

**NOTICE OF MEETING LOCATION****REPRESENTATIVE ASSEMBLY  
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE**

To: Representative Assembly Members of the Davis Division of the Academic Senate

From: Davis Division of the Academic Senate Office

Re: Notice of Meeting Location

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The **October 27, 2016** Representative Assembly meeting will be held in the **Student Community Center, Multi-Purpose Room**. Directions to the building can be found at the following website: <http://campusmap.ucdavis.edu/?b=223>. The room is located on the second floor of the Student Community Center.

The meeting is scheduled to begin at **2:10pm**.

MEETING CALL  
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY  
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

**Thursday, October 27, 2016**

**2:10 – 4:00 p.m.**

**Student Community Center, Multi-purpose Room – 2<sup>nd</sup> Floor**

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2. Announcements by the President – None	
3. Announcements by the Vice Presidents – None	
4. Announcements by the Chancellor – None	
5. Announcements by the Deans, Directors or other Executive Officers – None	
6. Special Orders	
a. Remarks by the Divisional Chair – Prof. Rachael Goodhue	
b. Remarks by ASUCD President – Alex Lee	
c. Remarks by GSA Chair – Katrina Brock	
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y. *Annual Report of the Undergraduate Council	126

\*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

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i. Annual Report of the Subcommittee on General Education	130
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iv. Annual Report of the Subcommittee on Undergraduate Instruction and Program Review	136
7. Reports of standing committees	
8. Petitions of Students	
9. Unfinished Business	
10. University and Faculty Welfare	
11. New Business	
a. Faculty Athletics Representative Presentation – Scott Carrell	
12. Informational Item	
a. Athletics Report (communicated by former Chair Knoesen in 2015-16)	139
b. Final Report to the Division (communicated by former Chair Knoesen in 2015-16)	152

Richard Tucker, Secretary  
Representative Assembly of the  
Davis Division of the Academic Senate

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MEETING CALL  
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY  
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

**Wednesday, June 1, 2016**

**2:10 – 4:00 p.m.**

**Memorial Union, MU II**

**\*Revised 5/31/16\***

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1. Approval of the February 25, 2016 Meeting Summary

Motion seconded and approved.

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2. Announcements by the President – None

3. Announcements by the Vice Presidents – None

4. Announcements by the Chancellor – None

5. Announcements by the Deans, Directors or other Executive Officers – None

6. Special Orders

a. Remarks by the Academic Federation Chair – John Hess

- Step plus first phase this year. Next year phase 2 is scheduled to be implemented but want to review phase one results before Federation vote on the issue
- Appreciative of more AF inclusion in campus discussion and policy and looking forward to more advancement in this area.

b. Remarks by the Academic Senate Chair – André Knoesen

- Four Year Degree Completion Initiative (FYCI) update – identifies the most important factors challenging an undergraduate student's ability to complete a degree in four years. During Spring Academic Senate asked College Deans to identify three to four majors through which to study one time-to-degree factor—course availability—and then to obtain from the faculty answers to two questions: 1) By considering the intra- and cross-departmental dependencies that impact critical curricular paths, identify the specific required courses that are impeding four-year graduation for students entering as freshmen in your major. 2) By considering the intra- and cross-departmental dependencies that impact critical curricular paths, identify the specific required courses that are impeding four-year graduation for students entering as transfers in your major. During Spring the Deans assistance has been asked to determine specific courses impeding four year degree completion in their largest majors, and that information will go to Undergraduate Education and Student Affairs.
- Integrated Course Management System (ICMS) – After many delays, the system is going live in June. The ICMS team and the Committee on Courses of Instruction will establish a series of "Office Hour" meetings to help anyone with course related questions.
- Prerequisites – The rollout plan and information will be distributed in the fall.
- Degree works – Software being looked at so students and advisors can more easily make decisions.
- Transfer Pathways – The program has already been launched with 21 pathways identified for some of the most popular majors. Looking for additional majors to adopt existing Pathways.
- Students with Academic Difficulty – This is another difficult issue that will take 2-3 years to work through, but there is strong buy-in from faculty. One consideration is socioeconomic issues.

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- Faculty Pay Increases – Last year UC Davis gave an additional 1.5% as a pay increase to faculty. Provost Hexter made a commitment that the campus will allocate another 1.5%. UC Davis is the only campus doing this.
- SmartSite - There has been recovery, and Canvas is coming soon.
- Professor of Teaching Proposal was rejected by the Academic Senate. See the RFC responses posted on AS website.
- GE Domestic Diversity (DD) Project – All GE domestic diversity courses are now being reviewed. A summer work group will focus on current Domestic Diversity courses. The Academic Senate has contacted all faculty instructors of DD courses to review the regulation and certify that they meet requirements, or acknowledge the class is not up to standards and that they will modify the course to meet the literacy or opt out of that literacy. The hope is to encourage more DD courses. The workgroup will work with the programs directly and draft a final report by the end of August.
- Cyber Security – Committee on Information Technology (CIT) Chair Matt Bishop reported on a monitoring system. The monitoring system is outside of the UC Davis network. The system doesn't read encryption so it can't go into our campus email system and read email. There is a high level of administrative control through the vendor and UCOP. Chair Bishop and the CIT committee are working with Chief Information Security Officer, Cheryl Washington per the Office of the President.

7. Unfinished Business

8. Reports of standing committees

a. Committee on Academic Personnel – Debra Long

(see agenda attachment CAP Proposal Step-Plus Clarification and Revision to Senate)

9. Petitions of Students - none

10. University and Faculty Welfare - none

11. New Business

- Laboratory Renovation - an ongoing, enormous problem for years. CFO worked with the Academic Senate for plans and completion dates, which will be tracked and updated regularly with an annual report to the Academic Senate. Linda Bisson spoke on this item and noted planning will cut costs dramatically.
- Thank You - André thanked the Senate for support during his time as chair. Rachael moved to adopt a resolution of thanks to André.

Motion seconded and approved.

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12. Informational Item	
a. *2016-2017 Academic Senate Standing Committee appointments	8
b. *Committee on Academic Freedom and Responsibility – Commandeering Memo	12
c. *Special Committee on Academic Personnel Data Collection Use and Distribution Report	16

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**ANNUAL REPORT**  
**COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE**  
**2015-16**

The Committee on Academic Personnel – Oversight Committee (CAP) advises the Vice Provost for Academic Affairs on matters that affect the personnel process. These include appointments, promotions, merits, high-level merit actions, third-year deferrals, five year reviews, and appraisals. CAP also recommends membership on ad hoc committees when necessary, with these appointments made by the Vice Provost. The agenda for CAP actions is determined by a list that prioritizes appointments and tenure cases. Appendix A provides a summary of CAP's deliberations by category for the past academic year.

**Academic Personnel Actions:** During the 2015-16 academic year, CAP met 44 times and considered over 450 agenda items. The committee provided advice on numerous issues related to academic personnel. These included 10 'Change-of-Title' actions, 14 Endowed Chair actions, 3 Third-Year Deferrals, 12 Five-Year Reviews, 4 Emeritus Status actions, and 11 appointments or reappointments as Department Chair. CAP also evaluated 3 Initial Continuing Appointments for Lecturers. Of the **484** academic personnel actions, the Vice Provost—Academic Affairs disagreed with CAP's recommendation **41** times (about **8.5%**). In most of these cases, CAP's recommendation included majority and minority votes.

Overall, both CAP and the FPCs made negative recommendations in fewer than **15%** of the cases. This reflects the high-quality of research and teaching that is performed by the vast majority of the faculty at UC Davis.

**Step Plus Implementation:** The 2015-2016 academic year was the second year of Step Plus implementation for all Academic Senate titles. The Step Plus system was designed to allow evaluations to be done in a more timely and efficient manner, to reward faculty for outstanding performance in teaching and service in addition to research, and to eliminate the need for faculty to specifically request greater than normal advancement.

*Appendix D* provides a summary of CAP's recommendations on non-redelegated Step Plus promotion cases. CAP reviewed a total of **101** Step Plus promotions during the 2015-16 academic year. CAP recommended an additional 0.5 step or an additional 1.0 step promotion above and beyond FPC and department recommendations for 59% of the cases (N = 59). CAP did not recommend an additional 0.5 step or an additional 1.0 step promotion beyond the proposed 1.0 step recommendation from the department for 30% of the cases (N = 30). CAP did not recommend promotion for 11% of the cases (N = 11).

*Appendix E* provides a summary of CAP's recommendations for non-redelegated Step Plus merit cases. CAP reviewed a total of **156** Step Plus merits during the 2015-16 academic year. CAP recommended an additional 0.5 step or an additional 1.0 step merit for 67% of the cases (N = 105). CAP did not recommend an additional 0.5 step or an additional 1.0 step merit beyond the proposed 1.0 step recommendation from the department for 19% of the cases (N = 29). CAP did not recommend a merit advancement for 14% of the cases (N = 22).

**Step 6 Merit Actions:** CAP continues to experience difficulties with some cases for advancement to Professor, Step 6. The requirement for outside letters was discontinued for the 2014-15 academic year. However, Step 6 is still a barrier step and is subject to the criteria set forth in APM 220-18.b.4 and UCD-APM 220.IV.C.4a. In the absence of outside letters, department letters should be **very** clear in addressing the Step 6 criteria, and should provide the type of information that was previously gathered from outside letters. Department Chairs should reference the standards for research, teaching and service as described in the APM. CAP notes that such information was largely absent from the Department Chair and Deans' letters this year, suggesting that Step 6 is being regarded as a normal advancement rather than a barrier step.

***CAP will continue to return dossiers that do not provide sufficient justification for advancement to Professor, Step 6 as specified in the APM.***

**Late Appointment Actions:** Over the last several years, CAP has had a continuous problem with late appointment actions. CAP continues to receive appointment actions in late summer/early fall that are effective July 1. This means that CAP is being asked to review an appointment that is retroactive to July 1; in many cases tentative offer letters have already been given to the candidate and in some cases candidates have already moved to Davis and purchased a home. This clearly renders CAP's participation in the appointment process meaningless.

During the 2015-16 academic year, this problem was exacerbated with all actions coming late from the School of Medicine. This included appointments, promotions, merits, and more importantly appraisals where timeliness is critical if candidates are to benefit from advice about how to prepare for tenure. Although some of this may be explained by difficulties in transitioning to the Step Plus system, it should be noted that almost all other units managed to stay very close to the standard timetables for promotion, tenure and merit actions.

**Dossier Accuracy:** Under Step Plus, more than one-step advancement is being awarded for outstanding teaching and service. Therefore, it is extremely important that dossiers accurately document both the amount and the quality of teaching and service. To prevent the return of dossiers to departments for correction, CAP requests that departments and Deans' offices clearly document the period of review for service activities, provide sufficient detail about teaching activities, including evaluations and details of graduate student mentoring, provide publications that are readily accessible if not provided in hard copy, and provide verbatim faculty comments in department letters.

***CAP will routinely return improperly prepared dossiers to departments/candidates, which will result in significant delays in processing merit cases, and will likely require the department to revote.***

**Faculty Personnel Committees (FPCs):** During the 2015-16 academic year, CAP conducted a review of all FPCs. With the implementation of Step Plus, FPCs are seeing fewer cases than in previous years. This is a problem for the smaller professional school FPCs because they may only review a few cases per year. Thus, CAP reconstituted the small professional school FPCs and combined them into a single FPC. One member from each of the professional schools constitutes the membership of the new professional school FPC. One of the advantages is that the committee will review a much larger number of cases, allowing it to develop the expertise and broad perspective that distinguishes evaluation by the FPC from evaluation by the voting unit. The Graduate School of Management, School of Education, and School of Law have faculty with overlapping expertise, but with sufficient diversity to be advantageous in the evaluation process. The School of Nursing also fits well given that faculty study health education, health care policy, and informatics, in addition to applied nursing. CAP will evaluate the new FPC at the end of 2016-17 as part of the post audit review process.

**Discussion Items/Requests for Consultation:** Other items that were discussed this year by CAP were: a Department Reconstitution Proposal for the Department of Chemical Engineering and Materials Science, Guiding Principles for Search Waivers for Academic Appointees at the University of California, Advisory regarding Changes to Deferral, Five-Year Review, and subsequent advancements, Professor of Teaching Proposal, and Step Plus Revisions.

**Promotions:** For promotions to Associate Professor (N = 56), Professor (N = 51), and Lecturer PSOE (N = 1), CAP recommended promotion in 95 of 108 cases. CAP recommended the promotion proposed by the department and recommended by the Dean for 92 cases. CAP modified recommendations from the department for 3 cases. Of the 3 modifications, CAP recommended as follows:

- 1.0 step promotions were recommended and CAP recommended a lateral promotion instead



CAP recommended no advancement in 10 cases.

**Accelerated Actions in Time:** Appendix B lists the cases for accelerations that came to CAP (accelerations involving a promotion, merit increases to Professor, Step 6, and to Above Scale, merit increases within Above Scale, merit increases for an FPC member, Department Chair or administrator, merit increases that entailed skipping a step at any level). Faculty who received favorable recommendations for a multi-year acceleration generally had received some major recognition nationally or internationally, had superior scholarly achievements, and were excellent teachers and had meritorious service. At the upper levels of the professoriate, the expectation of excellence in all areas increases with each step.

**Career Equity Reviews:** *Career Equity Reviews* occur concurrent with a merit or promotion action for faculty who (1) hold an eligible title, and (2) have not been reviewed by CAP during the previous four academic years. The purpose of career equity reviews is to address potential inequities that may have originated at the point of hire and/or during a faculty member's career. Career equity reviews consider the entire record of the individual to determine if the current placement on the academic ladder is consistent with faculty at equal and higher rank and step. In 2015-16, CAP conducted 3 career equity reviews that were initiated at a lower level of review and supported two of them. CAP also examines equity for every case that it reviews and recommends equity adjustments when appropriate.

**Five-Year Reviews:** CAP conducted 12 five-year reviews, recommending "advancement, performance satisfactory" in 0 cases, recommending "no advancement, performance satisfactory" in 4 cases and recommending "no advancement, performance unsatisfactory" in 8 cases.

**Initial Continuing Appointments for Lecturers:** CAP reviewed and made recommendations on 3 initial continuing non-Senate appointments in 2015-16. All three cases received favorable recommendations. Teaching excellence is the primary requirement for a continuing appointment.

**Accelerated Merits for Continuing Lecturers:** CAP considers accelerated merit requests for Continuing Lecturers, whereas normal merit advancements are redelegated to the Deans. In recommending accelerations (one or two steps beyond the normal two-salary point advancement), CAP looks for evidence of teaching accomplishments that go beyond teaching excellence (the minimum standard for normal advancement). Such evidence may come in the form of prestigious teaching awards or publication of books (and other creative works) that have substantial pedagogical impact. In 2015-16, CAP considered 6 such requests and made a positive recommendation in 3 cases.

**University Committee on Academic Personnel (UCAP):**

Andrew Ishida served as CAP's representative to the University Committee on Academic Personnel, which held several meetings throughout the academic year. The Office of the President, UCAP members, and other UC Academic Senate committees and officers bring issues to the attention of UCAP. A primary function of the systemwide committee is to facilitate the exchange of information among campuses. Accordingly, CAP was regularly informed of UCAP discussions and provided input into such discussions, when appropriate.

Respectfully submitted,



Debra Long, Chair

### **CAP's Membership 2015-2016**

Debra Long, Chair  
Mary Christopher  
Rida Farouki  
Andrew Ishida  
Prasad Naik  
Pablo Ortiz  
Patricia Oteiza  
Susanna Park  
Dean Tantillo  
Kimberly Pulliam, Analyst

# APPENDIX A: SUMMARY OF CAP ACTIONS

	Recommended Positive	Modified Actions@	Recommended Negative
<b>Appointments (114)</b>			
Assistant Professor (27)	24	3	0
Associate Professor (21)	17	4	0
Professor (14)	10	4	0
Adjunct Professor (4)	3	0	1
Lecturer SOE (0)	0	0	0
Lecturer PSOE (5)	5	0	0
Via Change in Title (10)	10	0	0
Via Change in Department (3)	3	0	0
Via Change in Title and Department (1)	1	0	0
Initial Continuing Non-Senate (3)	3	0	0
Endowed Chair Appointment/Reappointment (15)	14	0	1
Department Chair Review (11)	9	0	2
<b>Promotions (108)</b>			
Associate Professor (56)	48	2	6
Professor (51)	46	1	4
Lecturer PSOE (1)	1	0	0
<b>Merit Increases (189)</b>			
Assistant Professor (6)	4	2	0
Associate Professor (17)	15	2	0
Professor, Step 5 to 6 (36)	14	15	7
Professor, Step 9 to Above Scale (24)	18	1	5
Professor, Above Scale to Further Above Scale (23)	14	0	9
Other Merit Increases (73)	42	28	3
Continuing Lecturer (6)	6	0	0
Lecturer SOE (4)	4	0	0
<b>Miscellaneous Actions (73)</b>			
Career Equity Reviews (3)	2	0	1
Emeritus (4)	4	0	0
TOE Screenings (2)	2	0	0
POP Screenings (7)	6	0	1
Appraisals (40)	23 <sup>+</sup>	13 <sup>^</sup>	4 <sup>-</sup>
Five-Year Reviews (12)	4	N/A	8
Third-Year Deferrals (3)	3	0	0
Fourth-Year Deferral (1)	0	1	0
Preliminary Assessments (0)	0	0	0
Termination Case (1)	1	0	0
<b>Grand Total = 484</b>	<b>356</b>	<b>76</b>	<b>52</b>

+positive; ^Guarded; -Negative; @modified actions are those CAP recommendations that differed from what was proposed, i.e., instead of a promotion a merit increase was recommended or instead of a normal merit, retroactive, or a Step Plus merit or promotion might have been recommended (i.e., extra half step, or 1.0 step instead of 1.5 step or 2.0 step)

## APPENDIX B: SUMMARY OF ACCELERATED ACTIONS IN TIME

Acceleration Proposed	Yes	No	Other
1-yr	11	2	1
2-yr	1	1	0
3-yr	0	0	0
4-yr	1	0	0
5-yr	0	0	0
6-yr	0	0	0

## APPENDIX C: SUMMARY OF REDELEGATED MERIT ACTIONS (reviewed by FPC)

College/Division/ School	FPC Recommendation			Dean's Decision		Actions w/o FPC Input		Step Plus Actions
	Yes	No	Split/Other	Yes	No	Yes	No	
CAES	45	3		49	2	3	0	21
CBS	7	0	5	20	0	8	0	7
<b>EDU</b>	<b>NO DATA PROVIDED</b>							
ENG	33	1		40	0	6	0	37
GSM	5	0		9	1	5	0	5
HArCS	23	1		53	1	30	0	22
MPS	26	0		28	1	3	0	15
DSS	17	0		55	0	38	0	15
<b>LAW</b>	<b>NO DATA PROVIDED</b>							
<b>*SOM</b>	14	0		24	0	10	0	36
SVM	15	2	7	40	1	17	0	41
<b>Total</b>	<b>185</b>	<b>7</b>	<b>12</b>	<b>318</b>	<b>6</b>	<b>120</b>	<b>0</b>	<b>199</b>

\*The School of Medicine data is incomplete. 2015-16 actions are still being reviewed by CAP and the FPCs.

**APPENDIX D: SUMMARY OF NON-REDELGATED STEP PLUS ACTIONS  
(PROMOTIONS)**

College/Division/ School	Proposed Action (1.0 step)	CAP Recommendation	Proposed Action (1.5 step)	CAP Recommendation	Proposed Action (2.0 step)	CAP Recommendation
<b>CAES</b>						
Assistant to Associate	3	<ul style="list-style-type: none"> <li>• 3 cases – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> </ul>	3	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> <li>• 1 case – (recommend 2.0 step)</li> </ul>	2	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> </ul>
Associate to Full	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> </ul>	2	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> </ul>	4	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> <li>• 2 cases – (recommend 1.5 step)</li> </ul>
<b>CBS</b>						
Assistant to Associate	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 case (recommend 1.5 step)</li> </ul>	0	N/A	0	N/A
Associate to Full	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 case (recommend 1.5 step)</li> </ul>	0	N/A	1	<ul style="list-style-type: none"> <li>• 1 case - (recommend 1.5 step)</li> </ul>
<b>EDU</b>						
Assistant to Associate	0	N/A	0	N/A	0	N/A
Associate to Full	0	N/A	0	N/A	1	<ul style="list-style-type: none"> <li>• 1 case – (recommend 1.5 step)</li> </ul>
<b>ENG</b>						
Assistant to Associate	0	N/A	2	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> </ul>	0	N/A
Associate to Full	6	<ul style="list-style-type: none"> <li>• 3 cases – (agree with proposed)</li> <li>• 3 cases – (recommend 1.5 step)</li> </ul>	1	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> </ul>	0	N/A
<b>GSM</b>						

Assistant to Associate	0	N/A	0	N/A	0	N/A
Associate to Full	1	• 1 case – (recommend denial)	1	• 1 case – (agree with proposed)	0	N/A
<b>HArCS</b>						
Assistant to Associate	1	• 1 case – (recommend denial)	2	• 2 cases – (agree with proposed)	1	• 1 case – (agree with proposed)
Associate to Full	1	• 1 case – (agree with proposed)	2	• 2 cases – (agree with proposed)	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
<b>MPS</b>						
Assistant to Associate	0	N/A	0	N/A	0	N/A
Associate to Full	2	• 1 case – (agree with proposed) • 1 case – (recommend denial)	1	• 1 case – (agree with proposed)	0	N/A
<b>DSS</b>						
Assistant to Associate	5	• 1 case – (agree with proposed) • 4 cases – (recommend 1.5 step)	3	• 2 cases – (agree with proposed) • 1 case – (recommend 1.0 step)	3	• 2 cases – (agree with proposed) • 1 case – (recommend 1.5 step)
Associate to Full	3	• 1 case – (agree with proposed) • 2 cases – (recommend 1.5 step)	2	• 1 case – (agree with proposed) • 1 case – (recommend 2.0 step)	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
<b>LAW</b>						
Assistant to Associate	N/A	N/A	N/A	N/A	N/A	N/A
Associate to Full	N/A	N/A	N/A	N/A	N/A	N/A
<b>SOM</b>						
Assistant to Associate	10	• 8 cases – (agree with proposed) • 2 cases – (recommend lateral)	4	• 3 cases – (agree with proposed) • 1 case – (recommend 2.0 step)	4	• 2 cases – (agree with proposed) • 2 cases – (recommend 1.5 step)

Associate to Full	4	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> <li>• 1 case – (recommend 2.0 step)</li> </ul>	1	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> </ul>	1	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> </ul>
<b>SVM</b>						
Assistant to Associate	3	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> </ul>	5	<ul style="list-style-type: none"> <li>• 3 cases – (agree with proposed)</li> <li>• 2 cases – (recommend 2.0 step)</li> </ul>	1	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> </ul>
Associate to Full	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 cases – (recommend 1.5 step)</li> </ul>	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 case – (recommend 2.0 step)</li> </ul>	1	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> </ul>
<b>TOTAL</b>	<b>47</b>	<ul style="list-style-type: none"> <li>• 25 cases: CAP agreed with proposed 1.0 step promotion <b>(52%)</b>;</li> <li>• 17 cases: CAP recommended extra 0.5 step or extra 1.0 step promotion</li> <li>• 2 cases: CAP recommended lateral</li> <li>• 3 cases: CAP recommended denial</li> </ul>	<b>31</b>	<ul style="list-style-type: none"> <li>• 25 cases: CAP agreed with proposed 1.5 step promotion <b>(81%)</b>;</li> <li>• 5 cases: CAP recommended extra 0.5 step promotion;</li> <li>• 1 case: CAP recommended a lower step promotion</li> </ul>	<b>23</b>	<ul style="list-style-type: none"> <li>• 14 cases: CAP agreed with proposed 2.0 step promotion <b>(61%)</b>;</li> <li>• 9 cases: CAP recommended a lower step promotion</li> </ul>

**APPENDIX E: SUMMARY OF NON-REDELEGATED STEP PLUS ACTIONS  
(MERITS)**

College/Division/ School	Proposed Action (1.0 step)	CAP Recommendation	Proposed Action (1.5 step)	CAP Recommendation	Proposed Action (2.0 step)	CAP Recommendation
<b>CAES</b>						
Assistant Professor	N/A	N/A	N/A	N/A	1	• 1 case – (agree with proposed)
Associate Professor	N/A	N/A	N/A	N/A	2	• 2 cases – (agree with proposed)
Professor, Step 5 to Step 6	5	<ul style="list-style-type: none"> <li>• 3 cases – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> <li>• 1 case – (recommend denial)</li> </ul>	3	<ul style="list-style-type: none"> <li>• 2 cases – (agree with proposed)</li> <li>• 1 case – (recommend 2.0 step)</li> </ul>	2	• 2 cases – (agree with proposed)
Professor, Step 9 to Above Scale	1	• 1 case – (agree with proposed)	5	<ul style="list-style-type: none"> <li>• 3 cases – (agree with proposed)</li> <li>• 2 cases – (recommend 2.0 step)</li> </ul>	1	• 1 case – (agree with proposed)
Professor, Above Scale to Further Above Scale	1	• 1 case – (recommend denial)	2	• 2 cases – (agree with proposed)	N/A	N/A
Other Merits	N/A	N/A	1	• 1 case – (agree with proposed)	6	<ul style="list-style-type: none"> <li>• 5 cases – (agree with proposed)</li> <li>• 1 case – (recommend 1.5 step)</li> </ul>
<b>CBS</b>						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)
Professor, Above Scale to Further Above Scale	1	• 1 case – (recommend 1.5 step)	2	<ul style="list-style-type: none"> <li>• 1 case – (agree with proposed)</li> <li>• 1 case – (recommend 1.0 step)</li> </ul>	NA	N/A



Other Merits	1	• 1 case – (recommend 2.0 step)	1	• 1 case – (agree with proposed)	1	• 1 case – (recommend 1.0 step)
<b>EDU</b>						
Assistant Professor	1	• 1 case – (agree with proposed)	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	N/A	N/A	N/A	N/A	N/A	N/A
<b>ENG</b>						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	2	• 1 case – (agree with proposed) • 1 case (recommend 1.5 step)	1	• 1 case – (agree with proposed)	1	• 1 case – (recommend 1.5 step)
Professor, Step 9 to Above Scale	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)	N/A	N/A
Professor, Above Scale to Further Above Scale	3	• 3 cases – (recommend denial)	1	• 1 case – (agree with proposed)	N/A	N/A
Other Merits	1	• 1 case – (agree with proposed)	0	N/A	3	• 3 cases – (agree with proposed)
<b>GSM</b>						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	N/A	N/A	1	• 1 case – (agree with proposed)	N/A	N/A

HArCS						
Assistant Professor	N/A	N/A	N/A	N/A	1	• 1 case – (agree with proposed)
Associate Professor	N/A	N/A	1	• 1 case – (recommend 1.0 step)	2	• 2 cases – (agree with proposed)
Professor, Step 5 to Step 6	N/A	N/A	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)
Professor, Step 9 to Above Scale	1	• 1 case – (agree with proposed)	1	• 1 case – (recommend denial)	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	N/A	N/A	2	• 2 cases – (agree with proposed)	8	• 5 cases – (agree with proposed) • 2 cases – (recommend 1.5 step) • 1 case – (recommend 1.0 step)
MPS						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	N/A	N/A	1	• 1 case – (recommend 1.0 step)	2	• 2 cases – (agree with proposed)
Professor, Step 9 to Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Above Scale to Further Above Scale	3	• 3 cases – (agree with proposed)	N/A	N/A	1	• 1 case – (recommend 1.5 step)
Other Merits	N/A	N/A	2	• 1 case – (agree with proposed) • 1 case – (recommend 2.0 step)	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
DSS						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A

Associate Professor	N/A	N/A	N/A	N/A	1	• 1 case – (recommend 1.5 step)
Professor, Step 5 to Step 6	1	• 1 case – (agree with proposed)	2	• 2 cases – (agree with proposed)	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	N/A	N/A	1	• 1 case – (agree with proposed)
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	N/A	N/A	3	• 2 cases – (agree with proposed) • 1 case – (recommend 2.0 step)	5	• 5 cases – (agree with proposed)
<b>LAW</b>						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Step 5 to Step 6	N/A	N/A	1	• 1 case – (agree with proposed)	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	N/A	N/A	N/A	N/A	N/A	N/A
<b>SOM</b>						
Assistant Professor	1	• 1 case – (agree with proposed)	N/A	N/A	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
Associate Professor	N/A	N/A	N/A	N/A	6	• 3 cases – (agree with proposed) • 2 cases – (recommend 1.5 step) • 1 case – (recommend 1.0 step)
Professor, Step 5 to Step 6	2	• 1 case – (agree with proposed)	2	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)

		• 1 case – (recommend 1.5 step)		• 1 case – (recommend 2.0 step)		
Professor, Step 9 to Above Scale	N/A	N/A	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)
Professor, Above Scale to Further Above Scale	1	1 case – (recommend denial)	N/A	N/A	2	• 1 case – (agree with proposed) • 1 case – (recommend 1.5 step)
Other Merits	8	• 6 cases – (agree with proposed) • 1 case – (recommend 1.5 step) • 1 case – (recommend denial)	3	• 2 cases – (agree with proposed) • 1 case – (recommend 2.0 step)	9	• 6 cases – (agree with proposed) • 3 cases – (recommend 1.5 step)
<b>SVM</b>						
Assistant Professor	N/A	N/A	N/A	N/A	N/A	N/A
Associate Professor	N/A	N/A	1	• 1 case – (agree with proposed)	4	• 3 cases – (agree with proposed) • 1 case – (recommend 1.5 step)
Professor, Step 5 to Step 6	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)	N/A	N/A
Professor, Step 9 to Above Scale	N/A	N/A	2	• 1 case – (agree with proposed) • 1 case – (recommend 2.0 step)	N/A	N/A
Professor, Above Scale to Further Above Scale	N/A	N/A	N/A	N/A	N/A	N/A
Other Merits	1	• 1 case – (agree with proposed)	1	• 1 case – (agree with proposed)	5	• 3 cases – (agree with proposed) • 2 cases – (recommend 1.5 step)
<b>TOTAL</b>	<b>37</b>	<b>• 24 cases: CAP agreed with</b>	<b>45</b>	<b>• 33 cases: CAP agreed with</b>	<b>74</b>	<b>• 53 cases: CAP agreed with</b>

		<p><b>proposed 1.0 step merit (65%)</b></p> <ul style="list-style-type: none"> <li>• 6 cases: CAP agreed with an extra 0.5 step merit or an extra 1.0 step merit</li> <li>• 7 cases: CAP recommended denial</li> </ul>		<p><b>proposed 1.5 step merit (73%)</b></p> <ul style="list-style-type: none"> <li>• 8 cases: CAP recommended an extra 0.5 step merit</li> <li>• 3 cases: CAP recommended a lower step merit</li> <li>• 1 case: CAP recommended denial</li> </ul>		<p><b>proposed 2.0 step merit (72%)</b></p> <ul style="list-style-type: none"> <li>• 21 cases: CAP recommended a lower step merit</li> </ul>
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## Annual Report: Academic Year 2015-16

### Davis Division: Academic Senate

Committee on Academic Personnel, Appellate Subcommittee (CAPAC)
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Total Meetings: 8	Meeting frequency: upon receipt of appeal(s)	Average hours of committee work each week: 2-3 hours per committee member per appeal
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Total appeals reviewed: 37	Total of reviewed appeals deferred from the previous year: 3	Total appeals deferred to the coming academic year: (not included in this report) 2
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**Listing of bylaw changes proposed:** None.

**Listing of committee policies established or revised:**

Continued to not use the Electronic Document Management System (EDMS).

**Issues considered by the committee:**

Use of a committee recommendation letter to draw attention to how an academic action is presented, to reference campus policies to be adhered to, and to suggest better practices.

The appearance/presentation of new information upon appeal stage and not when an academic action is being reviewed by the original review committee.

Continued transition to the new Step Plus System.

Department voting procedures.

### **Committee's narrative:**

The 2015-16 Committee on Academic Personnel - Appellate Committee (CAPAC) received 39 actions on appeal during the academic year (Table 1) in response to requests from the Office of the Vice Provost – Academic Affairs (Table 2) and individual Dean's offices (Table 3). Two of these actions were not reviewed and carried over to the 2016-17 CAPAC committee. Four appeals were returned to the previous review committee. Three were returned because new information was presented that was not available to the previous review committee. One was returned because it was incomplete.

CAPAC recommended granting 9 of 37 appeals reviewed. Table 4 shows the Vice-Provost's or Dean's decisions on these appeals, in relation to CAPAC's recommendations.

As of October 14, one appeal for which CAPAC had submitted a recommendation was pending a final decision by the appropriate decision authority.

The foregoing information is reflected and footnoted in the tables that follow.

