APPENDIX A
CONSULTANTS AND REVIEWERS: SELF-STUDY PREPARATION

The development of the self-study was an ongoing process to which many contributed. We have listed those participants or consultants who could be readily identified; undoubtedly we have overlooked some. Subcommittees were convened by Steering Committee members and they submitted drafts to the Steering Committee for review. These were subsequently rewritten in their final form by Mark Traugott, Chair of the Steering Committee, and Jennifer Anderson, Member of the Steering Committee. The staff in Administrative Records provided invaluable assistance in finding documentation for all sections of the self-study.

A. UNDERGRADUATE EDUCATION

Teaching

Subcommittee
Ed Landesman - Professor, Mathematics, (Convener)
Sharon Dirnberger - Student Affairs Officer, Admissions Office
Bob Giges - Academic Preceptor, Porter College
Tom Karwin - Senior Administrative Analyst, Mathematics

Consultants/Reviewers
Judith Aissen - Chair, Linguistics
Bettina Apfheker - Chair, Women's Studies
Julia Armstrong - Assistant Chancellor, Human Resources
George Blumenthal - Chair, Astronomy and Astrophysics
Michael Cowan - Chair, American Studies
Nancy Degnan - Administrative Analyst, Academic Personnel
David Dorfan - Chair, Physics
Ellen Farmer - Academic Editor
Carol Freeman - Chair, Committee on Educational Policy/Chair, Writing Program
Mary-Kay Gamel - Chair, Theater Arts
Eugene Garcia - Dean, Division of Social Sciences
Raymond Gibbs, Jr. - Chair, Psychology
Jorge Hankamer - Acting Dean, Graduate Studies and Research
Donna Haraway - Chair, History of Consciousness
Susan Harding - Chair, Anthropology
Gail Hershatter - Chair, East Asian Studies Program
Edward Houghton - Dean, Division of Arts
David Kliger - Dean, Division of Natural Sciences
Gary Lease - Dean, Division of Humanities
Herve Le Mansec - Chair, Language Committee
Andy Markovitz - Chair, Politics
Charles McDowell - Chair, CIS
Gary Miles - Chair, History
John Pearse - Chair, Committee on Teaching
Eli Silver - Chair, Committee on Academic Personnel
Nirvikar Singh - Chair, Economics
Cathy Smith - Chair, Legal Studies
Michael Soulé - Chair, Environmental Studies
Howard Wang - Chair, Biology
Narrative Evaluation System

Subcommittee
Jim Quann - Registrar (Convener and Lead Writer)
Frank Andrews - Professor, Chemistry
Scott Klein - Undergraduate
Gary Miles - Professor, History
David Swanger - Professor, Education
S. Travis - Graduate Student Association

Consultants/Reviewers
Nancy Pascal - Associate Registrar

Colleges

Subcommittee
David Cope - Professor, Music (Convener)
Charles Daniel - Professor, Biology Board
Kathy Foley - Provost, Porter College
Gail Heit - College Administrative Officer, Stevenson College
Mark Traugott - Associate Academic Vice Chancellor

Consultants/Reviewers
Joe Allen - Dean, Admissions Office (1992-3)
Carolyn Clark - Provost, Kresge College
Carol Freeman - Provost, Cowell College
John Isbister - Provost, Merrill College
Dick Jensen - Assistant Academic Vice Chancellor, Planning and Budget Office
Bruce Moore - Vice Chancellor, Student Services (1992-3)
Elaine Wedegaertner - Assistant Registrar - Records, Office of the Registrar
Council of Provosts

General Education

Subcommittee
Randy Nelson - Director of Institutional Research, Planning and Budget (Convener)
Carol Freeman - Provost, Cowell College (Former Chair of CEP)
Jorge Hankamer - Associate Academic Vice Chancellor for Programs and Planning
Leo Laporte - Professor, Earth Sciences

Consultants/Reviewers
Joel Primack - Chair, Committee on Educational Policy
James Quann - Registrar
Committee on Educational Policy

Advising

Subcommittee
Ed Landesman - Professor, Mathematics, (Convener)
Sharon Dimberger - Student Affairs Officer, Admissions Office
Bob Giges - Academic Preceptor, Porter College
Tom Karwin - Senior Administrative Analyst, Mathematics

Consultants/Reviewers
Richard Coplon - Undergraduate Advisor, Biology
Audrey Muir - Academic Preceptor, College Eight
B. GRADUATE EDUCATION

Subcommittee
Carl Walsh - Professor, Economics (Convener)
Margaret Delaney - Associate Professor, Marine Sciences
Tyler Stovall - Associate Professor, History

Consultants/Reviewers
Judith Aissen - Chair, Linguistics
Bettina Aptheker - Chair, Women's Studies
Dane Archer - Chair, Sociology
George Blumenthal - Chair, Astronomy and Astrophysics
Robin Chanin - Graduate Program Assistant, Economics
Michael Cowan - Chair, American Studies
Kathleen Dettman - Senior Administrative Analyst, Planning and Budget Office
Raymond Gibbs - Chair, Psychology
Howard Haber - Chair, Physics Graduate Committee
Jorge Hankamer - Acting Dean, Graduate Studies and Research
Susan Harding - Chair, Anthropology
Pavel Machotka - Professor, Psychology, Senate Chair
Casey Moore - Graduate Representative, Earth Sciences
Jim Newman - Assistant to the Dean, Graduate Studies and Research
Anjie Rosga - Graduate Student, History of Consciousness
Meg Scatterthwaite - Graduate Student, Literature
Buchanan Sharp - Graduate Coordinator, History
Michael Soule - Chair, Environmental Studies
R. Michael Tanner - Executive Vice Chancellor
Howard Wang - Chair, Biology
Melinda Weil - Graduate Student Representative, History of Consciousness
John Wilkes - Program Director, Science Communication

C. RESEARCH AND CREATIVE ACTIVITY

Subcommittee
Tyler Stovall - Associate Professor, History (Convener)
Margaret Delaney - Associate Professor, Marine Studies
Carl Walsh - Professor, Economics

Consultants/Reviewers
Robert Irion - Public Information Representative, University Development
Pavel Machotka - Professor, Psychology, Senate Chair
Randy Nelson - Director, Institutional Research
James Newman - Assistant to the Dean, Graduate Studies and Research

D. DIVERSITY

Subcommittee
Margaret Delaney - Associate Professor, Marine Sciences Board (Convener and Lead Writer, Faculty Diversity)
David Cope - Professor, Music
Allen Fields - Director, SAA/EOP
Randy Nelson - Director of Institutional Research, Planning Budget Office (Lead Writer, Undergraduate Diversity)
Valerie Simmons - Director, Affirmative Action Office (Lead Writer, Staff Diversity)
Tyler Stovall - Associate Professor, History (Lead Writer, Graduate Student Diversity)
Mary Voytek - Graduate Student Representative
Consultants/Reviewers
Joe Allen - Dean, Admissions Office (1992-3)
Julia Armstrong - Assistant Chancellor, Human Resources
Carla Frecceoro - Associate Professor, Literature (Feminist Studies FRA)
William Dunmyer - Graduate Student, History
Donna Haraway - Professor, History of Consciousness
Jennifer Heyne - Graduate Student, History
Robert James - Assistant Director-Systems, Admissions Office
Andre Jones - Graduate Student, Chemistry
Pat Merriwether - Graduate Student, Sociology
Tina Myers - Graduate Student, History
Anthony Ortega - Graduate Student, Literature
Clif Poody - Professor, Biology
Ronaldo Ramirez - Assistant to the Dean, Graduate Division
Richard Randolph - Professor, Anthropology
Rory Slayter - Ace Director, Oakes College
Rita Walker - Sexual Harassment Officer
African American Staff Steering Committee
Asian/Pacific Islander Staff Caucus
Chicano/Latino Staff Caucus
Coalition of Asian and Pacific Island Employees
Committee on Disability Services
Committee on Gay, Lesbian, and Bisexual Community Concerns
Committee on the Status of Women
Human Resources Advisory Committee, Sub-Committee on Affirmative Action
Sexual Harassment Education Committee
Women in Management

Campuswide Review

The following committees and individuals offered responses to the self-study draft during the campuswide review process.¹

Frank Bridges - Chair, Committee on Research
Julianne Burton-Carvajal - Coordinator, Latin American Studies Program
Margaret Delaney - Steering Committee Member
Bill Domhoff - Acting Dean, Division of Social Sciences
Kristal Edwards - Graduate Student Association
Allen Fields - Director, SAA/EOP
Bob Giges - Academic Preceptor, Porter College
David Hoy - Chair, Committee on Academic Personnel
Tom Karwin - Senior Administrative Analyst, Division of Natural Sciences
Pavel Machotka - Chair, Academic Senate
Melanie Mayer - Chair, Committee on Research
Michael McCawley - Associate Director, Undergraduate Admissions
Barry McLaughlin - Chair, Committee on Affirmative Action
Jim Newman - Assistant to the Dean, Graduate Studies and Research
Robert M. O'Neil - Chair, WASC External Review Team
Nancy Pascal - Associate Registrar
Joel Primack - Chair, Committee on Educational Policy
Ronaldo Ramirez - Assistant to the Dean, Graduate Division
John Schechter - Chair, Committee on Teaching
Valerie Simmons - Director, Affirmative Action
Richard Terdiman - Chair, Planning and Budget

¹Special thanks to Steve Watkins, Data Access Librarian, for putting the self-study on INFOSLUG.
WASC Standards

Responses to the Standards were coordinated and edited by Jennifer Anderson, Coordinator of Fieldwork, Environmental Studies. Standards Six, Seven, Eight, and Nine had lead writers and/or an additional coordinator who prepared drafts.

