 1. RESIDENCY REQUIREMENT

A minimum of four semesters in academic residence is required prior to awarding the Ph.D.

SECTION 2. ADVANCEMENT TO CANDIDACY

Graduate students are nominated for admission to candidacy for the Ph.D. degree in a particular field by the Graduate Group responsible for advanced degrees in that field. Students are admitted to candidacy if they pass by unanimous vote a candidacy examination administered by a Candidacy Committee and meet any other conditions (such as specific course requirements) set by the Graduate Group. The Graduate Dean may delegate to the Graduate Groups the role of appointing Candidacy Committees. When the membership of the proposed Candidacy Committee conforms to the guidelines set forth in this handbook, authority both to evaluate and to approve the committee may be delegated to the Graduate Group. However, the Graduate Dean retains sole authority to grant any exceptions to this policy, and to appoint a nominee as Oversight Member in those cases where the possibility of a conflict of interest that is potentially harmful to the graduate student exists. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role. Requests for approval of exceptions must be submitted in writing by the Chair of the Graduate Group to the Graduate Dean at least two weeks prior to the scheduled exam to allow a reasonable time for review.

The Graduate Group must also inform students regarding the policy on candidacy committees including policy related to possible conflict of interest that is potentially harmful to graduate students. It is the responsibility of the Chair of Graduate Group and the Chair of the Candidacy Committee to ensure that these Academic Senate policies are followed. Should these Senate policies not be followed, the student, at the discretion of the Graduate Dean, will be required to retake the Advancement Exam.

SECTION 3. CANDIDACY COMMITTEE

The Candidacy Committee is comprised of a minimum of three faculty who are voting members of the University of California Academic Senate. Non-faculty members (i.e., Professional Researchers) or faculty holding professorial titles at other Universities will be considered on an exception-only basis with approval of the Graduate Dean. Candidacy Committee members need not necessarily be from the Merced Division, but a majority must be members of the student's Graduate Group.

A. Membership

The Chair: The Chair of the Candidacy Committee must be a member of the student's Graduate Group and must be a voting member of the UC Academic Senate. No exceptions to these requirements will be considered.

General Membership: At least one member in addition to the Chair must be a members of the student's Graduate Group. No exceptions to the requirement that a majority of voting members hold appointments in the student's Graduate Group will be considered. Non-faculty members (i.e. Professional Researchers) or faculty holding professorial titles at other universities will be considered on an exception-only basis with approval of the Graduate Dean.

The Oversight Member: If the Chair, Research/Thesis advisor or other member of the committee has a financial interest in an outside entity that carries a possibility of a conflict of interest potentially harmful to the graduate student, an oversight member must be appointed in addition to the three general members. It is understood that the Oversight Member shall not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role.

Role of the Oversight Member: The Oversight Member shall participate on all student research advisory and/or thesis committees. An additional role of the Oversight Member is to be fully cognizant of the issues related to the possible conflict of interest and its potential impact on the student, and to be fully cognizant of the UCM resources available should a conflict of interest problem arise. If there does not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file as well as forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she shall not sign off on the committee deliberation, but shall instead inform the Graduate Dean in writing.

B. Appointment Procedures

The qualifications of all committee members must be evaluated and approved by the Graduate Group Chair or designee. When the membership of the proposed committee conforms to Senate policy as defined in this regulation, the Graduate Dean, on behalf of the Graduate Council, may delegate to the Graduate Group Chair the authority to appoint, evaluate and approve the committee. When the proposed membership deviates from this policy, as in the case of non-faculty members (i.e. Professional Researcher) or faculty members from other universities, or when appointment of an Oversight Member is perceived to be necessary, a request for an exception or nomination must be submitted in writing to the Graduate Dean (see below).

Non-faculty members (i.e. Professional Researchers) or faculty holding professorial titles at other Universities will be considered on an exception-only basis. The Graduate Dean retains sole authority to grant these exceptions, which must be submitted in writing by the Chair of the

Graduate Group at least two weeks prior to the scheduled exam, and must be accompanied by a curriculum vitae of the individual for whom the exception is being requested.

Oversight Member: ~~In cases where an Oversight Member is needed,~~ The Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor, and the Graduate Group representative. If these individuals cannot agree on three nominees, the Graduate Group representative (either the graduate advisor or the Graduate Group chair if the advisor is conflicted) will select the nominees. The Graduate Group representative shall submit a written request to appoint an Oversight Member to the Graduate Dean no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Graduate Dean will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

It is the responsibility of the Graduate Group Chair, the Chair of the Candidacy Committee, and the Graduate Division to: (1) to inform the student regarding the policy on Dissertation Committees – including full disclosure of issues pertaining to possible conflict of interest that is potentially harmful to graduate students; (2) to provide graduate students with a policy statement on such possible conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and (3) to ensure that these Academic Senate policies are followed. Should these Senate policies not be followed the student will be required to retake the Qualifying Exam.