Respectfully submitted,

Andrew Vaughan, Chair  
Zhaojun Bai, Laurel Gershwin, Terry Nathan, Victoria Smith  
Bryan Rodman (Analyst, Academic Senate Office)

<b>Table 1: Origin of Appeals Reviewed</b>	
<b>College/School</b>	<b># Appeals</b>
College of Agricultural & Environmental Sciences	4
College of Engineering	5
College of Letters and Science	13
School of Law	0
School of Medicine	9
School of Veterinary Medicine	0
College of Biological Sciences	3
Graduate School of Management	2
School of Education	0
School of Nursing	1
<b>Grand Total</b>	<b>37*</b>

\* The last committee meeting for the 2015-16 academic year occurred on August 15, 2016. Subsequent to this meeting, two additional appeals were received prior to August 31, 2016, and were carried over to the 2016-17 academic year.

<b>Table 2: CAPAC Recommendations to the Vice Provost – Academic Personnel</b>						
		<b>GRANT APPEAL</b>		<b>RETURNED APPEAL<sup>1</sup></b>		<b>DENY APPEAL</b>
<b>Action</b>	<b># Cases</b>	<b>Grounds of Procedure</b>	<b>Grounds of Merit</b>	<b>Reconsideration</b>	<b>Incomplete</b>	<b>Grounds of Merit</b>
Decelerated Merit Advancement (1, 2, 3, 4 Yr)	0	0	0	0	0	0
Accelerated Merit (1, 2, 3, 4 Yr)	4	0	0	0	0	4
Accelerated Promotion (1, 2, 3, 4 Yr)	1	0	0	0	0	1
Merit	3	0	0	1°	0	2
Regular Merit, Above Scale	6	0	2	0	0	4
Accelerated Merit, Above Scale	0	0	0	0	0	0
Promotion	1	0	0	0	0	1
CER Appeals	0	0	0	0	0	0
Appointment by Change in Series	0	0	0	0	0	0
5 Year Review	2	0	2	0	0	0
1.0 Step Advancement	0	0	0	0	0	0
1.0 Step Promotion	2	0	0	0	0	2
1.5 Step Advancement	0	0	0	0	0	0
1.5 Step Promotion	1	0	0	0	0	1
2.0 Step Advancement	2	0	1	0	0	1
2.0 Step Promotion	1	0	0	0	0	1
2.0 Step Accelerated Advancement	1	0	1	0	0	0
7 Year Tenure	2	0	0	2°	0	0
Endowment Reappointment	1	0	0	0	0	1
<b>TOTALS</b>	<b>27*</b>	<b>0</b>	<b>6</b>	<b>3</b>	<b>0</b>	<b>18</b>

<sup>1</sup> A return occurs for one of two reasons: 1) new information has been added to the appeal packet that the previous review committee has not had the opportunity to review, this is called a reconsideration, or 2) the appeal packet was incomplete. Reconsideration cases are returned to the original review committee. Incomplete packets are returned to the Vice Provost or Dean's Office, as appropriate.

\* The last committee meeting for the 2015-16 academic year occurred on August 15, 2016. Subsequent to this meeting, two additional appeals were received prior to August 31, 2016, and were carried over to the 2016-17 academic year.

° Three non-redelegated actions were returned because each presented new information that was not available to the previous review committee. None of these actions were subsequently sent back to CAPAC for review.



<b>Table 3: CAPAC Recommendations to the Individual Deans (Redelegated Appeals)</b>						
		<b>GRANT APPEAL</b>		<b>RETURNED APPEAL<sup>1</sup></b>		<b>DENY APPEAL</b>
<b>Action</b>	<b># Cases</b>	<b>Grounds of Procedure</b>	<b>Grounds of Merit</b>	<b>Reconsideration</b>	<b>Incomplete</b>	<b>Grounds of Merit</b>
Decelerated Merit Advancement (1, 2, 3 Yr)	0	0	0	0	0	0
Accelerated Merit (1, 2, 3 Yr)	1	0	0	0	1†	0
Accelerated Promotion (1, 2, 3 Yr)	0	0	0	0	0	0
Merit	2	0	1	0	0	1
Regular Merit, Above Scale	0	0	0	0	0	0
Promotion	0	0	0	0	0	0
Continuing Non-Senate Faculty	0	0	0	0	0	0
Appointment by Change in Series	0	0	0	0	0	0
1.0 Step Advancement	1	0	0	0	0	1
1.0 Step Promotion	0	0	0	0	0	0
1.0 Step Accelerated Advancement	1	0	1	0	0	0
1.5 Step Advancement	4	0	1	0	0	3
1.5 Step Promotion	0	0	0	0	0	0
2.0 Step Advancement	1	0	0	0	0	1
2.0 Step Promotion	0	0	0	0	0	0
<b>TOTALS</b>	<b>10</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>1</b>	<b>6</b>

<sup>1</sup> A return occurs for one of two reasons: 1) new information has been added to the appeal packet that the previous review committee has not had the opportunity to review, this is called a reconsideration; or 2) the appeal packet was incomplete. Reconsideration cases are returned to the original review committee. Incomplete packets are returned to the Vice Provost or Dean's Office, as appropriate.

† One redelegated action was returned because it was incomplete. The action was subsequently not sent back to CAPAC for review.

<b>Table 4: CAPAC Recommendation vs. Final Decision</b>								
	<b>Non-Redel &amp; Redel</b>	<b>CAPAC Recommendation</b>		<b>RETURNED APPEAL<sup>1</sup></b>	<b>FINAL DECISION</b>			
<b>ACTION</b>	<b># Cases</b>	<b>Grant</b>	<b>Deny</b>		<b>Grant</b>	<b>Deny</b>	<b>Pending</b>	<b>Other<sup>2</sup></b>
Decelerated Merit Advancement (1, 2, 3, 4 Yr)	0	0	0	0	0	0	0	0
Accelerated Merit (1, 2, 3, 4 Yr)	5	0	4	1 <sup>†</sup>	0	3	0	2
Accelerated Promotion (1, 2, 3, 4 Yr)	1	0	1	0	0	1	0	0
Merit	5	1	3	1 <sup>°</sup>	2	3	0	0
Regular Merit, Above Scale	6	2	4	0	3	3	0	0
Accelerated Merit, Above Scale	0	0	0	0	0	0	0	0
Promotion	1	0	1	0	0	1	0	0
CER Appeals	0	0	0	0	0	0	0	0
Continuing Non-Senate Faculty	0	0	0	0	0	0	0	0
Appointment by Change in Series	0	0	0	0	0	0	0	0
5 Year Review	2	2	0	0	2	0	0	0
1.0 Step Advancement	1	0	1	0	0	1	0	0
1.0 Step Promotion	2	0	2	0	0	1	0	1
1.0 Step Accelerated Advancement	1	1	0	0	1	0	0	0
1.5 Step Advancement	4	1	3	0	1	2	1	0
1.5 Step Promotion	1	0	1	0	0	0	0	1
2.0 Step Advancement	3	1	2	0	1	0	0	2
2.0 Step Promotion	1	0	1	0	0	1	0	0
2.0 Step Accelerated Advancement	1	1	0	0	1	0	0	0
7 Year Tenure	2	0	0	2 <sup>°</sup>	0	1	0	1
Endowment Reappointment	1	0	1	0	0	1	0	0
<b>TOTAL</b>	<b>37*</b>	<b>9</b>	<b>24</b>	<b>4</b>	<b>11</b>	<b>18</b>	<b>1</b>	<b>7</b>

NOTE: The superscript numbers and symbols embedded in the above table are described on the following page.

<sup>1</sup> A return occurs for one of two reasons: 1) new information has been added to the appeal packet that the previous review committee has not had the opportunity to review, this is called a reconsideration; or 2) the appeal packet was incomplete. Reconsideration cases are returned to the original review committee. Incomplete packets are returned to the Vice Provost or Dean's Office, as appropriate.

<sup>2</sup> This category means that the final decision was either other than what CAPAC recommended or was a final decision on an action CAPAC returned to the previous review committee and which CAPAC did not provide a recommendation.

\* The last committee meeting for the 2015-16 academic year occurred on August 15, 2016. Subsequent to this meeting, two additional appeals were received prior to August 31, 2016, and were carried over to the 2016-17 academic year.

° Three non-redelegated actions were returned because each presented new information that was not available to the previous review committee. None of these actions were subsequently sent back to CAPAC for review.

† One redelegated action was returned because it was incomplete. The action was subsequently not sent back to CAPAC for review.

**Annual Report: Academic Year 2015-2016**  
**Davis Division: Academic Senate**

**Committee on Academic Freedom and Responsibility**

Total Meetings: 4	Meeting frequency: As needed	Average hours of committee work each week: Variable
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Total of item reviewed: 2	Total of reviewed items deferred from the previous year: 0	Total items deferred to the coming academic year: 0
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Listing of bylaw changes proposed: None

Listing of committee policies established or revised: None

**Issues considered by the committee:**

- Principles Against Intolerance
- Commandeering Memo

Recommended procedural or policy changes for the coming year: None

**Committee's Charge:**

The Academic Senate Committee on Academic Freedom and Responsibility (CAFR) is charged with studying any conditions within or without the University which, in the judgment of the committee, may affect the academic freedom of the University or the academic freedom and responsibility of its individual members, and shall report thereon to the Representative Assembly. The committee shall study any reports of conflicts of interest on the part of individuals referred to it by department chairs or the individuals and, if an unresolved problem is found to exist, shall recommend appropriate resolutions to the Executive Council.

**Committee's Narrative:**

The Committee on Academic Freedom and Responsibility met four times in 2015-2016 and conducted other business via email and the whiteboard in ASIS.

Below represents a summation of the major items the committee addressed during the 2015-2016 academic year.

## Principles against Intolerance

The Committee discussed the Regent's Principles against Intolerance report during a meeting and online using the Academic Senate Information System (ASIS). The committee provided their comments to the Academic Senate Chair, André Knoesen, directly. The committee decided not to make a formal comment on the Principles and the report which further explains the Principles until it becomes clear how, if at all, the non-binding Principles are shaping policies and administrative actions on our campus.

## Commandeering Memo

The committee reviewed and discussed academic freedom as it relates to protests in which a group that objects to a speech or a display seeks to claim time at the podium, or a portion of the display, for counter-messaging. The committee produced a memo (the "Commandeering Memo") addressed to these issues, which suggested that the Academic Senate reaffirm the academic-freedom principles at stake. The memo was included as an optional item on the June Representative Assembly meeting but was not voted into discussion.

Respectfully submitted,

Christopher Elmendorf, *Chair*  
Lawrence Bogad  
Eric Rauchway  
Carol Hess  
Katherine Skorupski  
Jared Campbell, *Academic Federation Representative*  
Yau Kei Yuki Tam, *ASUCD Representative*  
Douglas Banda, *GSA Representative*  
Matthew Palm, *GSA Representative*  
Tessa Egan, *Academic Senate Analyst*

## Memorandum

**To:** André Knoesen, Chair, UC Davis Academic Senate

**From:** Committee on Academic Freedom and Responsibility, UC Davis Academic Senate

**Date:** May 15, 2016

**Re:** Academic Freedom and “Forum Commandeering”

We are writing to express concern about two recent events on campus that manifest intolerance for academic freedom. In each case, opponents of ideas being communicated in a campus forum sought to commandeer the speaker’s forum, or a portion of the forum, for counter-speech. We urge the Academic Senate to condemn these actions as contrary to academic freedom and the ideals of our community. The incidents undermine what Chapter 400, Section 01 of the UC Davis Policy and Procedure Manual calls “the culture of free inquiry that lies at the foundation of the academic enterprise,” interfering or threatening to interfere with the “the ability of [] members [of the University community] to freely hear, express, and debate different ideas and points of view.”

- On March 7, 2016, an Israeli speaker, George Deek, who had been invited by the student group Aggies for Israel, was interrupted by demonstrators who commandeered the podium for approximately 3 minutes. The demonstrators unfurled a large banner and flag across the front of the room, between the speaker and his audience, and chanted continuously so that Deek could not communicate during the period of the protest. The next day, [an opinion piece in the Davis Vanguard](#) attributed the following statement to an unnamed spokesperson for the protesters: “[W]e will not tolerate or allow for such people to have a platform to speak on our campus, nor will we engage in pseudo ‘dialogue’ with them.” (A video of the talk and protest is [available here](#); the protest begins at 5:39.)
- On March 31, Zach Nelson, president of Aggies for Israel, and Al Sokolow, co-chair of Davis Faculty for Israel, emailed Professors Sunaina Maira and Natalia Deeb-Sossa expressing concern about a display in Hart Hall of archival materials from *Third World Forum*, a student journal published from the 1970s to the 1990s that espoused various “radical” positions. Nelson and Sokolow wrote that the display in Hart Hall is “seriously flawed in its inclusion of a number of images that demonize Israel and the Zionist movement.” They asked the sponsors to “amend the display to include a small number of images that present an historically accurate view of Israel and Zionism,” images that Nelson and Sokolow offered to provide “in

consultation with . . . historians who have expertise on the subject.” Nelson and Sokolow also noted that they were meeting with “the appropriate administrators [to examine] the legality and approval of such an exhibit according to UC Davis policy.” A reader of their email could fairly infer that they intended to have the exhibit taken down unless its sponsors designated a portion of it for the display of Nelson and Sokolow’s message and images.

As of this writing, the Hart Hall exhibit remains intact, and neither the campus administration nor the organizers of the display have agreed to “amend” it with materials provided by Nelson and Sokolow.

These incidents are different from one another in many important respects, but running through both is a common theme: Members of the UC Davis community who vehemently oppose positions espoused by other members of our community (and their duly invited guests) are acting as if they are entitled to use and control at least a portion of any forum through which the speaker they oppose is trying to communicate. The podium takeover by pro-Palestinian protesters claimed 5% of the hour allotted for Deek’s speech. The “request” from pro-Israel advocates concerning the Hart Hall exhibit appears to be similarly premised on the idea that they are entitled to convey their counter-message from within the four corners of the offending display. (Although, importantly, these dissenters haven’t acted unilaterally to commandeer a portion of the forum.)

\* \* \*

Relevant to these incidents is a [2007 statement](#) from the American Association of University Professors, released following the cancellation of a number of campus talks by politically unpopular speakers:

It is of course the responsibility of a college or university to guarantee the safety of invited speakers, and administrators ought to make every effort to ensure conditions of security in which outside speakers have an opportunity to express their views. The university is no place for a heckler’s veto. In 1983, when unruly individuals on various campuses prevented United States Ambassador to the United Nations Jeane Kirkpatrick from addressing university audiences, Committee A [of the AAUP] reaffirmed “its expectation that all members of the academic community will respect the right of others to listen to those who have been invited to speak on campus and will indicate disagreement not by disruptive action designed to silence the speaker but by reasoned debate and discussion as befits academic freedom in a community of higher learning.” (emphasis added)

In contrast to the AAUP’s strong defense of “the right of others to listen to those who have been invited to speak on campus,” then-Provost Hexter, in a letter replying to students and faculty who were upset about the Deek incident, described the

interruption of Deek's talk as merely "regrettable." "[T]he right to freedom of expression under the First Amendment," Hexter further asserted, "most likely allowed the protesters to express their viewpoint in the manner they did, and the same right also now prohibits the university from punishing them for their exercise of that right."

Hexter cited no legal authority for this proposition about the First Amendment. The Committee on Academic Freedom and Responsibility has conferred with several professors of constitutional law, who are uniformly of the view that there is no such authority. The Constitution allows the University to disallow forum takeovers during campus events.

The forum takeover during Deek's talk was not merely "regrettable." It was an assault on academic freedom, and should be condemned as such. The daily life of our University would grind to a halt if every speaker had to give up 5% of her podium time to each and every dissenting ideological group. (And here the First Amendment is highly relevant, for it does not allow the University to discriminate among protesters, each of whom wants to occupy the podium for several minutes. If one protestor is entitled to three minutes of podium time, other protesters conveying different messages are owed the same.) Historical and artistic displays would be similarly ineffective if the curator had to clear out 5% of the display for counter-messaging, at the behest of any group that deems the display offensive or wrong-headed. If a professor hangs a poster on her office door, must she designate a portion of it for other members of the community to pin sticky notes or photographs explaining the professor's grievous error?

Objectors to a speech, a meeting, or a display have the right to make their objections known; to hold protests outside the event subject to reasonable time, place, and manner regulations (see PPM 400-01); and to speak forcefully, even offensively, about the person, idea, or materials they disdain. But there is and should be no right to take over a forum, even temporarily, or to claim space within a display for opposition messaging.

For this reason, the request of Aggies of Israel to use a portion of the Hart Hall display should be denied by the administration. (It appears that the administration shares our view.<sup>1</sup>) As for the Deek incident, is not clear to our committee whether the disruptors can or should be punished by the administration under existing policies,<sup>2</sup> but their podium takeover should be unequivocally condemned by the

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<sup>1</sup> Acting Chancellor Hexter told us by email on May 15, "I understand interim Dean Kaiser has not received a request to change the exhibit to include additional information, and I certainly have no intention to require a change to this exhibit."

<sup>2</sup> We are not aware of any existing UC Davis policy that clearly authorizes punishment of the Deek protesters. Nor is it clear that punishment, if authorized, would be wise under the circumstances. Deek was not completely prevented from delivering his message, and, in light of then-Provost Hexter's subsequent communication and other incidents on campus, the protesters may well have had a reasonable—though false—expectation that they were within their rights in disrupting Deek's



Academic Senate as an assault on academic freedom. Communications, public or private, from the administration or Academic Senate, should not serve to normalize podium takeovers as an accepted form of protest.

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talk. Some restraint in the punishment of (and campus police response to) unlawful protests also seems advisable in the wake of the “pepper spray incident.”

**Annual Report: Academic Year 2015-2016  
Davis Division: Academic Senate**

**Committee on Admissions and Enrollment**

<b>Total Meetings: 9</b>	<b>Meeting frequency:</b> 3 meetings per quarter	<b>Average hours of committee work each week:</b> Variable
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<b>Total of items reviewed:</b> 3 Request for Consultations and 12 items/issues	<b>Total of reviewed items deferred from the previous year:</b> <ul style="list-style-type: none"> <li>• 2015 Athletics Report</li> <li>• Faculty Involvement in Enrollment</li> </ul>	<b>Total items deferred to the coming academic year:</b> <ul style="list-style-type: none"> <li>• None</li> </ul>
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**Bylaw changes proposed:** None

**New committee policies established or revised:** None

**Issues considered by the committee:**

1. Transfer Admissions Policies and Practices/Admissions Input Documents
2. 2015 Athletics Report
3. 2016 Athletics Report
4. Selective Major Review
5. ELC/LCFF+ Tiebreaker
6. Framing Document
7. Admissions and Enrollment Terms and Definitions
8. Course ID Numbering System (C-ID)
9. Honors A-G Guidelines
10. Enrollment Restrictions on Courses
11. Innovative Learning Technology Initiative (ILTI) Project
12. Proposed Amendment of Senate Regulations 417 and 621

**Recommended procedural or policy changes for the coming year:** None

**Committee's Charge:**

The Academic Senate Committee on Admissions and Enrollment (CAE) considers matters involving admission and enrollment at Davis.

### **Committee's narrative:**

The Committee on Admissions and Enrollment met nine times in 2015-2016 and conducted other business via email and the whiteboard in ASIS.

Below represents a summation of the major items the committee addressed during the 2015-2016 academic year.

### **Transfer Admissions Policies and Practices/Admissions Input Documents**

In fall 2015 and winter 2016, the Committee reviewed data from departmental selective review and/or admission by major at the transfer level. As a result of this review and discussions on current transfer admissions policies, CAE has drafted a document with recommended ways to facilitate departmental involvement in transfer admissions.

One goal of this admissions input document is to identify ways departments can restrict admissions. As previously discussed, possible reasons for suspended or restricted admissions include:

- Resource Limitations – teaching facilities, professors, etc.
- Academic Limitations– selective criteria

The Committee stresses that if departments would like to implement selective criteria or selective major review they must be willing to put in time and effort to implement the review and to adhere to Undergraduate Admissions deadlines. Periodic checks should also be conducted by CAE to track whether selective criteria impacts diversity, gender, etc. Such checks should consider only whether selective review significantly changes the make-up of the department's transfer population.

The admissions input document has been forwarded to Academic Senate Chair André Knoesen for further consultation with the Academic Senate.

### **ELC/LCFF+ Tiebreaker**

As a result of a winter BOARS meeting, the Committee discussed a request from UCOP that 4% of the California residents offered admissions at each campus should be students from LCFF+ schools who are ELC eligible only (i.e., not also eligible through the statewide index that includes both GPA and SAT scores).

UC Davis met the 4% goal with no changes to its current admissions procedures. However, the Committee looked into whether attending an LCFF+ school should be given extra consideration in admissions, perhaps through the tiebreaking criteria. This would not be limited to the ELC-only students, but would include all other applicants from LCFF+ schools as well: those who are statewide eligible, those who are entitled to review but not eligible, and those who are not entitled to review but could be admitted by exception.

An additional impetus to this discussion is that the API rating scale for schools is no longer being updated. API is considered in the original holistic review score, and

students attending a school with API score of 1 through 5 also receive a tiebreak point. These low-API schools tend to have low median family income, a high fraction of students eligible for free or reduced-price lunches, and fewer honors and AP course options than high-API schools. Since socioeconomic conditions near a school can change, the use of API scores based on ever-more-distant historical data should be monitored.

The Committee found that LCFF+ is not a good substitute for low-API. About 80% of LCFF+ schools are also low-API, but only about half of low-API schools are LCFF+. The committee then considered combining the two, awarding one tiebreak point if a student attended a school that was LCFF+ and/or low API. It was found that this would have had no effect on ELC-only admits from LCFF+ schools and no significant effect on diversity or on overall admits from LCFF+ schools. Hence CAE decided against changing the current tiebreak criteria, although future committees should monitor the LCFF+ and API situation.

A separate concern that arose during these discussions is that in order to participate in ELC, high schools have to submit representative student records. This can be a burden, especially for under-resourced high schools, and could disadvantage students from these schools who cannot qualify as ELC eligible despite being in the top 9% of their class. Fortunately, it appears that declining to participate in ELC is not a widespread problem. Of the high schools which 2016 applicants to UC Davis attended, 75% participate. Undergraduate Admissions targets about 20% of these high schools, predominantly those in underprivileged areas, for in-person recruitment visits, and 97% of these schools participate in ELC. This suggests that lack of resources is not the main reasons schools do not do ELC. One possibility is that the missing schools are predominantly small private schools where the vast majority of ELC students would already be UC eligible through the statewide index.

### **Athletics Reports**

The Committee on Admissions and Enrollment noted that the reports were thorough and included important information on athletes' admission and on-campus academic performance. Admissions standards are significantly different for athletes and non-athletes. Most athletes would not be admitted based on their Holistic Review (HR) scores, but any sponsored athlete who is entitled to review is admitted regardless of HR score. One consequence is that the vast majority of admitted students with the lowest HR scores of 6 to 7 are athletes (86/104 in 2013-14, 70/85 in 2014-15). The Committee acknowledged that athletes with low HR scores succeed on campus at higher rates than non-athletes. In part, this is because athletes receive more tutoring and other individual attention. If lessons learned from working with athletes can be used in designing retention programs for non-athletes, then the entire student body could benefit. The Committee hopes that the appropriate units within Student Affairs and Undergraduate Education can cooperate with the athletics department while planning retention and mentoring activities.

Respectfully submitted,

Rena Zieve, *Chair and BOARS Representative*

Nilesh William Gaikward

Carlos Jackson

Alissa Kendall

Jon Rossini

Catherine Puckering, *Academic Federation Representative*

Megan Guidi, *ASUCD Representative*

Tayler Ward, *ASUCD Representative*

Maxine Umeh, *GSA Representative*

Walter Robinson, *Ex-Officio*

Darlene Hunter, *Consultant*

Ebony Lewis, *Consultant*

Brendan Livingston, *Consultant*

Sierra Feldmann, *Academic Senate Analyst*

## Annual Report: Academic Year 2015-16

### Davis Division: Academic Senate

#### Committee on Affirmative Action & Diversity

Total Meetings: 7	Meeting frequency: As needed – Average of 2 per quarter	Average hours of committee work each week: varies
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Total Items Reviewed: 6	Total of reviewed items deferred from the previous year: 1	Total items deferred to the coming academic year: 4
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Listing of bylaw changes proposed:
None

Listing of committee policies established or revised:
None

Issues considered by the committee:
<ul style="list-style-type: none"> <li>• Graduate Council Mentoring</li> <li>• Diversity and Inclusion Initiative</li> <li>• Guiding Principles: Search Waivers for Academic Appointees at University of California</li> <li>• Provost Fellowship Application</li> <li>• Principles against Intolerance</li> <li>• Professor of Teaching _____ Proposal</li> </ul>

#### **Committee Narrative:**

The Affirmative Action & Diversity Committee met seven times during the 2015-16 academic year. Meetings were scheduled an average of twice per quarter. The Academic Senate Information System (ASIS) was used to notify members and distribute relevant information about the committee's upcoming meetings.

In its first three meetings, the committee received briefings on related topics: the Strategic Planning Committee for Diversity and Inclusion, Graduate Council's efforts on graduate mentoring, and the ADVANCE grant. The first two of these formed the basis of ongoing committee discussions. Provided below is a brief description of the major topics that the committee discussed during the 2015-2016 academic year. In addition to these, the committee identified two additional topics as potential committee priorities for next year: first, work with faculty and with CAP to ensure that diversity-related activities are receiving appropriate credit in merits and promotions, and second, coordinate with the Preparatory Education committee on possible increased Senate involvement in STEP.

#### **Graduate Mentoring Program**

The Chair of Graduate Council, Kyaw Tha Paw U, requested consultation from the committee on Affirmative Action and Diversity (AAD) regarding the Graduate Mentoring program. Graduate Council is interested in reviewing the current mentoring procedures and searching for opportunities to enhance the relationships between graduate students of diverse backgrounds and their mentoring faculty. The goal would be to help make faculty aware of some of the unique challenges some students face when attending graduate school specifically: underrepresented minorities and first generation students. Another challenge

in graduate mentoring are students who have expressed an interest in a teaching career or non-research career having difficulty finding willing advisors. This may be particularly relevant to minority students who may feel that a teaching career is the best way for them to give back to their communities.

The committee has requested data to see how many PhD students graduating from UC Davis go on to research centric careers, versus how many move on to teaching at state and community colleges, versus private industry careers. This item has been tabled until Fall 2016 and will be discussed again once the data comes in.

### **Diversity and Inclusion Initiative**

Adela de la Torre and Suad Joseph briefed the committee on the Strategic Planning Committee for Diversity and Inclusion. Subsequently, individual committee members gave their feedback on the strategic planning process, and a three-member subcommittee was formed to serve on the Academic Senate Working Group of the Strategic Planning Committee. A formal Senate consultation on the draft strategic plan is scheduled for Fall 2016.

### **Guiding Principles: Search Waivers for Academic Appointees at University of California**

The UC Recruit Governance Board requested feedback on proposed guidelines for the use of waivers in the academic hiring process. The committee on Affirmative Action and Diversity are in support of the guidelines and clearly stated minimum standards for search waivers. The committee feels the use of search waivers for hiring PPFs has been a valuable tool for a number of departments in recruiting highly desirable candidates.

### **Provost Fellowship Application**

Every year the AA&D committee reviews applications and chooses a recipient for the Provost's Fellowship for Diversity in Teaching Project. The goal of the project is to:

- (a) increase the number of courses taught on the UC Davis campus that promote and foster learning about matters of cross cultural interactions, diversity and social justice;*
- (b) enhance the individual multicultural competence of UC Davis faculty in teaching; and*
- (c) increase the capacity to work effectively with a broad range of students. This initiative will support the Cross Cultural Center's (CCC) mission to "foster a multicultural community through education and cultural diversity and establish an environment of cross-cultural learning and exchange for the entire campus."*

The committee received three applications. After a thorough review and discussion, Megan Crofoot was voted to be the recipient of this year's Provost's Fellowship.

### **Principles against Intolerance**

The Academic Senate Chair requested an informal consultation from the Affirmative Action and Diversity committee. The Committee reviewed and discussed the Regent's Principles against Intolerance report online using the Academic Senate Information System (ASIS), due to the short consultation period. On behalf of the committee, the chair provided comments to the Academic Senate Chair, André Knoesen, directly. The committee provided a few concerns/critiques such as the isolation of anti-Semitism in the document. The committee felt that this potentially elevates a specific prejudice and may give the impression that the university takes discrimination against some groups more seriously than others. In addition, the committee was concerned that a serious proposal such as this did not receive a more formal consultation process. They feel as though a more serious consultation process would help create a stronger and more resilient document.

## **Professor of Teaching      Proposal**

The committee received a request for consultation on the “Professor of Teaching” proposal. This proposal outlines the idea of changing the Lecturer with Security of Employment series (LSOE) to a “Professor of Teaching” title. The committee has mixed opinions about the idea. The committee recognizes that the current title may provide some challenges when hiring outside of the UC system. However, they express concerns involving the climate impact with respect to the Federation faculty by the new title possible elevating one series above another.

Respectfully submitted,

Brian Osserman, Chair  
Bruce Haynes  
Khaled Abdel-Ghaffar  
Natalia Ines Deeb Sossa  
Sean Owens  
Courtney Grant Joslyn  
Cynthia Pickett  
James Fettingner, *AF Representative*  
Hyunok Lee, *AF Representative*  
Sophia Jin, *AF Representative*  
Esmeralda Figueroa, *ASUCD Rep*  
Vanessa Segundo, *GSA Rep*  
Rahim Reed, *Ex-Officio*  
Tessa Egan, *Analyst*



## **AA&D Committee Response to Proposed Guiding Principles for Search Waivers**

In the interests of transparency and of a commitment to open searches as the primary recruitment method of the university, the AA&D committee supports having clearly stated minimum standards for search waivers. Furthermore, we strongly support the explicit inclusion of President's and Chancellors' Postdoctoral Fellows as a possible basis for a search waiver. Due to the frequently intense competition in recruiting diversity candidates, the use of search waivers for hiring PPFs has been a valuable tool for a number of departments in recruiting highly desirable candidates.

## **AA&D Committee response to Professor in Teaching Proposal**

The committee recognizes that the current title is unwieldy and may be having an adverse effect on searches. The proposed title seems in principle to be reasonable. However, the committee also recognizes concerns that the proposal will negatively impact climate for Federation lecturers by introducing language which appears to elevate LSOEs above them. In addition, the committee has concerns as to whether the various descriptions of LSOE positions are consistent with one another and with actual practice on campus. Although it is understandable that the administration would wish to treat the change in title separately from other issues surrounding the LSOE series, it is the view of the committee that it is not advisable to do so.

While we have no wish to hold up the proposal unnecessarily, we recommend that a working group should comprehensively review the LSOE series, and can make a recommendation on the title as part of this review. If the title change is ultimately recommended, additional clarity as to the nature of the series could help mitigate climate impacts with respect to Federation faculty.

**Annual Report: Academic Year 2015-16**  
**Davis Division: Academic Senate**

**Committee on Courses of Instruction (COCI)**

Total Meetings: 9	Meeting frequency: 3 times a quarter	Average hours of committee work each week: 4 (when courses were being reviewed)
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Total: 538	Total reviewed or deferred from the previous year: 10	Total deferred to the coming academic year: In ICMS: 14
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Issues considered by the committee.

- 1) Davis Division Regulation 538 revision: The committee voted to revise DDR 538 to remove the provisions against online take-home final exams to bring the policy more in line with in-person courses. The revision was approved by Executive Council and will be brought to the Representative Assembly in the fall.
- 2) New course approval system: The committee provided feedback and suggestions for instructional help videos in the new system and tested the system's functionality before campus-wide implementation. After its roll-out, COCI also completed a review of courses in the new system in order to provide feedback for future improvements.
- 3) Learning activity revisions: The committee reevaluated criteria for learning activities in light of the unit calculator in the new course approval system. Many were revised to be more flexible with the distribution of in-class and out-of-class work hours. A new document with these new criteria was put on the COCI webpage.
- 4) School of Nursing MOU: The committee came to an agreement with the School of Nursing to delegate course approvals in the 300 and 400 level to the SoN.
- 5) Equitable course delivery: After reviewing a number of courses this year which proposed to use simulcast lectures and other methods of non-standard course delivery due to insufficient classroom space, the committee issued a policy stating such courses would not be approved due to concern over providing equal educational opportunities for all students.
- 6) No credit 199 courses: The committee was consulted on a proposal for a new 199 course type which would offer no credit. The intended purpose was to allow those who would otherwise be discouraged from research due to unit caps to participate and to better track undergraduate research. After discussion, the committee advised the Academic Senate Chair that the justifications were not compelling enough at this time to recommend a new course type, and that there were concerns about potential negative philosophical and logistical consequences of doing so.