Standard 1

Susan Angstadt - Director, Employee and Labor Relations Office
Kathy Beattie - Academic Personnel Coordinator, Natural Sciences Division
Ellen Borger - Academic Personnel Analyst, Social Sciences Division
Barbara Brogan - Director, Academic Personnel Office
Jim Burns - Assistant Director for Public Information, University Advancement Office
Anne Callahan - Coordinator of Academic Affairs, Humanities Division
Jan Cloud - Payroll/Personnel Representative, Arts Division
Mark Coburn - Manager, Contracts and Grants Office
Janey Davis - College Administrative Officer, College Eight
Kathleen Dettman - Office of Planning and Budget, Senior Administrative Analyst
Julie Dryden - Administrative Analyst, Academic Senate Office
Lucinda English - Payroll/Personnel Assistant, Humanities Division
Ellen Farmer - Office of the Registrars, Academic Editor
Geraldine Gail - Manager, Internal Audit
Rena Grant - Ombudsman, Chancellor Office
Adrienne Harrell - Counselor, Admissions Outreach
Bob Hastings - Teaching Assistant Coordinator, Graduate Studies and Research Office
Galen Jarvinen - Director of Analysis and Planning, Planning and Budget Office
Barbara Love - Articulation Officer, Admissions Office
Willeen McQuitta - Director, Personnel Office
Nancy Pascal - Associate Registrar
Jim Quinn - Director of Student Information Systems, Registrar's Office
Terry Ratcliff - College Programs Coordinator, Stevenson College
Valerie Simmons - Director, Affirmative Action Office
Rita Walker - Police Office Business Manager, University Police
Linda Weyers - Assistant, Academic Personnel
Dan Wood - Director, Physical Education Recreation and Sports
Advising Subcommittee
Diversity Subcommittee

Standard 2

Kathleen Dettman - Senior Administrative Analyst, Planning and Budget Office
Randy Nelson - Director of Institutional Research, Planning and Budget Office

Standard 3

Barbara Brogan - Director, Academic Personnel Office
Geraldine Gail - Manager, Internal Audit
Pavel Machotka - Chair, Academic Senate

Standard 4

Barbara Brogan - Director, Academic Personnel Office
Mark Coburn - Manager, Contracts and Grants Office
Kathleen Dettman - Senior Administrative Analyst, Planning and Budget Office
Anne Earl - Program Representative, University Extension
Barbara Epstein - Chair, Graduate Council
Janice Corriddin - Dean, Summer Session/University Extension
Ed Landesman - Professor, Mathematics
Barbara Love - Articulation Officer, Admissions Office  
Mary Kay Martin - Lecturer, Writing Program  
Michael Mc Cawley - Associate Director, Admissions Office  
Randy Nelson - Director of Institutional Research  
Jim Newman - Assistant to the Dean, Graduate Studies and Research Office  
Jim Quann - Registrar  
Babette Scott - International Advisor, International Programs Office  
Graduate Council

Standard 5

Barbara Brogan - Director, Academic Personnel  
Nancy Degnan - Administrative Analyst, Academic Personnel  
Kathleen Dettman - Senior Administrative Analyst, Planning and Budget Office  
Catherine Fong - Administrative Assistant, Academic Senate  
Kathy Kenyon - Human Resource Analyst, Personnel

Standard 6

Margaret Gordon - Librarian, McHenry Library, (Lead Writer for Library Standards)  
Alan Schlenker - Administrative Chancellor, Computing, Retired (Lead Writer for Computing Standards)  
Allan Dyson - University Librarian, McHenry Library  
Myrna Fabbri - Budget Director, McHenry Library  
Robert McCampbell - Director, Bay Tree Bookstore  
Justin Revenaugh - Assistant Professor, Earth Sciences  
Robert White - Librarian for Planning and Budget, McHenry Library  
Academic Senate Library Committee  
Computer Resources Planning and Policy Committee  
Library Management Group

Standard 7

George Wolfe - Chief Campus Physician, Cowell Student Health Center (Coordinator)  
Richard Allen - Director, Counseling and Psychological Services  
Jewel DeMoss - Director, Career Services Office  
Gail Heit - College Administrative Officer, Stevenson  
Richard Hensley - Assistant Chief, Fire Department  
Robert McCampbell - Director, Bay Tree Bookstore  
Esperanza Nee - Director, Financial Aid  
Nancy Pascal - Associate Registrar  
Terry Ratcliff - Acting Campus Judicial Officer  
Babette Scott - International Advisor, International Programs Office  
Jan Tepper - Chief, University Police  
Jerry Walters - Director, Housing Services Office  
Alice Williams - Director, Student Center  
Dan Wood - Director, Physical Education, Recreation and Sports

Standard 8

Mary Mauro - Administrative Analyst, Executive Vice Chancellor's Office (Lead Writer)  
Fran Owens - Director, Capital Planning, Planning and Budget
Standard 9

Galen Jarvinen - Director, Planning and Analysis, Planning and Budget (Lead Writer)

Daniel Aldrich - Assistant Chancellor, University Advancement
Karen Eckert - Budget Director, Planning and Budget
Geraldine Gail - Manager, Internal Audit
Errol Mauchlan - Acting Vice Chancellor, Planning and Budget
Robert Rodriguez - Director, Accounting and Business
APPENDIX B
GLOSSARY

ALO - Accreditation Liaison Officer

APM - Academic Personnel Manual

AVC - Academic Vice Chancellor

Board of Studies - An administrative unit composed of budgeted faculty members offering instruction and doing research in a titled, recognized discipline or area of investigation and scholarship. A board of studies offers or oversees one or more programs, holds faculty FTE, and its members have Bylaw 55 rights. It is the equivalent of a department at other UC campuses. The procedures for the establishment of a board of studies are the same as for the establishment of a department at other UC campuses.

CAP - Academic Senate Committee on Academic Personnel

CCGA - Coordinating Council on Graduate Affairs (a systemwide committee)

CE - Computer Engineering

CEP - Academic Senate Committee on Educational Policy

Certificate - Obtained by completing a curriculum of structured courses and requirements. UCSC has certificates in Education and Science Writing.

CIS - Computer and Information Sciences

Committee of Studies - An FTE-holding unit whose members have Bylaw 55 rights and which offers one or more programs. Committees of studies differ from boards mainly in size (number of FTE held) and in the degree of dependence on faculty from other units to carry out both the program(s) offered by the committee and the handling of personnel actions. A committee of studies does not have a formally recognized status within the UC system and UCSC is no longer creating units designated in this way.

Comprehensive - A comprehensive examination in the major which satisfies the comprehensive requirement for graduation.

COP - Council of Provosts

COR - Academic Senate Committee on Research

COT - Academic Senate Committee on Teaching

Core Course - Courses taught in the colleges for all entering students. These vary from one to three quarters in length, depending on the college, and are designed to introduce students to college-level learning.

CPB - Academic Senate Committee on Planning and Budget

CPEC - California Post-Secondary Education Commission

1See also the "Glossary of Terms" in the beginning of The Navigator.
CUE - Committee on Undergraduate Education. A chancellorial ad hoc committee which reviewed UCSC's undergraduate education in general, and the general education requirements in particular, and produced a report.

DSS - Disabled Student Services

EVC - Executive Vice Chancellor

FRA - Focused Research Activity

FTE - Full-time Equivalent

GE - General Education

GRE - Graduate Record Exam

GSA - Graduate Student Association

GSR - Graduate Student Researcher

His Con - History of Consciousness. A graduate program at UCSC.

I & R - Instruction and Research


Masterplan - A statewide plan for the development and coordination of the three segments of higher education in California—community colleges, state universities and the University of California.

NES - Narrative Evaluation System

ORA - Organized Research Activity

ORU - Organized Research Unit

Program of Studies - A set of course offerings and a set of requirements leading to a degree or certificate.

Provost - The chief academic officer of a college

SAA/EOP - Student Affirmative Action and Educational Opportunity Programs.

SCRIPT - A computer system which stores narrative evaluations.

SIS - Student Information System. A computer system which contains student records.

Steno - The steno pools provide clerical support services to faculty.

SUA - Student Union Assembly

Systemwide - The entire University of California system, including all campuses and facilities and all academic and administrative units. Equivalent to the term “the University,” when not otherwise qualified.

TA - Teaching Assistant
The "Thesis" is a written document involving extensive research and reflecting comprehensive understanding of subject matter. The work must be authorized by the supervising board of studies, committee of studies, or individual-major committee. Students may choose this avenue to satisfy the comprehensive requirement for the major rather than taking an examination.

"TOP" - Target of Opportunity Program. A program designed to increase the numbers of minority faculty.

"Unit 18" - Non-Senate academics, primarily lecturers, field study coordinators, and supervisors of education, represented by UCAFT (2199).

"UOP" - University Office of the President.
APPENDIX C
COMPLIANCE: WASC STANDARDS

This section demonstrates campus compliance with the WASC standards, as listed in the Handbook of Accreditation. Some responses are referenced to earlier sections of the self-study, to another standard, to a document the team has already received, or to a supplemental document that is available in the team work room.¹

STANDARD ONE: INSTITUTIONAL INTEGRITY

STANDARD 1.A
INTEGRITY IN PURSUIT OF TRUTH

An institution of higher education is, by definition, dedicated to the search for truth and its dissemination. As a consequence, faculty, students, administrators, trustees, and staff are committed to and supported in the free pursuit of knowledge and the expression of ideas.

Academic freedom does not require neutrality. Institutions may endorse particular religious or philosophical beliefs, or specific social principles. Nonetheless, the protection of the freedom for faculty and students to examine all pertinent data, to question assumptions, to be guided by the evidence of scholarly research, and to teach and study the substance of a given field is crucial to the integrity of an educational institution.

Although a college or university must be managed well and remain solvent, it is not primarily a business nor an industry. Established to serve society, a college or university is not a political institution; it is not a religion or church. Those within an educational institution have as a first concern, knowledge, evidence, and truth. This concern should not be undermined by particular judgments of institutional benefactors, of public or social pressure groups, or of religious or political groups.

1.A.1 The institution has a widely disseminated, written statement of commitment to academic freedom.

University of California Regulation No. 5, (APM - 010) Academic Freedom, set forth here, is the institution's official statement concerning academic freedom.²

The following announcement was originally made by the President of the University before the Northern Section of the Academic Senate on August 27, 1934, and is to be regarded as a setting forth of the principles which guide the President in these matters and accordingly stand as, in a certain sense, the policy of the university.

The function of the university is to seek and to transmit knowledge and to train students in the processes whereby truth is to be made known. To convert, or to make converts, is alien and hostile to this dispassionate duty. Where it becomes necessary, in performing this function of a university, to consider political, social, or sectarian movements, they are dissected and examined—not taught, and the conclusion left, with no tipping of the scales, to the logic of the facts.

¹When appropriate, and especially in reference to systemwide policies and documents, information has been taken from the UC Davis and UC Santa Barbara self-study reports.

Appendix C C-1 Standard One
The university is founded upon faith in intelligence and knowledge and it must defend their free operation. It must rely upon truth to combat error. Its obligation is to see that the condition under which questions are examined are those which give play to intellect rather than to passion. Essentially the freedom of a university is the freedom of competent persons in the classroom. In order to protect this freedom the University assumes the right to prevent exploitation of its prestige by unqualified persons or by those who would use it as a platform for propaganda. It therefore takes great care in the appointment of its teachers; it must take corresponding care with respect to others who wish to speak in its name.

The university respects personal belief as the private concern of the individual. It equally respects the constitutional rights of the citizen. It insists only that its members, as individuals and as citizens, shall likewise always respect—and not exploit, their university connection.

The University of California is the creature of the state and its loyalty to the state will never waver. It will not aid nor will it condone actions contrary to the laws of the state. Its high function—and its high privilege, the University will steadily continue to fulfill, serving the people by providing facilities for investigation and teaching free from domination by parties, sects, or selfish interests. The University expects the state, in return, and to its own great gain, to protect this indispensable freedom, a freedom like to freedom of the press, that is the heritage and the right of a free people.