SECTION 4. THE DOCTORAL COMMITTEE

A. Dissertation

The Doctoral Committee shall supervise the preparation and completion of the dissertation and the final examination.

B. Membership

The Doctoral Committee is nominated by the Candidacy Committee with the concurrence of the candidate, the doctoral committee Chair, and the Graduate Group Chair or designee, on the *PhD Form*. The Doctoral Committee is comprised of three voting members of the University of California Academic Senate -- not necessarily the Merced Division. A majority of the committee shall be affiliated with the program.

- a. Chair: The Chair of the Committee shall always be a member of the Merced Division in the Graduate Group supervising the doctoral program; no exceptions will be granted for this position. The Chair of the Doctoral Committee is responsible for providing primary guidance of the student's dissertation.

- b. Oversight Member: If the Chair, Research/Dissertation advisor, or other member of the committee, has a financial interest in an outside entity that carries a possibility of a conflict of interest potentially harmful to the graduate student, an oversight member must be appointed in addition to the two general members. It is understood that the Oversight Member will not bear a possible conflict of interest potentially harmful to the graduate student in the discharge of his or her role.
- c. Role of the Oversight Member: The Oversight Member shall participate on all student research advisory and/or doctoral committees. An additional role of the Oversight Member is to be fully cognizant of the issues related to possible conflict of interest and its potential impact on the student, and to be fully cognizant of the UCM resources available should a conflict of interest problem arise. If there do not appear to be any harmful results from the conflict of interest, the Oversight Member shall sign a statement to that effect after each committee meeting and the statement shall be placed in the student's file as well as forwarded to the Graduate Dean. If the Oversight Member perceives that there is a problem arising from conflict of interest issues, then he/she should not sign off on the committee deliberation, but should instead inform the Graduate Dean in writing.

C. Appointment Procedures

The qualifications of all committee members must be evaluated and approved by the Graduate Group Chair or designee. When the membership of the proposed committee conforms to Senate policy as defined in this regulation, the Graduate Dean, on behalf of the Graduate Council, may delegate to the Graduate Group the authority to appoint, evaluate and approve the remaining members of the Doctoral Committee.

D. Exceptions

a. Oversight Member

In those cases where a possible conflict of interest exists as described above, the Graduate Dean shall select the Oversight Member from a list of three nominees agreed upon by the student, the faculty research advisor and the Graduate Group representative. If these individuals cannot agree on three nominees, the Graduate Group representative (either the graduate advisor or the chair if the advisor is conflicted) shall select the nominees. The Graduate Group representative shall submit the request to appoint an Oversight Member in writing to the Graduate Dean no less than two weeks prior to the date of the exam to allow a reasonable time for review. This request should include background information describing the circumstances of the possible conflict. The Graduate Dean will retain sole authority to appoint the Oversight Member. No exceptions to this requirement will be considered.

b. General Members

Non-faculty members (i.e. Professional Researchers) and faculty holding professional titles at institutions other than the University of California will be considered for general membership on the committee on an exception-only basis. The Graduate Dean, on behalf

of the Graduate Council, retains sole authority to grant exceptions. All such requests must be submitted in writing by the Chair of the Graduate Group to the Graduate Dean at least two weeks prior to the date of the exam to allow a reasonable time for review.

E. Duties and Responsibilities

It is the responsibility of the Graduate Group Chair and the Chair of the Doctoral Committee to: 1) inform the student regarding the policy on Doctoral Committees, including full disclosure of issues pertaining to the possibility of conflict of interest potentially harmful to the student; 2) provide graduate students with a policy statement on conflict of interest prior to the student designating a research topic, forming a graduate committee, or being employed as a research or teaching assistant, whichever comes first; and 3) ensure that the Academic Senate policies are adhered to.

SECTION 5. FINAL EXAMINATION

If a final examination is required by the graduate program, the Doctoral Committee supervises that examination, the focus of which is the content of the doctoral dissertation. Ordinarily, the final examination will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session. Administration of the final examination is subject to the policies of the Graduate Council governing critical examinations.

Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of the *Ph.D. Exam Form*, the conferral of the Ph.D. subject to final submission of the approved dissertation for deposit in the University Archives. The Committee recommendation must be unanimous.