- 7) Criteria for Academic Credit: COCI reviewed defining requirements for a course to be eligible for academic credit, as proposed by the Special Academic Programs committee. Despite the potential benefits of a written policy, after extensive discussion, the committee determined that it would be challenging to craft a policy that is not too narrow or too broad for all courses on campus. Thus COCI concluded that it would not be advisable to adopt any policy defining criteria for Academic Credit in UC Davis courses at this time.
- 8) Special Academic Programs: The committee submitted a proposal to Academic Senate Chair Knoesen recommending that in the future, the Special Academic Programs committee should act as the equivalent of a college educational policy/courses committee for all new courses and course modifications proposed by the programs it oversees; i.e., review of course proposals by the SAP committee should be inserted as a step between proposal by the program/department and review by COCI. The proposal was subsequently approved by the Executive Council.
- 9) Student-Facilitated courses: The committee adopted templates for completion of proposals from departments to offer the four courses associated with Student-Facilitated courses, numbered 98F, 198F, 199FA, and 199FB. These templates have been posted to the COCI web page.
- 10) Undergraduate business major: The committee reviewed and commented on a proposal from the Graduate School of Management to establish an undergraduate major in Business Administration. COCI's response focused on concerns about the possibility that new courses that would be developed for the new major would have significant overlap of existing courses offered by the department of Economics. While not taking a position either opposed to or in favor of the new major (approval of which not COCI's purview), the committee noted that it would have to consider course overlap issues when reviewing proposals for new courses associated with the major.
- 11) Summer workgroups: The committee appointed representatives to two workgroups convened for the summer of 2016: the Executive Council Faculty GE Diversity Workgroup, charged with reviewing data related to courses certified for Domestic Diversity General Education credit, and the joint Administration-Senate workgroup charged with reviewing the possibility of expanding the use of the campus testing center and on-line proctoring services for on-line courses offered to UC Davis students.

**Recommended procedural or policy changes for the coming year (to be vetted by the new committee):**

Finalize DDR 538 revision and bring to Representative Assembly. The provisions regarding exams on dead days may require further revisions.

**Committee's narrative:**

**Course Requests**

The primary duty of the Committee is to review and act upon requests to add new courses and change or cancel existing courses. The following table summarizes our actions from September 1, 2015 through August 31, 2016.

**Total Approved**

**452**

Undergraduate			288
	New	133	
	New Version	125	
	Discontinued	30	
Graduate			139
	New	78	
	New Version	40	
	Discontinued	21	
Professional			25
	New	16	
	New Version	9	
	Discontinued	0	

#### **Total Relegated**

**86**

Undergraduate			56
	New	28	
	New Version	28	
	Discontinued	0	
Graduate			29
	New	19	
	New Version	9	
	Discontinued	1	
Professional			1
	New	0	
	New Version	1	
	Discontinued	0	

#### **Associate Instructors**

The Committee also is required to approve/reject requests from departments to use advanced graduate students to teach upper-division courses. The Chair normally does this without consulting with the Committee (except as needed) and by following explicit Committee policy on this matter. This year the Committee received and approved 159 Associate Instructors from 45 different departments.

#### **Nonstudent Teaching Assistants**

The Committee is required to approve/reject requests from departments to use teaching assistants who are not UCD students. Normally, this task is delegated to the chair. The Committee received and approved 30 requests from 7 departments.

#### **Undergraduate Teaching Assistants**

The Committee is required to approve/reject petitions for the use of undergraduates as teaching assistants (this is an exception to policy). The Committee received and approved 11 petitions from 7 departments.

### **Undergraduate Readers**

Like undergraduate teaching assistants, undergraduate readers are to be used only in exceptional circumstances. The Committee has written and maintains policy for the hiring of undergraduate readers.

### **Grading Variances**

The Committee must approve requests to change course grading from Pass/No-Pass or Satisfactory/Unsatisfactory to letter grade or vice-versa. Normally this task is delegated to the Chair. Following the process described in the Committee web page, the Committee granted grading variances in 53 classes.

### **Independent Study Program**

The Committee must approve proposals from students to participate in the Independent Study Program, which allows upper-division students the opportunity to concentrate on a single subject or area of interest for a period of one or two quarters.

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## **Committee on Courses of Instruction (COCI)** **Committee Membership 2015-2016**

### **At-large Members**

Daniel Potter, Chair  
Timothy Beatty  
Stephen Boucher  
Christopher Cappa  
Hwai-Jong Cheng  
Katie Harris  
Benjamin Morris  
Terry Murphy  
William Ristenpart  
John Slater

### **Ex-officio Members**

Joshua Clover  
Greta Hsu  
Bo Liu  
Elias Lopez (non-voting)  
Lee Michael Martin  
Helen Raybould  
Kenneth Shackel  
Benjamin Shaw  
Colleen Sweeney

### **Academic Federation Representative**

Susan Catron

### **GSA Representative**

Dan Villarreal

### **Academic Senate Analyst**

Edwin M. Arevalo, Executive Director of the Davis Division  
Clin Xu, Analyst

**Annual Report: Academic Year 2015-16**  
**Davis Division: Academic Senate**

**Committee on Distinguished Teaching Awards**

Total Meetings: 1	Meeting frequency: 1 per academic year	Average hours of committee work each week: Approximately 4-8 hours for review of the nominations for each meeting
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A total of 12 DTA nominations were received and reviewed, (6 undergraduate and 6 graduate/professional); 3 undergraduate and 3 graduate/professional nominees were selected recommendation as award recipients.	No nominations were deferred from the previous year.	No nominations will automatically be carried forward.
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**Listing of bylaw changes proposed:** None.

**Listing of committee policies established or revised:** None

**Issues considered by the committee:**

Streamlining the award recipient selection process
Revision of the Call for Nominations to downsize nomination packets
Keeping nominations current for a two year period
Including teaching evaluations with nominations
Management and handling of any perceived conflict of interest
Lack of undergraduate student participation
Distribution of awards across the campus
Is a former recipient of a DTA for Undergraduate Teaching eligible for a DTA for Graduate/Professional teaching?

**Recommended procedural or policy changes for the coming year:** Have one committee meeting to select faculty to recommend as award recipients and have a follow-up committee meeting only if the committee needed more time to reach a consensus on the faculty to recommend.

### **Committee's narrative:**

The primary charge to this committee is to select for recommendation up to six members of the Academic Senate for a Distinguished Teaching Award in either the category of Undergraduate Teaching or Graduate and Professional Teaching.

The Call for Nominations for the 2016 Awards was sent out on October 22, 2015. The deadline for submission of a nomination was December 11, 2015. Nomination packets that were received by the deadline for submission were made available for review by the committee, via the Academic Senate Information System (ASIS), by December 18, 2015.

On January 11, 2016, the committee met to select nominees/faculty to recommend to the Davis Division Representative Assembly for approval as recipients of the 2016 DTAs. Committee Chair Heymann informed the committee that six awards did not need to be recommended and that the recommendations were not subject to any force distribution criteria (e.g. three DTA – Undergraduate awards and three DTA Graduate/Professional awards; or one DTA per UCD college or school, or one for this or that discipline or two for this or that area of study for the current year, etc.) Chair Heymann called for the disclosure of any conflicts of interest. She gave everyone to understand that the call for disclosure and the disclosure of any conflicts of interest were necessary to establish and maintain the highest possible degree of objectivity during the committee's selection process deliberations. One committee member disclosed that they were in the same department as one of the nominees. One committee member disclosed that they were familiar with the work of another nominee. Discussion of these disclosures revealed that there was no need to set in place and agree to any special voting or recusal procedures. Chair Heymann also informed the committee that a former recipient of a DTA for Undergraduate Teaching was eligible for a DTA for Graduate/Professional Teaching, and vice versa, that the categories were separate.

After discussion and deliberation, the committee selected three faculty to be recommended for the 2016 Undergraduate DTAs and three faculty to be recommended for the 2016 Graduate/Professional DTAs. The names of all six faculty were submitted to the Representative Assembly for consideration and approval. On February 25, 2016, at regularly scheduled meeting, the Representative Assembly approved the committee's recommendations. On May 2, 2016, the approved faculty were presented their respective distinguished teaching awards at the combined Academic Senate and Academic Federation Award Ceremony.

Recipients:

#### **Undergraduate Category:**

- Eric Sanford – Evolution and Ecology
- Nael El-Farra – Chemical Engineering and Materials Science



- Alessa Johns – English

**Graduate/Professional Category:**

- Dean Tantillo – Chemistry
- Julie Dechant – School of Veterinary Medicine
- Lavjay Butani – Pediatrics, Division of Nephrology

Discussion of the selection criteria to be considered to come to a committee consensus on which faculty nominees to recommend for the 2016 DTAs suggested that the Call for Nominations needed to be revised. Besides echoing the thoughts, observations, and concerns that were brought up in previous years, discussion this year suggested revising the Call 1) to downsize the nomination packets; 2) to address the concern that departments were singling out a member of their faculty to support and to promote for a DTA rather than promoting the submission of nominations; 3) to clarify the focus of the DTAs to be “distinguished teaching.” Discussion concluded with the committee consensus that it was best that the foregoing thoughts and suggestions be brought to the attention of the 2016-17 committee membership rather than for the current committee to work out specific ways to downsizing nomination packets, to addressing departmental nomination practices, and to clarifying how to distinguish “distinguished teaching.”

At the beginning of the 2015-16 academic year, in response to a request sent to the DTA membership, the membership provided comments on suggested edits and suggested edits. The edits were aimed at streamlining the nomination review process for the selection of faculty DTA nominees to recommend for approval. Streamlining included elimination of procedural steps and the clarification of the committee’s charge and the information needed by the committee to fulfill its charge. The motivation for the edits was to lighten the workload of nominators and their departments, and the committee, and to lessen the demands on everyone’s time.

The procedural steps that were eliminated were the selection of finalists for further consideration and the request for additional information from nominators and departments on the finalists. Elimination of these steps brought closure to the nomination process, whereas the process was open ended before.

The clarification of the committee’s charge and the type of information needed by the committee to fulfill its charge reduced requests for confirmations.

One edit, a request for student evaluation summaries (limited to no more than 8 total and no more than 2 for each of the past four years), was an addition to the Call. The hope of the committee was that, at the department level, such information was readily available and would facilitate production of a strong nomination, and, at the committee level, such information would help the committee to reach a consensus on the strongest candidates or recommend.

The above editions were initiated, reviewed, and agreed upon electronically, thus saving valuable faculty time that could be put to use in other endeavors and to meet other campus demands.

On behalf of the committee, Chair Heymann, through Bryan Rodman, the committee's resource support analyst, informed a committee member that they should not nominate a faculty member for a DTA—that it is best practice not to participate in an activity that will be reviewed by a committee of which they are a member; stated what was in the Call for Nominations to a nominator inquiring about the time period for student evaluation summaries—that no more than 8 summaries may be submitted and no more than 2 summaries may be provided per year for each of the past four years; responded to a nominator asking if more than the two letters of support called for in the Call could be submitted, especially if they were from students, that, per the Call for Nominations, the two stipulated letters would have to do, since more would be unfair to other nominees; and informed another nominator who was experiencing printer and computer problems when submitting his nomination the hour before the submission deadline to submit what they could.

Keeping nominations current for a two year period was the last item discussed by the committee at its January 11, 2016, meeting. The questions put before the committee were: "Should nominations be kept current for more than a year?" and "For how many years should nominations be kept active?"

Streamlining the workload of faculty was said to be the major motivation for keeping nominations active. Saving the time needed to put together and submit a nomination year after year was said to be another motivation.

The administrative logistics of storing the nominations, keeping track of the currency of the nominations, of following up with nominators to make sure they still supported their/a nomination, of confirming that nominators and nominees were still on campus, of documenting that nothing of significance had changed since the nomination had last been reviewed, of merging new data and updated pages with those in stored nominations, and of recording whether the opportunity was given to update a previous year's nomination were presented.

The pros of having nominations automatically submitted year after year with a minimum of effort were weighed against the cons of nominations becoming inaccurate and stale in the short term, not to mention the possibility of their becoming negatively stigmatized. The pros and cons of keeping nominations for two years only were discussed. Though seen as the best alternative to the current practice, the two-year-lifespan was still seen as being susceptible to the aforementioned cons for keeping nominations active. It was commented that there was nothing currently preventing nominators from simply updating a nomination packet with current dates and simply re-submitting it. It was also

commented that the committee needed to consider the effects their decisions and instituted changes would have on future DTA committees.

Discussion ended with the thought that this topic should be revisited when revisions to the Call for Nominations are discussed with the 2016-17 committee membership.

Respectfully submitted,

Hildegarde Heymann, Chair

James Bremer

Tonya Kuhl

Kathy Olmsted

David Osleger

Moumita Seal (ASUCD Representative)

Aniela Tolentino (ASUCD Representative)

Ted Gilliland (GSA Representative)

Lillian Zhang (GSA Representative)

Bryan Rodman, Resource Analyst, Academic Senate Office

## Committee on Elections, Rules and Jurisdiction Annual Report 2015-2016

Total Meetings:	Meeting Frequency:	Average Hours of Committee Work Per Week:
Total Bylaw and Regulation proposals (), formal advice (), other advice/responses (), and elections/ballots supervised ()	Total matters deferred from previous year: 8	Total matters deferred to coming academic year:

CERJ took the following actions during 2015-2016.

### **Proposed Amendments to Bylaws and Regulations**

*The Committee is authorized "To prepare and report for action by the Representative Assembly such changes and additions to the Bylaws and Regulations as it may deem advisable." (Davis Division Bylaw 71(B)(1)). The following changes were recommended during the academic year 2014-2015:*

- (1) Davis Division Bylaw 13.5: Executive Director. The revision delegates responsibility to the Executive Director of the Davis Division for maintaining Senate membership and committee records. The proposal was adopted by the Representative Assembly on February 26, 2016.
- (2) Davis Division Bylaw 84.C: Instructional Space Advisory Subcommittee. The revision increases the membership of the subcommittee and provides representation from each of the undergraduate colleges. The proposal was adopted by the Representative Assembly on February 26, 2016.
- (3) Davis Division Bylaw 121.D.2.b: Committee on Preparatory Education. To correct terminology no longer used, the approved revision replaces the "in Subject A" language of DDB 121.D.2.b with the language "for the Entry Level Writing Requirement (ELWR)." The proposal was adopted by the Representative Assembly on February 26, 2016.
- (4) Davis Division Regulation 521.C: University of California Entry Level Writing Requirement. The revision allows satisfaction of the UC Entry Level Writing Requirement by passing UC Online Course Writing 39A with a grade of C or better. The proposal was adopted by the Representative Assembly on February 26, 2016.
- (5) Davis Division Regulation A540.F: Grading. The approved revision makes it clear that a course in which a C+ is earned by a graduate student, or a D+ for an undergraduate student, can be repeated. The proposal was adopted by the Representative Assembly on February 26, 2016.

### **Formal Advice Issued**

*Most of the work of the Committee involves advising Senate officers, Senate committees, and individual members when questions or conflicts arise. Such advice is not formally binding but suggests the likely outcome should a formal Legislative Ruling be requested. Advice of a recurring nature and/or of general importance is listed below.*

- (1) Question Regarding Residency. Residency requirements in the UC Davis General Catalog state: "The minimum residence requirement for a bachelor's degree at the University of California is one academic year (three quarters). Thirty-five of the final 45 quarter units completed by each candidate must be earned while in residence on the UC Davis Campus." Because this requirement is guided by several regulations, it has been prone to misinterpretation. CERJ therefore recommended changing the wording of this statement to bring it into more accurate accordance with Davis Division Regulation 549(C).
- (2) Interpretation of DDR 538(B): Take Home Exams and Proctoring. Senate Chair André Knoesen requested CERJ to determine how final exams may be taken (e.g. take home, online, or in class) in hybrid courses. CERJ found DDR 538(B) to be indeterminate, and suggested that CERJ and COCI should work together to amend and clarify the regulation.
- (3) Time in Residence for Certificates. CERJ opined that the Davis Division has jurisdiction to amend the requirement of Systemwide Senate Regulation 735, which states that stand-alone certificate candidates must complete at least three quarters in residence.
- (4) Faculty Rights to Privacy Regarding Student Course Evaluations. Senate Chair Knoesen asked CERJ to investigate to what extent faculty members' student course evaluations are private or public. CERJ responded that this question should be considered at the systemwide level "in light of the lack of clarity about the issue, evidenced by the conflicting legal opinions that have been rendered, and the fact that the question affects all campuses."

## **Other Advice/Responses Provided**

*The following advice relates to matters which are of a one-time nature or of less general applicability than the formal advice listed above. Only selected matters are reported here.*

- (1) CA&ES FEC Membership. CERJ was asked if a faculty member with a joint appointment in CA&ES and SOM could serve on the CA&ES FEC.
- (2) ELWR Clarification. CERJ was asked to clarify the meaning of Section E of Systemwide Regulation 636.
- (3) Graduate Council Clarification of Membership. Graduate council requested their 2015-2016 membership be updated to consist of 12 Senate members, not including the Dean of Graduate Studies (non-voting ex officio).
- (4) Graduate Council Clarification of Ex-Officio Role and Responsibilities. Graduate Council requested clarification on what roles and responsibilities non-voting ex-officio members have.
- (5) History Department Voting Procedures. The Chair of the History Department asked for clarification on Senate Bylaw 55, as the department was interested in changing its voting procedures.

- (6) CA&ES Inquiry on Impacted Majors. CERJ answered several questions regarding rules and regulations for impacted majors.
- (7) Posthumous Recognition of Graduate Students. CERJ determined that Graduate Council would be the appropriate committee to propose regulation changes allowing posthumous recognition of graduate students.
- (8) Pass/No Pass Deadlines in CA&ES. CERJ was asked to advise whether the dean of CA&ES (or anyone) has authority to set a deadline for students to switch from Pass/No Pass grading to letter grading. CERJ advised that the dean, in this case, should withdraw her authority to make such a decision, since it is unclear that CA&ES Regulation 65 was properly adopted. CERJ also recommended that CA&ES consider adopting new bylaws that conform to the Code of the Academic Senate.
- (9) Representative Assembly Voting Constituencies. CERJ was asked if the Senate has set guidelines for how disagreements within a voting constituency should be resolved.
- (10) Revision of COE bylaw 16. The COE FEC requested that CERJ review revised wording for COE bylaw 16.
- (11) CAE Question on Guests Attending Meetings. The Committee on Admissions and Enrollment requested advice on whether an increasing number of guests at their meeting was in line with their bylaws.

### **Pending Matters for 2016-2017**

- (1) Davis Division Regulation A540(G): NG Grade Policy. The proposed revision was discussed at the February 2016 Representative Assembly meeting and there were still several questions/concerns regarding the language. The proposed revision was returned to the Grade Changes Committee for review in spring quarter. The revised language will be reviewed by Executive Council in fall 2016 and if endorsed will be added to the first Representative Assembly meeting in October 2016.

Respectfully Submitted,

John Hunt, Chair  
Matthew Farrens  
Hans-Georg Mueller  
Kimberly Pulliam, Analyst

Academic Senate Committee on Emeriti and the  
UC Davis Emeriti Association's Emeriti Welfare Committee

Annual Report

2015-16

The Academic Senate Committee on Emeriti and the UC Davis Emeriti Association's (UCDEA) Emeriti Welfare Committee (EWC) continued to hold joint meetings in the 2015-2016 academic year. The issues the committees explore and act upon are concerns of both committees. It is also valuable that the actions of the two committees be well coordinated. This year the UCDEA Executive Committee approved the appointment of a member of the Retiree's Association to the Emeriti Welfare Committee. The appointment provides the Retiree Association an opportunity to bring issues of concern to retirees to the attention and for possible action of the joint committee. Rick Keller was the original representative of the Retiree's Association followed by Michael Chandler.

Members of the Senate Emeriti Committee in 2015-16 were: Stephen Brush, Katharine Burnett, Alan Jackman, John Oakley, Frank Samaniego, and Stephen White. Members of the UCDEA Emeriti Welfare Committee were Michael Chandler, Rick Keller, Jim MacDonald, Don Nevins, and Zuhair Munir. Charles Hess served as chair of both committees.

The joint committee met four times during the 2015-16 academic year on November 3, 2015, January 28, 2016, March 8, 2016 and May 26, 2016.

Issues considered by the joint committee:

1. Proposed change in the Bylaw of the Emeriti Committee
2. Compensation for Emeriti recalled to teach
3. Review and response to the Retirement Options Task Force Report
4. New joint committee leadership for the 2016-2017 academic year

Recommended procedural or policy changes for the coming year:

Negotiate with the Committee on Elections, Rules, and Jurisdiction (CERJ) the concerns the CERJ had about the proposed guidelines the Emeriti Committee submitted to the Davis Davison of the Academic Senate. Please see attached email from Kimberly Pulliam and letter from John Hunt, Chair CERJ. (See Attachment I)

Provided below is a summary of the major issues that the joint committee addressed during the 2015-2016 academic year.

### Proposed change in the Bylaw of the Emeriti Committee

The purpose of the proposed bylaw change is to more accurately reflect the activities of the Emeriti Committee and to facilitate communication between the Senate Emeriti Committee and the UC Davis Emeriti Association's Emeriti Welfare Committee. The details of the proposed changes are presented in Attachment I. The changes were submitted to Andre Knoesen, Chair of the Academic Senate on September 14, 2015. John Hunt, Chair of the Committee on Elections, Rules, and Jurisdiction (CERJ) sent CERJ's response requesting modification of the proposal to the Senate Office on December 7, 2015. Unfortunately, the joint committee did not receive the CERJ's response until April 5, 2016. Negotiations will be necessary in the next academic year as stated above under "Recommended procedural on policy change the coming year".

### Compensation for Emeriti Recalled to Teach

There is concern by some members of the joint committee that there are inequities between compensation received by faculty and that received by emeriti recalled to teach. Earlier attempts to have this issue considered by the Associate Vice Chancellor of Academic Affairs have not been successful. A recent survey of emeriti activity in the period of 2012-2015 was published in a report titled "A Virtual Eleventh Campus" by UCD Professor Emeritus John Vohs. Although the survey covered all University of California campuses, it is possible to see the emeriti activates for an individual campus. The survey showed that on the Davis campus 85 emeriti per year are recalled to teach undergraduate or graduate students. The committee feels that the impressive number of emeriti recalled for teaching justifies additional study to determine if there are problems in compensation before suggesting guidelines for compensating emeriti recalled to teach. Frank Samaniego agreed to develop a draft survey.

### Review and comments on the Retirement Options Task Force Report

The joint committee had strong reservations about the two options developed by the Retirement Options Task Force. The retirement income under both options would be much less than retired faculty and staff now receive under the pension guidelines approved by the Regents in 2013 following the Post-Employment Benefit Task Force recommendations made to President Yudof. The committee urged the Davis Division of Senate to make the Regents aware of the faculty's concern about the negative impacts of the proposed retirement options in attracting and retaining the exceptional faculty necessary to maintain the University's reputation of excellence. The committee was pleased to enclose and endorse a letter from the UC Davis Emeriti Association, including input from the UC Davis Retiree's Association, expressing the association's concern about



the retirement options and their impact upon the “continuing greatness” of the University.

New leadership for the joint committee

Stephen Brush has been appointed by the Committee on Committees to be Chair of the Senate Emeriti Committee for the 2016-2017 Academic year. He has also agreed to serve as Chair of UCDEA’s Emeriti Welfare Committee. Having the same chair for both committees will facilitate continuing the practice of holding joint meetings of the Emeriti Committee and the Emeriti Welfare Committee.

The joint committee members thank Debbie Stacionis and Clin Xu, members of the Senate Office staff, for their support.

Respectfully submitted,

Charles E. Hess  
Chair

July 30, 2016

Encl. I

## Annual Report: Academic Year 2015-16 Davis Division: Academic Senate

### Committee on Faculty Research Lecture Award

Total Meetings: 1	Meeting frequency: Typically one or two meetings a year.	Average hours of committee work each week: Approximately 1
Total number of nomination packets reviewed: Confidential.	No nominations were deferred from the previous year.	No nominations were carried forward to the coming academic year.

#### **Listing of bylaw changes proposed:**

None.

#### **Listing of committee policies established or revised:**

None.

#### **Issues considered by the committee:**

Need to revise Call for Nominations

Need to more clearly convey to the campus community that the Faculty Research Lecture Award is an award for distinguished research that is paradigm shifting and not for the ability to give a public lecture

Raising the prestige and public visibility of the Faculty Research Lecture Award to be on par with the UC Davis Prize for Teaching Achievement

Increasing the funding amount of the Faculty Research Lecture Award

Managing and handling of any perceived conflict of interest

The content and structure of nomination letters

Criteria to be used when reviewing nominations for the Faculty Research Lecture Award

Engaging the Chancellor, the Provost and the Vice Provost for Research to attend the Academic Senate and Academic Federation Awards Event

Changing the name of the FRL Award to Faculty Research Award

Keeping nominations active for more than one year

#### **Recommended procedural or policy changes for the coming year:**

None.

### **Committee's narrative:**

The charge of this Committee is to nominate for election by the Representative Assembly a member of the faculty or staff at UC Davis who has established a distinguished record in research to deliver a lecture on a topic of their choice. The 2015-16 FRL Committee fulfilled this charge.

The Call for Nominations was updated and then distributed electronically on October 22, 2015. Nomination packets were received and reviewed by the committee. On January 5, 2016, the committee met to discuss the nominations, the relative merits of the nominees, and to select a nominee for recommendation to the Davis Division Representative Assembly as the 2016 FRL Award recipient.

Professor Donald Strong, in the Department of Evolution and Ecology, was selected and recommended by the committee as the 2016 Faculty Research Lecture Award recipient. On February 25, 2016, the Representative Assembly approved the committee's recommendation by unanimous vote. On May 2, 2016, Professor Strong was honored at a combined Academic Senate and Academic Federation awards event, and delivered a lecture entitled "Ecological Misadventures of Invasive *Spartina*."

When the committee met to review the Faculty Research Lecture Award nominations and to select a nominee for recommendation, the committee discussed focusing attention on the research achievement(s) of the UC Davis faculty and using these achievements to reinforce UC Davis' brand as a research university; increasing the promotion and publicizing (to the campus and the community) of the Faculty Research Award to the same extent as the UC Davis Prize for Teaching Achievement; disclosing within the committee any committee member's associations with any FRL award nominee to any extent so as to confront any perceived or imagined conflict of interest; and including in the Call for Nominations more specific guidelines on how nomination letters are to be written (e.g. emphasize nominee's having been a faculty member at UCD for at least 10 years and emphasize the award being for research done at UCD).

Chair Lein called for disclosure of any conflicts of interests before the nominations were discussed. She gave everyone to understand that the call for disclosure and the disclosure of any conflicts of interest were necessary to establish and maintain the highest possible degree of objectivity during the committee's selection process deliberations. One committee member disclosed that they were in the same department as one of the nominees. Upon discussion, the committee reached the consensus that there was no need to set in place and agree to any special voting or recusal procedures and that objectivity could be maintained and put into appropriate perspective.

The committee reached consensus on the following: that only one face-to-face committee meeting was necessary (to review nominations, to discuss nominees, and to select a nominee to recommend as the FRL award recipient); that all other committee business (review and comment on revisions to the Call for Nominations, the award recipient selection process timeline, Requests for Consultation, etc.) could be transacted electronically (via email and the Academic Senate Information System (ASIS)); that notification letters to nominators needed to clearly indicate the committee's decision regarding the respective nomination/nominee and simply present the committee's gratitude and appreciation for the submission of a nomination and an acknowledgement of the respective nominee's achievements.

The committee discussed reasons for keeping FRL award nominations active for more than one year and the logistics involved in doing so. The motivation for keeping nominations current was to save faculty time. If nominations were kept active, nominators would not have to search for and resubmit a nomination that had changed little since its original submission. Also, faculty would not have to re-draft a previous year's nomination. Any search for and compilation of files that would have to be done to make a nomination presentable to the currently seated committee, for review, would be waived. Kept nominations could be made available immediately for review by the committee membership. It was commented that mention of keeping a nomination active could be part of the letter of regret that was sent to nominators whose nominee was not selected for recommendation for the FRL award.

The administrative logistics of keeping nominations active for more than one year were enumerated. They included: storing the nominations in an accessible file folder, keeping track of the currency of the nominations, following up with nominators to make sure they still supported their/a nomination, confirming that nominators and nominees were still on campus, confirming expressed departmental support of a nomination continued into the present, documenting that nothing of significance had changed since the nomination had last been reviewed, merging new data and updated pages with those in stored nominations, and recording whether the opportunity was given to a nominator(s) to update a previous year's nomination. As for letting nominators know that their nomination would be kept active, it was mentioned that there was the possibility of having this notification interpreted as sign of preference during the next selection process.

The pros of having nominations automatically submitted year after year with a minimum of effort were weighed against the cons of nominations becoming inaccurate and stale in the short term, not to mention the possibility of their becoming negatively stigmatized. It was commented that keeping nominations inherently creates a list/a hierarchy of top candidates that would skew objective considerations away from newly received nominations. It was commented that there was nothing currently preventing nominators from simply updating a nomination packet with current dates and simply re-submitting the packet.

The discussion on whether to keep nominations active concluded with mention that the committee needed to consider the effects a decision of theirs would have on future FRL committees. The decision of the committee on this topic was to not keep nominations active.

The committee discussed the asymmetrical aspects of a \$40,000 Teaching Prize and a \$1,000 faculty research award at the University that constantly touts itself as a top ranked research institution. The various aspects discussed were: the principle of shared governance and the practice of separated powers; the discrepancy regarding the funding and public relations efforts expended in showcasing the \$40K teaching prize vs. the funding and public relations efforts expended in drawing attention to the \$1K faculty research award; the campus administration embracing the task of publicizing the importance and the notoriety of the \$40K teaching prize (with all expenditures of monies coming from sources

with self-sustaining means: an endowment, and Chancellor and Provost discretionary funds) vs. a faculty being relegated the task of publicizing the importance and the notoriety of the \$1K faculty research award (with all expenditures of monies coming from sources with limited means: the budget of the Academic Senate, the award recipient's department budget, and or the award recipient's award money). The consensus of the committee was that the investment in the Faculty Research Award should be symmetrical with the investment in the Chancellor's Teaching Prize. The profile of the award should be symmetrical with the profile of the prize.

The committee discussed changing the name of the Faculty Research Lecture Award to the Faculty Research Award: to bring the name current with current circumstances, especially the current campus culture and the current faculty perspectives; to align the name of the award with the marketing and promotion effort to present UC Davis as a top ranked research institution (this also ties in with and supports the need to raise the award amount); to change the thinking and perception of the award as a "lecture" to seeing the award as an opportunity to celebrate and share the outstanding research that faculty and the campus are producing; and to eliminate the confusion of the award—the highest honor that the Academic Senate accords its members—with campus position titles that have "lecturer" in them. The discussion concluded with an explanation of what was involved in changing the name of the award.

Respectfully submitted,

Pamela Lein, Chair  
Mary Cadenasso  
Gail Finney  
Richard Robins  
Michael Turelli  
Bryan Rodman, Resource Analyst

**Annual Report: Academic Year 2015-16**  
**Davis Division: Academic Senate**

**Committee on Faculty Welfare**

Total Meetings: 7	Meeting frequency: Average twice a quarter	Average hours of committee work each week: varies
Total proposals/items reviewed: 8	Total deferred proposals from the previous year: none	Total proposals deferred to the coming academic year: None
Listing of bylaw changes proposed: None.		
Listing of committee policies established or revised: None.		
<b>Issues considered by the committee:</b> <ol style="list-style-type: none"><li>1. Sexual Violence &amp; Sexual Harassment Policy- 2<sup>nd</sup> Review</li><li>2. Staff and Faculty Health and Wellness Whitepaper</li><li>3. ORU Disestablishment Request</li><li>4. Student Life and Co-Curricular Experiences Implementation Plan</li><li>5. Retirement Options Task Force Report</li><li>6. Report of the Joint Committee of the Administration and Academic Senate</li><li>7. Principles Against Intolerance</li><li>8. Professor of Teaching ____ Proposal</li></ol>		
Recommended procedural or policy changes for the coming year: None.		

#### **COMMITTEE'S NARRATIVE**

The committee met seven times during the 2015-2016 academic year. Meetings were scheduled immediately after the University Committee on Academic Welfare (UCFW) meetings. Committee Chair Charley Hess served as the primary representative at the UCFW meetings.

The Academic Senate Information System (ASIS) was used to notify members and distribute relevant information about the committee's upcoming meetings. Committee members were encouraged to read and comment in advance on requests for consultation that required a committee response.

The committee operated without a chair for five months because of the untimely death of Aldo Antonellii, Professor of Philosophy, just before the first meeting of the committee in October, 2015. The Committee on Committees experienced difficulty in finding a person willing to serve as committee chair and eventually appointed Professor Emeritus Charley Hess as committee chair in February, 2016.

Provided below is a summary of the major items that the committee addressed during the 2015-2016 academic year.

#### **Sexual Violence & Sexual Harassment Policy- 2<sup>nd</sup> Review**

The committee on Faculty Welfare was asked to review a second draft of the proposed Presidential Policy on Sexual Violence and Sexual Harassment. The committee reviewed and discussed the revised document and felt that the second draft was considerably improved. The committee noted a few editorial changes but were otherwise satisfied with the draft.

#### **Staff and Faculty Health and Wellness Whitepaper**

The objective of the Staff and Faculty Health and Wellness Committee were to:

1. Develop and disseminate a Health and Wellness Needs Assessment to all faculty and staff employed by UC Davis and;
2. Establish a set of recommendations for a comprehensive staff and faculty health and wellness program based on results of the needs assessment as well as best practices.