For the President of the University
F.C. Stevens, Executive Secretary
Approved: Robert G. Sproul,
Berkeley, June 15, 1944

Also relevant is University Regulation No. 3, (APM-005) Privileges and Duties of the Members of the Faculty.3

The following statement concerning the privileges and duties of members of the faculty has been prepared by the Special Committee on Educational Policy after consultation with several committees of the Academic Senate and its component section, including especially the Committee on Privilege and Tenure. This statement has my approval and is here published for the information and guidance of all officers of administration and instruction in the university.

The problem of the relation between individual freedom and a "planned economy" is present in educational planning no less than in the domain of industry. It would appear useful to attempt a formulation of certain general principles which may serve to clarify the meaning of "academic freedom" in its relation to such educational planning.

1. The university exists for the sake of carrying on certain functions. The committee has already defined the aims and ends to be served by the fundamental activities of the university. It follows that the individual members of the faculty and the individual departments of the university are the instruments and servants of those ideal ends for the sake of which the university exists, such as the advancement of learning, the spread of knowledge, and the cultivation of capacities for intelligent and significant living.

2. The nature of these ends is such that they can be furthered only through the free, willing and enthusiastic devotion to them of the individual, comprising the university. At the same time, the individual, whether faculty member or individual department, is cooperating with other individuals (or departments) in the service of these ideal ends.

An intelligent ("planned") educational economy, which formulates plans essential for the realization of the ends for which the university exists, will necessarily define, and limit the

3Faculty Handbook, pp. 45-46.
activities of individuals and departments. Such definition and limitation is no infringement of academic freedom provided (a) the plan or idea is itself reasonable, i.e., if it sets forth the conditions essential for the realization of significant aims, and if (b) the plan has come into being through the democratic means of discussion and mutual give and take, within the faculty, rather than arbitrarily imposed form without.

Another way of stating the matter would be to say that the rights of individual members of the faculty and of individual departments are never absolute, but are always to be defined in terms of functions performed, and these in turn are defined in terms of the ends for the sake of which the functions are carried on.

This general principle may be applied to certain specific matters:

1. No individual or department has any absolute right to give any course he or the department may wish to give. Courses are integral parts of curricula and are, as such, means to certain ends. A Standing Order of the Board of Regents requires the Senate to "authorize and supervise all courses of instruction in the academic and professional colleges and schools." In practice, the Senate delegates this duty to its Committee on Courses of Instruction. Authorization and supervision of curricula are entrusted to the various colleges. The courses which constitute these curricula are, then, of interest to the faculties of the colleges, as well as to the Senate.

2. It follows that it is not an infringement upon academic freedom for the Committee on Courses or for the colleges to ask each instructor to disclose the content of the courses which he is offering, i.e., to supply a syllabus or outline of the ground covered by the course.

3a. The Senate assumes that each of its members is devoting all his time and energies (his full "working" time) to the university. Such service to the university includes varied types of activities, such as classroom teaching, conference with students, studying and writing, research, committee work, administration, and public service. Members of the Senate who are not engaged in certain of these activities will naturally have more time for others.

3b. It is the function of the Senate Committee on Budget and Interdepartmental Relations of each section of the Senate to make recommendations to the President of the University "respecting promotions, salaries, equipment, and related matters. This committee is instructed to represent the Senate in all matters relating to appointments and promotions."

In performing this function the committee is continually confronted by the question of the relation of personnel to teaching load: in some departments an increase in the staff may seem necessary; in others, it may seem that the problem can be solved by an increase in individual teaching loads. In certain cases it may appear that the members of departments might be asked to assume responsibility for additional courses without requiring an undue expenditure of time and energy—as where men are engaged wholly or almost wholly in classroom teaching, giving little or no time to activities of other types.

3c. It is no infringement upon academic freedom for the Budget Committee (or for a special committee nominated by the Budget Committee and appointed by the President of the University) to ask any instructor to give a full account of the university activities (as listed in 3a. above), in which he is engaged. And if, after due consideration, such action seems to the Budget Committee to be just and proper, it is no infringement upon academic freedom, to recommend to the President that such instructor be asked to assume responsibility for additional courses.
For the President of the University
F. C. Stevens, Executive Secretary
Approved: Robert G. Sproul
Berkeley, February 15, 1935.

These policies are found in the documents listed above. They are disseminated to faculty through the Faculty Handbook which is included in an information packet sent to all newly hired faculty by the Academic Personnel Office. Starting in 1993-94, the divisions will send the information packets to new Assistant I and II faculty.

1.A.2 Trustees and administrators protect faculty and students from harassment in their exercise of academic freedom.

See 1.A.1 and A.3.

1.A.3 The faculty protects the academic freedom of its members. Faculty members distinguish between personal conviction and proven conclusions and present relevant data fairly and objectively.

Bylaw 130 of the Academic Senate Manual\(^4\) establishes a standing committee on Academic Freedom which is charged with studying and reporting "to the Assembly upon any condition within or outside the university that, in its judgment, may affect the academic freedom of the university, its faculty, and its students, with particular reference to the acceptance of or resignations from positions in the university, and to the reputation of the university and of individual faculty members and students."

Bylaw 13.9.2 of the Santa Cruz Division of the Academic Senate establishes a standing Committee on Academic Freedom charged with upholding the university's principles of academic freedom. It "studies and reports upon any conditions within or outside the university which, in its judgment, may affect the academic freedom of the university, with particular reference to the acceptance of positions and resignation from positions in the university, and to the reputation of the university and of individual members of its faculty."

1.A.4 Students are encouraged to sift, to question, and to become involved as learners.

UCSC's long-standing commitment to excellence in undergraduate education includes these and related instructional strategies. First-year students are encouraged to enroll in seminar classes; students in large-enrollment classes attend discussion sections in which they discuss key concepts presented in lecture and readings; students are encouraged to participate in field studies and community service activities where they become involved in the practical application of their theoretical studies; upper-division students often conduct independent research under faculty supervision or participate in faculty research; and senior students may choose to write a thesis or, in some cases, to conduct a student-directed seminar.

See also the "Teaching" section of the self-study and Excellence in Undergraduate Education.\(^5\)

1.A.5 Institutions which strive to instill specific beliefs or world views or to impose codes of conduct on faculty, staff, or students give prior notice of such policies. Such policies state the conditions clearly, ensure these conditions are consistent with academic freedom, and have in place due process procedures whereby faculty and students are protected in their quest for truth.

Not applicable.

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\(^4\)Available in the Academic Senate Office and on INFOSLUG.

STANDARD 1.B
INTEGRITY IN RESPECT FOR PERSONS

Through its policies and practices, the institution encourages individual autonomy and fosters educational
diversity. Adequate provision is made to ensure academic honesty and to protect basic due process and
privacy rights for students, faculty, and staff.

1.B.1 Sufficient resources are provided to address the academic needs of accepted students.

The budget crisis of the State of California has placed enormous pressure on the university’s ability to address the
needs of its students. This self-study is written at a time when the university is preoccupied with such questions but
the answers are not yet known. The university is currently attempting to adjust by:

a. proportioning its activities to available resources;
b. distinguishing among those of its activities which are most essential and those which are not directly
tied to the completion of its academic mission, no matter how desirable; and
c. securing additional resources from the private sector.

It is not clear how long the budget crisis will last, nor will all of its implications become apparent for some time.

See also 9.A.1.

1.B.2 The institution provides students and faculty with clear expectations concerning the principles of
academic honesty and the sanctions for violations.

University of California policy and UCSC regulations regarding principles of academic honesty and sanctions for
violations are included in the Rule Book6 which is given to all new students at their college orientation.
Administration of the student judicial system, which responds to alleged student violations of university policy and
campus rules and regulations, is described in regulations 52.1220 through 52.143 of the Rule Book (pp. 22-31).
Appendix I contains the policy on Academic Dishonesty (p. 54). The student handbook, The Navigator,7 which is
published yearly and distributed to all students at the beginning of each school year, includes a section on academic
integrity (p. 62). Information on Student Conduct and Discipline also appears quarterly in the Schedule of Classes,
in college handbooks, and in flyers.

University policy concerning principles of academic honesty and the sanctions for violations are detailed in the
Faculty Code of Conduct as Approved by the Assembly of the Academic Senate, Faculty Handbook (pp. 58-60).
Appendix III in the Santa Cruz Division of the Academic Senate Manual covers the student grievance procedure
(p. 56).

See also 1.B.5

1.B.3. The institution demonstrates its commitment to the increasingly significant educational role played by
diversity of ethnic, social, and economic backgrounds among its members by making positive efforts to foster
such diversity.

Under the leadership of Chancellor Pister, UCSC has taken a proactive role concerning issues of diversity and has
made them a top priority of the campus.

See the "Diversity" section of the self-study.

7Item 2 in the packet sent to the review team.
1.B.4 The institution provides a clear statement of institutional policies, requirements, and expectations to current and prospective employees.

Faculty members are apprised of institutional policies and expectations through information packets which are mailed to them both as a prospective faculty member and as a newly hired member of the faculty. Some of the divisions, such as Humanities, provide special orientation sessions for new faculty.

Non-Senate faculty members receive an employment packet and an appointment letter containing this information. Unit 18 faculty members (non-Senate academics, primarily lecturers, field-study coordinators, and supervisors of teacher education) receive the same packet and a copy of the Memorandum of Understanding.

New staff are oriented on an individual basis when they come into the Personnel Office to sign their employment forms. At that time they are given an information packet containing brochures and policy documents that outline relevant university policies, procedures, requirements, and expectations.

Graduate students under teaching titles receive an appointment letter. Graduate students under research titles do not receive an appointment letter.

1.B.5 The institution provides written policies on due process and grievance procedures to faculty, staff, and students.

The University of California and the Santa Cruz campus provide written policies on due process and grievance procedures to faculty and staff in the following:

**Academic Personnel Manual:**

- Section 015, Faculty Conduct and Administration of Discipline, including the Faculty Code of Conduct. (Also in Faculty Handbook, pp. 55-60.)

- Section UCSC-002.015, Faculty Conduct and Administration of Discipline.

- Section 140, Non-Senate Academic Appointees/Appeals.

- Section UCSC-008.140 Non-Senate Academic Grievance Procedure.

**Academic Senate Manual:**

- Bylaw 335, Privilege and Tenure: Divisional Committees (including Standing Order 103.9 of the Regents, Tenure).

- Santa Cruz Division Bylaw 13.24, Privilege and Tenure.

**Executive Program Personnel Manual:**

- Policy 22, Resolution of Concerns.

- Policy 28, Termination of Appointment.

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8 See the two sample packets of information which are sent out. Standard One reference 4 and Standard One reference 5.
12 The Academic Personnel Manual and Staff Personnel Manuals are Standard Five references 1 and 3-6.
Management and Professional (MAP) Program Personnel Manual:

Policy 70, Administrative Review.

Policy 85, Termination of Appointment.

Administrative and Professional Staff (A&PS) Personnel Manual:

Policy 170, Corrective Action.

Policy 190, Grievances.

Staff Personnel Manual:

Policy 270, Corrective Action.

Administrative Guideline 270, Responsibilities of University of California Employees.