SECTION 6. DISSERTATION

The submission of the dissertation is the last step in the program leading to the award of an advanced degree. All dissertations submitted in fulfillment of requirements for advanced degrees at UCM must conform to certain University regulations and specifications with regard to format and method of preparation. The *UCM Thesis and Dissertation Manual* for writing and submitting theses/dissertations is available at the Graduate Division. The Doctoral Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation. The doctoral committee chair is responsible for the content and final presentation of the manuscript.

RETREAT OVERVIEW

General Purpose: This retreat is designed to engage faculty and staff in redefining and reimagining UC Merced's General Education program in light of the institution's mission.

Specific Goals:

- Re-imagine UC Merced's GE program in light of our institutional mission
- Explore and define GE experiences specific to UC Merced
- Establish priorities for fall planning and the GE program review self-study

Participants (Based on assumption that GE is an institutional program):

- 32 faculty and staff members (see appendix for list of names)
- Faculty from about 80% of undergraduate majors
- Staff members representing academic advising, career services, housing, student life
- U Librarian, Dean of Students, Provost
- GE Subcommittee

Process:

Team-based and plenary discussions focused on addressing the following questions:

1. What is the meaning of a baccalaureate degree at UC Merced? Identify goals, aims, aspirations, expectations and hallmarks of our baccalaureate graduates in the context of our institutional mission.
2. Given those hallmarks, what should General Education contribute to the baccalaureate degree of every UC Merced student?
3. Given the role of GE in UC Merced baccalaureate degrees, what should GE "look like"? What experiences should it include?

RETREAT RESULTS: SUMMARY

1. What is the meaning of a baccalaureate degree at UC Merced? Identify goals, aims, aspirations, expectations and hallmarks of our baccalaureate graduates in the context of our institutional mission.

Distinctive Institutional Context:

A Small Research University

An ethos of discovery, creativity, and rigorous questioning of extant knowledge permeates all aspects of UC Merced. The skills, knowledge and attitudes of a researcher are synonymous with attributes essential for post-graduate success.

In Merced, California

Merced is at a crossroads – culturally, socioeconomically, environmentally, geographically, historically -- for addressing problems of local, regional, and global significance.

With An Undergraduate Student Body Unique in the UC System

UCM undergraduates are predominantly first generation students from groups under-represented in higher education (e.g., race, ethnicity, family income).

Therefore, the Hallmarks of Baccalaureate Degrees at UC Merced are:

1. *Depth and breadth in academic and intellectual preparation, consistent with the values of UCM as a small research university, such that UC Merced graduates*
 - Demonstrate a strong disciplinary foundation

- Engage in interdisciplinary thinking which could include appreciating different approaches to problem solving, informed by an understanding of humanities, arts, STEM, social sciences
 - Bring a critical, evaluative lens to problems, questions, situations
 - Employ effective problem-solving skills in multiple settings
 - Evaluate facts, knowledge and information, applying the varied aspects of information literacy
 - Know what they know, as well as *how* they know it, and monitor and guide their own learning
 - Describe the origins of knowledge, informed by cultural and disciplinary epistemological and ontological assumptions
 - Take an inquiry-oriented approach to the world; possess curiosity, employ inquiry, and take appropriate and creative action in response to ambiguity
2. *Cultural awareness, sensitivity, and responsiveness, such that UC Merced graduates*
- Respect and value diversity
 - Seek and recognize new cultures; join a new community anticipating and engaging in potential cultural differences or intersections.
3. *Community engagement and citizenship -- local and global--, such that UC Merced graduates*
- Understand what it means to be a member of a community, including an academic community
 - Contribute to the communities of which they members
 - Possess a sense of place, and the ability to determine own place within local community and global context, and affect own community through giving back
 - Act ethically, including in the realm of environmental stewardship and sustainability
 - Are responsive to the needs of society – through application of knowledge and research to address problems, challenges, and opportunities
4. *Self-awareness and intrapersonal skills, such that UC Merced graduates*
- Demonstrate initiative, including an entrepreneurial, innovative, pioneering spirit
 - Respond with resiliency to obstacles and challenges, and learn from failure
 - Assume responsibility for their own education and develop the skills and attitudes of lifelong learners.
5. *Interpersonal skills necessary to the outcomes identified above, as well as to lead productive lives after graduation, such that UC Merced graduates*
- Are proficient in collaboration and teamwork
 - Possess strong communication skills, oral, written, and visual, academic and professional
 - Are leaders in their professional and civic lives
 - Are ethically aware and proficient in ethical reasoning

2. Given those hallmarks, what should General Education contribute to the baccalaureate degree of every UC Merced student?