The Staff and Faculty Health and Wellness Committee provided a whitepaper outline of their assessment and recommendations which were reviewed by the Faculty Welfare Committee. Faculty Welfare noted the dis-investment in faculty and staff health and wellness programs over the last 20 years due to the challenges of changing employee needs as well as economic challenges and supports the re-investment of those services. The committee strongly supports the recommendations of the whitepaper especially the hiring of 1.0 FTE Worksite Health Program Manager and the startup budget to support the initiation and administration of Health and Wellness programs.

### **ORU Disestablishment Request**

Faculty Welfare reviewed the disestablishment request for the Institute of Governmental Affairs ORU. The committee had no concerns or comments regarding the request.

### **Student Life and Co-Curricular Experiences Implementation Plan**

The Student Life and Co-Curricular Experiences Implementation Plan was created to enhance Undergraduate student experience in the following ways:

1. Increase availability and awareness of mental health support services so that students are more likely to use them in a timely fashion.
2. Establish programs for students who are at higher risk of not connecting with other students or engaging in on-campus and student services.
3. Establish a system to identify students who are not engaged so they can receive appropriate intervention.
4. Increase and coordinate opportunities for service learning, internships, on-campus research-based employment and other activities that link co-curricular experiences with student education and career paths.
5. Provide a centralized system for students to manage their university life.

After a thorough review of the proposed implementation plan, the committee concluded that although they support the plan to enhancement student life and co-curricular experiences, they would like to see a more precise proposal before giving full support.

### **Retirement Options Task Force Report**

The committee on Faculty Welfare took the lead on reviewing the Retirement Options Task Force report that was submitted to the University of California's President, Janet Napolitano. This was the committee's most involved consultation request of the year. The discussion included multiple in-person meetings as well as extensive communication via email and the Academic Senate Information System (ASIS).

The committee strongly noted that the 2016 tier of retirement benefits were inferior to the 2013 tier and expressed concerns about the long term effect of the transition to the new plan. Between the two options outlined in the Task Force report, the committee supported Option A- the hybrid Pension and Direct Contribution plan. The committee felt that Option B, the purely Direct Contribution Plan, promotes short term employment instead of encouraging loyalty to the University.

### **Report of Joint Committee of the Administration and Academic Senate**

The Joint Committee of the Administration and Academic Senate was assigned the task of reviewing the University's disciplinary proceedings for faculty respondents in cases alleging sexual violence, sexual assault, or sexual harassment. FWC felt that the Joint Committee made a thorough evaluation of the current procedures and provided thoughtful recommendations.

### **Principles Against Intolerance**

This item was discussed on the ASIS whiteboard and by email because of the short turnaround time for comment. The

Committee supported the "Principles Against Intolerance" statement. There were concerns about the short turnaround time and the fact that the Senate apparently was not involved in the development of the document. The committee believed a good statement could be made better by input from the people who have to make the principles work.

### Professor of Teaching \_\_\_\_ Proposal

This is the second time the "Professor of Teaching \_\_\_\_" proposal has been submitted to the Academic Senate for review. The majority of the Faculty Welfare Committee support the need to provide a more noticeable title for the Lecturer with Security of Employment series and are not opposed to the use of the title "Professor of Teaching." Those members opposed to the new title feel that it diminishes the title "Professor" traditionally used for a person engaged in research, teaching, and service.

Respectfully Submitted,

Charley Hess, *Chair*

Julie Dechant, *Member*

Michael Hill, *Member*

Susan Gilson Miller, *Member*

Min Zhao, *Member*

Julie Meadows, *Academic Federation Representative*

Tessa Egan, *Academic Senate Analyst*



The Committee on Faculty Welfare is in support of the Joint Committee of the Administration and Academic Senate's report on policies and procedures regarding sexual violence and sexual harassment on campus. The committee agrees that the Joint Committee made a thorough evaluation of current procedures and provided thoughtful recommendations for improvement. It is clear from the Joint Committee report and the Davis faculty comments, which the Senate Chair shared with the FWC, that there needs to be greater dissemination of the policies and procedures available to deal with SVSH issues.

Committee on Faculty Welfare

RFC Response: Disestablishment of the Institute of Governmental Affairs ORU

The Committee on Faculty Welfare members have no concerns with or comments on the ORU Disestablishment request.

## Committee on Faculty Welfare

### RFC: Student Life and Co-Curricular Experiences Implementation Plan

The Committee on Faculty Welfare agree that implementing a plan to enhance student life is important to the health and wellness of UC Davis Students. The majority of our concerns involve the availability of funds/resources and we are reluctant to add more responsibility to faculty's existing responsibilities. We also have a couple recommendations. First, QPR training should be available to the faculty. Due to the nature of QPR, it is best used as a frontline tool in aiding an individual who may be in distress. Second, we reconsider large classrooms with hundreds of students. As classes have gotten bigger, the instructional staff (faculty and TAs alike) have more difficulty knowing their students in a substantive way, and this makes it less likely that students with real problems will get the help they need. If you have one class that's 200 people and the rest are 30 or 50, your absence or distress is likely to be noticed in the smaller classes. But more commonly today, our students are in large classes regularly, many on the verge of anonymity, invisible if they wish to be. In these circumstances, we cannot help because we cannot see the issues.

To conclude, we would like to see a more precise proposal of the Implementation Plan before feeling comfortable giving full support.

### **Faculty Welfare Committee Comments on the Retirement Options Task Force Report**

The members of the Faculty Welfare Committee want to acknowledge the dedicated effort and work provided by Retirement Options Task Force (ROTF) members in being tasked with a job working under a very short timeframe and being given unrealistic and restrictive parameters for devising a plan. The ROTF report is a very comprehensive analysis and assessment of the advantages and disadvantages of different plans and the percent contributions by employees and UC. The ROTF members provided a creative solution to try to improve benefits within the parameters they were given and the report is very honest in acknowledging that even with the application of “fixes”, the proposed retirement benefits are still woefully lacking.

In addition to jeopardizing the future of UC, a fundamental concern originating with this plan is that the original agreement was forged by the “Committee of Two”. UC President Napolitano over-stepped her bounds in this agreement in that there was no oversight by UC Regents or adherence to the shared governance principles of UC. The one-time payout of \$436 million is insufficient to recover the future cost associated with this agreement. This agreement institutes a permanent detrimental change in exchange for a one-time payment and does not provide any long term commitment from the state of CA to UC.

It is recognized that the President has to be able to make decisions; it is also a fact that the quality of her decisions can be substantially strengthened if she consults with knowledgeable members of the University community who can help avoid serious unintended consequences. It is recommended that the Senate leadership meet with President Napolitano to discuss how such a violation of good governance can be avoided in the future. If the discussion does not lead to increased consultation, then other options, such as a vote of no confidence, should be considered.

The 2016 tier change in retirement benefits represents progressive erosion in faculty compensation and benefits. The comparisons in the report are made to the UCRP 2013 tier, demonstrating a significant reduction in retirement benefits; however, the 2013 tier is already a reduction from the previous 1976 tier. Furthermore, UCOP’s own study showed that faculty remuneration is below peer institutions and while retirement benefits were historically positioned above market, the 2013 tier retirement benefits are now below market. UC Davis has the lowest faculty remuneration among the UC campuses, placing it at a further disadvantage.

The most critical impact of the loss of market competitiveness is the inability to recruit and retain high quality faculty. Highly reimbursed staff and administrators will be positioned to negotiate supplemental retirement agreements even beyond the Internal Revenue Code limit; however, this avenue of negotiation would not be available to faculty. The loss of retirement benefits will result in new faculty negotiating for higher starting salaries and start-up packages to compensate for inferior benefits. This will cause greater disparity and stratification between incoming new (junior) faculty and established more senior faculty. However, as incoming salaries progress over time, the CCL cap will have a greater restricting effect on retirement compensation. This will start to impact 2016 tier faculty during mid-career, when they are most productive and susceptible to recruitment by other institutions. The 2016 tier does not promote career longevity at UC. As a result, UC will bear the cost associated with hiring,

supporting, and mentoring new faculty, but will not gain the benefit of retaining these faculty throughout their careers. Faculty who do choose to stay at UC, will defer their retirement date, partially because of the change in retirement age compared to the 1976 tier and partially because they will not be able to afford to retire based on their UC retirement benefits. The result will be a faculty comprised of new, inexperienced faculty and end-career faculty, without the balance of high productivity mid-career faculty. There will be increased faculty dissatisfaction and decreased morale resulting from the disparities in compensation. Inability to attract ladder-rank faculty may further promote the hiring of temporary adjunct instructors, which is a trend already occurring at UC and other universities. The research, teaching, and service missions of UC and the stature of UC as a leader in a variety of fields will be undermined.

Concurrent changes within UC benefits may result in other unintended consequences. One, there is an ongoing discussion about consolidating health benefits within UC Care, primarily provided by the UC medical schools. Compromised ability to recruit and retain the best faculty will also affect these medical schools and the caliber of the health care providers that they are able to hire, impacting the quality of healthcare provided by UC Care. Two, the defined contribution plans (DC Supplement or DC Choice) allow some recovery of retirement benefits compared to the Defined Benefit plan which is restricted to the CCL. However, in September 2014, UC enacted numerous changes to the investment fund line-up for the Retirement Savings Program, reducing available plans for investment and increasing the cost of continuing to participate in some plans. Future changes to the Retirement Savings Program occur independently of shared governance oversight and could greatly impact the future value of defined contribution plans. Three, centralization of Retirement Administration Service Center (RASC) has further limited the retirement counseling available to UC employees, at a time when more individual retirement preparation and responsibility may be needed with the 2016 tier. In fact, retirement counseling may be necessary for new faculty to be able to understand the implications of their choice of pension options at a time when starting salaries and start up packages are more important than the distant concept of retirement. Payment of student loans, the purchase of a home, or the cost of raising a family along with start up funds for research are primary concerns for new faculty.

Of the two ROTF options, the Faculty Welfare Committee recommends Option A – Hybrid Approach. Option B - Pure Defined Contribution Approach shifts the investment risks to the faculty and promotes short term employment rather than encouraging loyalty. We also recommend that the University's contribution of 4% to reduce the Unfunded Actuarial Accrued Liability (UAAL) be applied to the entire wage base not just to the Covered Compensation Limit (CCL) of \$117,020. Note that in Option B the entire wage base is \$265,000, the Internal Revenue Code limit. The justification for the difference between the plans was to achieve cost savings. However, UAAL has to be paid from some source, and therefore, the cost savings are not real.

In summary, the plans proposed in the ROTF report appear to be the best solution for a bad agreement between UCOP and the State of California. The fundamental problem is the agreement between UCOP and the State of California. The long term effects of 2016 tier are numerous and detrimental. The cost savings are minimal, if any, and do not outweigh the negative impact. We agree with the recommendation to treat faculty and staff equally to avoid further segregation, but also recognize that

many staff positions are unionized and the unions may be able to negotiate improved benefits for their members. Although much attention has been directed to the UAAL, the budget agreement does not address the unfunded liability. Based on the graph on page 57 of the report, it would seem that equal or greater resolution of UAAL is obtained from 2013 tier through borrowing from STIP and excluding State funding. All other 2016 tier projections include borrowing and State funding. Sadly, the primary goal of the budget agreement was cost savings, but projected cost savings appear minimal.

04/29/2016

**André Knoesen, Chair  
Academic Senate**

**RE: "Professor of Teaching \_\_\_\_" Proposal**

The committee on Faculty Welfare support the need to provide another title to those members of the Lecturers with Security of Employment (LSOE) series which more accurately describes their responsibilities, capabilities and success on campus. However, the committee is concerned that the title of "Professor of Teaching\_\_\_\_" is not the appropriate solution. Due to the merit and promotion differences between the LSOE and professor status, this title may be problematic. The committee feels there is a possibility the new title would be widely opposed by those who have gone through the strenuous process of gaining the professor title. In response to these concerns, the committee proposes that the administration considers an alternate title such as Distinguished Lecturer or Esteemed Lecturer.

# Annual Report: Academic Year 2015-2016

## Davis Division: Academic Senate

### Committee on Grade Changes

Total Meetings	Meeting frequency	Average hours of committee work each week
<b>9</b>	<b><i>Once per month during academic year</i></b>	<b><i>2-3 hours meeting and 6-8 hours additional review time.</i></b>

Total <i>Retroactive/Grade Change Petitions</i> Reviewed:	Total of reviewed <i>Retroactive/Grade Change Petitions</i> deferred from the previous year:	Total <i>Retroactive/Grade Change Petitions</i> deferred to the coming academic year:
<b>544</b>	<b>0</b>	<b>11</b>

#### Listing of bylaw changes proposed:

GCC proposed language to the Academic Senate to revise language for 'NG' notations. The new proposal is to have 'NG's lapse to 'F's in the next immediate term (regardless of the student's academic residence status). Provision was returned to the GCC for approval.

#### Listing of committee policies established or revised:

#### Issues considered by the committee:

#### Recommended procedural or policy changes for the coming year:

For the Commercial Law Master's Program, GCC granted authority to Grade Change Deputies to approve removal of 'Permanent' Incompletes in-house.

#### Committee's narrative:

See attached

Committee Chair Signature: \_\_\_\_\_

Date: 7-7-16



### 2015-2016 Summary and Highlights

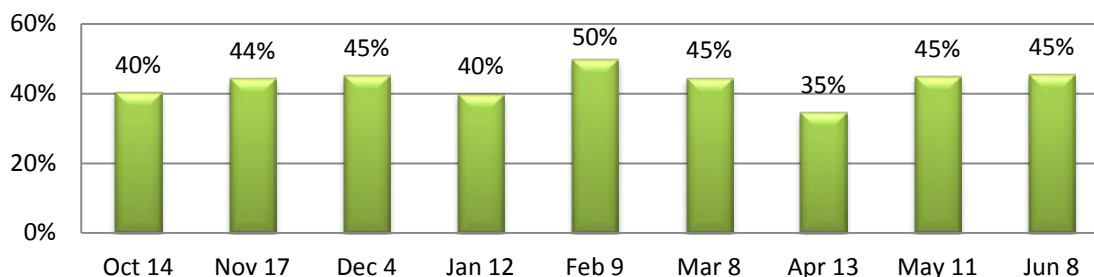
During the 2015-2016 academic year (7/1/2015 – 6/30/2016), the Office of the University Registrar received 2281 Grade/Retroactive Change petitions: 677 grade change petitions, 1325 Retroactive Change Petitions, and 279 Retroactive Withdrawal Petitions. The Grade Change Committee itself reviewed 544 petitions – 23.8% percent of the submitted total. The remaining petitions were processed internally by the Office of the University Registrar according to the Committee's published guidelines. The Committee approved 43% of the petitions it reviewed.

#### **Petitions Approved/Reviewed, 2015-2016**

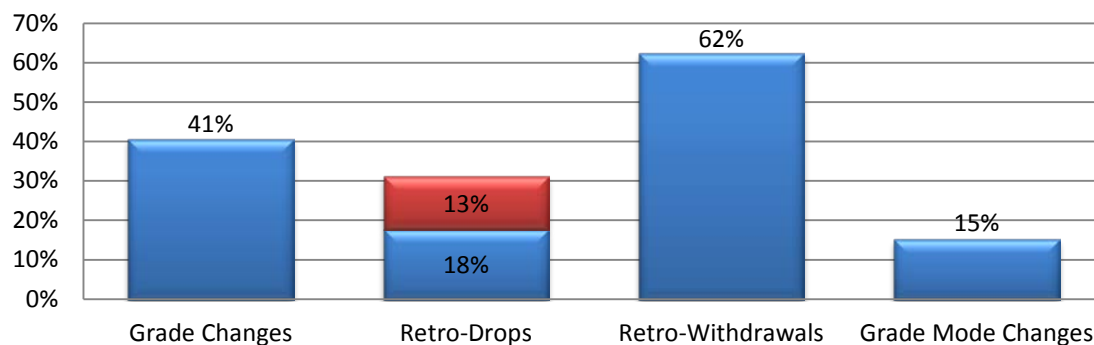
Meeting	Grade Changes	Retro-Adds	Retro-Drops	Retro-WDs	P/NP Changes	Total
Oct 14	0/8	0/3	11(4*)/32	40/73	0/10	51/126
Nov 17	3/4	0/0	1(2*)/12	20/32	0/6	24/54
Dec 4	1/3	0/0	0(3*)/16	18/23	0/0	19/42
Jan 12	1/2	0/0	2(3*)/9	8/13	1/6	12/30
Feb 9	3/5	0/0	1(8*)/11	16/19	0/5	20/40
Mar 8	0/1	0/0	3(0*)/17	23/35	3/12	29/65
Apr 13	1/2	0/0	3(1*)/22	12/20	2/8	18/52
May 11	2/2	0/0	5(0*)/21	22/39	2/7	31/69
Jun 8	0/0	0/0	2(0*)/17	27/44	1/5	30/66
<b>Total</b>	<b>11/27</b>	<b>0/3</b>	<b>28(21*)/157</b>	<b>186/298</b>	<b>9/59</b>	<b>234(21*)/544</b>

**Key:** Approved/Total; \*Denied but approved as Retroactive Withdrawals

**Petition Approval Percentage (by mtg.), 2015-2016**



**Petition Approval Percentage (by petition type), 2015-2016**



NOTE: 18% of Retroactive Drop petitions were approved outright, while an additional 13% were approved as Retro-Withdrawals

**ANNUAL REPORT: ACADEMIC YEAR 2015-16**  
**DAVIS DIVISION: ACADEMIC SENATE**  
**GRADUATE COUNCIL**

Total Meetings:	Meeting Frequency:	Average Hours of Committee Work Each Week:
Graduate Council: 12 Academic Planning & Development: 3 Administrative/Appeals: Bylaws: 8 Chairs Advisory: 1 Courses: Educational Policy: 3 Program Review: 9 Support: Welfare:	Monthly/As needed  <i>Number of members in each standing subcommittee:</i> APD: 10 Administrative: 4 Bylaws: 3 Courses: 9 EPC: 12 PRC: 17 Support: 4 Welfare: 8	Graduate Council Chair - 8 Council Members – 1  PRC Chair – 4 Other Subcommittee Chairs – 2 Subcommittee Members – 1

Total Items Reviewed:	Total Number of Items Carried Over from Previous Year:	Total items Carried Over to Coming Year:
6 bylaws. 19 degree requirements. 16 program reviews. 11 program review closures. 6 proposals for new graduate programs. 129 graduate courses. 10 Academic Senate requests for consultation. 9 graduate program management advice or affiliation approvals. 7 miscellaneous items. 2 policies approved, established or revised.	10 program review reports. 5 program review closure considerations. 66 Courses.	3 bylaw revisions. 8 degree requirement revisions. 2 program review closure considerations. 2 graduate program management advice or affiliation requests. 27 graduate courses. 5 miscellaneous business items.

**Listing of Policies Approved, Established or Revised:**

- Policy on Master's Degree Capstone Requirement (GC2012-02) – revised policy (June 27, 2016)
- Mentoring Guidelines – revised June 27, 2016

**Summary of Issues the Graduate Council Considered:**

Graduate Program Bylaw Revisions	Graduate Program Degree Requirement Revisions	Graduate Student Fellowship, Travel, & Summer GSR Awards	Graduate Program Review Actions	Proposals for New Graduate Programs, DEs, or GACs	Graduate Courses Reviewed	Responses to Requests for Academic Senate (AS) Consultation	Graduate Program Management Advice or Affiliation Approvals	Administrative Committee Appeals	Misc
6	19		16	6	129	10	9	7	7

### Committee Narrative:

The Graduate Council is a standing committee of the Divisional Academic Senate responsible for regulating and making recommendations on matters pertaining to graduate education and postdoctoral scholar issues in accordance with Bylaw 80 of the Davis Division of the Academic Senate.

The Council is supported by a structure which includes the following subcommittees: (1) Academic Planning and Development Committee (APD), (2) Administrative Committee, (3) Bylaws Committee, (4) Courses Committee, (5) Educational Policy Committee (EPC), (6) Program Review Committee (PRC), (7) the Program Review Closure Committee (PRCC), (8) the Graduate Student Support Committee, (9) the Graduate Student and Postdoctoral Scholar Welfare Committee, and (10) Chair's Advisory Committee.

A summary of the Council's actions for the year is provided below; the item dates correspond to actions taken at Council meetings. Council agendas and minutes are available to the public at: [http://academicsenate.ucdavis.edu/committees/committee-list/grad\\_council/index.cfm](http://academicsenate.ucdavis.edu/committees/committee-list/grad_council/index.cfm) and also archived on ASIS.

A. GRADUATE PROGRAM BYLAW REVISIONS:		
Graduate Program		Approval Date
1	Communication	February 25, 2016
2	Ecology	February 25, 2016
3	Geology	March 17, 2016
4	Textiles	June 15, 2016
5	International Commercial Law	April 28, 2016
6	Sociology	July 12, 2016

B. GRADUATE PROGRAM DEGREE REQUIREMENT REVISIONS:		
Graduate Program		Approval Date
1	Designated Emphasis in Reproductive Biology	December 11, 2015
2	Transportation & Technology Policy	December 11, 2015
3	Agricultural and Resource Economics	March 4, 2016
4	Atmospheric Science	April 8, 2016
5	International Commercial Law	April 28, 2016
6	Spanish	March 17, 2016
7	Designated Emphasis in Translational Research	March 4, 2016
8	Microbiology	March 17, 2016
9	German	March 17, 2016
10	Spanish	March 17, 2016
11	Civil and Environmental Engineering	May 20, 2016
12	Communication	May 20, 2016
13	Nursing Science and Health Care Leadership – Physician Assistant Studies	June 15, 2016

14	Nursing Science and Health Care Leadership – Master's Entry Program in Nursing (MEPN)	June 15, 2016
15	Nursing Science and Health Care Leadership M.S. and Ph.D.	June 27, 2016
16	Political Science	June 27, 2016
17	Biological Systems Engineering	June 27, 2016
18	Textiles	June 27, 2016
19	Electrical and Computer Engineering	June 27, 2016

### C. GRADUATE PROGRAM REVIEW ACTIONS:

#### a. PROGRAM REVIEW REPORTS:

Graduate Program		Transmittal Letter Sent
1	Biochemistry, Molecular, Cellular and Developmental Biology (BMCDB)	March 4, 2016
2	Biophysics	May 4, 2016
3	Child and Human Development	May 31, 2016
4	Cultural Studies	July 14, 2016
5	Joint Doctoral Program in Ecology with SDSU	May 31, 2016
6	Economics	May 30, 2016
7	Education – All Programs	May 31, 2016
8	English	July 14, 2016
9	Forensic Science	July 14, 2016
10	Geography	May 31, 2016
11	Immunology	April 13, 2016
12	Linguistics	July 14, 2016
13	Mechanical & Aerospace Engineering	March 4, 2016
14	Preventive Veterinary Medicine	March 21, 2016
15	Psychology	July 14, 2016
16	Spanish	July 14, 2016

#### b. PROGRAM REVIEW CLOSURE COMMITTEE RECOMMENDATIONS:

Graduate Program		Approval Date
1	Biomedical Engineering Graduate Group	May 20, 2016
2	Comparative Pathology (renamed Integrative Pathobiology)	June 15, 2016
3	Ecology	May 20, 2016

4	Entomology	May 20, 2016
5	Epidemiology	May 20, 2016
6	International Agricultural Development	June 15, 2016
7	Textiles	June 15, 2016
8	DE African American Studies	May 20, 2016
9	DE Vector-Borne Diseases	May 20, 2016
10	DE Classics and Classical Receptions	May 20, 2016
11	DE International and Community Nutrition	May 20, 2016

#### D. PROPOSALS FOR NEW GRADUATE PROGRAMS, DESIGNATED EMPHASES, OR GRADUATE ACADEMIC CERTIFICATES:

	Program	Type	Approval Date
1	Masters Entry Program In Nursing (MEPN)	Self-Supporting Degree Program	Graduate Council: January 9, 2015 CCGA: November 4, 2015 Academic Council: November 10, 2015 Office of the President: December 11, 2015
2	Master of Science in Business Analytics	Self-Supporting Degree Program	Graduate Council: June 17, 2015 CCGA: March 2016
3	MS in Environmental Policy and Management	New Graduate Program	Graduate Council: June 5, 2015 CCGA: May 2016 Office of the President: June 24, 2016
4	MS and PhD programs in Interdisciplinary Energy Studies	New Graduate Program	Graduate Council: June 17, 2016 CCGA: May 2016
5	Industrial Ecology	Graduate Academic Certificate	May 20, 2016
6	Health Professions Educator	Graduate Academic Certificate	May 20, 2016

#### E. GRADUATE COURSES REVIEWED AND APPROVED

129 total courses approved.

#### F. RESPONSES TO ACADEMIC SENATE REQUESTS FOR CONSULTATION:

	Request For Consultation (RFC)	Response Submitted
1	Sexual Violence & Sexual Harassment Policy – 2 <sup>nd</sup> Review	October 23, 2015
2	ORU 5-year Review PICN	November 23, 2015
4	ORU Disestablishment Request – IGA	December 2, 2015

5	Student Life and Co-Curricular Experiences Implementation Plan	December 4, 2015
6	Reconstitution – Department of Chemical Engineering & Material Science	January 19, 2016
7	Special Academic Program Establishment Request	January 26, 2016
8	Proposal – Establishment of a Business Management Major	February 5, 2016
9	Departmental Status Proposal – African American and African Studies Program	February 12, 2016
10	Departmental Status Proposal – American Studies Program	March 29, 2016
11	Professor of Teaching Proposal	May 2, 2016

G. GRADUATE PROGRAM MANAGEMENT ADVICE OR AFFILIATION APPROVALS			
	Program	Type of Request	Approval Date
1	Designated Emphasis in Translational Research with Immunology	Affiliation	December 11, 2015
2	Designated Emphasis in Stem and Progenitor Cells with Biochemistry, Molecular, Cellular, & Developmental Biology	Affiliation	December 11, 2015
3	Designated Emphasis in Biophotonics and Bioimaging with Computer Science	Affiliation	March 17, 2016
4	Designated Emphasis in Biophotonics and Bioimaging with Electrical and Computer Engineering	Affiliation	March 17, 2016
5	Designated Emphasis in Biophotonics and Bioimaging with Neuroscience	Affiliation	April 8, 2016
6	Designated Emphasis in Human Rights with History	Affiliation	April 10, 2016
7	Designated Emphasis in Writing, Rhetoric, and Composition Studies with Native American Studies	Affiliation	May 20, 2016
8	Designated Emphasis in Host-Microbe Interactions with Plant Pathology	Affiliation	June 15, 2016
9	Horticulture and Agronomy Graduate Group	Request for Blanket Exception to Policy	Denied March 3, 2016

H. ADMINISTRATIVE COMMITTEE APPEALS:
Admissions: 0 Disqualifications: 3 Policy Exception: 0 Reconstitution of Committee: 0 Split Decision on Qualifying Exam: 1 Other: 3 1 Conference of Posthumous Degree 1 Rejection of Faculty Member Application for Membership in Graduate Program (1)Qualifying Exam Committee not Being Approved Prior to Qualifying Exam

**I. GRADUATE STUDENT FELLOWSHIP, TRAVEL, & SUMMER GSR AWARDS:***See appendix A for the detailed report (attached)***J. MISCELLANEOUS:**

Title		Notes
1	Graduate Program Review Schedule	Approved December 11, 2015
2	DE in Animal Host Microbe Interaction Name Change to DE in Host-Microbe Interaction	Approved December 11, 2015
3	Distinguished Graduate and Distinguished Postdoctoral Scholar Mentoring Award	Approved March 17, 2016
4	Digitizing Theses and Dissertations	Approved April 8, 2016
5	Changes to Internal Fellowship Formula	Approved June 27, 2016
6	Posthumous Recognition of Graduate Students	Approved June 27, 2016
7	Graduate Student Mentoring Action Plan	Approved June 27, 2016

**K. ITEMS REMAINING OPEN****a. Graduate Program Bylaw Revisions**

Program		Type	Notes
1	Nursing Science and Health Care Leadership	Bylaws	Submitted February 25, 2016
2	English	Bylaws	Submitted May 6, 2016
3	International Agricultural Development	Bylaws	Submitted July 20, 2015

**b. Graduate Program Degree Requirement Revisions**

Program		Type	Notes
1	Statistics	Degree Requirements	Submitted June 17, 2016
2	Sociology	Degree Requirements	Submitted April 11, 2016 – Just needs to be moved to GC consent for approval
3	Comparative Literature	Degree Requirements	Submitted May 13, 2016
4	Hydrological Sciences	Degree Requirements	Submitted February 15, 2016 – Just needs to be moved to GC consent for approval
5	International Agricultural Development	Degree Requirements	Submitted July 9, 2015 - has been reviewed and is with program for responses
6	Population Biology	Degree Requirements	Submitted November 2014 - has been reviewed and is with program for responses

7	Preventive Veterinary Medicine	Degree Requirements	Submitted May 14, 2015 – This was on hold due to the program review that was ongoing
8	Forensic Science	Degree Requirements	
c. Program Review Closure			
	Program	Type	Notes
1	Biostatistics Graduate Group	Program Review Closure	
2	Agricultural & Environmental Chemistry	Program Review Closure	
d. Graduate Program Management Advice or Affiliation Approvals			
	Program	Type	Notes
1	Study of Religion	Designated Emphasis	Submitted May 18, 2016
2	Biological and Agricultural Engineering	DE Affiliation	Submitted May 6, 2016
e. Courses			
27 Courses to be carried over.			
f. Miscellaneous			
	Title	Notes	
1	Office of Graduate Studies Strategic Name Change	Discussed at the May 26, 2016 Graduate Council Meeting <b>Pending Action:</b> Dean Mohapatra will work with a group of Graduate Council members to incorporate council recommendations into the proposal.	
2	Graduate Student Research (GSR) and Tuition Costs	Request from graduate group chairs for recommendations regarding the issue of (GSR) tuition was received on March 14, 2016.  Discussed at the April 20, 2016 Graduate Council meeting. <b>Pending Action:</b> Dean Mohapatra to provide data on the student's supported on extramural grant on which a professor is getting the salary recovered.	
3	Budget Allocation in Support of Graduate Education	Request from Graduate Council to Dean Mohapatra requesting a comprehensive analysis of the administrative structures that govern graduate education was sent on June 7, 2016.  <b>Pending Action:</b> The Office of Graduate Studies and Budget and Institutional Analysis will gather and analyze this information.	
4	Graduate Student Diversity	Discussed at the December 11, 2015 and March 17, 2016 Graduate Council Meeting; modifications in application template proposed by the Office of Graduate Studies modified and	



		approved, March 17, 2016; still other diversity issues to be discussed.
5	Proposal to Reconstitute the M.A. in English (Creative Writing Emphasis) to an M.F.A in Creative Writing Offered Through the English Graduate Program	Submitted June 8, 2016

## Closing

In closing, Graduate Council wishes to thank all of those who have given of their time in support of graduate education and postdoctoral scholar issues during the past year. The contributions of the members of subcommittees and of the *ad hoc* program review committees have been extremely valuable and are deeply appreciated by the Council. Finally, we specifically appreciate the professional support and personal dedication provided by the administrative staff of Graduate Council.

Respectfully submitted,



Kyaw Tha Paw U, Chair  
2015-2016 Graduate Council

Members: Kyaw Tha Paw U, Chair; Nicole Baumgarth, Vice Chair; Carlson L. Arnett, Laurel Beckett, John Bolander, Prabir Burman, Pamela Lein, Marjorie Longo, Ana Peluffo, Jeffrey Schank, Venkatesan Sundaresan, Catherine Vandevoort; Jeffery C Gibeling (fall 2015 – Spring 2016), *ex officio and non-voting (Vice Provost for Graduate Education – Dean of Graduate Studies)*; Prasant Mohapatra (Spring 2016), *ex officio and non-voting (Vice Provost for Graduate Education – Dean of Graduate Studies)*.

Academic Federation Representatives: Pauline Holmes and Denneal Jamison-McClung.

Graduate Studies Representatives: Associate Dean Chris Calvert; Associate Dean Jean-Pierre Delplanque. Assistant Dean Kellie Butler (Fall 2015)

Graduate Student Representatives: Ralph Washington, GSA Chair; Katrina Brock, GSA Vice Chair; Amory Meltzer; Erica Vonasek, Graduate Student Assistant to the Dean and Chancellor

Postdoctoral Scholar Representatives Jon Ashby, Chair; Sumit Sandhu, Secretary.

## APPENDIX A: GRADUATE STUDENT SUPPORT COMMITTEE REPORT 2015-2016

The Support Committee reviews applications for ten fellowship competitions, including those from private and public sources. These fellowships cover research expenses, travel to present papers at national and international scholarly meetings, as well as full academic year support in designated fields. The ten fellowship competitions the subcommittee members reviewed are as follows: Internal Fellowships for Continuing and Prospective Graduate Students, The 66<sup>th</sup> Meeting of Nobel Laureates, Howard Hughes Medical Institutes (HHMI) International Student Research Fellowship, Graduate Student Travel Awards in the Fall and Spring, Achievement Rewards for College Scientists Awards (ARCS), Intel PhD Fellowship Program, Outstanding Graduate Student Teaching Award (OGTA), and Summer Graduate Student Researcher (GSR) Awards.