Administrative Guideline 270, Corrective Action and Dismissal of Regular Status Staff Employees.

Policy 280, Employee Grievances.

Administrative Guideline 290.11, Independent Party Review.

This information is available to Unit 18 faculty members in their Memorandum of Understanding included in their employment packet. Non-Senate faculty members do not receive this information as part of their employment packet due to the temporary nature of the appointment. They are, however, covered under the Academic Personnel Manual and are provided with this information if the need arises. (See referenced sections covered above.)

The campus distributes written policies on due process and grievance procedures to students in the Rule Book and The Navigator which are given to all new students and are available at college offices, the Student Center, and 146 Hahn Student Services. The Ombudsman is an independent source of advice and appeal available to current students, staff, and faculty.

Graduate students receive the Graduate Student Handbook that covers additional grievance procedures.

See also 1.B.2.

1.B.6 The institution selects students, faculty, administration, and staff according to institutionally developed and published nondiscrimination, equal opportunity, and affirmative action policies.

The campus selects students based upon policies outlined in the UC Application for Undergraduate Admission & Scholarships. The university policy statement reads as follows: "The University of California, in compliance with Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the 1993 Americans with Disabilities Act, and the Age Discrimination Act of 1975, does not discriminate on the basis of race, color, national origin, sex, handicap, or age in any of its policies, procedures, or practices; nor does the university discriminate on the basis of sexual orientation." This nondiscrimination policy covers admission and access to, and treatment and employment in, university programs and activities, including but not limited to academic admissions, financial aid, educational services, and student

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employment. The campus affirmative action policy is in conformance with Executive Order 11246 and implementing guidelines.

Graduate admissions students are informed of campus procedures and policies in the Graduate Student Handbook. Graduate student employment titles are exempt from affirmative action requirements.

See also 4.H.1.

For published policies and procedures to assure good faith effort on non-discrimination, equal opportunity, and affirmative action regarding all faculty (including non-Senate faculty), administrators, and staff see the UCSC Affirmative Action Plan for 1989-93. In addition, see the following specific policies.

**Academic Personnel Manual:**

Section 035, Affirmative Action and Nondiscrimination in Employment.

UCSC Section 001.035, Affirmative Action and Nondiscrimination in Employment.

Section 500, Recruitment/General.

UCSC Section 100.500.C, Recruitment: Affirmative Action Information.

**Executive Program Manual:**

Policy 2, Nondiscrimination.

Policy 3, Affirmative Action.

Policy 5, Recruitment.

Policy 6, Appointment.

**Management and Professional (MAP) Program Personnel Manual:**

Policy 12, Nondiscrimination.

Policy 13, Affirmative Action.

Policy 20, Recruitment.

Policy 21, Appointment.

**Administrative and Professional Staff (A&PS) Personnel Manual:**

Policy 112, Nondiscrimination in Employment.

Policy 113, Affirmative Action.

Policy 120, Recruitment.

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14 Diversity reference 10.
15 Policies for Unit 18 faculty members are covered in the Memorandum of Understanding in addition to the Academic Personnel Manual.
Policy 121, Selection.

Staff Personnel Manual:

Policy 200, Nondiscrimination in Employment.

Administrative Guideline 200.1, Definitions.

Policy 201, Affirmative Action.

Policy 210, Recruitment.

Administrative Guideline 210.8-9, Preparations for Recruitment and Selection: Stating Minimum Qualifications.

Administrative Guideline 210.10, Scope of Recruitment: Guidelines for Choosing Internal or External Recruitment.

Policy 211, Selection.

Administrative Guidelines 211.14, Employment Application.

See also samples of advertising copy for employment opportunities using target sources.16

1.B.7 Adequate provision is made for the confidentiality and privacy of student and employee records.

In compliance with the Family Educational Rights & Privacy Act of 1974, the campus publishes a notice of student privacy rights every fall in the student handbooks, The Navigator (p. 51) and the Graduate Student Handbook (p. 32). Transcripts are not released to third parties without the written consent of students. Students must present their picture ID card before any confidential information is released to them. Only staff of the Registrar's and Admissions offices have access to student folders. In addition, students may file a request for non-release of public information (p. 51, The Navigator).

The provisions governing the confidentiality and privacy of records for faculty (including non-Senate faculty), administrators, and staff may be found in the following:

Academic Personnel Manual:17


UCSC Section 200.160, Confidential Documents.

Agreements:

University Agreement with California Department of Fair Employment and Housing —Access to Academic Personnel Records.

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16Standard One reference 10.
17Unit 18 faculty members are also covered in article 10, page 13, of the Memorandum of Understanding in addition to the Academic Personnel Manual.
Executive Program Manual:

Policy 20, Executive Program Personnel Records.

Management and Professional (MAP) Program Personnel Manual:

Policy 60, Personnel Records.

Administrative and Professional Staff (A&PS) Personnel Manual:


Staff Personnel Manual:

Policy 605, Staff Personnel Records.

1.B.8 The institution establishes policies covering human subjects in research.

The university policy on the Protection of Research Subjects is detailed in the *University of California Contract and Grant Manual* and covers both human subjects and animal use (Chapter 18).

The campus policy, entitled "Protection of Humans as Subjects," was revised January 2, 1992, and includes an assurance of Compliance with Health and Human Services Regulations for the Protection of Human Research Subjects, effective February 1, 1992.


STANDARD 1.C
INTEGRITY IN INSTITUTIONAL RELATIONS

Representations about the institution to prospective students and to the general public are accurate and consistent with institutional publications and practices.

1.C.1 Precise, accurate, and current information is provided in printed material regarding: (a) educational purposes; (b) degrees, curricular programs, educational resources, and course offerings; (c) student charges and other financial obligations, student financial aid, and fee refund policies; (d) requirements for admission and for achievement of degrees; and (e) the names of the administration, faculty, and governing board.

The *General Catalog*, printed annually, provides precise, accurate, and current information regarding educational purposes of the campus; degrees, curricular programs, educational resources, and course offerings; student charges and other financial obligations, student financial aid, and fee refund policies; requirements for admission and for achievement of degrees; and the names of chief campus administrators, faculty, and the Regents of the University of California.

Additional information is included in other campus publications including: the *Colleges at UCSC, The Navigator*, and individual graduate program brochures.\(^{19}\)

\(^{18}\)Policies on human subjects in research are in Standard One reference 11.

\(^{19}\)Standard One reference 12.
In the 1986 review, the visiting team recommended that "the university's publications take cognizance of the changing nature of the institution to assure that fully accurate representations are made." References to the colleges and class size were mentioned in particular. Both of these were responded to by the university in its Fourth-Year Accreditation Report. Still, errors of fact or emphasis have continued to occur. In part as a consequence of this self-study, a new procedure was established during 1992-93 for the review of all catalog copy by a committee consisting of representatives of the Office of Institutional Research, the Office of the Registrar, and the Public Information Office.

Given current budget uncertainties, a new disclaimer has been added on page two of the General Catalog to inform students of the possibility of unforeseen curricular or programmatic changes.

1.C.2 Institutions make every effort to ensure that oral communications are as accurate and current as written or published materials.

The campus Admissions Office regularly distributes information regarding UC requirements to high school and community college counselors, and conducts workshops to help them understand UC policies and interpret them uniformly. Ongoing staff training and review of published materials attempt to ensure that internal oral communications remain accurate and consistent. Each August the Admissions Office staff members have a week-long training session where they are updated on all recent changes in policy and programs by the appropriate offices on campus.

There is an orientation for graduate students where they receive oral communications that accurately reflect the written material they receive. The vast majority of information with which they are provided is in writing.

University Relations and Development staff members routinely prepare remarks and talking points for UCSC administrators (particularly the Chancellor) addressing internal and external groups. In doing so, they update and verify institutional attributes and statistics.

1.C.3 Statements and promises can be documented, especially those regarding excellence of program, success in placement, and achievements of graduates or faculty.

While the Public Information/Publications Office is involved in the writing, editing, and design of many official UCSC publications, not all of them originate in the office. The office has responsibility for such publications as Currents, a monthly newspaper distributed primarily to faculty, staff, students, and media; the UCSC Review, produced annually for all alumni, donors, parents of current students, media, other external constituents, and faculty and staff; an annual Information Packet, a statistical and descriptive profile of the campus, distributed primarily to media; and the annual General Catalog produced in conjunction with the Registrar's Office. The Public Information/Publications Office exercises care when preparing press releases to appropriately assess the significance of research findings and program development.

1.C.4 Academic advisement is provided to ensure that student educational goals are correlated with the curricula offered.

UCSC maintains a decentralized approach to advising, involving faculty members in the colleges and boards of study, staff members in the colleges and boards of study, and staff members in the student service units.

See the "Advising" section of the self-study.

1.C.5 In its publications, the institution makes clear the status (e.g., full-time, part-time, adjunct) of each faculty member.

This information is published annually in the General Catalog.
1.C.6 In fundraising activities and grant proposals, the institution provides complete and accurate information regarding available resources and realistic performance expectations.

The UCSC campus, in conjunction with the UC Office of the President, has established a number of policies regarding the performance of its faculty members engaged in extramural research. The *University of California Contract and Grant Manual*, maintained by the UC Office of the President, provides policy guidance for the administration of extramural research on all of the UC campuses, including UCSC.\(^2\) The *Principal Investigator's Handbook*, developed for UCSC principal investigators by the UCSC Contracts and Grants Office, provides guidance for the implementation of UC policies related to extramural research and specific operational guidance for UCSC principal investigators submitting extramural research proposals.

The review process conducted by the UCSC Office of Contracts and Grants insures that principal investigators do not commit themselves to agreements with sponsors that exceed campus policies, procedures, or resources.

While the limitations placed on university researchers are generally well understood by federal and state research funding organizations, they are less appreciated by members of industry interested in funding university research. As a consequence, the UC Office of the President, on May 17, 1989, issued *Guidelines on University-Industry Relations*, which consolidated the various university policies governing relations with industry. A pamphlet designed for broader dissemination was published by the Office of the President, entitled *Research Agreements—University of California—A Guide for Industry*. This pamphlet, which summarizes the guidelines issued in May 1989, outlines topics such as: academic policy governing research, publication policy, patents and other intellectual property, payments, use of the university's name, and liability, risk, and "best efforts." The publication points out that "the University will not accept contract provisions that guarantee results, impose penalties for failure to make progress by firm deadlines, or provide for withholding of payment if the sponsor is not satisfied with the results."

See also 1.D.4 and 9.C.10.

**STANDARD 1.D**

INTEGRITY IN INSTITUTIONAL OPERATIONS

The institution manages its administrative operations, including all of its finances, with honesty and integrity.

1.D.1 Fiscal integrity is demonstrated by adequate institutional control mechanisms and by conformity with generally accepted programs.