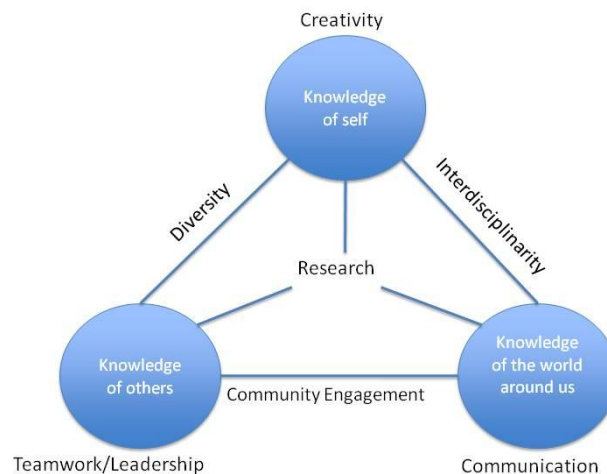
General Education at UC Merced:

- Supports, enhances, and prepares students to engage in the research mission of the university.
- Provides broad exposure to, and understanding of, multiple disciplines and fields of study, including multiple approaches to knowledge, inquiry, meaning-making, and problem-solving.
- Provides interdisciplinary and integrated learning experiences inside and outside the classroom.
- Facilitates discovery through intellectual risk-taking and creativity.

- Engages students, faculty, and staff in communities of scholarship and service, both on campus and off.
- Transcends and contextualizes the major, affording opportunities to forge connections among educational experiences.
- Facilitates development of knowledge, skills, and attitudes necessary for lives of engaged learning and citizenship beyond college. Examples include: critical thinking, effective written and oral communication, problem-solving, teamwork, cross- and inter-cultural understanding and experience, ethical practice, and responsibility for one's own learning.
- Is assessed regularly. Assessment foci include, but are not limited to: whether desired outcomes are achieved (including what outcomes are achieved and by whom, what outcomes are not achieved, etc.), what aspects of the program are effective and what aspects are in need of improvement, and how the GE program should be improved.

One team created a schematic to illustrate this approach to General Education:*

ESSENTIAL EDUCATION



* The use of the term “Essential Education” illustrates general consensus that we should reconsider using “General Education” and, instead, find a more creative, clear, and impactful way to describe what we are trying to achieve with a general education program.

3. Given the role of GE in UC Merced baccalaureate degrees, what should GE “look like”? What experiences should it include?

General Education at UC Merced:

Connects ladder-rank Senate faculty to the delivery of GE

- Means to connect students and faculty include:
- Freshman seminars, learning communities, discussion sections, and capstone projects focused on implementing the goals of GE
- Common intellectual experiences across all undergraduate years
- Feature these, and other, High-Impact Education Practices (see appendix)

Creates synergy between major programs and GE

- Focus on the notion of Merced as a “crossroads”: Tie GE and broad research themes of the campus. Courses could be thematic and integrative, featuring different ways of knowing

- Learning communities and linked courses, potentially involving residence life
- Feature GE at orientation, research week, and recruitment activities; Consider a GE “festival” to cultivate and represent broad, institutional engagement from student, faculty, staff and community (including employers)

Provides undergraduates with research skills and experiences

- Exposure to research methods and authentic problems: Modes of inquiry and approaches to research could be more explicitly featured as aspects of GE. Case studies and research problems could engage students in authentic issues and experiences
- Distinctive local experiences with community research: Community-based learning could be one model that is inclusive, local, and foundational
- Access to research-based experiences: Research experiences could be sequenced and inclusive, beginning with exposure to research to applied work

Builds GE experiences and outcomes from lower to upper division courses

- Lower-division GE could focus on themes/topics/key questions from multi- and interdisciplinary perspectives, with learning communities focused on integration
- Upper-division GE in the disciplines could provide in-depth multi- and interdisciplinary perspectives to address problems/questions of interest to the discipline
- Capstone experiences could be within the major, but reinforcing the themes of GE and expanding desired outcomes (e.g., communication, critical thinking, team work, etc.)
- Across *all 4 years*: Out-of-class experiences that build on/reinforce GE themes. Examples may include: community engagement, service learning, teamwork, leadership

Provides GE programming that connects courses *and* experiences

- Co-Curricular and Extra-Curricular Projects: A comprehensive GE experience integrates courses and activities, culminating in GE experiences that go beyond simply coursework. Students could participate in courses with related co-curricular projects; conversely, students could bring to a GE course co-curricular experiences that inform projects (e.g. community-based learning)
- Learning Communities: Linked courses or coursework could strengthen curricular coherence, increase active learning, and promote interaction between faculty and staff.
- GE themes – each year, for 2-year periods, etc. – that provide focus for GE programming in curricular and co-curricular activities.