Core Committee members in 2015-2016: Carlson Arnett, Chair (German and Russian), Elias Bassil, Academic Federation Representative (Plant Sciences), and staff support provided by Steven Albrecht and Ruth Lee (Graduate Studies).

There were a total of 90 faculty members from 61 academic graduate programs, as well as three Graduate Studies staff that volunteered to review fellowships this academic year.

### Award Information:

	Number of Applicants	Number of Awards	Total Award Amount
<b>Internal Fellowships:</b>			
Bilinski, Russell & Dorothy Educational Foundation	42	9	\$450,731.70
<u>Chuang, Yen</u>	5	4	\$100,000.00
Crosby, Donald	21	2	\$22,000.00
<u>Elliott, Marjorie and Charles</u>	591	1	\$21,390.65
Faulkner, Richard and Kate	9	TBD	TBD
Gibeling, Alfred H. & Marie E.	25	1	\$4,500.00
Godoy, Loreto Memorial Fellowship	21	1	\$1,000.00
Golden International Agriculture, William G. and Kathleen	9	5	\$42,000.00
<u>Graduate Scholars Fellowship</u>	82	10	\$427,813.00
Jacobsen, Stanley & Emily Werner	24	1	\$25,196.71
<u>Jones, Fletcher</u>	581	1	\$21,390.65

<b>Internal Fellowships (continued):</b>	<b>Number of Applicants</b>	<b>Number of Awards</b>	<b>Total Award Amount</b>
<u>Kraft, Herbert</u>	6	1	\$42,781.30
Krantz, Bert and Nell	13	1	\$1,900.00
Lee, George	8	1	\$1,400.00
Lyons, Austin Eugene	9	5	\$232,906.50
Mahan, Laura Perrott	2	TBD	TBD
McArthur, Frank	3	TBD	TBD
<u>McCalla, Alex and Phyllis Int'l Graduate Student Award</u>	86	1	\$1,000.00
McDonald, James Monroe	19	TBD	TBD
McKeehan, Beatrice Oberly and S. Atwood	18	1	\$42,781.30
Provost Dissertation Year	97	26	\$1,097,113.80
Richards, Lillie May	6	1	\$16,500.00
Saxon, Leland Roy and Georgia Wood	4	1	\$27,000.00
Seiber, James and Rita Int'l Graduate Student Fellowship	0	1	\$1,200.00
Schwalen, Emily	16	1	\$1,000.00
Schwall Dissertation Year Fellowship, Floyd and Mary	26	8	\$40,000.00
<u>Schwall Medical Fellowship, Floyd and Mary</u>	91	3	\$252,922.62
Shoemaker, Charles and Sharon Int'l Graduate Student	3	1	\$1,000.00
Stacey, Malcolm	2	TBD	TBD
<u>Steindler, John F</u>	0	0	\$0.00
Telford, Tara K.	1	1	\$8,000.00
Tryon, Herbert	4	TBD	TBD
UCD & Humanities Graduate Research	249	25	\$75,000.00
UCD Dissertation Year Fellowship	168	3	\$131,343.90

<b>Internal Fellowships (continued):</b>	<b>Number of Applicants</b>	<b>Number of Awards</b>	<b>Total Award Amount</b>
Velez, Miguel	19	TBD	TBD
Walker, Frank and Carolan	2	TBD	TBD
Wood, Elizabeth P.	8	TBD	TBD
Wright, Jarena	3	1	\$9,900.00
Wydict???	1	TBD	TBD
<u>Zolk, George and Dorothy</u>	591	1	\$57,894.24
<b>Total</b>	<b>2,865</b>	<b>118</b>	<b>\$3,157,666.37</b>

<b>Internal Fellowships to Support Campus Diversity:</b>	<b>Number of Applicants</b>	<b>Number of Awards</b>	<b>Total Award Amount</b>
<u>Cota Robles, Eugene</u>	225	4	\$362,400.16
Dissertation Year Fellowship	111	9	\$394,031.70
Graduate Research Mentorship	64	7	\$302,848.32
<u>IRT Undergraduate Preparation Fellowship</u>	4	0	\$0.00
<u>McNair</u>	23	4	\$155,925.20
<u>NIH Undergraduate Preparation Fellowship</u>	13	1	\$42,781.30
<u>NSF Undergraduate Preparation Fellowship</u>	16	2	\$85,562.60
<b>Total</b>	<b>456</b>	<b>27</b>	<b>1,343,549.28</b>

<b>Travel Awards:</b>	<b>Number of Applicants</b>	<b>Number of Awards</b>	<b>Total Award Amount</b>
For professional meetings held July 1, 2015 to June 30, 2016	115	43	\$42,000.00
For professional meetings held January 1 - December 31, 2016	148	24	\$25,000.00
<b>Total</b>	<b>263</b>	<b>67</b>	<b>\$67,000.00</b>

	Number of Applicants	Number of Awards	Total Award Amount
<b>Summer GSR Awards:</b>			
Summer Graduate Student Researcher Award Engineering or Computer-related Applications and Methods	109	21	\$196,000.00
<b>Total</b>	<b>109</b>	<b>21</b>	<b>\$196,000.00</b>

	Number of Applicants	Number of Awards	Total Award Amount
<b>Grand Total All Awards</b>	<b>3,693</b>	<b>233</b>	<b>\$4,764,215.65</b>

## Annual Report: Academic Year 2015-16 Davis Division: Academic Senate

### Committee on Information Technology

Total Meetings: 6	Meeting frequency: As needed	Average hours of committee work each week: varies
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Total Requests for Consultation responses: 4	Total of reviewed proposals deferred from the previous year: None	Total proposals deferred to the coming academic year: None
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Listing of bylaw changes proposed: None

Listing of committee policies established or revised: None

Issues considered by the committee:

- New Learning Management System (LMS)/Tracking Faculty Time to Learn New System
- BigFix
- UCDNet4
- Email For Life Service Change
- SmartSite Outage

#### **COMMITTEE'S NARRATIVE**

The committee met six times during the 2015-2016 academic year. Meetings were scheduled as needed. The Academic Senate Information System (ASIS) was used to notify members and distribute relevant information about the committee's upcoming meetings.

Below is a brief description of major tasks that the committee addressed during the 2015-2016 academic year.

#### **New Learning Management System (LMS)/Tracking Faculty Time to Learn New System**

UC Davis IET is working on replacing the current SmartSite with a new LMS system. By Winter Quarter 2017, the majority of the campus will be transitioned to the new learning management system, Canvas. The committee has concerns regarding the faculty time commitment in transitioning to the new system. To capture this information, the committee has developed a survey that can be accessed on the Canvas home page. Faculty will be asked to log the time it takes to transfer their courses to the new system and answer a couple brief questions. This data will allow CIT to understand the time needed for faculty to transition from one LMS to another should such a transition occur in the future.

#### **BigFix Implementation**

The committee on Information Technology received a consultation request regarding the campus wide implementation of BigFix. BigFix is a system that automatically installs patches provided by vendors. The committee reviewed and discussed the BigFix campus implementation and advised on the policy and procedures for exceptions to installing BigFix. The committee recommended a number of additions and changes, one of which resulted in the policy that "prior to denying any faculty member's request for a BigFix exception, the Information Security Office will consult with the Academic Senate's Committee on Information Technology or its designated representative."

#### **UCDNet4**

UCDNet4 is the replacement of core components of the University of California at Davis campus data network. The goal is to provide a modern, reliable, secure, and efficient high performance network to support the diverse needs of the campus. IET is currently gathering information and sought input from CIT about the process. CIT has had multiple discussions regarding UCDNet4 and has expressed a few

concerns (such as. funding). IET stated that they will be happy to consult with CIT regarding cost and other information.

#### **Email for Life Service Change**

IET had proposed deactivating faculty and staff email accounts after two years of inactivity, excluding emeriti faculty. CIT supported this proposal given that staff and faculty could re-activate their accounts if desired.

#### **SmartSite Outage**

In May 2016, the current learning management system SmartSite experienced an extended outage during which students, staff, and faculty did not have access to the system. CIT discussed the causes, effects, and possible solutions with the IET executive team during the last meeting of the Spring Quarter 2016. CIT drafted a letter stating its concerns about the system outage and failure of the disaster recovery plan, and requested that IET provide the disaster recovery plans for faculty-critical systems (such as the LMS) so the Academic Senate could be apprised of them. CIT sent the letter to the Academic Senate Chair, André Knoesen, and the IET executive team.

Respectfully Submitted,

Matt Bishop, *Chair*  
Giacomo Bonanno, *Member*  
James Fadel, *Member*  
Michael Kleeman, *Member*  
Vladimir Yarov-Yarovoy, *Member*  
Alex Limon, *ASUCD Rep*  
Jeremy Lea, *Academic Federation Representative*

**May 31, 2016**

**André Knoesen, Chair  
Academic Senate**

Dear André:

The Committee on Information Technology believes it is critical to gather information on the time faculty spend learning to use Canvas, and moving their classes from SmartSite to Canvas. Doing so will enable us to estimate the work load on teaching faculty if, and when, Canvas is replaced with another learning management system. Perhaps more importantly, the data we gather will allow us to calibrate support for the transition as it proceeds, and communicate any issues to the UC Davis Canvas group.

We have discussed this with David Levin, and he has said he will work on developing a method for measuring this effort. However, we are concerned that the method will not be in place before faculty begin to use Canvas this summer or fall.

We therefore propose the following course of action. Provide a link for faculty on Canvas to a database or data collection system where they would enter the following information:

Course name:

Time to learn Canvas:

Time to transfer information or set up course in Canvas:

Time to make adjustments after course is set up:

Scoring: (1 to 10, with 1 for easy to use to 10 for difficult to use)

Comments:

Also, put the following text on the Canvas page that faculty see when they log in:

“The Academic Senate Committee on Information Technology is trying to determine how much effort is required to transition from SmartSite to Canvas. To help us do this, please keep track of the time you spend learning to use Canvas, the time spent transferring any content from SmartSite to Canvas, and the time needed to make adjustments after the course is set up. Click on the link below to enter that information. Please do not worry about being exact; we’re trying to get a best estimate. We will correlate the results, delete the names, and use this information to determine how best to support the transition of all faculty to Canvas. Thank you.”

and below this text, the link to the data entry system (perhaps <https://ucdavis.qualtrics.com> if that would be suitable).



Sincerely,

A handwritten signature in cursive script that reads "Matt Bishop".

Matt Bishop, Chair

C: Giacomo Bonanno  
James G. Fadel  
Michael J. Kleeman  
Jeremy Lea  
Vladimir Yarov-Yarovoy

04/20/2016

**André Knoesen, Chair  
Academic Senate**

**Dear André:**

The members of the Committee on Information Technology have reviewed the document “Campuswide Implementation of BigFix” that Mr. Thonen sent to the Academic Senate for consultation. We have 8 suggestions, listed following this letter.

We believe that the composition of the BigFix governance advisory group mentioned in the second bullet of item 5 is critical in determining whether the Academic Senate should support this. In particular, if the Senate has membership and influence on the panel, then the members of the Committee would recommend supporting this after the changes below are made.

1. In line 2 of item 1, “and to and to” to “and to” to eliminate the redundancy.
2. In item 2, lines 4-5, change “Using BigFix more broadly will help UC Davis secure its information assets and comply with laws and regulations pertaining to the protection of personal and health information” to “Using BigFix more broadly will help UC Davis administrators, faculty, researchers, and staff secure their information assets and comply with laws and regulations pertaining to the protection of personal and health information”. This changes the impersonal “UC Davis” to emphasize that security is everyone’s concern.
3. Change the first bullet in item 3 from “BigFix allows the campus to respond quickly in the event of a cyberattack, to identify and protect computers that may be vulnerable, and to repair compromised computers” to “BigFix allows campus security officials to respond quickly in the event of a cyberattack, to identify and protect computers that may be vulnerable, and to repair compromised computers”. Again, it eliminates the impersonal.
4. Change item 5, bullet 1, to the following:

“Will use of the system be mandatory for faculty? BigFix is being adopted as a standard for user system protection at UC Davis, and should be installed on all campus owned and managed desktops and laptops, unless an exception has been approved. Faculty may request an exception by submitting a request to the UC Davis Information Security Office. The reasons include that the faculty member will maintain the computer in compliance with all UC and campus policies and applicable regulations, that the installation of BigFix could compromise the integrity of research, and that BigFix will not run on the endpoint. As an alternative, faculty members may allow the installation of BigFix for reporting purposes only. Additional information about exceptions, including more examples of reasons for those exceptions, can be found in the IT Service Catalog: <http://itcatalog.ucdavis.edu/service/bigfix>.”

Mobile devices, tablets, and servers (e.g. HPC clusters) are not included in the current plans. As noted above, the UCDHS is excluded from the plan.”

5. Add the following to the second paragraph of bullet 5 in item 5, “If at all feasible, the owner of the computer will be consulted before software is installed, removed, enabled, or disabled. If not feasible, the owner of the system will be informed of the action and the reason for the action as soon as possible.” This acknowledges the concern of faculty that software incompatible with what is on their system will be installed, while acknowledging that under some circumstances immediate action may be needed to protect the campus and other computers on campus. It also assures faculty that they will be informed whenever a change to software is made on the systems they manage or use.

6. In item 5, bullet 5, paragraph 3, change “can be reported” to “will be reported to the manager of the system on a monthly basis.” This simply assures that the actions taken by BigFix will be reported regularly (as opposed to “can be reported”, which means they may or may not be reported).

7. In item 5, bullet 5, paragraph 5, add “BigFix will not be used to install any software that carries out any of these tasks without the consent of the system manager and without informing the users.” This assures people that monitoring software will not be installed surreptitiously on their systems.

8. To item 5, bullet 6, sub-bullet 1, append “but the implementation of any centralized solution like BigFix makes exercising those rights easier.” This simply acknowledges that centralization (even at the organizational unit level) makes control possible remotely, and hence easier.

We hope this is helpful.

Sincerely,

A handwritten signature in black ink that reads "Matt Bishop". The signature is written in a cursive, flowing style.

Matt Bishop, Chair

**04/19/2016**

**André Knoesen, Chair  
Academic Senate**

**Dear André:**

The committee on Information Technology believes that deactivating faculty and staff email passwords after two years of inactivity is reasonable, given that staff and faculty can reactivate their account if desired. The exemption for emeriti faculty is appropriate.

Sincerely,

A handwritten signature in black ink that reads "Matt Bishop". The signature is written in a cursive, flowing style.

Matt Bishop, Chair

The Committee on Information Technology considers SmartSite's lack of availability to be a failure of a mission-critical resource of the University.

Many teaching faculty use SmartSite for managing their classes, for example having students submit homework on it, keeping track of grades on it, and returning graded homework on it. In its absence, faculty have had to create workarounds using Sympa, Box, and other tools such as Google web sites.

The Committee has learned that the failure occurred at the vendor's site, and that the disaster recovery plan assumed that the vendor would provide access to another set of required resources. The University's disaster recovery plan depended wholly on the vendor. The problem, of course, is if the vendor becomes inaccessible (due to catastrophic network failure, for example) or is unreliable, the University has no disaster recovery plan or capability — and that is exactly what happened with SmartSite.

Exacerbating this concern is the campus' move to a new Learning Management System, Canvas, during the 2016–2017 academic year. Do this, and other mission critical systems, have disaster recovery plans that depend on external vendors? It is imperative that the University augment any such plans with disaster recovery plans to be used should the vendor be inaccessible or unwilling or unable to recover. Acceptable down time for these mission critical systems must be minimal — in the case of the learning management system, no more than a day.

The Committee believes it is imperative the Academic Senate be apprised of the disaster recovery plans for systems that touch on the faculty's missions of teaching and research, so that faculty can give input to the suitability of the plans, and know what to expect should a disaster similar to the one involving SmartSite occur. Because faculty members will need time to plan appropriately if an in-house disaster recovery plan for anything other than a fully functional system is not in place, we request a response by August 15, 2016.

We appreciate the difficult situation the failure of the third-party vendor has placed IET in. Our goal is to prepare for another such situation so the impact on teaching will be much less than the current problem, and IET will not be placed in an untenable position again.

Sincerely,

Matt Bishop, Chair  
Giacomo Bonanno  
James G. Fadel  
Michael J. Kleeman  
Jeremy Lea  
Vladimir Yarov-Yarovoy

**Annual Report: Academic Year 2015-2016**  
**Davis Division: Academic Senate**

**Committee on International Education (CIE)**

<b>Total Meetings:</b> 0	<b>Meeting frequency:</b>	<b>Average hours of committee work each week:</b> Variable

<b>Total Items Reviewed:</b> 35 petitions 1 Appeal	<b>Total of reviewed deferred from the previous year:</b> 0	<b>Total items deferred to the coming academic year:</b> 0

**Listing of bylaw changes proposed:** None

**Listing of committee policies established or revised:** None

**Issues considered by the committee:**

- General Education Petitions

**Recommended procedural or policy changes for the coming year:** None

**Committee's Narrative:**

The committee is charged with the responsibility to represent the Davis Division of the Academic Senate in all matters connected with the Education Abroad Program (EAP) and in all aspects of international education, exchange and internships. The committee is also charged with the duty to initiate and assist in the formulation of policies and programs that affect international education and that service to integrate it into campus academic programs, to designate approved Education Abroad Program Courses for

General Education credit, and to provide academic approval and periodic review of the Campus Reciprocal Exchange Program.

The Committee on International Education did not meet in 2015 – 2016 and conducted General Education petition reviews online.

**Study Abroad General Education Petitions:**

The committee reviewed 35 GE petitions and 1 GE appeal during the 2015-2016 academic year.

Respectfully submitted,

Jocelyn Sharlet, *Chair and UCIE Representative*  
Yannis Dafalias, *Member*  
Christopher Fassnacht, *Member*  
Ermias Kebreab, *Member*  
Cecilia Giulivi, *Member*  
Michael Lazzara, *Member*  
Jeannette Money, *Member*  
Mary Crumley, *Academic Federation Representative*  
Marissa Forzisi, *Undergraduate Student Association Representative*  
Gabrielle Names, *Graduate Student Association Representative*  
Aliko Dragona, *Ex-Officio*  
Fadi Fathallah, *Ex-Officio*  
Wesley Young, *Ex-Officio*  
Zak Frieders, *Consultant*  
Tessa Egan, *Academic Senate Analyst*

October 14, 2016

**PAT RANDOLPH**, Chair  
Academic Federation

**RACHAEL GOODHUE**, Chair  
Academic Senate

**RE: 2015-2016 Annual Report of the Joint Academic Federation/Senate Personnel Committee (JPC)**

Please find enclosed the 2015-2016 Annual Report submitted by the Joint Academic Federation/Senate Personnel Committee (JPC). The JPC finished another challenging and productive year. The 2015-2016 JPC reviewed 226 personnel actions and nine departmental voting group and peer review plans.

The workload of the JPC is extensive, and as such, the time commitment from all members is significant. I offer my sincere appreciation to the following members:

Ted DeJong – Professor and Specialist in Cooperative Extension (Plant Sciences)  
Kristine Godfrey – Project Scientist (Agriculture and Environmental Sciences Dean's Office)  
Christophe Morisseau – Professional Researcher (Entomology/Nematology)  
Daniel Putnam – Specialist in Cooperative Extension (Plant Sciences)  
John Rose – Professor (SOM: Emergency Medicine)  
Martin Smith – Specialist in Cooperative Extension (SOVM: Population Health and Reproduction)  
Richard Tucker – Professor (SOM: Cell Biology and Human Anatomy)

Each member significantly contributed to the success of the committee. I am very grateful to them for their dedication, commitment and participation in the committee. As Chair, I am honored to have worked with such outstanding colleagues.

Sincerely,



Calvin Wayne Domier, Chair 2015-2016

Enclosure



**Annual Report: Academic Year 2014-2015  
Davis Division: Academic Senate**

**Joint Academic Federation/Senate  
Personnel Committee (JPC)**

Total Meetings: 38	Meeting frequency: <b>weekly</b>	Average hours of committee work each meeting week: <b>4-5</b>
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Total: <u>226</u> Actions Reviewed	Total # of reviewed or deferred from the previous year: <u>0</u>	Total # deferred to the coming academic year: <u>0</u>
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**Issues considered by the committee**

- Implementation of the Step Plus**

During the 2015-2016 academic year, the new Step Plus program was implemented for all merits and promotions for the Agronomist & ---in the AES, Project Scientist, Professional Researcher, Specialist, and Specialist in Cooperative Extension series. The goal of the Step Plus system was to allow evaluations to be done based on a more complete and consistent timeline. Further information on Step Plus can be found on Tables 6-8.
- Appointments and Appointments Via Change in Title**

Proposed appointments were generally supported by the JPC at the level proposed or higher. The JPC supported 43% of appointments as proposed (53 of 123). Of the remaining 70 cases, 69 were supported at a lower or higher level. In 56 of the 69 appointments not supported (81% of those not supported, 46% overall), the JPC recommended a higher step than proposed. The JPC recommended a lower step appointment in only 19% of those not supported and 11% overall (13 of 123) of the proposed appointments overall.
- Appointments in the Specialist Series**

The JPC continued to see candidates with proposed appointments to the Assistant Specialist rank possessed a terminal degree and were more suited to an appointment at the Associate rank, which necessitates extramural letters. This required the JPC to send back the dossier for that information extending the appointment process.
- Late Appointment and Merit Actions**

The JPC received several appointment and merit actions this year after their effective date. Specifically with appointments, this can cause difficulty for potential candidates. The JPC recommends the VPs office discuss this issue with departments, colleges and schools to ensure that in the future these actions are submitted to the committee for review prior to the effective date.
- APM 310 – Professional Researcher Series**

Professional Researchers are evaluate on similar scholar criteria as those in the Professor series. However, there are discrepancies in APM 210 (Professor series) and APM 310 (Professional Research series). APM 210 was revised to eliminate the expectation of “independence” and instead emphasizes the role of a candidate’s creative contributions and the importance of the work. However, APM 310 still stresses independence as an expectation.

**Committee's narrative:**

The JPC met 38 times during this period to review packets. Of the 226 personnel actions reviewed, information on the corresponding final decision was available for 214 actions. The JPC also reviewed nine departmental voting group and peer review plans. Table 1 in the Appendix provides a summary of all actions per title series and the corresponding committee recommendation. Table 2 below summarizes the number of actions reviewed by the JPC and the corresponding recommendation:

<b>TABLE 2</b>	<b>JPC Recommendations</b>					
<b>Actions</b>	<b>Yes</b>	<b>Other (Higher)</b>	<b>Other (Lower)</b>	<b>Split</b>	<b>No</b>	<b>TOTAL</b>
Appointments	41	53	12	0	1	<b>107</b>
Appointments via Change in Title	10	3	1	0	0	<b>14</b>
Appointments via Change in Department	2	0	0	0	0	<b>2</b>
Appeals	0	0	0	1	2	<b>3</b>
Appraisal	0	0	0	0	0	<b>0</b>
Conferral of Emeritus/a Status	10	0	0	0	1	<b>11</b>
Endowed Chair Action	1	0	0	0	0	<b>1</b>
Redelegated Merits	39	7	3	0	4	<b>53</b>
Non-Redelegated Merits	8	0	2	0	0	<b>10</b>
Accelerated Promotions	2	0	0	0	0	<b>2</b>
Promotions	15	5	0	1	0	<b>21</b>
Redelegated Promotions	0	0	0	0	0	<b>0</b>
5-Year Reviews	2	0	0	0	0	<b>2</b>
<b>TOTAL</b>	<b>130</b>	<b>68</b>	<b>18</b>	<b>2</b>	<b>8</b>	<b>226</b>

**APPOINTMENTS and APPOINTMENTS VIA CHANGE IN TITLE**

Once again, most of the actions reviewed were for the Project Scientist series – with 59 proposed appointments plus 5 appointment via change in title. The combined appointments to this series accounted for 49% of all appointments reviewed by the JPC.

The JPC supported 53 of 123 (43%) of all proposed appointments as submitted. Table 3 below shows the percentage of proposed appointments on which the JPC and the final authority agreed on the appointment level.

**TABLE 3: Breakdown of Recommendations on Appointments**

TABLE 3: Breakdown of Recommendations on Appointments							
Title Series/ JPC Recommendation		FINAL DECISION					Percent Agreement between JPC & Final Authority
		Agree w/ JPC	Higher than JPC Recommendation	Lower than JPC Recommendation	Agree with Original Proposal**	*Other	
Agronomist & ---in the AES							
Yes: Proposed	0	0	0	0	0	0	N/A
YES: Higher	0	0	0	0	0	0	N/A
YES: Lower	0	0	0	0	0	0	N/A
NO	0	0	0	0	0	0	N/A
Other	0	0	0	0	0	0	N/A
Split							
Yes: Proposed	0	0	0	0	0	0	N/A
YES: Higher	0	0	0	0	0	0	N/A
YES: Lower	0	0	0	0	0	0	N/A
NO	0	0	0	0	0	0	N/A
Other	0	0	0	0	0	0	N/A
Professional Researcher							
Yes: Proposed	8	6	0	0	0	2	100%
YES: Higher	11	9	0	0	0	2	100%
YES: Lower	4	2	2	0	0	0	50%
NO	0	0	0	0	0	0	N/A
Other	0	0	0	0	0	0	N/A
Project Scientist							
Yes: Proposed	23	22	0	0	0	1	100%
YES: Higher	33	24	0	2	5	2	77%
YES: Lower	6	4	2	0	0	0	67%
NO	0	0	0	0	0	0	N/A
Other	2	0	0	0	0	2	N/A
Specialist							
Yes: Proposed	18	17	0	0	0	1	100%
YES: Higher	11	8	0	2	1	0	73%
YES: Lower	2	1	0	0	0	1	100%
NO	1	0	0	0	0	1	N/A
Other							N/A
Specialist in Cooperative Extension							
Yes: Proposed	4	4	0	0	0	0	100%
YES: Higher	0	0	0	0	0	0	N/A
YES: Lower	0	0	0	0	0	0	N/A
NO	0	0	0	0	0	0	N/A
Other	0	0	0	0	0	0	N/A
				Overall Percent Agreement			87%

\*Includes actions where the final decision has not been made or the data is unavailable. Not reflected in agreement percentage.

\*\*If JPC Recommendation Different than Proposal

For appointments not supported by the JPC as proposed, Table 3 breaks down these cases to two distinct possibilities:

1. **YES: Higher:** This means the JPC recommended a higher step (and/or rank) than the level originally proposed. The JPC and the final authority agreed on 75% of these cases.
2. **YES: Lower:** This means the JPC recommended a lower step (and/or rank) than the level originally proposed. The JPC and the final authority agreed on 58% of these cases.

## MERITS (including Accelerated Merits)

The JPC supported 47 of the 63 (75%) proposed merits. Table 4 below shows the breakdown of the JPC's recommendations regarding these merits:

TABLE 5: ACCELERATED AND NORMAL Merits					
Title Series/ JPC Recommendation		DEAN/ VICE PROVOST FINAL DECISION			Percent Agreement between JPC & Final Authority
		Agree w/ JPC	Agree with Original Proposal	Other*	
Agronomist & ---in the AES					
Yes: Proposed	0	0	0	0	N/A
Yes: Higher	0	0	0	0	N/A
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Split Appointment					
Yes: Proposed	1	1	0	0	100%
Yes: Higher	0	0	0	0	N/A
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Project Scientist					
Yes: Proposed	23	22	0	1	100%
Yes: Higher	3	1	2	0	33%
Yes: Lower	2	1	1	0	50%
No	3	3	0	0	100%
Professional Researcher					
Yes: Proposed	9	9	0	0	100%
Yes: Higher	2	2	0	0	100%
Yes: Lower	1	1	0	0	100%
No	0	0	0	0	N/A
Specialist					
Yes: Proposed	7	7	0	0	100%
Yes: Higher	1	1	0	0	100%
Yes: Lower	2	1	1	0	50%
No	0	0	0	0	N/A
Specialist in Cooperative Extension					
Yes: Proposed	7	7	0	0	100%
Yes: Higher	1	1	0	0	100%
Yes: Lower	0	0	0	0	N/A
No	1	1	0	0	100%
		Overall Percent Agreement			94%

\*Includes actions where the final decision has not been made or the data is not available. Not reflected in agreement percentage.

Of the 16 merits which the JPC did not support, the final authority agreed with the JPC in 11 of the cases (69%).

## PROMOTIONS (including Accelerated Promotions):

The JPC supported 17 of the 23 (74%) proposed promotions; the final authority agreed with the JPC on (87%) of all promotions. Table 5 below summarizes the JPC's recommendations on these promotions:

TABLE 5: ACCELERATED AND NORMAL PROMOTIONS					
Title Series/ JPC Recommendation		DEAN/ VICE PROVOST FINAL DECISION			Percent Agreement between JPC & Final Authority
		Agree w/ JPC	Agree with Original Proposal	Other*	
Agronomist & ---in the AES					
Yes: Proposed	0	0	0	0	N/A
Yes: Higher	0	0	0	0	N/A
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Split Appointment					
Yes: Proposed	0	0	0	0	N/A
Yes: Higher	0	0	0	0	N/A
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Project Scientist					
Yes: Proposed	11	10	1	0	91%
Yes: Higher	2	2	0	0	100%
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Professional Researcher					
Yes: Proposed	4	4	0	0	100%
Yes: Higher	2	1	1	0	50%
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Split	1	0	1	0	0%
Specialist					
Yes: Proposed	0	0	0	0	N/A
Yes: Higher	0	0	0	0	N/A
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Specialist in Cooperative Extension					
Yes: Proposed	2	2	0	0	100%
Yes: Higher	1	1	0	0	100%
Yes: Lower	0	0	0	0	N/A
No	0	0	0	0	N/A
Overall Percent Agreement					87%

\*Includes actions where the final decision has not been made or the data is not available. Not reflected in agreement percentage.

Of the 4 promotions which the JPC did not support as proposed, the final authority agreed with the JPC in all of the cases (100%).

## STEP PLUS MERIT AND PROMOTION SYSTEM

2015-2016 was the first year the Academic Federation research titles were reviewed under the Step Plus Merit and Promotion system. Starting in February and March of 2015, the JPC began tracking the candidate's and PI's selection on the *Notification of advancement eligibility* form that is now required for some Academic Federation members in the various research titles. The 2015-2016 form can be found:

[https://academicaffairs.ucdavis.edu/local\\_resources/docs/forms\\_and\\_checklists/Notice\\_Eligibility\\_Federation\\_Members.pdf](https://academicaffairs.ucdavis.edu/local_resources/docs/forms_and_checklists/Notice_Eligibility_Federation_Members.pdf).

Table 6 and Table 7 includes the breakdown by merits and promotions of candidate and PI selection on the *Notification of advancement eligibility* form. Data was collected for 44 of the 80 2015-2016 merit and promotion packets reviewed by JPC. The remaining 36 actions either did not require a form to be completed, were submitted to the committee prior to this data being tracked, or were late 2014-2014 actions that were not eligible for Step Plus review.

TABLE 6: Step Plus Notification of advancement eligibility form for Accelerated and Normal Merits								
Title Series		Agronomist & ---in the AES	Split Appointment	Project Scientist	Professional Researcher	Specialist	Specialist in Cooperative Extension	Total
Candidate Selection	1.0 Step Only	0	0	13	0	4	0	17
	Step Plus	0	0	9	6	2	0	17
	Defer	0	0	0	0	0	0	0
PI Selection	2a	0	0	14	4	5	0	23
	2b	0	0	4	2	0	0	6
	2c	0	0	1	0	1	0	2
	Other No Selection	0	0	3	0	0	0	3

Of the merits where a candidate made a selection on the *Notification of advancement eligibility* form, 17 out of 34 (50%) chose to pursue 1.0-Step Advancement, and 17 out of 34 (50%) chose to pursue Step Plus Advancement.

Of the merits where a PI made a selection on the *Notification of advancement eligibility* form, 23 out of 34 (68%) stated they anticipated having fund, 6 out of 34 (18%) stated they did not currently have funds but would seek funding, and 2 out of 34 (6%) stated that they did not anticipate having funding available for advancement at that time. There was no data for 3 out of 34 forms.

TABLE 7: Step Plus Notification of advancement eligibility form for Accelerated and Normal Promotions								
Title Series		Agronomist & ---in the AES	Split Appointment	Project Scientist	Professional Researcher	Specialist	Specialist in Cooperative Extension	Total
Candidate Selection	1.0 Step Only	0	0	1	0	0	0	1
	Step Plus	0	0	5	4	0	0	9
	Defer	0	0	0	0	0	0	0
PI Selection	2a	0	0	6	2	0	0	8
	2b	0	0	0	2	0	0	2
	2c	0	0	0	0	0	0	0
	Other No Selection	0	0	0	0	0	0	0

Of the promotions where a candidate made a selection on the *Notification of advancement eligibility* form, 1 out of 10 (10%) chose to pursue 1.0-Step Advancement, and 9 out of 10 (90%) chose to pursue Step Plus Advancement.