The Internal Audit Unit handles conflict of interest issues, reviews whistle blower complaints and suspected defalcations, and performs audits to ensure the efficiency and integrity of administrative operations. Various audits mandated by Systemwide Internal Audit are performed at each of the nine campuses to evaluate compliance with systemwide policies and procedures. Systemwide policy manuals ensure conformity of operations and compliance with Federal mandates among the UC campuses. Conflict of interest responsibilities include reviewing statements of economic interest filed by Principal Investigators during the application process and at completion of non-governmentally funded contracts or grants. This office is also a resource for all other potential conflict of interest situations concerning university staff, faculty, vendors, and benefactors. Whistle blower and suspected defalcations are investigated confidentially and in a timely manner.

Self-administered internal control surveys are sent to all campus units biennially. The responses are reviewed by the Internal Audit Office for adequate segregation of duties, outside bank accounts, and appropriate signature authority. Training classes in internal controls, conflict of interest and ethics are provided at least biennially. Systemwide policies and procedures are based upon generally accepted accounting principles and Federal contract and grant mandates.

\(^2\)This handbook is available through the Contracts and Grants Office.
Further, the campus is reviewing carefully its financial information processes for the potential to simplify and to further automate transaction processing and reduce costs while at the same time providing better management information. The combination of properly implemented internal controls, enhanced training, and more responsive information systems will help the campus avoid the lapse of control associated with a recently discovered embezzlement case.

The Internal Audit Office performs audits requested by campus management, mandated by systemwide and campus units, or selected based on risk ranking criteria. The internal audit staff serve on campus committees and task forces involved in modifying or creating new systems to advise on the adequacy of controls and audit trails. The internal audit staff also reviews policy and procedures developed by campus units and is working closely with the Vice Chancellor of Business and Administrative Services to develop a comprehensive Santa Cruz Campus Policies and Procedures Manual. The Internal Audit Office works closely with the Campus Audit Committee. This committee—which is comprised of upper campus management and faculty representation and is advisory to the Chancellor—reviews the long-range internal audit plan and the annual plan of audits and related services, reviews all audit results, and evaluates the adequacy of the resources of the internal audit unit.

See 9.C.1

1.D.2 The institution demonstrates honesty and integrity in its athletic programs.

See UCSC Athletics Philosophy Statement and Section I of National Collegiate Athletics Association (NCAA) Institutional Self-study.21

1.D.3 Clearly written policies on conflict of interest for board, administration, faculty, and staff are enunciated. These policies include appropriate limitations on the relations of business, industry, government, and private donors to research in the institution.

The university's philosophy on conflict of interest is that faculty, staff, managers, or officials of the campus shall not engage in any activities that place them in a conflict of interest between their official activities and any other interest or obligation. There are many specialized university and campus policies, guidelines, and regulations related to conflict of interest. They include:22

Donations to Support Faculty Research (Feb. 1990, Angstadt, UCSC Conflict of Interest Coordinator).


University Policy on Safeguarding Resources and Investigating Misuse of Resources (OP, March 11, 1992).


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21 Standard Seven reference 2.
22 Conflict of interest policies are Standard One reference 13.
UC Procedures Manual for Filing Statements of Economic Interest (UC Conflict of Interest Coordinator (OP, September 30, 1988)).


Employment of Near Relatives (UCSC APM 106.520, UCSC Staff Personnel Manual 211.26).

Beyond the realm of research, the State of California's Political Reform Act of 1974 requires that all government employees and officials (including all employees and officials of the University of California) disqualify themselves from participating in a university decision when a financial conflict of interest is present. To help insure employee awareness of these regulations, the UC Office of the President has two publications explaining these regulations. One, entitled Political Reform Act Disqualification Requirements, explains the law and its relevance to UC employees and details the appropriate steps to be taken when a potential conflict exists. The other publication, 1994 Conflict of Interest Code, also explains the Political Reform Act and, in addition, indicates the appropriate individuals to contact on each of the University of California campuses.23

1.D.4 Fundraising activities are governed by institutional policies which are consistent with the educational objectives of the institution.

All UCSC fundraising is guided by both Regental and campus policies and guidelines covering basic gift solicitation, acceptance, and administrative procedures, as well as university interpretation of tax and trust law. The Gift Administration Unit within University Advancement is charged with ensuring compliance with systemwide policy. In addition, a campus solicitation policy and a fundraising priority document were recently developed which establish solicitation protocols and ensure direction of fundraising priorities by the Chancellor and his senior academic advisors.

See the following documents which expand upon the institutional policies:24

- Development Policy Manual (relevant sections have been excerpted)
- UCSC Solicitation Policy
- UCSC Fundraising Priorities Document

The campus is also in the process of developing a policy handbook for "friends" groups (i.e., the support and funding groups associated with many campus activities).

STANDARD 1.E
INTEGRITY IN RELATIONSHIPS WITH THE COMMISSION

In its relationships with the Commission, the institution demonstrates honesty and integrity, and agrees to comply with Commission standards, policies, guidelines, and self-study requirements. The institution is responsive to Commission decisions and requests.

Failure to be responsive or to make complete, accurate, and honest disclosure is sufficient reason, in and of itself, for the Commission to impose a sanction including the denial or revocation of candidacy or accreditation.

The institution has made a conscientious effort to maintain cooperative and productive relations with the accrediting body. Both the form and contents of the present self-study have been negotiated with the Executive Director of the

24 Standard One reference 15.
Western Association of Schools and Colleges, Steve Weiner. Chancellor Karl Pister (who is a member of the Executive Commission of WASC), Executive Vice Chancellor Tanner, and other members of the UCSC administration, have tried to impress upon the campus community the need for and the value of a frank and searching examination of all relevant aspects of the institution's operations.
STANDARD TWO:
INSTITUTIONAL PURPOSES, PLANNING, AND EFFECTIVENESS

STANDARD 2.A
CLARITY OF PURPOSES

The institution is guided by clearly stated purposes that define its character, are appropriate for higher education, and are consistent with Commission standards.

2.A.1 The statement of purposes identifies the broadly based educational objectives the institution seeks to fulfill. In implementing its purposes, the institution has defined the constituencies it intends to serve as well as the parameters under which educational programs can be offered and resources allocated.

The origin and mission of the University of California is described by the systemwide Office of the Vice President-Academic Affairs as follows:25

The University of California was founded in 1868 as a public, State-supported land-grant institution of higher education. It was written into the State Constitution as a public trust to be administered under the authority of an independent governing board, The Regents of the University of California. In 1960, the Master Plan for Higher Education in California, 1960-1975, recommended differentiation of function among the three public segments of higher education in the State. The Master Plan recommendations on the mission of the University of California were incorporated in the State's Education Code through the Donahoe Act of 1960. The 1974 edition of the Education Code describes the University's mission as follows:

2250. The University of California may provide instruction in the liberal arts and sciences and in the professions, including the teaching professions. It shall have exclusive jurisdiction in public higher education over instruction in the profession of law and over graduate education in the professions of medicine, dentistry, and veterinary medicine. It has the sole authority in public higher education to award the doctoral degree in all fields of learning except that it may agree with the California State University and colleges to award joint doctoral degrees in selected fields. It shall be the primary state-supported academic agency for research.

The university's mission was described succinctly in the University of California Academic Plan, Volume I: The Universitywide Perspective (1975), as follows:

The distinctive mission of the University is to serve society as a center of higher learning, providing long-term societal benefits through transmitting advanced knowledge, discovering new knowledge, and functioning as an active, working repository of organized knowledge. That obligation, more specifically, includes undergraduate education, graduate and professional education, research, and other kinds of public service, which are shaped and bounded by the central and pervasive mission of discovering and advancing knowledge.

Specification of how this mission has been carried out in the UCSC context is provided in several campus planning documents. See the 2005 Report, The Report of the Committee on Undergraduate Education, and the University of California, Santa Cruz, Shaping Our Future: Planning for 15,000 Students.26

See also the Introduction of the present self-study.

25Taken from the UC Systemwide Self-study (UOP: 1984).
26See Graduate Education references 6 and 7 and Undergraduate Education reference 28.
2.A.2 The statement of purposes derives from, or is at least understood by, the campus community; is adopted by the governing board; and is periodically re-examined.

See 2.A.1.

2.A.3 The descriptive title of the institution is appropriate to its purposes, size, and complexity.

See 2.A.1.

2.A.4 Educational programs are demonstrably related to the purposes of the institution. Financial and physical resources are clearly related to its purposes.

See Standards 8 and 9.

2.A.5 The statement of purposes appears in appropriate institutional publications.

The General Catalog contains a discussion of how UCSC attempts to achieve its mission objectives (pp. 6-9).

STANDARD 2.B

INSTITUTIONAL PLANNING

The institution is engaged in ongoing planning to achieve its avowed purposes. Through the planning process, the institution frames questions, seeks answers, analyzes itself, and revises its purposes, policies, and procedures accordingly.

2.B.1 The institution uses the results of ongoing planning processes in further planning and evaluation.

The campus engages in short- and long-term planning and evaluation utilizing a multi-faceted approach. The Chancellor and the Executive Vice Chancellor (EVC) establish the general goals, objectives, and guiding principles for the campus and delegate responsibility for carrying out the planning process to the Vice Chancellors and the unit heads. The Office of Planning and Budget is responsible for managing both systematic and ad hoc reviews of units on campus and providing the necessary organizational and financial information and analysis required by the planning process in each unit.

The continuing budget crisis has precipitated a major reorganization of campus personnel and their responsibilities. In order to mitigate the adverse impacts of such upheaval, the EVC has initiated reviews aimed at streamlining processes and eliminating redundant activities at three levels:

1. Individual units (primarily support services) are using the tools of the Total Quality Management process to assess how they meet the needs of their "clients" and the goals of the university. Their findings, it is hoped, will result in incremental improvements to the services they provide. This process seeks continual improvement through regular assessment of ongoing activities.

2. The campus, under the leadership of the Vice Chancellor of Business and Administrative Services, is actively engaged in Business Process Redesign. With the help of outside consultants, the campus will identify critical processes that would benefit from a major redesign. This effort not only provides an in-depth assessment of how the campus functions, but will also require ongoing reevaluation to ascertain if goals and objectives have been met. Although ideally full implementation would result in significant costs savings, given the recent drastic reductions in the campus budget, the immediate goal is to recoup some of the recently lost ground by ensuring that the remaining staff is able to work at peak efficiency.
3. The Academic Senate, in cooperation with the EVC, has initiated a series of four task forces charged with assessing the effectiveness of general organizational issues concerning: 27

- Academic Programs
- Student Services
- Central and Academic Administration
- Business Services.

Although the first two task forces listed are focused primarily on general administrative and instructional support activities, the third process integrates an assessment of the instructional efforts of the campus.

2.B.2 In the planning process, internal and external environmental factors are taken into consideration, institutional data are integrated, and the collection of new data is stimulated.

The planning process is driven by a variety of factors, of which the most important have recently been tied to the continuing decline of resources. Within these constraints, activities and funding priorities are determined based on an assessment of their contribution to stated campus objectives (as outlined in the 2005 Report, Shaping Our Future: Planning for 15,000 Students, and Managing Faculty Resources 28).

Institutional data play an integral and critical role in planning and assessment. Data collected incorporate standard institutional measures (e.g., students served, retention/graduation rates, campus environment surveys, distribution of resources among instructional and support activities, outcomes) while comparative information from other institutions is used to establish benchmarks in each of these areas. A major effort is currently underway to assess the distribution of faculty workload and academic resources on our campus so that we may implement the tenets defined in Managing Faculty Resources. Comparative data from other UC campuses will be used to calibrate the results.

2.B.3 The planning process identifies issues and establishes priorities in addressing them.

See 2.B.2.

2.B.4 The planning process is participatory, involving, as appropriate, the board, administration, faculty, and students.

The campus has instituted a number of open processes that seek the advice and involvement of administration, faculty, students, and staff. The recent budget reduction process is exemplary of broad-based campus participation and has set the tone for other campus planning activities. The Chancellor and the Executive Vice Chancellor first established the goals of the process and then met with a committee incorporating representatives from each of the major campus constituencies (e.g., students, staff, faculty, colleges, divisions, and boards of studies). This group was asked to consider the critical issues and actively discussed the tradeoffs required by the budget cuts. Although clear consensus was not reached on all issues, participants provided valuable feed-back and helped transmit information back to the constituencies they represented.

In addition, the Chancellor meets regularly with an advisory group broadly representative of the campus. Town Hall meetings, offered at least quarterly, provide staff and faculty with a forum for discussing pressing issues with the campus administration. The Business Process Redesign effort and the Academic Senate Task Forces listed in 2.B.1 will also solicit participation from a range of campus constituencies.

28 Undergraduate Education references 6, 7, and 10.
2.B.5 The human, financial and physical resources of the institution are integrated in the planning process.

Long- and short-term planning at UCSC incorporate the range of human, financial, and physical resources of the institution. The planning process aims to provide systematic assessment of historical patterns, current conditions, and future prospects through a combination of qualitative and quantitative indicators.

The UCSC academic plans (embodied in Shaping Our Future: Planning for 15,000 Students and the 2005 Report) represent the campus vision of future directions. Shorter term plans for realization of these goals are developed through the tri-annual board and divisional planning process. Annual short- and long-term enrollment planning guide the yearly mix of students and determine the rate at which we can realize new program development, particularly at the graduate level.

The campus Long-Range Development Plan\(^{29}\) provides a general land use plan that will guide the physical development of the Santa Cruz campus until it reaches its target of 15,000 students. Requests for the funding of physical resources (e.g., new buildings), remodeling of existing buildings, or the reallocation of existing space are evaluated by the Office of Planning and Budget, presented to the campus Space Committee for prioritizing and reviewed by the Academic Senate Committee on Planning and Budget. Long-range capital planning is based on campus academic program planning and determines the sequence in which new buildings will be constructed on campus.

Long-range goals are adjusted in light of the balance of undergraduate to graduate students (as allocated by the Office of the President), student interest and demand, and allocation of capital funds to the campus. Since planning efforts must be responsive to these external influences, short-range plans are subject to continual realignment as campus goals are weighed against current fiscal realities.

2.B.6 Appropriate evaluation mechanisms for all major components of the institution are utilized in planning.

See 2.B.1 and 2.B.2.

STANDARD 2.C

INSTITUTIONAL EFFECTIVENESS

The institution has developed the means for evaluating how well, and in what ways, it is accomplishing its purposes as the basis for broad-based, continuous planning and evaluation.

2.C.1 As an essential element in planning and evaluating institutional effectiveness, institutional research is conducted. Research assesses such elements as instructional programs, research functions, and the co-curricular environment.

The unit primarily responsible for assessment is the Institutional Research and Policy Studies group in the Office of Planning and Budget. This group strives to provide accurate and timely information and analyses regarding the campus’s students, staff, finances, curriculum, and physical facilities, and to support campus officials charged with planning and policy development. The goals of the unit include: (a) to identify the institutional data and research needs of the campus; (b) to conduct and disseminate policy and planning studies; (c) to provide technical assistance to committees and other administrative offices in areas related to planning and policy research; (d) to update and improve internal data collection methods, analyses, and reporting of the unit’s quarterly and yearly reports; (e) to develop or adapt new computing methods or technologies to assist in the analysis and reporting of information; (f) to provide the campus with information on trends and new developments related to higher education, planning, policy, and institutional research; and (g) upon request, to provide information to decision-makers and other campus personnel, to students, to external agencies, and to the general public. Periodic reports include: enrollment forecasts

\(^{29}\) Standard Two reference 2.
and quarterly updates; a summary of the faculty’s instructional workload; the annual survey of new students; faculty
courseload and student credit hour projections; an annual retention report; a biannual survey of recent graduates;
periodic surveys on classroom conditions; a biannual report on applicants to medical schools; class size studies;
accreditation reports; and studies requested by campus committees and student services units. Other responsibilities
include: coordination and collection of program review materials; planning in support of the development of new
academic programs; the development and maintenance of client/server planning databases (the Data Warehouse
Project); and the maintenance of the facilities utilization/faculty courseload database.

Research to support planning and improve institutional effectiveness is also conducted by other campus units.
Notable examples include: (a) the Registrar’s Office, which conducts studies on the curriculum, narrative evaluation
system, and graduation-related issues; (b) units reporting to the Vice Chancellor for Business and Administrative
Services, which have taken the lead in using Total Quality Management; (c) student service units, which regularly
conduct evaluations of their mission and effectiveness; (d) curriculum and workload studies, which are conducted by
the staff in each academic division; and (e) staff in the Graduate Studies and Research Division Office, which
conduct studies on financial support, retention, and time-to-degree for graduate students.

2.C.2 Procedures and measures used to evaluate institutional programs may include: changes in students’
academic achievement; peer evaluation of educational programs; structured interviews with students and
graduates; changes in students’ values as measured by standard instruments or self-reported behavior
patterns; pre- and post-testing of students; surveys of recent graduates; surveys of employers of graduates;
student scores on standardized examinations or locally constructed examinations; performance of graduates
in graduate school; performance of graduates of professional programs [or] licensure examinations; or the
placement of graduates of occupational programs in positions related to their fields or preparation.

An overview of methods used to evaluate student learning and the quality of teaching is contained in the self-study
sections on ”Teaching” and ”Advising.”

2.C.3. Institutions with research and public service missions assess the extent to which support is provided
and activities undertaken to accomplish these aspects of their mission.

UCSC has several research entities which also have a large public service component: Lick Observatory, Long
Marine Lab, the Agroecology Program, and the Dickens Project.

For a discussion of research activities see the ”Research and Creative Activity” section of the self-study.
STANDARD THREE:
GOVERNANCE AND ADMINISTRATION

STANDARD 3.A
THE GOVERNING BOARD

The governing board is ultimately responsible for the quality and integrity of the institution. It selects a chief executive officer, approves the purposes of the institution, and concerns itself with the provision of adequate funds. It establishes broad institutional policies, and delegates to the faculty and administration responsibility to administer and implement these policies. The board protects the institution from external pressures antithetical to academic freedom, to instructional autonomy, or to integrity. It differentiates among roles and responsibilities of various persons or bodies, and provides stability and continuity to the institution through an organized system of institutional planning and evaluation.

University governance and administration is described in the Faculty Handbook as follows:

Governance of the University is shared by The (sic) Regents, the President and his administration, the Chancellors and their administrations, and the faculty through the Academic Senate. Each of these partners in governance has broad areas of authority and responsibility as provided in the Bylaws and Standing Orders of the Regents.

The Regents comprise the governing board of the public corporation which is the University of California.

The President and the Chancellors, and their respective administrations, are responsible for executing the plans and programs of the University and administering its various affairs.

The Academic Senate is delegated authority in instructional matters and, through its committee system, consults with the administration and The Regents on a broad spectrum of issues.

For a more complete description see the Faculty Handbook, pp. 10-13. 30

See also Bylaws and Standing Orders of The Regents of the University of California31 (adopted April 18, 1969 last updated November 19, 1993), statements on university governance from UC Santa Barbara and UC Davis self studies,32 as well as list of Regents, UCSC Organizational Chart, and UCSC Principal Officers.33

3.A.1 The board includes adequate representation of the public interest and/or the diverse elements of the constituency and does not include predominant representation by the employees of the institution. The president may be an ex officio member of the board, but is not the chair. Arrangements provide for continuity of board membership and staggered terms of adequate length.

See Bylaw 5, Standard Three reference 1. See also item 10 in reviewers’ packet.

3.A.2 The board acts as a group; no member or committee acts in place of the board except by formal delegation of authority.


30 Standard One reference 1.
32 Standard Three reference 2 and 3.
33 Items 10, 11, and 12 in reviewers' packet.
3.A.3 The duties and responsibilities of the governing board are clearly defined in an official document. This document specifies the number of members, length of service, rotation policies, organization and committee structure, and frequency of meetings.


3.A.4 After appropriate consultation, the board selects and regularly evaluates the institution's chief executive officer.

See 3.A.

3.A.5 The responsibilities of the governing board include securing financial resources to support adequately the institutional goals.


3.A.6 The board approves and assures compliance with basic institutional policies, including personnel policies. It approves substantive changes in institutional purposes, policies, and programs.


3.A.7 The board approves an academic and administrative structure or organization which serves institutional purposes. Implementation and administration of policies are the responsibility, not of the board, but of bodies within this structure.


3.A.8 The board ensures that the number, type, and level of degrees offered are of a satisfactory quality and are consistent with institutional purposes.


3.A.9 The board reviews and approves the educational and facility plans and ensures that they are consistent with institutional purposes.

See Bylaw 12.4, Standard Three reference 1.

3.A.10 The board approves both the long-range financial plan and the annual budget, and reviews the periodic fiscal audits.

See Bylaw 12.1, Standard Three reference 1.

3.A.11 When an institution depends for its general support on an external agency—governmental or private—the external agency determines the amount of support it provides and may appropriately indicate in broad terms the category for which support is provided and the amounts. The board provides specific allocations by means of budget. If subsequent developments necessitate reduction of the allocation, the governing board and the institution's officers determine how and where the reductions are to be made.


3.A.12 Board policy precludes participation of any of its members in actions involving possible conflict of interest. The board has approved a policy regarding conflict of interest of administration, faculty, and staff.

3.A.13 The board is informed about and involved in the accrediting process.

The Regents are informed about the accreditation process and have access to campus self-studies through the Office of the President.

3.A.14 In proprietary institutions, the governing board, in addition to demonstrating compliance with the other components of this standard, avoids compromises with the institution’s primary commitment to education. (See also 9.C.4 and the Supporting Documentation Section, #11, page 85, for additional financial reporting requirements for proprietary institutions.)

See 3.A.

STANDARD 3.B
ADMINISTRATION

The administration is organized to serve institutional purposes effectively by providing educational leadership through an environment conducive to learning and high morale. The administration focuses all the resources of the institution on accomplishment of its purposes, and fosters candid communication among the governing board, administrators, faculty, staff, and students.