Of the promotion where a PI made a selection on the *Notification of advancement eligibility* form, 8 out of 10 (80%) stated they anticipated having fund and 2 out of 34 (20%) stated they did not currently have funds but would seek funding.

The below table illustrates the breakdown of the JPC's recommendation on merit and promotions where the candidate completed the *Notification of advancement eligibility* form and 1.0 Step Advancement was selected.

TABLE 8: JPC Recommendation for Merits and Promotions for Candidate Selection of 1.0 Step Only						
Title Series	Candidate Selection: 1.0 Step Only	JPC Recommendation				Percent When JPC Made Recommendation other than 1.0 Step
		Yes	Yes: Higher	Yes: Lower	No	
Agronomist & ---in the AES	0	0	0	0	0	N/A
Split Appointment	0	0	0	0	0	N/A
Project Scientist	14	10	1	0	3	29%
Professional Researcher	0	0	0	0	0	N/A
Specialist	4	2	1	1	0	50%
Specialist in Cooperative Extension	0	0	0	0	0	0
Total	18	12	2	1	3	33%



For the purpose of the table above, “No” indicates that the committee did not support any advancement. “Yes-Lower” indicates that at either the department and/or dean level, there was a recommendation for step-plus advancement and the JPC recommended a lower step than what the department and/or dean proposed.

### **CONFERRAL OF EMERITUS/A STATUS**

The JPC received 11 requests for Conferral of Emeritus status. Six actions were for Specialists in Cooperative Extension, two actions were for Project Scientists, and three were for Professional Researchers. The JPC supported the ten of the requests, of which the final authority agreed with all of JPC recommendations. The JPC did not support one of the requests; the final authority disagreed.

### **POSITION DESCRIPTIONS**

The JPC recommended fewer revisions to position description this year. However, there were still concerns on several Project Scientist and Specialist position descriptions. The issue continues to be the unclear definition of responsibilities especially in relation to Professor Competence Activities and University and Public Service Activities. Table 6 below shows the breakdown of recommended position description revisions per title. In requesting the updated PD, the JPC is looking for confirmation that the candidate and department have reviewed the expectations and they are still appropriate or they have been updated as necessary.

<b>Title Series</b>	<b>Revisions Recommended</b>	<b>% of Total Actions per Title</b>
Split Appointments (Agronomist/_in the AES)	0	N/A
Professional Researcher	0	N/A
Project Scientist	6	6%
Specialists	3	7%
Specialists in CE	0	N/A

### **VOTING GROUP & PEER REVIEW PLANS**

The JPC reviewed a total of 11 voting group and peer review plans from 9 departments. The JPC’s recommendations are summarized below:

Accepted	8
Accepted with Recommended Revisions	1
Rejected; requiring revisions	2

\*Rejected voting procedures were resubmitted with revisions and subsequently accepted by JPC

The JPC found that 8 of 11 (73%) submitted plans were acceptable without the need for revision

**APPENDIX - TABLE 1: Committee Recommendations per Title and Action 2014-2015**

Action Type	---in AES (Agronomist)	Split Appointments*		Professional Researcher					Project Scientist					Specialist in Cooperative Extension				Specialist					TOTAL
	Total	Yes	Total	Yes	No	Other Higher	Other Lower	Total	Yes	No	Other Higher	Other Lower	Total	Yes	No	Other Higher	Total	Yes	No	Other Higher	Other Lower	Total	
Appointment	0	0	0	3	0	9	3	15	19	0	33	7	59	2	0	0	2	17	1	11	2	31	107
Appointment via Change in Department	0	0	0	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Appointment via Change in Title	0	0	0	3	0	2	1	6	4	0	1	0	5	2	0	0	2	1	0	0	0	1	14
Appeals	0	0	0	0	1- split	0	0	1	0	2	0	0	2	0	0	0	0	0	0	0	0	0	3
Appraisal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Endowed Chair Appointment	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	1
Five Year Review	0	0	0	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Conferral of Emeritus Status	0	0	0	2	1	0	0	3	2	0	0	0	2	6	0	0	6	0	0	0	0	0	11
Accelerated Merits	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Redelegated (Accelerated) Merits	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Redelegated Merits	0	1	1	8	0	2	0	10	19	3	3	2	27	5	1	1	7	6	0	1	1	8	53
Non- Redelegated Merits	0	0	0	1	0	0	1	2	4	0	0	0	4	2	0	0	2	1	0	0	1	2	10
Accelerated Promotions	0	0	0	0	0	0	0	0	1	0	0	0	1	1	0	0	1	0	0	0	0	0	2
Promotions	0	0	0	4	1- split	2	0	7	10	0	2	0	12	1	0	1	2	0	0	0	0	0	21
Redelegated Promotions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>25</b>	<b>3</b>	<b>15</b>	<b>5</b>	<b>48</b>	<b>59</b>	<b>5</b>	<b>39</b>	<b>9</b>	<b>112</b>	<b>19</b>	<b>1</b>	<b>2</b>	<b>22</b>	<b>26</b>	<b>1</b>	<b>12</b>	<b>4</b>	<b>43</b>	<b>226</b>

# **Annual Report: Academic Year 2015 – 2016** **Davis Division: Academic Senate**

## **Library Committee**

<b>Total Meetings:</b>	<b>Meeting frequency:</b>	<b>Average hours of committee work each quarter:</b>
<ul style="list-style-type: none"> <li>6 meetings</li> </ul>	<ul style="list-style-type: none"> <li>As needed</li> </ul>	<ul style="list-style-type: none"> <li>10 hours per quarter</li> </ul>

<b>Total of items reviewed:</b>	<b>Total of reviewed items deferred from the previous year:</b>	<b>Total items deferred to the coming academic year:</b>
<ul style="list-style-type: none"> <li>5 issues and 1 proposal</li> </ul>	<ul style="list-style-type: none"> <li>None</li> </ul>	<ul style="list-style-type: none"> <li>Library Committee's Bylaws and Charter</li> </ul>

**Bylaw changes proposed:** None

**New committee policies established or revised:** None

### **Issues considered by the committee:**

1. Open Access Policy
2. Library Committee's Bylaws and Charter
3. Library Space Master Plan
4. Library Survey
5. De-Duplication of Collections at the Regional Library Facilities
6. Possible Use of Library Space by Other Departments

### **Committee's Narrative:**

The Academic Senate Library Committee is charged with advising the Chief Campus Officer on the administration of the Library on the Davis campus. It is further charged with advising the University Librarian regarding the removal and storage of library holdings and to perform other duties relative to the Library as may be committed to the Senate by proper authority.

The Library Committee met six times in 2015-2016 and conducted other business via its whiteboard and email.

### **Open Access Policy:**

Throughout 2015-2016, the Library Committee discussed the implementation of the Senate Open Access Policy, which launched in January 2016, and monitored the participation rate amongst faculty.

During fall quarter, the committee drafted and distributed a primer to all Academic Senate members with information on what the policy is, which faculty it covers, how and when Senate faculty must comply with the policy, and where Senate faculty can locate and access additional information. Throughout the winter and spring quarters, the Committee monitored the Davis Division's participation in Open Access.

During 2016-2017, the Committee will discuss how to encourage Senate faculty to participate in Open Access in an ongoing basis, both with respect to current and new Senate faculty.

### **Library Committee's Bylaws and Charter:**

The Library Committee reviewed the Committee's bylaws and charter. Members agreed that the portion of the bylaws which dictate Committee membership should be revised to better reflect the various divisions, colleges, and schools at both the Davis and School of Medicine campuses. In addition, the portion of the bylaws covering the committee's charter should be revised to reflect the digitalization of scholarly communications and libraries. In Fall 2017, the Committee will draft proposed changes of the bylaws to be forwarded to the Committee on Election, Rules and Jurisdiction.

### **Library Space Master Plan**

The Library Committee met with University Librarian, MacKenzie Smith, who informed the committee that through the campus's Big Ideas Initiative, the Library has undertaken a Library Space Master Plan to cover all four campus facilities. The plan involves three phases: (i) Visioning, (ii) Detailed project programming, and (iii) Design and construction. In recognition of the evolving needs of the Library and various campus constituencies, Phase 1 involved forming a Library Space Planning Steering Committee that—with the help of a consulting firm, Brightspot Strategy LLC—is currently engaged in a six-month process to develop a "Vision" for Davis campus libraries. Chair Dennis Ventry is serving as a member of the Steering Committee, along with University Librarian MacKenzie Smith, thereby ensuring that the Library Committee will be involved throughout the process and kept abreast of the Steering Committee's progress.

### **De-Duplication of Collections at the Regional Library Facilities**

The UC's two Regional Library Facilities (RLFs) face significant space constraints. The Library Committee discussed a proposal submitted by University Librarians systemwide to de-duplicate holdings of print serials at the RLFs in an effort to mitigate capacity concerns. These plans

include expanding the Northern RLF in Richmond, and will take at least five years to complete. Without immediate action in the meantime, the RLFs will reach capacity within two years. The items identified for de-duplication include those from the WEST “Gold” collection; that is, low-use print journals that have at least one copy located within the RLF system and at least ten additional copies located at a national consortium of university libraries. Subsequent to de-duplication, delivery time for recalled items would be minimal, typically occurring within 24 hours. Given the significant current space constraints of the RLFs, the Library Committee endorsed the de-duplication project.

#### **Possible Use of Library Space by Other Departments**

The University Librarian, MacKenzie Smith, notified the Library Committee of a potential request from a department on the Davis campus to convert library space into offices for faculty and staff. As hiring continues to increase and as space becomes more limited, such requests will also increase in frequency. While no Committee action is required at this time, the issue of space allocation and the use of Library Facilities for non-Library purposes should be monitored.

Respectfully submitted,

Dennis Ventry, *Chair, Law School Representative and UCOLASC Representative*

Judy Jernstedt, *Member and CA&ES Representative*

Joseph Chen, *Graduate School of Management Representative*

Mary Christopher, *School of Veterinary Medicine Representative*

Kevin Gee, *School of Education Representative*

M. Saiful Islam, *College of Engineering Representative*

JaRue Manning, *College of Biological Science Representative*

Michael Toney, *College of Letters & Science Representative*

Norma Klein, *Academic Federation Representative*

Renee Bryzik, *Graduate Student Association Representative*

Krishan Mithal, *Associated Students of UC Davis Representative*

MacKenzie Smith, *University Librarian, Ex-Officio*

Sierra Feldmann, *Academic Senate Analyst*

# Annual Report: Academic Year 2015-16

## Davis Division: Academic Senate

### Committee on Planning & Budget

Total Meetings: 16	Meeting frequency: biweekly; as needed	Average hours of committee work each week: members: varies. Chair: 5-8 hrs/week
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Total proposals/items reviewed: 33 (TOEs-3, POPs-6, Search Waivers-2, Presidential Post Doc Search Waivers – 4, Presidential Endowments-1, other items - 17) Total academic unit budgets reviewed: 4 (College of Engineering, College of Biological Sciences, College of Letters and Sciences, School of Education) Total administrative unit budgets reviewed: 2 (Office of Research, Undergraduate Education)	Total deferred proposals from the previous year: none	Total proposals deferred to the coming academic year: none
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**Listing of bylaw changes proposed:** none

**Listing of committee policies established or revised:** none

**Issues considered by the committee:** see Committee's Narrative below

#### Recommended procedural or policy changes for the coming year, or general carry-over items:

CPB recommendations for 2016-17:

- **Budget Review:** It is respectfully requested that CPB continue to advise the administration on both the funding streams and the metrics being produced by the budget model at UC Davis. A strong faculty participation and input presence is critical to shared governance and ensuring that the budget process continues to work on behalf of the educational mission of the university.
- **Allocation of FTEs:** CPB's role in the allocation of FTEs should be made stronger to ensure that both the strategic plans for departments as well the university's education mission are maintained. CPB will discuss a continued role in the allocation of FTEs with the Provost for the 2017-18 budget process.

**FEC Engagement:** In keeping with the divisional priority, CPB will continue to engage the Faculty Executive Committee Chairs in discussions regarding the budget model, budget allocations and the overall budget process. The FEC Chairs will be invited to the CPB Fall Budget Retreat. CPB will also prioritize of relaying some of the FEC concerns about the limitations of the budget meetings with the Provost as they are currently structured.

- **College/School/Administrative Unit Budgets:** CPB will continue to request overall budgets each year from the Deans/Vice Provosts/Directors for each college, school, and administrative unit on campus. CPB proposed a standardized template with performance metrics that was adopted by the administration for the 2014-15 and 2015-16 cycle. CPB will prioritize the development of administrative unit metrics for annual review and for advising on budget allocations.
- **Instructional Space Advisory Subcommittee:** CPB will continue to monitor the Classroom Survey by receiving regular updates from the subcommittee Chair. The CPB Chair will then update the Executive Council on the status of the classroom survey.

## COMMITTEE'S NARRATIVE

The Academic Senate Davis Division Planning and Budget Committee (CPB) considered matters regarding policy on academic planning, budget, and resource allocations according to Davis Division Bylaw 84. Deb Niemeier, the Chair of CPB, also served as a member of Executive Council, the Provost-Senate Chairs Committee, and the Committee's representative on the UC Systemwide Planning and Budget Committee (UCPB) and provided regular updates to the Committee. The two members appointed to CPB's Instructional Space Advisory Group Subcommittee (ISAS) were: Jane-Ling Wang and Frank Verstraete.

This section outlines the Committee's activity in 2015-2016 regarding the following review items:

### I. ENDOWMENT, PARTNER OPPORTUNITY PROGRAM, AND TARGET OF EXCELLENCE PROPOSALS

Endowment Proposals Reviewed (1 reviewed):

- Bitá Daryabari Presidential Chair in Persian Language and Literature

Partner Opportunity Program Proposals (6 reviewed)

- Dr. Alexandra Sofroniew, Department of Art History
- Dr. Filiz Garip, Department of Sociology
- Dr. Kory Ching, University Writing Program
- Dr. Martin Luu, Department of Mathematics
- Dr. Paul Eastwick, Department of Psychology
- Dr. Diaz-Munoz, Department of Neurobiology, Physiology and Behavior (Due to timing of committee meetings and the rush request, CPB was unable to provide a response)

Target of Excellence Proposals Reviewed (3 reviewed)

- Dr. Laura Van Winkle, Department of Anatomy, Physiology and Cell Biology in the School of Veterinary Medicine
- Dr. Maisha Winn, School of Education
- Dr. Pierpaola Polzonetti, Department of Music

### II. REQUEST FOR CONSULTATION ITEMS FROM AS CHAIR AND/OR SYSTEMWIDE

1. Departmental Status Proposal for American Studies Program  
CPB supported the proposal.
2. Guiding Principles: Search Waivers for Academic Appointees  
Overall CPB did not have any concern with the proposed guiding principles
3. Departmental Status Proposal for African American and African Studies Program  
CPB supported the proposal
4. Amendment of DDB 84  
CPB endorsed the proposed revisions
5. Special Academic Program Establishment Request (ESL)  
CPB did not support the proposal. The committee feels that an academic program should not be housed in an administrative unit, but would be better housed in an academic unit such as the University Writing Program, the Department of Linguistics, or the College of Letters and Science. CPB also had concerns with the lack of clarity with the budget and felt that the requested name for the program is misleading and confusing.
6. Reconstitution of the Department of Chemical Engineering & Materials Science  
CPB reviewed the proposal and overall endorsed the proposal; however CPB had concerns about the small credit count and lack of proof that the department will be able to grow in the future.
7. ORU Disestablishment Request for the Institute for Governmental Affairs (IGA)  
CPB agreed with the plan for disestablishment of the ORU.
8. ORU Review – Program in International and Community Nutrition (PICN)  
CPB agreed that the work is valued and senior faculty are extremely visible and highly respected; however, CPB had some concerns. CPB questioned the OUR designation given that the PICN operates within a single department, and it appears that potentially participating faculty from outside the department cannot run grants through the PICN. The ad hoc review does not make a good case for continuing as an ORU, so it seems the ORU status could end yet PICN continue unchanged.  
The ad hoc committee suggests radical changes allowing good potential for growth including moving the ORU out of the Department of Nutrition and/or formally integrating it with other similar campus research groups giving it a broader collaboration base and needed administrative support.

9. **Graduate School of Management Proposal for Undergraduate Business Management Major**  
CPB reviewed the initial proposal and then requested to meet with involved parties to obtain more information and clarity. Although CPB believes the major could be beneficial for students and the campus, they expressed many concerns which included lack of including Davis campus strengths (such as food and ag-related business connections, medical-related business connections, alternative energy) costs, clarity on logistics of professional schools offering undergraduate majors, and lack of discussion between the campus community to explore all options and resource allocations. Moving forward CPB recommends collaborative and positive discussions that are focused on the collective benefit of the entire campus.
10. **Office of Strategic Communications Expenditures Review**  
CPB requested and reviewed yearly expenditures from 2006-07 to the 2015-16 budget year. Expenditures for the Office of Strategic Communications and found the funding level to be appropriate to the level of enterprise the university represents. Funding amounts reported in the Sacramento Bee came from interest earned on the university's investment holdings, not from state General fund allocation or student tuition or fees. CPB briefed Executive Council on their finding.

### III. OTHER CONSIDERATIONS AND TOPICS OF DISCUSSION

- a. **CPB Winter Retreat:** On January 28, 2016 CPB held its annual budget retreat. Several guests were invited to attend the retreat including Provost Hexter, Vice Chancellor Lawlor, Associate Vice Chancellor Ratliff, Associate Vice Chancellor Mohr, Faculty Advisor Burtis, Academic Senate leadership, L&S Steering Committee Chairs, and the Chairs of the Faculty Executive Committees in each of the colleges and schools. Topics discussed included: (1) Budget Principles, Templates, and Performance Metrics, Campus Budget Overview & Process (2) Classroom Space Update, (3) Convergence of Trends in Enrollment Planning, FTE Allocation, Start-up Funding (4) Capital Planning (5) Initial Budget Planning for 2016-17.
- b. **Academic/Enrollment Planning and FTE Allocation Workgroup:** CPB appointed a subcommittee to define the most important campus planning issues related to enrollment, faculty FTE, and facilities growth in order to direct discussion with administration at the winter retreat. In October, the workgroup requested data by college/school on faculty hires including dates of hires and costs for the past 5 years, along with methods of allocating start-up funding. In November, additional data requests were submitted regarding FTE allocation and Capital Planning data. The subcommittee drafted a report that outlines key issues in each area and then discusses the interconnections between these issues that need to be addressed. For each area, consideration was given not only to the associated costs, but also to the potential impact on the quality of the education received by current and future UC Davis students. CPB will continue to discuss the topic with the Provost again in 2016-17.
- c. **ORU Review:** CPB presented questions to AVC Dodd regarding the structure of organized research, the ORU budget, and ORU lifespans. CPB then presented recommendations at the budget retreat that they felt would improve all ORUs.
- d. **College, School, and Administrative Unit Budget Review:** CPB again requested overall budget proposals from each of the colleges, schools, and administrative units. CPB received budget information for all of the colleges and schools and the majority of the administrative units for academic year 2016-2017. CPB reviewed all of the proposals and provided detailed comments and responses for each college and school in four general categories including FTE Trends, Financial Questions, Carryforward Funds, and Base Budget. CPB completed its analysis of these documents in summer 2016. The committee will review performance metrics in fall 2016. CPB will continue to review budgets annually in an advisory role to the Provost.

In the 2014-15 annual report, CPB reported the following:

- While the budget expenditures at the college level were significantly more transparent, most of the academic unit budgets lacked detail and substance about departmental allocations;
- Responses to the financial management questions by deans lacked enough detail to assess actual priorities;
- Commitments using carryforward funds, particularly those funds retained in the dean's offices, rarely include enough detail to ascertain how they are, or were actually being spent;
- Several of the academic unit budgets were (again) not fully vetted - in their entirety- with the FECs. CPB's expectation is that deans share the budget documents in their entirety with the FECs before the annual budget meeting with the Provost. Some of the academic units, most notably MPS, made significant strides in increasing transparency of budgetary decision-making.



For the 2015-16 annual report, CPB notes that budget priorities are institutionalizing a culture that is not indicative of the value of the Davis education, as presented by these continuing items of concerns,

#### **Academic Units**

- **Campus priorities are not being communicated through the deans to the faculty.** Provost Hexter has stated many times that the translation of campus priorities is within the deans' purview. While the CPB recognizes this, we continue to note that there is a significant disconnect between the articulated campus' priorities and its operational practices at the college and unit levels, which reduce our ability to efficiently reach collective goals;
- **The provost allocation is not shrinking.** Based on past discussions with Provost Hexter, the CPB was expecting the provost allocation to begin shrinking, and correspondingly, for the campus budget model to expand its consideration of additional metrics. This does not appear to be happening. The transparency of the decision-making associated with the distribution of the provost allocation across units continues to be a source of frustration across campus;
- **No planning versus considered planning.** Last year, during CPB's review of the budgets and hiring practices, we noted that there was insufficient funding available to support the projected growth in hiring in fields like chemistry and biology, where large start-up packages are the norm. Without sufficient start-up funds, it is very difficult to achieve a high degree of hiring success. Without sufficient hires, it will be impossible to achieve the goals that were stated in Vision 2020. As it stands, incoming students are deciding how the campus grows; although we know this could be contentious, CPB continues to urge a more considered approach to enrollment planning;
- **Department ICR funds are being used to support start-up packages.** Last year, CPB saw a concerning trend toward more extensive use of ICR funds to supplement start-up packages. The use of the ICR funds for start-up packages precludes use of the funds for departmental needs such as new computers or updated teaching facilities. CPB is also concerned that departments are being asked to provide significant portion of the total start-up funds based on the fact that there seems to be carryforward funds available. Yet, there is no knowledge of whether carryforward balances are departmentally held or held by individual faculty members. Whether funds are held individually or centrally must be identified before declaring an absolute amount that departments can legitimately afford. CPB is adamantly opposed to individual faculty funds being penalized or utilized for start-ups without the acquiescence of the respective faculty member;
- **Small class size issues.** For the past three years, CPB has warned the administration that upper division small classes are becoming fewer in number and harming educational quality. Last year, the Provost indicated that a supplemental fund could be created to provide additional support for field courses and upper division humanities courses. CPB is concerned that this initiative has not moved forward;

#### **Administrative Units**

- **Lack of accountability.** As with previous years, CPB reviewed the budget requests for two administrative units: Office of Research and Undergraduate Education. We are concerned that both units lack any real measures of accountability, either for the unit as a whole or for the individual units within their larger administrative home. Without transparent, concrete performance measures, there cannot be a strong level of budget accountability. CPB continues to urge the administration to develop performance metrics prior to expanding budgets. Clearly, given the recent campus protests, this is a critically important step to be taken;
- Pressure around the availability of large classrooms continues to be a source of frustration among the Colleges/Schools. Additional transparency around planning processes would help to alleviate faculty concerns, and
- Finally, CPB is very concerned that the loss of the CFO will result in new or expanded financial burdens on the campus and would urge that a new CFO be brought in quickly.

#### **e. Instructional Space Advisory Subcommittee Classroom Survey:**

The Classroom Survey was sent to all teaching faculty at the end of spring quarter 2016, so no results were available for the committee to review. CPB will review the results of this survey in the fall quarter of 2016 and continue to monitor this process and make recommendations to the Provost as necessary.

#### **f. Consistency between 2020 aspirations and faculty recruitment**

CPB continues to monitor enrollment growth across campus academic units; assessing the balance of FTE will be a priority for CPB in the incoming year. This monitoring is critical because of the likelihood that faculty recruitment may lag in key science and engineering disciplines. In part, the lag may result from a

lack of available start-up funds at the College and Department levels. CPB will continue to monitor the situation through 2016-2017.

g. **ABC Initiative (Activity Based Costing)**

CPB reviewed materials from BIA that focused on three parameters of a proposed scoping study: budget and timeline to complete a pilot project, analysis of data requirements, and identification of participating academic departments.

Respectfully Submitted,

Deb Niemeier (chair), David Block (member), John Ragland (member), Scott Shershow (member), Mitchell Sutter (member), Darien Shanske (member), Alan Taylor (member), Frank Verstraete (member), Jane-Ling Wang (member) André Knoesen (advisor), Rachael Goodhue (advisor), Dan Wilson (Academic Federation Representative), Kimberly Pulliam and Debbie Stacionis (analysts)

**Annual Report: Academic Year 2015-2016**  
**Davis Division: Academic Senate**  
**Committee on Privilege and Tenure**

<b>Total Meetings</b> <u><b>Investigative:</b></u> 8  <u><b>Hearings:</b></u> 0	<b>Meeting frequency</b> <u><b>Investigative:</b></u> As needed  <u><b>Hearings:</b></u> As needed	<b>Average hours of committee work each week</b> <u><b>Investigative:</b></u> dependent on workload  <u><b>Hearings:</b></u> dependent on workload
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<u><b>Investigative:</b></u> <b>Total grievances:</b> 6  <u><b>Hearings:</b></u> <b>Total Hearings:</b> 0 <b>Total Disciplinary Matters Referred:</b> 1	<u><b>Investigative:</b></u> <b>Total grievances deferred from previous year:</b> 2  <u><b>Hearings:</b></u> <b>Total hearings/matters deferred from previous year:</b> 7	<u><b>Investigative:</b></u> <b>Total grievances continued:</b> 1  <u><b>Hearings:</b></u> <b>Total hearings/matters continued:</b> 4
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**Listing of bylaw changes proposed:**

- None

**Listing of committee policies established or revised:**

- None

**Issues considered by the committee:**

- The P&T Investigative Subcommittee discussed the use of Confidential Academic Review Records per APM 160.

**Recommended procedural or policy changes for the coming year:**

- None

### **Committee's narrative:**

As of August 31, 2016

#### **Investigative:**

- Three grievances: not referred to a hearing
- No grievances: referred to a hearing
- One grievance: closed/informally resolved
- One grievance: prima facie not found
- One grievance: carried over into 2016-2017

#### **Hearing:**

- Three disciplinary actions:
  - One – settled
  - Three – hearings pending
- Three grievance actions:
  - Two – stipulated to cancel hearing
  - One – hearing pending

**Annual Report: Academic Year 2015-16**  
**Davis Division: Academic Senate**

**Committee on Public Service**

Total Meetings: 1	Meeting frequency: As needed	Average hours of committee work each week: 2
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Total UCDE Proposals Reviewed: 4	Total reviewed items deferred from the previous year: None	Total items deferred to the coming academic year: None.
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**Listing of bylaw changes proposed:** None

**Listing of committee policies established or revised:** None

**Issues considered by the committee:**

Revision of the Call for Nominations for Distinguished Scholarly Public Service
Reaching out to Department Chairs and Directors to increase DSPSA awareness
Committee's ability to advise the campus on public service, on its own initiative
UCDE Material Science Certificate Program Proposal
UCDE Project Management Certificate Program Proposal
UCDE Workplace Health and Safety Management Certificate Program Proposal
UCDE Human Resource Management Certificate Program Proposal

**Recommended procedural or policy changes for the coming year:** None

**Committee's narrative:**

The overarching committee charge is "to review and advise on non-personnel matters relating to the involvement of faculty in public service activities, and to advise the Chief Campus Officer and the Academic Senate on such matters."

The committee's charge, Davis Division Bylaw 88, can be found via the following link:  
[http://academicsenate.ucdavis.edu/cerj/manual/dd\\_bylaws.cfm?CFID=24354&CFTOKEN=67079693#88-](http://academicsenate.ucdavis.edu/cerj/manual/dd_bylaws.cfm?CFID=24354&CFTOKEN=67079693#88-)

For 2015-16, the committee focused on the selection of faculty to receive the Distinguished Scholarly Public Service Award (DSPSA), increasing awareness on campus and beyond of the DSPSA and UCD's commitment to public service, the review of UCD's University Extension Certificate Program Proposals, and the committee's

ability to advise the Chief Campus Officer either on its own initiative or at their request on goals and objectives of campus public service programs and policies.

Only one committee meeting was needed over the course of 2015-16 academic year to discuss these topics face-to-face. The Academic Senate Information System (ASIS) and electronic communications were used extensively in lieu of scheduling meetings. Doing so accommodated the full and diverse schedules of the committee members and multiple campus demands made on the committee members' time.

The 2015-16 Call for DSPSA Nominations was distributed on October 22, 2015, via the Academic Senate list serve, with a nomination deadline of November 25, 2015. The Call for Nominations was also distributed to the campus via Dateline. Nominations were posted to the committee's whiteboard in ASIS for online review.

On January 6, at the committee's only 2015-16 meeting, Chair Robin Erbacher welcomed those attending, initiated introductions, explained the committee's charge and facilitated the selection of the recipient(s) for the 2016 Distinguished Scholarly Public Service Award (DSPSA).

Chair Erbacher also shared with the committee ideas on ways to increase the visibility and publicity of the awards. The ideas included hers and those that Marc Schenker, Associate Vice Provost – University Outreach, in Global Affairs, and Julia Ann Easley, from the Office of Strategic Communications, presented to the 2014-15 committee membership.

Marc Schenker had presented the idea of asking prior recipients about their motivation to do public service, writing stories about recipients to publish to appropriate websites, and possibly holding a separate awards celebration for DSPSA recipients. The 2015-16 committee agreed that more visibility for the DSPSA would be beneficial. However, how to go about finding someone to interview past award recipients and then to write up and arrange for the dissemination of the copy was unresolved.

Julia Ann Easley had suggested the production of outreach videos of the DSPSA recipients. Chair Erbacher shared with the committee Julia Ann's description that production of a video entails a lot of labor that is multiplied by the number of award recipients. Chair Erbacher also shared with the committee Julia Ann's thought that the greater the number of award recipients the less special the award becomes.

Chair Erbacher promoted the idea of creating a promotional flyer for circulation that would motivate the submission of nominations for the DSPSA in addition to publicizing and promoting the DSPSAs.

Before reviewing the nominations and the rankings of the nominations, the topic and disclosure of conflicts of interest were discussed. The need to be sensitive to the least possible perception of a conflict of interest was explained. It was also explained that the purpose of disclosing any possible perception of a conflict of interest was to allow committee members to be aware of any professional contact or proximity that they had with any of the nominees for a DSPSA so that comments made during discussion of the

nominees and their nominations could be balanced, put in perspective and viewed objectively. Then those in attendance were asked to disclose anything that could be perceived as indicating a conflict of interest. Nothing disclosed required the committee to consider recusal procedures for anyone in attendance.

The discussion of the nominations for the DSPSA began with a conversation on the criteria used in selecting award recipients. The conversation included a summary of what previous committees had considered, and focused on the nomination criteria embedded in the 2015-16 Call for Nominations.

After extensive and deliberative discussion of the nominations, the committee members with the privilege of the vote reached the consensus that Dr. Lynn Kimsey, Professor of Entomology and Director of the Bohart Museum of Entomology, was to be recommended to the Davis Division Representative Assembly as the recipient of the 2016 Distinguished Scholarly and Public Service Award.

The committee's recommendation was subsequently submitted to the Representative Assembly for approval, and, on February 25, 2016, the Representative Assembly approved the committee's recommendation.

At the Academic Senate and Academic Federation Awards Reception on May 2, 2016, Dr. Lynn Kimsey was presented an honorarium and a certificate plaque. Dr. Kimsey was also publicly recognized in a brochure that was distributed at the reception. Dr. Kimsey will be added to the DSPSA list of recipients maintained on the Davis Division Academic Senate website.

The committee reviewed four UCD University Extension Certificate Program Proposals. One proposal was for a new program. The other three proposals were re-designs of existing certificate programs. In the case of the new program, the committee raised no concerns that were not adequately answered, and the committee provided an overly positive review of the proposal. For one of the other three proposals, the committee put forward a recommendation for consideration by the UCD University Extension. For another, the committee included in its review a note that stated the committee's appreciation of the Extension's well thought-out and due diligent information gathering of input and feedback from students, faculty, state agencies and industry. Presentation and discussion of each proposal was done electronically, and, in each case, the consensus of the committee was to support the proposal and appreciate the opportunity for review.

The committee discussed taking a proactive role in putting forward information and recommendations regarding public service. The committee wanted to clearly understand the protocols, procedures and channels that needed to be observed in increasing awareness of faculty members' public service, the Academic Senate recognition of such service via the Distinguished Scholarly Public Service Award, and UC Davis' public service locally, nationally and internationally. The protocols, procedures and channels were explained to the committee. The committee could craft a recommendation but could not contact or send the recommendation to another campus unit, especially an administrative unit, directly. The crafted recommendation

had to be presented to the Chair of the Academic Senate. And, it was mentioned that it was best practice for the chair of the committee to discuss the intention of the committee with the Chair of the Academic Senate before work was begun on crafting the recommendation. The Chair of the Academic Senate bringing the committee's recommendation before the Academic Senate Executive Council for consideration was also mentioned as observance of protocols, procedures and channels.

Respectfully submitted,

Robin Erbacher, Chair

Valerie Eviner

Jerold Last

Hollis Skaife

Justin Spence

David Jones, Academic Federation Representative

Norma Klein, Academic Federation Representative

Tracy Lee, ASUCD Representative

Matthew Savoca, GSA Representative

Bryan Rodman, Academic Senate Resource Analyst



**Annual Report: Academic Year 2015-2016**  
**Davis Division: Academic Senate**

**Committee on Research**

Total Meetings: <b>8</b>	Meeting frequency <b>Approx. 3 meetings/quarter</b>	Average hours of committee work each week: <b>15 hours (committee + chair)</b>
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<u>Total Grant Proposals Reviewed:</u> <b>Small Grants (2K): 212</b> <b>Large Grants (10-25K): 73</b> <b>Travel Grants (\$800): 413 (FY 2015-16)</b>  <u>Research Grant Proposals Approved for Funding in 2016-17:</u> <b>Small Grants (2K): 183</b> <b>Large Grants (10-25K): 19</b> <b>Travel Grants (\$800): 413 (FY 2015-16)</b>	Total of reviewed grant proposals deferred from the previous year: <b>0</b>	Total projects deferred to the coming academic year: <b>None.</b>
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Listing of bylaw changes proposed: **None**

Listing of committee policies established or revised: **None**

Issues considered by the committee:

1. Chemical and Lab Safety
2. Indirect Cost Rates and ORUs
3. Faculty Effectiveness and Morale
4. Research Centers
5. Campus Core Research Facilities Program
6. ORU Review – 5-Year Review (PICN)
7. Graduate Student Welfare Proposal
8. COR Large Grant Evaluation Rubric
9. Good Laboratory Practices (GLP)
10. HIP Proposal
11. ORU Review – Disestablishment Request (IGA)
12. UCOP Installed Cyber-monitoring Equipment

13. Equity Adjustments and Service and Step Plus
14. New Initiative Grant Metrics
15. Transition to Canvas
16. Research Core Advisory Council (RCAC): Short/long-term Goals

Recommended procedural or policy changes for the coming year: **None.**

### **COR Items Discussed/Reviewed During 2015-16:**

The Committee on Research dealt with a number of issues of substantial importance to the campus during the 2015-2016 academic year. The Committee on Research Chair attended Senate Executive Council meetings, Representative Assembly meetings, and Provost Senate Chair's meetings. The Vice Chancellor for Research (or a representative from his office) attended some of the Committee on Research meetings and provided information and updates on campus and systemwide issues and proposed new initiatives in the Office of Research.

### **2016-17 COR Grant Awards:**

The Committee on Research awarded 183 Small Grants in Aid and 19 New Initiative/Collaborative Interdisciplinary Grants to Promote Extramural Funding for the 2016-17 academic year. In addition, the committee awarded 417 Research Travel Grants during the 2015-16 academic year. Travel grants remain the first priority of the grants program. Overall, the Committee on Research was able to award 86% of all small grant applications, 26% of all large grant proposals, and 100% of all travel grant applications. The relative distribution of monies across campus remained consistent with an approximately 50/50 distribution between the physical and biological sciences and the social sciences and humanities.

### **Joint Senate-Administration Animal Task Force:**

The joint task force was charged at the request of Chancellor Katehi in April 2015. The goals of the task force were to address the three major concerns raised by the Animal Subcommittee of the Academic Senate Committee on Research.

1. The infrastructure on the UC Davis and Sacramento campuses is inadequate to support both ongoing and anticipated growth in future rodent-related research.
2. The costs for housing and care of rodents is higher than at comparable institutions, is becoming unaffordable for many, and costs vary greatly across campus in a non-transparent manner.
3. The oversight and decision-making processes to deal with animal-related research and research infrastructure at UC Davis are fragmented.

The strategic vision developed by the Joint Animal Task Force is as follows:

*UC Davis will establish a comprehensive plan to modernize animal and teaching research facilities, infrastructure, and services. This plan will be managed by a respected and highly qualified leader, in collaboration with key stakeholders, who is empowered with adequate resources to achieve clearly defined strategic and operational objectives.*

The Joint Task Force has been meeting continuously since April 2015 and identified the following priorities:

1. Investment in Infrastructure

The external review by the Estime Group identified several severe deficiencies with existing animal housing facilities, and the need for additional housing and procedural space to meet current needs and to support the estimated faculty growth, particularly for those using rodents in their research.

Extensive analysis by the Animal Task Force, which was supported by the report of the Estime Group, identified as the first and most urgent priority the need for a new cage wash facility to support both the Davis and Sacramento campuses. While initially not favored as an option, because of high upfront costs, the task force concluded that the campus must move forward urgently with developing plans for a new rodent research building to be located adjacent to the newly planned cage wash facility. Planning for the new facility are moving ahead so that the facility will hopefully be completed no later than 2018-19.

2. Rodent Rate Structure

One of the most frequently voiced concerns by faculty revolved around the animal housing and care costs (per-diem rates). Therefore the task force conducted a comprehensive analysis of the costs involved in the housing and care of rodents. Further, the Estime Group analyzed UC Davis rates relative to other comparable research institutions and concluded that the UC Davis rates are significantly higher for both mice and rates. Given this situation, a commitment to reduce the per-diem rates was made by the Provost and Budget and Institutional Analysis and articulated to faculty during the town hall meetings in December 2015.

3. Administrative Oversight

The animal research and teaching program at UC Davis is one of the largest and most diverse programs in the United States and is providing the campus with significant revenue from indirect cost recovery. The current crisis with regard to animal care has been brought on by a lack of clear administrative structure that enables information about these issues to be brought to the attention of decision makers on campus.

The recruitment of a Deputy Institutional Official (DIO) was considered to address the outlined problem. Due to some difficulties during the recruitment process for the DIO position, the search was put on hold by the administration. In July and August 2016, the task force met with the Acting Chancellor and Acting Provost and a decision was made to again move forward with the DIO recruitment as well as recruit and interim DIO to lead the efforts to improve animal care that are already underway. Members of the task force submitted potential faculty names to the administration for the interim DIO position. In addition, with the departure of Chief Financial Office Dave Lawlor in the spring of 2016, the Academic Senate has agreed to take on support of the Animal Task Force as a Special Committee of the Executive Council.

### **Joint Senate/Administration Task Force on Research Centers:**

At the present time, there is a great variation in the way interdisciplinary research is organized, administered, funded and evaluated at UC Davis. This has led to great confusion within the campus regarding how centers and institutes are established, and who is accountable for ensuring the quality and relevance of centrally supported research activities. In response to this situation, the UC Davis Academic Senate in partnership with the Administration is creating a joint task force to evaluate and make recommendations for new campus guidelines for research centers and institutes. The joint task force will have two members from the Committee on Research and will come up with a summary of recommendations for policies and guidelines for administering campus research units and strengthening interdisciplinary interactions. The following aims will be discussed and evaluated:

1. What is the role of research units in advancing UC Davis as a world-class research university?
2. What are the roles and expectations of Academic Senate faculty, Academic Federation faculty, post-doctoral scholars, and graduate and undergraduate students in research units?
3. What basic management principles should underlie the design and operation of research centers, including but not limited to financial operations and human resources?

### **Faculty Effectiveness Questionnaire:**

COR developed a questionnaire, approved by the Academic Senate Executive Council in May 2015, regarding faculty effectiveness and morale that was distributed to all Academic Senate and Academic Federation faculty in December 2015. In 1997, the University of California Academic Senate Welfare and Morale Committee prepared a study called "The Deteriorating Environment for Conducting Research at the University of California". As we recover from the recession, anticipate significant increases in student and faculty numbers in the 2020 Initiative, and cope with reduced federal funding, over-commitment, and burnout, the Academic Senate and Academic Federation Committees on Research wanted to solicit from all faculty feedback related to research challenges, frustrations and opportunities faculty perceive at UC Davis. COR will use the input and responses to understand what the community can do to support faculty to achieve research aspirations and serve our stakeholders. The survey results and analysis were submitted to Senate Chair Knoesen in July 2016.

Respectfully submitted,

Janet Foley, Chair  
Paul Ashwood  
Robert Brosnan  
Frederic Chedin  
Nicholas Curro  
Lorien Dalrymple  
Diana Davis  
Roland Faller  
Dietmar Kueltz  
Delmar Larsen  
Maria Louise Marco  
David Pleasure

Natarajan Sukumar  
Brian Trainor  
Michael Lerche, Academic Federation Representative  
Harris Lewin, Vice Chancellor for Research (Ex-officio)  
Kimberly Pulliam, Analyst

## Annual Report: Academic Year 2015-16

### Davis Division: Academic Senate

#### Undergraduate Council

Total Meetings: 19	Meeting frequency: Two hour meetings were held every other week during the fall, winter and spring quarters.	Average hours of committee work each week: Chair: 10-12 hrs/week. Members: varies.
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<p>Total Business Items Reviewed:</p> <p style="text-align: center;">69</p> <p>(19 undergraduate program reviews, 2 special program reviews, 24 general education reviews)</p>	<p>Total Items Carried Over from the 2014-15 Year:</p> <p style="text-align: center;">8</p> <ul style="list-style-type: none"> <li>• Academic Integrity</li> <li>• Academic concentration transcript notation implementation</li> <li>• Addressing assessment in UIPR and GE reviews</li> <li>• Interdepartmental Human Rights Major Proposal</li> <li>• 2013-14 Athletics Report</li> <li>• UGC Policy for Establishment, Disestablishment, &amp; revision of Academic Degree Programs</li> <li>• Department Reconstitution Proposal for Chemical Engineering &amp; Materials Science</li> <li>• Special Academic Program Request for Establishing International &amp; Academic English</li> </ul>	<p>Total Projects Deferred to the 2016-17 academic year:</p> <p style="text-align: center;">1</p> <ul style="list-style-type: none"> <li>• “Closing the loop” responses from Provost re: Cluster 1 reviews</li> </ul>
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Listing of bylaw changes proposed: Revision of Davis Division Bylaw 121 regarding clarification of membership with the proposal sent to CERG and now waiting for their response.

Listing of committee policies established or revised:

- Undergraduate Council approved their Policy for Establishment, Disestablishment, & revision of Academic Degree Programs which includes specific requirements and expectations for proposals.

Procedural changes recommended for the coming year: None

Issues reviewed and considered by the committee:

1. Athletics Reports
2. Proposal to Establish Interdepartmental Program for Human Rights
3. African American and African Studies Departmental Status Proposal
4. American Studies Departmental Status Proposal
5. Graduate School of Management Proposal to Establish a Business Management Major
6. Proposal to Establish a Minor in Public Health Sciences
7. Proposal for Reconstitution of the Department of Chemical Engineering & Materials Science
8. Proposal to Establish a Special Academic Program in International and Academic English
9. Proposal to Suspend Admissions to Fiber & Polymer Science
10. Sexual Violence & Sexual Harassment Policy
11. Professor of Teaching \_\_\_\_ Proposal
12. PPM 320-21 Student Records Proposed Amendment
13. Retirement Options
14. Senate Regulation Amendments 417 and 621
15. Revised UIPRC Self-Review Template Section 8 (to more specifically assess PLOs)
16. Student Life and Co-Curricular Experiences Implementation Plan
17. Academic Integrity Concerns and Revision of Code of Academic Conduct
18. Cluster 2 Undergraduate Program Reviews (19)
19. Special Academic Program Reviews for First-Year Seminars and University Honors Programs
20. Special Academic Programs Committee Review of Courses Proposed by Special Academic Programs without a College Educational Policy/Courses Committee
21. Addition of Humanities Program to Special Academic Program Review Schedule
22. General Education Assessment for Cluster 1 and 2 Programs
23. Revisions to UIPR Assessment Commencing in Cluster 3
24. Revisions to GE Assessment Commencing in Cluster 3
25. Closing the Loop Responses for Cluster 1 Programs (only rec'd from programs, no Provost or Dean responses except for CAES Dean)
26. AP Credit (from UCEP)
27. Innovative Learning Technology Initiative (from UCEP)
28. Budget Model Concerns

**Committee's narrative:**

Undergraduate Council (UGC) has statutory authority over undergraduate education and programs. This includes establishing policy for undergraduate education on the Davis campus, as well as developing and reviewing campus-wide educational objectives and criteria for evaluating educational effectiveness; establishing policy and exercising authority to approve or not approve establishment and discontinuation of undergraduate programs; authority on academic disqualifications and or/dismissals, and authority over undergraduate transcript notations. Undergraduate Council also considers and reports on matters referred to it by the Chief Campus Officer, the Chair of the Division, the Representative Assembly or any other standing committee of the Davis Division, or by

the Faculty of any college or school located wholly or in part on the Davis campus; initiates appropriate studies and makes reports thereon involving undergraduate educational policy; and identifies one of its members for nomination to serve as the divisional representative to the University Committee on Educational Policy and one of its members for nomination to serve as the divisional representative to the University Committee on Preparatory Education.

Four subcommittees report to the UGC: The Committee on General Education, chaired by Daniel Cebra; Special Academic Programs, chaired by Alessa Johns; The Undergraduate Instruction and Program Review Committee, chaired by Edward Dickinson; and The Committee on Preparatory Education, chaired by Robert Newcomb.

The Committee on General Education felt it was important to give feedback to each program that has submitted data, so committee members reviewed data from Cluster 1 programs from the 2014-15 academic year as well as the Cluster 2 programs that submitted data this year. The committee also revised the general education assessment template so that it is specific to each program. Each program's template clearly states from which classes GEC would like data, and that data includes the syllabus, assignments, student work samples (with names redacted), and a brief statement explaining how the submitted work meets each designated literacy. The GEC also asks each program in the Cluster to self-assess all GE designated courses to determine whether or not they still meet GE designations.

The Special Academic Programs Committee reviews programs that award academic credit but do not offer an undergraduate degree. Chaired by Alessa Johns, the committee this year reviewed the University Honors Program and First-Year Seminars. The Davis Honors Challenge (DHC) and the Integrated Studies Honors Program (ISHP) were recently folded into a significantly new University Honors Program (UHP), and 2014-2015 was the first year of the merged and reorganized UHP; therefore, considering the recent reorganization, committee agreed to the program completing a truncated review this year with another review again in 2017-18 when the program has had more time to become fully established.

The Undergraduate Instruction Program Review Committee, chaired by Ed Dickinson, completed their review of all nineteen Cluster 2 programs and submitted reports to UGC. Letters with review summaries and recommendations were sent from UGC to the Provost in June. The UIPR committee also revised the self-review template to include more specific assessment of Program Learning Outcomes. This new template will be used in the 2016-17 academic year with Cluster 3 programs.

The Committee on Preparative Education, chaired by Robert Newcomb, continued to discuss TOEFL scores of international students and how to appropriately and accurately assess the English language skills of international students. The committee felt that in for more adequate assessment, the format of data is important and drafted a formal request to the Academic Senate Chair requesting BIA to provide specific data including SAT scores broken down by quantitative, verbal, and analytic writing; TOEFL scores from at least the past three years by category; GPA of international students by quarter. This discussion will continue next year once data are received.

UGC's counterpart at the UC system-wide level is the University Committee on Education Policy (UCEP). This committee meets once per month at the University of California Office of the President in Oakland. UGC chair Ed Caswell-Chen served as the Davis Divisional representative to UCEP, and in this capacity provided regular updates



to the UGC about issues relating to undergraduate education on UC campuses system wide.

UGC this year finalized their policy for Establishment, Disestablishment, & Revision of Academic Degree Programs which includes specific requirements for proposals. Drafting of the policy began last year but was finalized and distributed to the campus winter quarter 2016.

Campus concerns over academic integrity and student cheating continued this year, with UC Davis being noted in publications as having a high occurrence of cheating among international students. UGC determined the initial step to be taken should be to revise the Code of Academic Conduct to bring it into more current terms. A workgroup including UGC members, Graduate Council members, and the Student Judicial Affairs Director held meetings to discuss the weaknesses in the current policy, the current issues on campus, and how to revise the document to make it more clear to students. The workgroup completed a revised Code of Academic Conduct by July 1 to be used in student orientations beginning July 8. A special committee to further consider academic integrity issues will be formed next year, and that committee will review the revised Code of Academic Conduct to determine if further revision is necessary.

UGC program reviews continued to highlight recurring resource issues, with many of the issues arguably related to the implementation of the budget model. UGC strongly feels that these issues will lead to deterioration of UC Davis' undergraduate programs and reputation. Accordingly, UGC wrote the Academic Senate Chair requesting that the Executive Council ask the administration to review and modify the budget model.

Respectfully submitted,

Edward Caswell-Chen, Chair

Josephine Andrews

Colleen Bronner

Daniel Cebra

Edward Ross Dickinson

Annaliese Franz

Alessa Johns

Lynn Kimsey

Gregory Miller

Jeanette Natzle

Gabrielle Nevitt

Robert Newcomb

Jon Rossini (Ex-Officio – Admissions and Enrollment)

Joan Stayboldt Frank (Academic Federation Representative)

Angela Linderholm (Academic Federation Representative)

Carolyn Thomas (Ex-Officio – Vice Provost & Dean for Undergraduate Ed)

Elias Lopez (Ex-Officio – University Registrar)

Brian Riley (GSA Rep)

Debbie Stacionis, Undergraduate Council Analyst

## Annual Report: Academic Year 2015-16

### Davis Division: Academic Senate

#### General Education Committee

Total Meetings:	Meeting frequency:	Average hours of committee work each week:
12	As needed	varies

Reviewed the following:	Items carried over from last year:	Items deferred to the coming academic year:
<ul style="list-style-type: none"> <li>The previously established GE assessment process</li> <li>The Cluster 1 Programs' GE data (14 programs)</li> <li>Cluster 2 programs' GE data (12)</li> <li>GE literacies and interpretations</li> </ul>	none	Revision of regulation interpretations.

#### Listing of bylaw changes proposed:

none

#### Listing of committee policies established or revised:

None

#### Issues considered by the committee:

Refocus goals of the committee and GE assessment

Resolution of issues from previous GE reviews

Development of procedures for ongoing assessment of General Education with a focus on streamlining and clarifying the process

Develop reports to programs

Develop overall assessment report for each Cluster

Revision of regulation interpretations

Predetermination of courses to be used for GE assessment

#### Committee's narrative:

The General Education Committee (GEC) is a committee of the Undergraduate Council. The committee is charged with the responsibility of supervising the General Education (GE) program by: establishing the criteria that govern certification of courses for the GE program; periodic review of the rosters of courses that are approved for GE credit and the inclusion of these courses in the General Catalog along with other appropriate information regarding General

Education; determining the extent to which multidisciplinary individual majors satisfy GE requirements in the components of the GE program; actively promoting the development of new GE courses and clusters; continuous review of the effectiveness of the GE program and of advising the Representative Assembly on matters relating to the GE program including desirable changes to regulations and bylaws.

The 2015-16 committee priorities were to refocus and revise the assessment process for GE. In order to do this, the committee first looked at past assessment practices and procedures and determined areas of concern. Those concerns included:

- Lack of faculty awareness of GE requirements for courses
- Poor assessment tools to determine delivery of GE requirements
- Lack of ways to assess if students are actually achieving stated GE goals
- Lack of feedback to programs after GEC assessment of submitted data
- Lack of consistent format in submitted data from programs
- Lack of understanding by programs as to which classes to include in data
- Literacies chosen for review did not match well with programs being reviewed
- Lack of a clear system for GEC to assess submitted data

The committee decided to look at data from both Cluster 1 (collected in 2014-15) and Cluster 2 (collected in January 2016). It was determined that GEC members would be assigned a literacy to assess, rather than assess by program. From the collected data, GEC members looked at syllabus, assignments, and student work and determined if those fit into the following categories that were on a created grid: "Exceed Expectations", "Meet Expectations", "Could be Improved". Results and an overall report for each literacy was written by members and discussed at committee meetings. A letter was then written to each program in both clusters 1 and 2 giving feedback on the committee's findings. These letters were presented to UGC before being sent to the program chairs, Deans, FEC chairs, VP & Dean of UGE, and Provost.

For future GEC reviews, the committee agreed to continue to assess each program every seven years to coincide with the UIPRC program reviews. Information for the GEC assessment will be included in the UIPRC Cluster Review Kickoff Meeting each year, with that meeting happening in March so that data can be collected from courses taught in the spring quarter of that academic year and fall quarter of the following academic year. The list of all GE courses, along with literacies and enrollments by quarter, will be sent from the Registrar's office to GEC in late winter quarter but prior to the Kickoff Meeting (February). Each program's customized GE Self-Review Template will be posted on the Academic Senate GEC webpage prior to the Kickoff Meeting and will include specific courses from which GEC requests data as well as specific data requested. Programs also will self-assess every currently approved GE course to determine whether or not courses still meet the requirements. If courses are found to not meet the requirements, programs have the options to revise the curriculum to meet requirements, request a change in designation from COCI, or remove designation.

Respectfully submitted,

Daniel Cebra, Chair  
Ricardo Castro  
Zhi Ding  
Laurie Ann San Martin  
Jan Szaif  
Becca Thomases  
Huaijun Zhou  
David Michalski, Academic Federation Representative  
Debbie Stacionis, Committee Resource Analyst

# Annual Report: Academic Year 2015-2016

## Davis Division: Academic Senate

### Committee on Special Academic Programs

Total Meetings: 3	Meeting frequency: As Needed	Average hours of committee work each week: Varies
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Total Issues Reviewed: 4	Total of reviewed issues deferred from the previous year: 0	Total issues deferred to the coming academic year: 0
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#### **Listing of bylaw changes proposed:**

None

#### **Listing of committee policies established or revised:**

None

#### **Issues considered by the committee:**

Schedule for review of the special academic programs on campus

Academic Senate Chair request regarding SAP course review

First-Year Seminars Program Review

University Honors Program Review

#### **Recommended procedural or policy changes for the coming year:**

None

### **Committee's narrative:**

This committee on Special Academic Programs is a subcommittee of the Undergraduate Council. The committee is charged to oversee all special undergraduate academic programs on the UC Davis campus and to advise faculty and the administration on the establishment and operation of newly initiated programs. The committee is also charged to review periodically all programmatic functions of the special academic programs, including but not limited to the publications of material defining/describing the program, the recruitment, orientation and advising of students in each program, guidance in the selection of mentors for such students, coordination of special activities, oversight of the general welfare of said students, and the effectiveness of the programs in meeting their stated educational objectives.

The committee's priorities for 2015-16 were to review the First-Year Seminars Program and the University Honors Program. These programs were notified of their reviews in June 2015 and were sent the self-study template containing the list of questions to be answered and returned by October 1, 2016.

The Davis Honors Challenge (DHC) and the Integrated Studies Honors Program (ISHP) were folded into a significantly new University Honors Program (UHP), and 2014-2015 was the first year of the merged and reorganized UHP; therefore, considering the recent reorganization, the SAP agreed to the program completing a truncated review this year with another review again in 2017-18 when the program has had more time to become fully established.

The committee also reviewed the First-Year Seminars Program (FYS), and after reviewing the report, SAP members determined that they would like to look more closely at specific seminars that were taught in spring 2015. Each committee member chose two of the seminars and then requested and reviewed the syllabus and student evaluations from those chosen seminars and reported their findings back to the committee.

When the self-study reports for UHP and FYS were received, the committee had several questions so invited UHP Director and Associate Dean for Undergraduate Education Dave Furlow to the November meeting where he gave a presentation and then answered questions from committee members. Final reports for both UHP and FYS were written and finalized by the committee and presented to Undergraduate Council in April 2016.

The committee also reviewed and revised the SAP review schedule. It was discovered that the Humanities Program, which meets the criteria for a Special Academic Program, has not been reviewed in the past, so that program was added to the 2016-17 schedule. The Internship and Career Center was moved to the 2016-17 academic year, and the Study Abroad Program was added to the schedule for the 2017-18 year. The revised review schedule will be posted on the Academic Senate Special Academic Programs' webpage.

Respectfully submitted,

Alessa Johns, Chair  
Raul Aranovich  
Joshua Hihath  
Mark Rashid  
Robert Taylor  
Robert Randolph, Academic Federation Representative  
Debbie Stacionis, Analyst

## Annual Report: Academic Year 2015-2016

### Davis Division: Academic Senate

#### Committee on Preparatory Education

Total Meetings: 3	Meeting frequency: Upon demand.	Average hours of committee work each week: No weekly requirement. Hours dependent on issues.
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Total issues reviewed: 2 <ul style="list-style-type: none"> <li>• Department of Mathematics placement exam</li> <li>• the Test of English as a Foreign Language (TOEFL)</li> </ul>	Total of reviewed issues carried over from the previous year: 3 <ul style="list-style-type: none"> <li>• Department of Mathematics placement exam</li> <li>• Davis Division Bylaw 121.change</li> <li>• Davis Division Regulation 521</li> </ul>	Total requests to review issues carried over to the coming academic year: <ul style="list-style-type: none"> <li>• TOEFL Scores</li> <li>• ELWR exceptions process &amp; criteria</li> <li>• Increased involvement in admissions</li> <li>• STEP program</li> </ul>
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#### **Listing of bylaw changes:**

DDB 121 (approved at February 25 RA mtg)

DDR 521 (approved at February 25 RA mtg)

#### **Listing of committee policies established or revised:**

None

#### **Issues considered by the committee:**

Annual Report by Department of Mathematics on math placement examination

The Test of English as a Foreign Language (TOEFL)

#### **Recommended procedural or policy changes for the coming year:**

None

#### **Committee's narrative:**

The committee is a subcommittee of the Undergraduate Council. The charge of the committee is to:

- Monitor and conduct periodic reviews and evaluations of remedial education

- Oversee the administration of the examination in Subject A and related remedial courses on the Davis campus
- Oversee the use of placement examinations in mathematics,
- Be responsible for implementation of University Academic Senate Regulation 761 on the Davis campus
- Monitor and conduct periodic reviews and evaluations of the English as a Second Language Program on the Davis campus.

In the 2015-16 academic year, the committee continued discussion on the most convenient and efficient way to receive periodic reviews of the Mathematics Placement Examination. The committee determined that requesting that the exam be included as a formal prerequisite, with enforcement in the Registrar's Office, would be a solution. A letter to the Academic Senate Chair with this request was to be drafted.

Concerns have been raised regarding the impact to UC Davis due to increased international students and national attention to false TOEFL scores at US universities. The committee continued discussions regarding TOEFL scores of international students at UC Davis and the cut-off TOEFL scores used for admissions purposes. Until recently UCD only considered the overall TOEFL score, not subset scores, and overall scores do not appear to be predictive of student success. The trend among U.S. universities to use subset scores for admissions.

A meeting was held in September with the chairs and support staff of the Academic Senate, Admissions and Enrollment, Undergraduate Council, Graduate Council, and Preparatory Education. At this meeting, it was determined that PEC take the lead on drafting the policy for the campus and draft the formal request for data. The committee felt that the format of data is important and drafted a formal request to the Academic Senate Chair requesting BIA to provide specific data including SAT scores broken down by quantitative, verbal and analytic writing; TOEFL scores from at least the past three years by category; GPA of international students by quarter.

The committee expects to receive this information during the summer and will then use the data in the next academic year to determine next steps toward drafting the policy for UCD to use subset scores for admission and determine what the minimum subset scores for each category will be.

Respectfully submitted,

Robert Newcomb, Chair  
Joseph Biello  
Janko Gravner  
Denise Kroll  
Richard Levin  
Erin Easlon, Academic Federation Representative  
Debbie Stacionis, Analyst

# Annual Report: Academic Year 2015-16

## Davis Division: Academic Senate

### Committee on Undergraduate Instruction and Program Review

Total Meetings: 7	Meeting frequency: As needed with most in spring quarter	Average hours of committee work each week: varies
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Total of Undergraduate Programs Reviewed: 19	Total deferred from the previous year: 0	Total deferred to the coming academic year: 0
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Listing of bylaw changes proposed:
None

Listing of committee policies established or revised:
Conflict of Interest Policy revised

Issues considered by the committee:
<ul style="list-style-type: none"> <li>• Program reviews for Cluster 2 programs</li> <li>• Review process for minor programs – whether or not to include review teams</li> <li>• Revision of Conflict of Interest Policy</li> <li>• Revision of Self-Review template to include PLO assessment</li> <li>• Review team member selection for Cluster 3</li> </ul>

Recommended procedural or policy changes for the coming year:
Going forward, reviews of minors will not include review teams

### **Committee's narrative:**

The committee on Undergraduate Instruction and Program Review is a subcommittee of the Undergraduate Council. The committee is charged with conducting continuous and timely program reviews to study effectiveness and efficiency of undergraduate instruction on the campus, stimulate efforts to foster, recognize, and reward good teaching, and to make recommendations for improvements thereto. The committee also evaluates undergraduate programs to ascertain that the established educational objectives for programs have been addressed in a meaningful way. The committee works with the Office of the Provost to insure that undergraduate program reviews are considered in the planning and support of campus activities.

This was the second year of implementation of the revised program review process which includes a review team consisting of one UCD faculty member and a faculty member from another campus. Responses to the final recommendations from UGC at the conclusion of the reviews are also expected from the Provost, deans and program chairs. General Education assessment continues to be included for the programs in the Cluster being reviewed.

Program reviews took one year to complete with programs taking fall quarter to complete the self-review, review team members visiting and evaluating programs in winter and early spring, and UIPR completing and forwarding their reports to Undergraduate Council (UGC) by June. Those reports were then sent to the Provost, and meetings are being scheduled with the Provost, deans and program chairs to determine



how to address recommendations from UGC. The Provost's office is to notify UGC of actions taken, and UGC maintains a record for reference by the programs for the next review.

In academic year 2015-2016 UIPRC reviewed programs in Cluster 2, including nineteen majors in thirteen departments in three colleges. Each committee member was assigned one review to host. Along with writing reports on their assigned reviews, committee members were required to attend welcome dinners the night before reviews commenced, breakfasts the first day of the review, and exit meetings with the review team members and program members. Committee meetings were held to discuss each program review and approve the final committee report.

Committee members reviewed the following materials for each program: the completed self-review from the program, the review team reports, and any correction of fact from the program to the review team reports. For each program, UIPR committee members prepared a report providing a summary of the program's strengths and weaknesses, and recommendations for areas of concern. The reports were then posted for review by all members of the UIPR committee, finalized and approved at committee meetings, and then forwarded to Undergraduate Council (UGC).

In March the committee chair, analyst, and GE committee chair held a review kickoff meeting with Budget & Institutional Analysis (BIA) and Cluster 3 program representatives to discuss the program review process and identify what information would be provided by BIA to programs to assist them in completing reviews. BIA is the office of record for the appendices (data) and is responsible for sending the data reports to the home departments in September with a courtesy copy to the UIPR analyst in the Academic Senate office. Program representatives also had the opportunity to request any additional data they may require from BIA. Also in March, programs and Faculty Executive Committees and Deans were requested to submit nominations for review team members. Those nominations were reviewed by UIPR and ranked in the order in which the committee would like them to be invited. Invitations will be sent in the summer so that programs can be notified of review team members and dates of their review in fall 2016. Two programs in Cluster 3 are minors that are not directly connected to a major. After discussion between the committee and those programs, the committee determined that those program reviews will not include review teams.

Some CLAS Cluster 2 programs have analogous majors such as Chemistry, Chemical Physics, Pharmaceutical Chemistry, and applied Chemistry. It was determined that the CLAS programs will have one review team for all Physics majors, one team for all Mathematics majors and one team for all Chemistry majors, but review teams will be asked to do one overall report with smaller separate reports for each of the individual majors. For the three CBS majors, since they have so many overlapping faculty, it was determined that each major have its own review team, but all reviews were scheduled on the same days to reduce faculty meeting commitments.

Working February through May, the committee completed and submitted all of the following Cluster 2 reports to Undergraduate Council.

CAES:

- Hydrology
- Atmospheric Science
- Environmental Toxicology

CBS:

- Biochemistry and Molecular Biology
- Cell Biology
- Genetics and Genomics

CLAS:

- Chemistry (with Chemical Physics, Pharmaceutical Chemistry, and Applied Chemistry)
- Computer Science
- Geology

- Mathematics (with Applied Mathematics and Mathematical Science and Computation)
- Natural Sciences
- Physics (with Applied Physics)
- Statistics

Additional committee business this year included the ranking of Cluster 3 review team nominations, revising the Conflict of Interest Policy to be more explicit, and revising the Self-Review Template to include better assessment of Program Learning Outcomes.

Respectfully submitted,

Edward Ross Dickinson, UIPRC Chair  
 Hsin-Chia Cheng  
 Elizabeth Constable  
 William DeBello  
 Jan Dvorak  
 Janko Gravner  
 Mark Kessler  
 Steve Lewis  
 Tim Lewis  
 Frank McNally  
 Ben Shaw  
 Elina Lastro Nino, Academic Federation Rep  
 Debbie Stacionis, Academic Senate Analyst

June 29, 2016

**To:** Executive Council  
**From:** André Knoesen, Academic Senate Chair  
**RE:** Special Committee on Athletics Report Recommendations Follow Up

During the May 20, 2016, Special Representative Assembly meeting, an Academic Senate member expressed concern that the Academic Senate may have not followed up on some of the recommendations in the April 17, [2012 Special Committee on Athletics amended report](#).

This communication is a status report regarding how recommendations have been implemented to date and points out remaining concerns.

Report recommendations that fall within direct authority of the Academic Senate have been implemented. Most of the recommendations requiring joint efforts between the Administration and the Academic Senate have been addressed. The ICA budget remains a work in progress.