3.B.1 The administration is organized and staffed to reflect institutional purposes, size, and complexity and to provide economical and efficient management. Administrative organization, roles, and responsibilities are defined clearly. The chief executive officer’s full-time responsibility is to the institution.

The Executive Program, established in 1986, is composed of senior leadership positions requiring the exercise of a high degree of independent judgment in the development of systemwide or campuswide policy and program direction and accountability for long-term results. Policies pertaining to the Executive Program are found in the Executive Program Personnel Policies Manual. The Executive Program includes academic deans, and all provisions of the program apply to them, except that appointment, review, and dismissal of academic deans are covered under the Academic Personnel Manual rather than by Executive Program policy. There are twelve positions currently within the Executive Program at UCSC. A position description (using a standard form from the Office of the President) is prepared for each position and is kept current.

The delegation of authority system defines the responsibilities and authority of senior administrators. Delegations are typically made by the President to the Chancellor, who in turn redelegates to the appropriate senior campus administrators.

Each year the Office of the President requests that the campus prepare a written report of its planning and organizational structure (the "Executive Program Presentation"). Included in this report is information about the following: current and planned changes in campus Executive Program structure or overall campus organization; changes in Executive Program positions; and plans to increase the number of women and minorities in the Executive Program.

See UCSC Organizational Chart, item 10 reviewers’ packet.

3.B.2 Administrators are qualified to provide effective educational leadership and management. Access is provided for professional development. The institution determines and implements specific ways to evaluate its administrators.

Executive Program members are selected according to Executive Program Recruitment and Appointment Procedures. For academic deans, this is supplemented by Academic Personnel Manual Section 240.

The search process is tailored to each search. For deans and vice chancellors, nominations and applications are typically solicited from a wide range of sources including advertisements, letters to presidents and chancellors (or other officers) of other institutions, and letters to faculty, staff, and other relevant groups. Recruitment advisory committees are usually active in securing the interest of promising persons who were nominated or who were suggested by committee members themselves. Applications are reviewed by the committee and references obtained for the most promising candidates. Based on this information, a group of finalists is then invited to campus for interview. Following the interviews, committee members are asked to submit evaluations of each candidate to the Chancellor, as are the others who meet with the candidates.

In the case of deans, the Chancellor makes a recommendation for an appointment to the President of the University, who has final decision-making authority. In the case of vice chancellors, the Chancellor makes a recommendation to the Regents. In the case of other appointments, the campus officer to whom the appointee would report makes a recommendation to the Chancellor, who has final decision-making authority.

Development opportunities are provided through on-the-job training, institutes, workshops, and other programs. In addition, special leaves such as personal leave and educational and professional development leave may be provided to enable an Executive Program member to take advantage of these opportunities.

Performance appraisals are prepared for all Executive Program personnel on an annual basis. In the case of academic deans, an additional review is undertaken every five years.

3.B.3 The administration assures that resources are allocated to reflect institutional priorities.

See 2.B.4 and 2.B.5.

3.B.4 In multi-campus systems, division of responsibility and authority between the system office and the institution is clear; system policies and procedures are clearly defined and equitably administered.

See 3.A.

STANDARD 3.C

FACULTY

The role of faculty in institutional governance is both substantial and clearly defined.

The Regents of the University of California have delegated to the Academic Senate responsibility for admissions policy, degree requirements, and curriculum. In addition, the Regents require the administration to consult with the faculty regarding those issues over which the administration has responsibility, such as allocation of faculty positions or academic personnel decisions. These roles of the faculty are realized through the Academic Senate.

The Universitywide Academic Senate. The composition and organization of the Universitywide Academic Senate are governed by Standing Order of The Regents 105.1, and the duties, powers, and privileges of the Academic Senate are delegated to it in Standing Order 105.2, and in certain other Orders governing the obligations of the President or the Chancellors to consult with it. The Academic Senate consists of all members of the faculty holding the rank of lecturer with security of employment (LSOE), assistant professor, associate professor, and professor, principal administrative officers, and persons holding certain other titles. The Academic Senate is otherwise
authorized to determine its own membership and organization. It may delegate authority to its divisions (one of which exists on each campus) or committees.

The Assembly of the Academic Senate has several Universitywide committees. The executive committee is the Academic Council, which consists of the Chair and Vice-Chair of the Assembly, the chairs of each of the nine campus divisions of the Senate, and the chairs of six of the Universitywide standing committees. These are the Universitywide Committee for Educational Policy (UCEP), Planning and Budget (UCPB), Academic Personnel (UCAP), Faculty Welfare (UCFW), the Coordinating Committee on Graduate Affairs (CCGA), and the Board of Admissions and Relations with Schools (BOARS).

The Academic Senate is delegated the authority (Standing Order 105.2[d]) "to advise a Chancellor concerning a campus budget and...to advise the President concerning the University budget." (In practice, this advisory capacity is organized in various ways at the individual campuses.) UCPB advises the President on the University budgets. The Academic Senate is also authorized to advise the President and the Chancellors concerning the administration of the University libraries. Finally, the Senate has the right, through the President, to lay before the Board its views on any matter pertaining to the conduct and welfare of the University.

The Santa Cruz Division of the Academic Senate. The constitutional underpinning of the Academic Senate—the Standing Orders of The Regents—provides each of the campus divisions, including the Santa Cruz Division, with a high degree of autonomy. Each division is accountable not to the administration on its campus but, rather, to the Universitywide Academic Senate and, ultimately, to the Regents of the University.

See list of Academic Senate committees, item 18 reviewers' packet.

3.C.1 The role of the faculty in various policy-making, planning, budgeting, and special purpose activities is clearly and publicly stated.

See 3.3.

3.C.2 Faculty have and exercise a substantial and independent voice in matters of educational program, faculty personnel, and other matters of institutional policy that relate to their areas of responsibility and expertise.

See Santa Cruz Division of the Academic Senate Bylaw 13 (especially 13.10, Committee on Academic Personnel, 13.17, Committee on Educational Policy, and 13.24, Committee on Planning and Budget), and Academic Personnel Manual, Section 220, Professor Series Appointment and Promotion.

STANDARD 3.D

STUDENTS

The role of students in institutional governance is clearly stated and publicized.

3.D.1 A student governing body, if established, has well defined responsibilities and functions.

This campus has two distinct levels of undergraduate student governance: the Student Union Assembly (SUA) and the eight individual college student governments.

The eight college governments have individual constitutions which detail how each operates, the required membership (composition and size), how monies under their purview are allocated, and their role in college policy formation. The primary purpose for the college governments is to ensure student participation in the decisions which affect the college student body. The SUA does not generally involve itself with issues related directly to particular colleges. In relation to the colleges, the SUA functions in a supportive role when deemed necessary by individual college governments.
The SUA was formed in 1985. This student advocacy body provides leadership to realize student-oriented goals on a campuswide level (e.g., academic, campus community, job opportunities, and diversions from the rigors of academic life) through student-coordinated activities and programs for undergraduates that neither individual students, the college student governments, nor campus units can provide. The SUA is the liaison for the undergraduate student body and represents the students with other universities and the systemwide administration. The UC Student Association (UCSA) representative, who operates under the umbrella of the SUA, represents undergraduates through lobbying activities and advocates their rights, needs, and concerns to the campus administration and to agencies and groups outside the University.

The SUA’s responsibilities and functions are described in the constitution and its accompanying bylaws. According to the constitution, the SUA functions as the official legitimate voice of UCSC students on campuswide and systemwide issues. The SUA, due to its broad-based constituency and its expertise on the issues, is the most qualified organ to formulate and communicate the student position at this campus. The SUA is comprised of three elected representatives from each of the eight constituent colleges, plus a Chairperson, a UCSA representative, and a Campus Office Director who are elected through a campuswide process. The Student Union includes every registered undergraduate student. Due to the expertise of the individual college student governments on issues within their colleges and the personal contact of the college governments’ members to its constituency, the college governments have full and complete jurisdiction of the issues within their colleges.

The graduate student governing body, the Graduate Student Association (GSA), has clearly defined responsibilities and functions. These are described in the GSA constitution and bylaws, and in the brochure, Introduction to the GSA. The GSA exists to serve the collective interests of the graduate students by promoting cooperation among the graduate students of the various boards of study at UCSC; by representing their concerns to the UCSC faculty, administration, and staff; and by providing services to the graduate student body which are more effectively addressed as a group.

All UCSC graduate students, including both full- and part-time students, are members of GSA. This body has four elected officers who form the GSA Executive Committee. The Executive Committee recommends policy to the Council and carries on official GSA business between Council meetings.

3.3.2 The role of students in various governing, planning, budgeting, and policy-making bodies is made clear and public.

According to Article Five of the SUA constitution, the SUA shall maintain standing committees which address: academic issues; issues related to student services or the employment of students at UCSC or in the system; the UC budget, the UCSC budget, the budget of the UC Student Lobby, and the budget of the Student Union; legislation at the state and federal level; student financial aid and student housing; construction of new facilities; and issues related to UCSC or UC students as citizens. The SUA has authority over and responsibility for the fees generated to support campuswide student advocacy efforts. Documents outlining the structure and charge of the SUA are available to the public; all actions taken by the SUA are available via meeting minutes.

The individual college government constitutions require, at varying levels, student participation in college governance in cooperation with college administrators. College planning, budget, hiring, and policy-making committees require student membership which is frequently appointed by the college government.

The Intercollegiate Council on Student Appointments (ICSA) is comprised of one representative from each of the eight colleges. This body functions to: 1) promote opportunities for undergraduate students to serve and participate in the governance of the campus as active members of Administrative and Academic Senate committees concerned with a board range of issues and programs; 2) solicit applications from interested undergraduate students; 3) screen and review applicants; and 4) nominate students for appointment to committees. Annually, ICSA appoints approximately one hundred twenty-five students to committee positions.
The Student Fee Advisory Committee provides direct involvement by undergraduate students in the administration of Registration and Education Fee funds. Students provide input to ensure that the uses of these funds are appropriate. This committee has student representation from each college.

The GSA is responsible for officially nominating all graduate student representatives to all campuswide committees, including Administrative and Academic Senate committees which call for graduate student representatives.

3.D.3 Students are provided support to fulfill effectively their institutional responsibilities in governance.

Students are encouraged to participate on a wide variety of Academic Senate, administrative, board, college, and campuswide advisory committees. The ICSA, for undergraduate students at the campuswide level, and GSA, for graduate students, are the formal vehicles for the nomination of students to these committees. The SUA is peripherally involved with this process for undergraduate committee appointment. At the individual college level, college student governments are frequently asked to nominate and/or appoint student representatives to college-based committees.

The Student Organization Advising and Resources Office (SOAR) administers campus activities by providing opportunities, resources, and services to students to help them organize and/or participate in various co-curricular activities; these activities include more than one hundred registered student organizations, including print and broadcast media, and student governance. The unit administers the use by students organizations of University property through review, development, implementation, and enforcement of campus regulations. It provides students with consultation and training in leadership and organization management, programming, fundraising, and publicity. Also, it administers funding for student organizations through a number of committees, and coordinates support services and funding for the Annual Multicultural Festival and other cultural celebrations.