The following is a summary of the main recommendations and action to date.

- **Oversight and Governance:** Intercollegiate Athletics (ICA) began reporting directly to the Chancellor's Office in 2012-2013. Prior to that period, and when the 2012 Special Committee on Athletics Report provided recommendations, ICA reported to the Vice Chancellor Student Affairs. The Athletics Advisory Committee (AAC) replaced the Athletics Administrative Advisory Committee (AAAC) and reports jointly to the Chancellor and Divisional Chair. The last Faculty Athletics Representative (FAR) recruitment resulted from a joint Senate/Administration committee. The FAR and Divisional Chair meet quarterly. As needed, and determined by the Divisional Chair, the FAR briefs the Executive Council and Representative Assembly on matters of concern. The Chancellor and Divisional Chair depends on the AAC to fulfill its role in overseeing athletics at UC Davis including bringing forward concerns and recommendations. The Chancellor and Divisional Chair meets with AAC in fall and spring each academic year to ensure open avenues for communication.
- **Support for the principles of intercollegiate athletics:** When the [Representative Assembly endorsed the report in 2012](#) the Division affirmed support for the principles stated in the report.
- **Strengthen administrative processes to enable easy verification that all approvals have been provided for each ICA Admit by Exception request:** The Admit by Exception (ABE) administrative processes have been strengthened according to University Admissions Officer Walter Robinson (see Quarterly Reports below for additional comments).
- **Amendment of SARI reports (Academic Senate Athletics Performance Report):** The official title of the "SARI Report" is now the Academic Senate Athletics Performance Report. The report was updated as recommended in the Special Committee Report. The updates were based on recommendations from the FAR, Undergraduate Council and others. In addition to the annual

review of the Undergraduate Council, starting 2014-15 the report is also annually reviewed by the Committee on Admissions and Enrollment.

- **Quarterly Report of ABE applicants (ICA and non-ICA):** The Academic Senate has repeatedly requested a quarterly report from the Admissions Office. While, the Admissions Office willingly provides data when requested on all facets of admissions including ABE, to date quarterly reports have not been delivered. In 2016-2017, the Committee on Admissions and Enrollment and Undergraduate Council should either formulate the submission of this report or determine why a quarterly report is not needed, and if so, what else is needed to monitor the use of ABE. The results of the review are to be reported, in writing, to the Executive Council to create a paper trail.
- **Reporting of ICA admissions and academic standards concerns to the Academic Senate:** Mechanisms are in place to encourage reporting of concerns to the Academic Senate. For example, the AAC reports to the Chancellor and Academic Senate Chair jointly which is reinforced through meetings with the Chancellor and Academic Senate Chair at least 2 times per year. The FAR meets routinely with the Academic Senate Chair and provides an annual report to the Academic Senate, and as indicated previously the Academic Senate Athletics Performance Report is annually reviewed by Undergraduate Council and Committee on Admissions and Enrollment.
- **Annual review of the Academic Senate Athletics Performance Report (formerly the SARI Report):** The AAC, Committee on Admissions and Enrollment and Undergraduate Council all receive the report annually. Report(s) are made to the Executive Council, if the Committee on Admissions and Enrollment and/or Undergraduate Council review identifies concerns, The AAC is expected to report concerns to the Chancellor and Divisional Chair. This year, both committees have reported their review findings to the Divisional Chair regardless of outcome. I recommend continuation of this practice.
- **Policy and processes on admissions of prospective student athletes who are likely UC eligible and sponsored by ICA. Holistic review of admissions files for prospective student athletes:** The Committee on Admissions and Enrollment has worked with the Admissions Office to clarify the process and assure a current understanding. The committee has also confirmed the holistic review process is engaged when student athlete applications are reviewed. Additional discussion and improved understanding regarding this matter is needed.
- **Allocation of financial and material resource allocation to ICA:** As with all financial matters, the Academic Senate routinely consults with the administration concerning the ICA budget. Since 2012, each Academic Senate Chair has discussed ICA budgeting and the need for a sustainable ICA funding model and that PE (Physical Education program). The chairs have consistently expressed the opinion that as an academic program, PE should be administered independent of ICA, and there should be complete separation of appointments and funds between the ICA and PE program. The Committee on Planning and Budget has been provided the ICA budgets

through its standard processes and is able to make recommendations to the Provost/Executive Vice Chancellor. The Academic Senate Chair has monitored the process including participation in the ICA annual budget meeting with the Provost/Executive Vice Chancellor and the resultant annual budget allocations provided by the Provost/Executive Vice Chancellor.

In 2010-11 during the peak of the budget cuts the general fund was reduced from the PE program and expenses were shifted to ICA funds. In consultation with Budget and Institutional Analysis (BIA) in 2010-11 and 2011-12 SASI funds were indeed used to support instructional costs for the PE program. Since there was, and continue to be, much scrutiny of PE and ICA ever since the major cuts and the elimination of the sports the Office of Campus Counsel and Office of General Counsel were asked to carefully review the fund sources. Following this review, the campus administration was advised that SASI was not an appropriate fund source for the PE program. Upon advice of general counsel, in 2012-13, the campus made a correction prior to fiscal close to move PE expenses to a different ICA fund source. The SASI funds for PE were replaced not by central campus funds, but by funds generated by ICA itself. Then in 2013-14 two actions were taken: 1) the campus began allocating general funds for PE as part of the campus budget process. SASI funds have not been used for PE expenses in any years since 2012-13, and 2) BIA took the step to retroactively document which changes should have been applied to the fund source for PE expenses from 2010-11 and 2011-12. Given the complexity of the issue, BIA took the step of documenting this in detail, see Appendix A, to create a record, retroactively, regarding the revenue neutrality and to create a record for the go-forward. The reallocation of PE expenses from SASI to ICA Generated Revenue was shown to be revenue neutral for each fund source individually and the overall ICA budget. Note, expenses were *not* literally moved in the financial system -- doing so against a closed fiscal year is a very unusual circumstance usually reserved for a material audit finding. Upon recommendation of Executive Council the Executive Assistant Athletics Director was recently asked to confirm that the campus general funds subsidizing athletics was correctly reported to the Department of Education (DOE) via the Equity in Athletics Disclosure Act (EADA) reports. The response was that campus funds used for intercollegiate athletics activities have been reported in EADA report consistent with Department of Education guidelines and that the funds for PE is not part of this report. And, that DOE does not break out the source of the funding but UC Davis did include the institutional support within our reported totals. On September 9, 2013, the BIA unit produced a budget analysis "What steps might be taken to improve financial stability for Intercollegiate Athletics" dated. In 2014-2015 and 2015-2016, SASI funds have not been spent on lecturer/coach salaries and benefits. Processes are now in place to ensure that SASI funds are never used for the PE program. The administration has partnered with ICA to develop new revenue sources (including the Provost/Executive Vice Chancellor providing some institutional bridging funds and investments to enable more fundraising) and reduce expenses to ensure a balanced budget.

- **General recommendation on the need for a thorough budget analysis and modeling as part of strategic planning for ICA:** As sited above, the budget analysis was produced. The Athletic Director is responsible for the ICA budget and strategic planning. The Academic Senate will work through the Committee on Planning and Budget and AAC to encourage the new Athletic Director to provide a multi-year, all funds, ICA budget, and strategic plan.
- **Funding the lecturer portion of a teacher/coach appointment should count as with other academic units and be included in general fund allocation as well as PE program funding all**

**lecturer appointments rather than flowing through ICA:** Contrary to the recommendation of the 2012 Special Committee on Athletics, the 2013 Budget and Institutional Analysis Unit's budget analysis indicated the PE courses would not be funded using the undergraduate tuition budget model that allocates funds to the dean, instead the program receives a separate Provost Allocation. The PE is housed in Division of Social Science (DSS) and PE instructional funds are allocated to DSS accounts.

- **Avoidance of further erosion of the percentage of appointment as a lecturer for each teacher/coach.** Former coach/lecturers may be retained as lecturers in PE. Coach/lecturers are represented by the Unit 18 bargaining unit and as such are entitled to all rights associated with this classification, including those related to continuing lecturers. The rights are described in [http://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix\\_2011-2015\\_07c\\_continuing-appointments.pdf](http://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_2011-2015_07c_continuing-appointments.pdf). The benefit and salary expenses paid to lecturers who are former coaches are paid from general and/or Summer Sessions funds. The funds used to pay the salary and benefit expenses for these individuals are allocated to the PE budget as both one-time and on-going funds. At present, PE has approximately \$680,000 in general funds and \$82,000 Summer Sessions in on-going funds. PE has also been receiving approximately \$1.5 million annually in one-time general funds to bridge the gap between on-going (available) funds and actual expenses. Fixed cost increases (salary and benefits) are covered in two ways: PE receives on-going funding for fixed cost increases in accordance with how general fund fixed costs are allocated to all other campus units; and campus provides PE with one-time funding to bridge the gap between on-going (available) funding and actual expenses. Generally, all head coaches have a lecturer appointment, while assistant coaches may hold lecturer appointments. The number of assistant coaches holding this title has declined in recent years with only 3 currently holding that designation. The PE allocations has been noted as a line item on the annual campus allocation letter the last two years. The minimum lecturer appointment is currently 32%. Currently, PE appointments are as follows: 1 coach with a 32% appointment, 13 with a 35% appointment, 6 with a 50% appointment and one coach grandfathered in under PE Supervisor. The additional PE the teaching staff consists of 7 former coaches with 50% appointments, 6 former assistant coaches (one with 100%, one with 52%, one with 51%, two with 50%, and one with 33%), and 3 continuing lectures (two at 51% and one at 11% appointment).
- **Stronger ties between the FAR and Academic Senate:** As discussed above, the Academic Senate and FAR have worked to strengthen interaction and will continue to meet regularly.

Finally, while the PE program receives funding via Provost Allocation, the administration has indicated that they would like to partner with the Academic Senate, the PE Program, and ICA to develop a financially sustainable long-term strategy for funding PE.

**Appendix A: October 13, 2015 letter: Student Activity and Services Initiative (SASI) fees**

## UC Davis Memorandum

**DATE:** October 23, 2014

**TO:** Mike Allred, Controller

**FROM:** Kelly Ratliff, Senior Associate Vice Chancellor *K. Ratliff*

**CC:** Anissa Nachman, Director, Administrative Budget and Budget Operations

**RE:** Student Activity and Services Initiative (SASI) fees

---

Dear Mike,

I am writing to officially memorialize our discovery that Student Activity and Services Initiative (SASI) fees were allocated in fiscal years 2010-11 and 2011-12 to pay instructional costs for the physical education (PE) program by budgetary means that did not optimally align with university practices. The issue is technical in nature, given that revenue and expenses are neutral to Intercollegiate Athletics (ICA) and the respective fund sources.

University policy permits use of student fees, such as SASI fees, for student-related services and programs, such as ICA. Although the PE program is a component of the ICA and a student program, we feel that it is best not to assign instructional expenses to SASI funds, and we have changed our practices to reflect this. In the two subject fiscal years, instructional expenses for PE should have been charged to another fund source in ICA, such as generated income (fund 64400), and non-instructional ICA expenses of the same amount should have been charged to SASI. The amounts in question are \$1.5 million for 2010-11 and \$1.3 million for 2011-12. Additional details about the expenses are provided as an appendix.

In June 2013, the Budget & Institutional Analysis (BIA) office collaborated with staff in Accounting & Financial Services (A&FS) to change these funding sources to align with our new practice. Accordingly, we reassigned \$1.6 million of PE instructional expenses from SASI funds to ICA generated fund source (fund 64400) and reassigned \$1.6 million of non-instructional expenses to SASI funds. This adjustment is reflected in the 2012-13 budget.

In response to this circumstance, BIA will add a step to its local fiscal close process to review SASI fund expenses in ICA prior to close to ensure that expenses are consistent with this new practice.

This memorandum serves as the official record with respect to the change in the accounting of the use of SASI funds for fiscal years 2010-2011 and 2011-2012.

Please let me know if you have any questions.



## Technical note

The primary data system used by UC Davis to manage HR-related records, including personal, appointment and payroll, is PPS, or Payroll Personnel System. However, starting the 2011-12 fiscal year, UC Davis added a labor module in Kuali Financial System (KFS), the campus's accounting and financial system, in order to facilitate actions that could not be performed in PPS, such as expense transfer calculation of composite benefits, among others. For this reason, this data report pulls the data from two sources: for 2010-11 it is PPS and for 2011-12 it is KFS. Specifically,

### For fiscal year 2010-11

- 1) Data source: `parern_v_fy_all` for salary expenditures and `ethtoe_v_fy_2011` for benefit assessment. For both salaries and benefits, the query pulls every payroll transaction paid in that fiscal year by one of the accounts managed by Athletics, using OP fund 20010.
- 2) Each payroll transaction is associated with the payee's title code. All the title codes in PPS are grouped into classifications of title outline or CTO codes. Title codes in a CTO starting with a digit between zero and nine or 'S' are considered an academic title, and those in a CTO starting with an alphabet except 'S' are considered an administrative title. Typically, an academic title code is for teaching, research, instructional assistance and so on. Salary transactions with an academic title code are supposed to have an object code for academic salary, such as SB01-SB08, but the rule had not been strictly enforced, one of the reasons for creating the labor module in KFS.
- 3) In PPS, benefits are assessed for each salary transaction, including social security, Medicare, worker's comp, and the like. It is worth noting that a benefit assessment inherits the object code associated with the salary transaction. A benefit assessment, for instance, would be assigned 'SB01' if its salary transaction had that object code. But when the benefit transactions were posted to the general ledger in the accounting and financial system, the object consolidation was replaced with 'SUB6.'

### For fiscal year 2011-12

- 1) Data source: `labor_transaction` in KFS for both salaries and benefits expenditures. The query pulls every salary and benefit record paid in the fiscal year by one of the accounts managed by Athletics, using OP fund 20010.
- 2) Each payroll transaction is mapped into academic or administrative depending on the payee's title code, same as described above.

KFS assesses a payee's benefit costs based on the payee's salary and a composite benefit rate corresponding to the payee's title code and others. It is supposed to cover social security,

Medicare, worker's comp and so on and is assigned an object code of '8515' and object consolidation of 'SUB6.'

For both years:

GAEL was manually calculated off of salary expenditures based on 2010-11 and 2011-12 UC Davis GAEL rates.

Leave accrual and usage were not included in this analysis and are not likely to be material.

# 2011-12 Benefits on Fund 20010

FIN_CONS_OBJ_CD	FIN_OBJECT_CD	PPS_TITLE_CD	type	SUM(TRN_LDGR_ENTR_AMT)	
SUB6	8515	1630	Academic	\$116,843.55	\$354,220.82
SUB6	8515	1631	Academic	\$228,075.18	
SUB6	8515	1632	Academic	\$9,005.25	
SUB6	8515	1652	Academic	\$279.30	
SUB6	8515	2850	Academic	\$17.54	
SUB6	8515	3802	Academic	\$0.00	
SUB6	8515	786	Administrative	26944.68	
SUB6	8515	4004	Administrative	8453.7	
SUB6	8515	4005	Administrative	348027.35	
SUB6	8515	4007	Administrative	454751.59	
SUB6	8515	4355	Administrative	16635.24	
SUB6	8515	4723	Administrative	10918.74	
SUB6	8515	4919	Administrative	32.8	
SUB6	8515	4920	Administrative	9.9	
SUB6	8515	4921	Administrative	900.69	
SUB6	8515	6203	Administrative	777.56	
SUB6	8515	9458	Administrative	7724.49	

2011-12 Fund 20010 Salary Expenditures

FIN_CONS_OBJ_CD	FIN_OBJECT_CD	PPS_TITLE_CD	type	SUM(TRN_LDGR_ENTR_AMT)	GAEL Rate	GAEL Amou
ACAD	SB01	1630	Academic	222388.72	\$899,974	0.77 \$6,929.80
ACAD	SB01	1631	Academic	446740.06	Total Salary	
ACAD	SB01	1632	Academic	28095.85		
ACAD	SB01	3802	Academic	5951.46		
ACGA	SUBA	1630	Academic	12738.52		
ACGA	SUBA	1631	Academic	25453.23		
ACGA	SUBA	1632	Academic	1685.76		
ACGA	SUBA	1652	Academic	694.77		
ACGA	SUBA	2850	Academic	1137.78		
SB01	SB01	1630	Academic	21625.88		
SB01	SB01	1631	Academic	42700.37		
SB01	SB01	1632	Academic	-1123.81		
SB01	SB01	3802	Academic	-5951.46		
STFB	SUBS	1630	Academic	23608.48		
STFB	SUBS	1631	Academic	3448.04		
SUB0	SB01	1630	Academic	19865.89		
SUB0	SB01	1631	Academic	46612.98		
SUBG	SUBA	1630	Academic	1167.32		
SUBG	SUBA	1631	Academic	2396.13		
SUBG	SUBA	2850	Academic	211.68		
SUBG	SUBG	1632	Academic	0		
SUBS	SUBS	1630	Academic	2163.41		
SUBS	SUBS	1632	Academic	-1636.65		
STFB	SUBS	786	Administrative	91478.97		
STFB	SUBS	4005	Administrative	795306.57		
STFB	SUBS	4007	Administrative	1017357.86		
STFB	SUBS	4355	Administrative	37932.73		
STFB	SUBS	4723	Administrative	24814.85		
STFB	SUBS	9458	Administrative	31392.59		
STFO	SUBG	4004	Administrative	39492.17		
STFO	SUBG	4005	Administrative	0		
STFO	SUBG	4007	Administrative	37848.5		
STFO	SUBG	4723	Administrative	0		
STFO	SUBG	4919	Administrative	2522.25		
STFO	SUBG	4920	Administrative	762.75		
STFO	SUBG	4921	Administrative	68022.04		
STFO	SUBG	6203	Administrative	7176.87		
SUBG	SUBG	4004	Administrative	4746		
SUBG	SUBG	4007	Administrative	5151.52		
SUBG	SUBG	4723	Administrative	0		
SUBG	SUBG	4921	Administrative	1264.07		
SUBG	SUBG	6203	Administrative	1367.77		
SUBS	SUBS	786	Administrative	8316.27		
SUBS	SUBS	4005	Administrative	70433.09		
SUBS	SUBS	4007	Administrative	87111.74		
SUBS	SUBS	4355	Administrative	3448.43		
SUBS	SUBS	4723	Administrative	2346.18		
SUBS	SUBS	9458	Administrative	3009		

int

## 2010-11 Fund 20010 Salary

FAU_OBJ_CC	FAU_OBJECT	TITLE_CODE	TITLE_GROUP	SUM(PAID_AMT)	GAEL		
----	SB0G	1631	Academic	0	\$1,090,876.75	0.77	\$8,399.75
SB01	REG1	1631	Academic	4226.43			
SB01	REX1	2100	Academic	-76552.5			
SB01	SB01	1630	Academic	234506.76			
SB01	SB01	1631	Academic	742712.39			
SB01	SB01	2100	Academic	72469.7			
SB01	SRB1	2100	Academic	4082.8			
SUBG	SUBG	1109	Academic	4500			
SUBG	SUBG	1631	Academic	19578.6			
SUBG	SUBG	1632	Academic	13341.81			
SUBG	SUBG	1652	Academic	8998.32			
SUBG	SUBG	3300	Academic	6436.97			
SUBS	REGS	1631	Academic	5379.09			
SUBS	SUBS	1631	Academic	41376.48			
SUBS	SUBS	1632	Academic	9819.9			
SUBG	BYAG	4926	Administrative	-913.75			
SUBG	OTPG	4921	Administrative	0			
SUBG	OTSG	4921	Administrative	0			
SUBG	REGG	4920	Administrative	0			
SUBG	REGG	4921	Administrative	0			
SUBG	REGG	4926	Administrative	913.75			
SUBG	SUBG	0259	Administrative	0			
SUBG	SUBG	4007	Administrative	15000.04			
SUBG	SUBG	4723	Administrative	0			
SUBG	SUBG	4920	Administrative	37996.3			
SUBG	SUBG	4921	Administrative	109559.51			
SUBG	SUBG	4926	Administrative	16882.62			
SUBG	SUBG	6203	Administrative	4932.86			
SUBG	SUBG	9458	Administrative	0			
SUBS	REGS	0259	Administrative	48489			
SUBS	REGS	4005	Administrative	24496.22			
SUBS	SRBS	0259	Administrative	-969.78			
SUBS	SRBS	4005	Administrative	-489.92			
SUBS	SUBS	0259	Administrative	34635			
SUBS	SUBS	4005	Administrative	911699.78			
SUBS	SUBS	4007	Administrative	992562.94			
SUBS	SUBS	4723	Administrative	19635.95			
SUBS	SUBS	9458	Administrative	80516.08			
SUBS	SUBS	9995	Administrative	6726.25			

## 2010-11 Fund 20010 Benefits

Obj Cons	Object	Title	Title Group	Sum(ben_total)
SB01	REG1	1630	Academic	79076.27
SB01	REG1	1631	Academic	253500.84
SB01	REX1	2100	Academic	0
SB01	SRB1	2100	Academic	0
SUBG	BYAA	3300	Academic	56.65
SUBG	REGA	1109	Academic	502.4
SUBG	REGA	1631	Academic	7129.51
SUBG	REGA	1632	Academic	852.35
SUBG	REGA	1652	Academic	3135.44
SUBG	SKLA	1631	Academic	0
SUBG	STPA	1109	Academic	251.2
SUBS	REGS	1631	Academic	12154.23
SUBS	REGS	1632	Academic	3310.06
SUBG	BYAG	4007	Administrative	349.5
SUBG	BYAG	4926	Administrative	274.1
SUBG	FUTG	4723	Administrative	0
SUBG	FUTG	9458	Administrative	0
SUBG	HOLG	4920	Administrative	0
SUBG	HOLG	4921	Administrative	0
SUBG	OTPG	4921	Administrative	0.62
SUBG	OTPG	6203	Administrative	2.53
SUBG	OTSG	4921	Administrative	1.23
SUBG	OTSG	6203	Administrative	5.08
SUBG	REGG	4920	Administrative	446.48
SUBG	REGG	4921	Administrative	1399.13
SUBG	REGG	6203	Administrative	320.84
SUBG	SKLG	259	Administrative	0
SUBG	SKLG	4007	Administrative	0
SUBG	SKLG	4723	Administrative	0
SUBG	SKLG	9458	Administrative	0
SUBS	REGS	259	Administrative	26405.11
SUBS	REGS	4005	Administrative	302277.33
SUBS	REGS	4007	Administrative	397970.59
SUBS	REGS	4723	Administrative	17875.41
SUBS	REGS	9458	Administrative	31494.69
SUBS	REGS	9995	Administrative	4658.19
SUBS	SRBS	259	Administrative	-153.94
SUBS	SRBS	4005	Administrative	-3038.42
SUBS	SRBS	4007	Administrative	-2331.32
SUBS	SRBS	4723	Administrative	-69.46
SUBS	SRBS	9458	Administrative	-97.65
SUBS	VLAS	4723	Administrative	2467.52

August 30, 2016

**Academic Senate Members**

Davis Division of the Academic Senate

RE: Report from the Chair of the Davis Division

Dear Colleagues,

I wish to convey my appreciation for the opportunity to serve as Divisional Chair these past two years. It is tradition for the Chair at the end of his or her term to report on the health of the Davis Division and shared governance at UC Davis, as well as reflect on the Division's actions and achievements. While the past six months have been tumultuous, the Davis Division met our goals and enjoyed many accomplishments over the past two years. Of course, none of the accomplishments would have been possible if it were not for faculty devoting their time to Academic Senate service. In addition, faculty participation in shared governance was fostered and enhanced when our administrative colleagues became partners in launching joint efforts. Below I would like to highlight some of the achievements over the past two years.

**Faculty Welfare:** For several years, the Davis Division has advocated for salary parity between UC Davis faculty salaries relative to faculty salaries paid by other UC campuses. We have also advocated for the elimination of the "loyalty tax," which occurs when off-scale salary adjustments are selectively given by the administration to incoming and other faculty. In the last two years the UC Davis administration has been responsive to this concern by allocating a 1%, on average, equity adjustment for UC Davis faculty above the 1.5% equity adjustment directed by UC Office of the President (this in addition to the 1.5% across the board cost of living adjustment). The Academic Senate and the Office of Academic Affairs collaborated on the equity analysis and the methodology used to distribute the equity increases.

Step-plus has produced much greater acknowledgment of faculty contributions in teaching and service, and we've seen an overall increase in 2 step advancements. Step plus will eventually lead to fewer actions per year, but that is counterbalanced by the fact that each decision is more complicated and takes longer based on a more detailed and broad-ranging assessment of faculty contributions in all areas.

The Davis Division has been very proactive in voicing our campus's concerns regarding changes to the faculty and staff retirement system instituted by the Office of the President. Only some of our concerns were acknowledged and incorporated in the final plan. I remain worried that this new plan will have unintended consequences, and may discourage faculty longevity at UC.

**Resource Allocations and Planning:** The Academic Senate advises the administration on the allocation of resources and decisions related to long-term planning. Over a three-year period, the Committee on Planning and Budget (CPB) led an effort to establish a set of metrics, which the administration supports, to assist in the review and evaluation of budget requests by the Deans (colleges and professional schools). Metrics (e.g., number of students graduating and number of faculty hires) and budget information are essential for CPB to engage in informed discussions with the administration. When CPB reviews budget information, they now use an all funds approach, as opposed to the practice in previous years of solely focusing on state allocations (core funds). This is important since core funds account for only about 20% of the total UC Davis budget. Shifting to an all funds perspective also changes how the campus budget



looks: if only core funding is examined, the Davis campus would have a \$30 million shortfall in 2014-15; using an all funds approach, the Davis campus has a \$50 million surplus. Over the past two years, CPB has increasingly engaged the Faculty Executive Committees (FECs). FECs are now provided metric information as well as budget requests for their college/division/school. While this information has been available to the FECs over the last two years, it will now also be available directly to all faculty. Many faculty, particularly those in College of Letters and Science, expressed concerns about a lack of transparency on resource allocation which has now been addressed by this new policy. Faculty should now have more information with which to provide feedback to their chairs and Deans.

**Graduate and Undergraduate Education:** The Graduate and Undergraduate Councils execute Davis Divisional authority regarding the planning and delivery of graduate and undergraduate education at UC Davis. Each Council has a significant and important role in establishing policies as well as routine business. I wish to highlight some of the accomplishments:

- Administrative support for Graduate Council: Since July 2015 the Academic Senate Office has provided direct administrative support to Graduate Council. This allows the Academic Senate Office to maximize operational efficiencies for the Graduate and Undergraduate Councils.
- Graduate Student Mentoring Action Plan: In the last year Graduate Council, in consultation with Graduate Student Association representatives and administrative colleagues, has developed a plan for improving the mentorship experience of graduate students.
- Four Year Degree Completion Initiative: The Davis Division began to coordinate individual efforts within the Undergraduate Education Office, Council of Associate Deans, Student Affairs and the Academic Senate to identify hurdles that prevent an undergraduate student from graduating in four years. The initiative will continue to critically assess existing efforts, improve coordination between units, prioritize resource allocations to ensure quality undergraduate instruction, and assure that programmatic requirements are attainable within four years.
- Information systems: An updated version of the Integrated Course Management System rolled out this summer. The Davis Division provided consultation to the Registrar's office staff to assure that system modules contained all required information for faculty approvals to process efficiently. The Davis Division also worked with campus administration, through the Registrar, to initiate the development of other information systems that have now become essential to the Four Year Degree Completion Initiative (e.g. degree planning for students, information systems for faculty to enforce prerequisites, etc.).
- Program Review: Both graduate and undergraduate program reviews are now supported by the Davis Division staff and include external reviewer site visits and evaluations. We have addressed factors that resulted in lengthy delays in the review process. The reviews are now completed within one year and provide recommendations in a timely manner to both the academic programs and the administration. During these two years the undergraduate reviews have strongly emphasized their concerns about limitations of classroom space and FTE shortages for majors across all colleges. Addressing the recommendations will require reallocating resources. The Provost's Office responses to the Cluster One undergraduate program reviews, which were due January 2016, have not been received. The administration is aware of the deadline missed and we look forward to receiving responses to Cluster Two reviews on time in January 2017.
- Learning Outcome Assessment: Undergraduate Council has put in place expectations for the learning outcomes assessment, against which majors will be reviewed on a seven year cycle. In

each major, faculty are expected to develop discipline specific assessments to evaluate student achievement of program learning objectives. When a program is reviewed, the Undergraduate Council will review evidence (consisting of direct and indirect data provided by the major's faculty) that assesses student progress toward the program's learning objectives.

- General Education Assessment: During the past three months the General Education Committee has coordinated a review of all courses certified to award domestic diversity credit. The review confirmed that the majority of course content is addressing the domestic diversity literacy expectations. Proposals of existing courses seeking domestic diversity certification have also been reviewed and feedback was provided to move the courses to final certification. Next year the General Education Committee will assess approaches to ensure that all General Education certified courses are addressing literacy expectations.

In the spring of 2018, Western Association of Schools and Colleges (WASC), the accreditation agency for UC, will perform an interim review of UC Davis. I am confident that processes put in place by the Academic Senate, some of which are outlined above, will be positively received as responsive to WASC's expectations.

**Research:** The Committee on Research, in partnership with other Davis Division members, worked toward several achievements during the past two years, including:

- Committee on Research Grant Program: Funding was increased for additional travel grants, small grants, and seed funding for large grants. This funding has proven to be highly effective. A small amount of internal funding goes a long way in some disciplines. This funding also is used to produce results that are leveraged for additional funding from external sources.
- Animal Care Issues: In the last two years the Committee on Research worked with the Chancellor to create a Joint Academic Senate and Administration Animal Care Taskforce that reported to the Chancellor and the Divisional Chair. In mid-2015 the recommendations of the task force of the highest animal care priorities for the campus were presented to the Representative Assembly and the implementation of the recommendations started. During Summer 2016, Davis Divisional leadership worked with the Acting Chancellor to confirm a continued commitment to executing all of the task force recommendations. The Davis Division advocated for the appointment of an Interim Director of the Animal Research and Care Program, and the Executive Council created the "Special Committee: Animal Care Taskforce" to represent the views of the faculty.
- Deferred Maintenance: In the last year the Davis Division learned of a \$1.3B deferred maintenance backlog for UC Davis (the largest in the UC). With the Davis Divisional encouragement and support, the administration developed a multi-year plan to mitigate this significant backlog. It will be important to execute this plan in order to maintain existing research infrastructure.
- Research Space for New Faculty: With support from department chairs, the Davis Division has effectively advocated to reduce delays newly hired faculty have experienced in preparing infrastructure for their research. Significant advances have been made to reduce delays, yet concerns remain over whether or not progress in this area will be sustained.

As my term ends, the University of California - UC Davis in particular - faces significant challenges. At the core is the question of how to fund a public institution and provide a high-quality education that ensures access for, and the success of, the next generation of students, all while the state is not prepared to pay to achieve this goal. This central concern for UC is particularly acute for UC Davis. Under the 2020 Plan, the campus planned to incrementally increase California resident and nonresident student enrollment. The Davis Division was supportive of the 2020 Plan, following consultation in 2012. Since Fall 2010, UC Davis has enrolled the most resident (California) undergraduate students of all UC campuses (e.g. in Fall 2015, we had 2,000 more than the next campus, which is UCLA). While such increased enrollment serves the needs of the state, the necessary state funding has not been provided to UC Davis. Further compounding this challenge is the UC Office of the President's directive to enroll an even larger number of California residents above the 2020 Plan targets (and the students enrolled will not be fully funded). A limit also has been imposed on nonresident student enrollment, which is in conflict with the 2020 Plan.

Faculty hiring has not kept up with planned student enrollment increases, and our campus has also fallen behind in the classroom and laboratory investments necessary to provide a quality educational experience to more students, particularly at the upper division level. Faculty have had to be highly creative in meeting the needs of students within current constraints of existing inadequate facilities. There are already sectors of the UC Davis campus that experience disproportionate enrollment pressures, lack of teaching lab and studio space, and there is a general lack of maintenance of existing teaching lab infrastructure. These factors pose a serious and immediate challenge to maintaining instructional quality, and if not addressed, they will have serious consequences for UC Davis as a public research university.

In closing, I believe that together the Academic Senate and the Administration will address our challenges and continue to enhance the excellence of UC Davis. As Clark Kerr once said of UC faculty: "The quality of this university is the quality of its faculty", and as members of our faculty, your commitment and expertise are critical to our campus's success and our ability to serve the educational and research needs of California. It has been my privilege to serve the Davis Division as Chair for the last two years, and in other leadership roles of the Academic Senate. I am proud of our collective accomplishments. To all members who served over the last two years, I thank you very much, and I encourage members who have not previously served to volunteer and lend your expertise in serving the missions of UC Davis. Academic Senate service can be difficult and time consuming, yet the rewards are significant when we work together toward shared values; our work often leaves a lasting mark on the UC Davis campus and the University of California at large.

Sincerely,



André Knoesen  
Chair, Academic Senate  
Professor: Electrical and Computer Engineering