The SOAR office offers leadership training through orientation, workshops, and conferences for students interested in developing their interpersonal effectiveness. The offerings are designed for members of student organizations, government, and media to develop valuable organizational and leadership skills.

Student Registration Fees are used to pay salaries of career employees who work as advisers and fiscal support to various student organizations, including undergraduate campuswide student governance.
STANDARD FOUR:
EDUCATIONAL PROGRAMS

STANDARD 4.A
GENERAL REQUIREMENTS

The achievement and maintenance of quality programs are the primary responsibilities of every accredited institution; hence, the evaluation of educational programs and their continuous improvement is an ongoing responsibility. As it analyzes its goals and discovers how conditions and needs change, the institution continually redefines for itself the elements that will result in programs of high quality.

4.A.1 The institution demonstrates its commitment to high standards of teaching and scholarship. Adequate procedures and resources exist to evaluate and improve the quality of instruction.

See the "Teaching" and "Research and Creative Activity" sections of the self-study.

4.A.2 The institution provides an environment conducive to studying.

Two of UCSC's unique characteristics, the narrative evaluation system and the colleges, contribute to an environment conducive to study and learning. The narrative evaluation system is designed to minimize "grade pressure" and competitiveness and enhance faculty communications regarding the student's academic progress. (See the "Narrative Evaluation System" section of the self-study.) The colleges provide "learning communities" within the larger institution where students can develop academic relationships with peers and faculty and engage in a variety of social activities. (See the "Colleges" section of the self-study.)

Additional contributors include (a) dorm policies related to the study environment; (b) study facilities and environment in the central college libraries; (c) several computer laboratories; (d) the Oakes College Learning Center; (e) the Natural Sciences Division's ACE program.

4.A.3 The structure and goals of all educational programs (including special programs and courses as defined in 4.E) are consistent with institutional purposes; they are developed, approved, administered, and periodically reviewed under established institutional policies and procedures through a clearly defined process.

All campus instructional programs are developed, approved, administered, and periodically reviewed under campus established guidelines that adhere to policies mandated by the Office of the President, the Universitywide Academic Senate, and the Santa Cruz Division of the Academic Senate.35

Subject to the Senate Bylaws and the Standing Orders of the Regents, program development is initiated by either faculty clusters or the administration.36 It requires both the endorsement of the administration (the Dean(s) and the EVC) and appropriate Academic Senate Committees (CEP and/or Graduate Council and CPB). Any programs endorsed at the campus level requiring new resources, new degree titles, or the establishment of an administrative unit must be transmitted to the Office of the President for evaluation and approval.

Administration of academic programs is guided by Academic Personnel Policies, Bylaws of the Academic Senate, Santa Cruz Division, and written procedures coordinated under the auspices of the Executive Vice Chancellor. Each program is administered by board faculty, while a dean exercises authority over the programs within the division.

36 Bylaw 2.2 of the Academic Senate, Santa Cruz Division.
Programs are reviewed regularly on a six-year basis. The process is guided by the Program Review Policy procedures document. Ad hoc reviews are also conducted when special circumstances warrant it.

4.A.4 Degree programs have a coherent design and are characterized by continuity, sequential progression, and a synthesis of learning.

See 4.A.3. See also proposals for graduate programs and external program reviews.

4.A.5 In each field of study, degree objectives are clearly specified: the subject matter to be covered; the intellectual skills and learning methods to be acquired; the affective and creative capabilities to be developed; and, if relevant, the specific career-preparation practices to be mastered.

See the General Catalog and the handbooks for majors.

4.A.6 Efforts are undertaken to develop and implement ways to measure the educational effectiveness of programs.

Evaluation and development of general education programs are described in the section on "General Education."

See also 4.A.3, 4.F.1, and 4.F.5.

4.A.7 Whenever the institution admits groups of students with special needs (e.g., international students, disabled students, reentry students) or identifies a group which may have unique needs (e.g., honor students), there are adequate academic support and enrichment services to meet the special needs of these students.

See also the "Advising" and "Undergraduate Diversity" sections of the self-study and 7.A.1.

4.A.8 Courses and programs are planned both for optimal learning and accessible scheduling. Programs offered in concentrated or abbreviated time frames are designed to ensure that courses requiring development of analytical skills allow sufficient time to permit reflective analysis of the material. Where such instructional formats are employed, the institution is under a particular obligation to meet the expectations of 4.A.6.

Following pilot testing in spring and fall 1993, a new on-line advance enrollment system using state-of-the-art voice response technology was adopted for scheduling. Using touch-tone telephones, students access the Student Information System (SIS) database, indicating preferred courses and sections, based on a prearranged priority enrollment schedule. A digitized voice responds to each request, providing instantaneous feedback. If the student meets the course qualifications and the course is open, the student request is accepted. If the student does not meet the qualifications or the course is closed (full), the system responds accordingly and the student selects another section or a different course. Faculty members always have the opportunity to make exceptions and override the system to allow special admits into courses. Advance enrollment data allow boards and divisions to monitor enrollment and make adjustments to better accommodate students.

Programs offered in concentrated or abbreviated time frames are taught only in summer session. These courses are presented to summer session by boards of studies and reviewed by the Committee on Educational Policy.

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37Standard 4 reference 3.
39Standard 4 reference 5.
4.A.9 Programs and courses are offered in a manner that ensures students the opportunity to complete the entire program as announced.

Each year the boards of studies develop a curriculum plan for the following year and submit it to the divisional deans. Any changes in major requirements (i.e., the number of courses or specific courses), additions of new courses, or substantial changes in course content must be reviewed and approved by the Committee on Educational Policy.

See also Table A.7 in the "General Education" section of the self-study.

4.A.10 Each student is taught by a sufficient number of different faculty to ensure diversity of instruction and exposure to different viewpoints.

In meeting the general education, major, and college requirements, students will be taught by a sufficient number of different faculty to ensure diversity of instruction and exposure to different points of view.

See also the "General Education" section of the self-study.

STANDARD 4.B
UNDERGRADUATE PROGRAMS

The undergraduate program is designed to give students a substantial, coherent, and articulated exposure to the major, broad domains of higher education.

With a few exceptions, Bachelor's degree programs have a tripartite structure: the General Education segment requires students to master enabling skills for autonomous learning and to develop an understanding of the fundamental areas of knowledge; the Major segment requires students to achieve depth in a specific area; and the Electives segment provides the opportunity for students to select diverse exposure to other areas of interest.

Undergraduate studies as a whole have a clear rationale, and the three segments articulate in such ways as to reflect that rationale. The undergraduate program, as a whole, is characterized by clarity and order, characteristics which are viable in model curricula in official bulletins, and also in student records of actual programs pursued.

4.B.1 When an institution offers more than one Bachelor's degree, the differences in structure and function are clearly stated.

See specific majors in the General Catalog.

4.B.2 Undergraduate studies ensure, among other outcomes: (a) competence in written and oral communication; (b) quantitative skills; and (c) the habit of critical analysis of data and argument. In addition to these basic abilities and habits of mind, goals also include an appreciation of cultural diversity.

See the "General Education" section of the self-study.

4.B.3 General education is integrated with the entire undergraduate program and includes offerings at the upper division level. Normally the general education program consists of no fewer than 45 semester units inclusive of courses meeting the expectations of section 4.B.2.

See the "General Education" section of the self-study.
4.B.4 The faculty of the accredited institution, as whole, has primary responsibility for:

1) Developing a clearly articulated rationale for the general education program required of all students.

2) Establishing the minimum number of units of general education, normally no fewer than 45 semester units, to be taken by all students, without exception.

3) Establishing the criteria by which the appropriateness of each course to the general education program is evaluated and reviewing and approving all courses that are counted in satisfaction of the general education requirement.

4) Assessing the impacts of the general education program upon students and the success of the general education program in reaching the goals established for it.

5) Using assessment results in improving the general education program.

See the "General Education" section of the self-study.

4.B.5 In institutions where full-time faculty are not employed in one or two of the basic areas of the curriculum, then full-time faculty in appropriate disciplines from other institutions shall be consulted in the design and subsequent assessments of the general education program.

Not applicable

4.B.6 The general education program ensures breadth for all students pursuing a baccalaureate degree. It requires course work that contributes to the cultural/aesthetic, sociological/political, and scientific/technological knowledge expected of educated persons in this society. These goals may be met by courses that focus on the subject matter, theories, methodologies, and intellectual traditions of the arts and humanities, the natural sciences and mathematics, and the social sciences, as well as interdisciplinary courses that draw substantially on more than one of the traditional disciplinary areas. Courses offered by professionally oriented academic units may also be used to satisfy these requirements. All courses approved for general education must satisfy the institution-wide criteria for general education courses as established by the faculty.

See the "General Education" section of the self-study.

4.B.7 Professional and technical terms are clearly defined, e.g., special major, area of concentration, distribution requirements, experiential learning.

See the General Catalog and the glossary in the front of The Navigator.

4.B.8 The institution has clearly articulated policies for the transfer of credit to ensure that students who transfer in with general education course credits meet its own standards for the completion of the general education requirement. Where patterns of transfer from specific community and junior colleges are established, efforts are undertaken to formulate articulation agreements regarding general education.

UC Santa Cruz follows the University of California guidelines described in The Handbook of California Articulation Policies and Procedures (1989). Responsibility for producing campus-specific general education agreements rests with the campus articulation officer. Currently, UCSC maintains general education agreements with 72 of the California community colleges.40

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40 Standard Four reference 6.
Responsibility for producing the Intersegmental General Education Transfer Curriculum (IGETC) is a combined effort of the UC Office of the President, the California State University Chancellor's Office, and the California community colleges.\textsuperscript{41} Students who are transferring from a California community college who have completed the IGETC are exempt from the UCSC general education requirements. (See \textit{General Catalog} "Graduation Requirements," pp. 25-29.)

The campus also participates in ASSIST (Articulation System Stimulating Interinstitutional Student Transfer), a comprehensive tool to aid in the counseling of transfer students. The program includes three components: campus information, academic progress checks, and articulation agreements. The articulation component provides information on the Intersegmental General Education Transfer Curriculum, the UC Transferable Course Agreements, and campus-specific course-to-course articulation, major preparation agreements, and general education agreements with California community colleges.\textsuperscript{42}

4.B.9. Advising procedures are designed and maintained to meet student needs for information and advice. Faculty and other personnel responsible for academic advising are adequately informed and prepared to discharge their advising functions.

The campus's decentralized approach to advising requires that a large number of faculty and staff needs to keep current with related regulations, and inevitably involves people with different levels of skill and commitment to the advising function. The available information suggests that most advisers provide high-quality services, but that students sometimes have difficulty in contacting some faculty advisers; staff advisers tend to be more familiar with general education requirements than with major requirements, graduate programs, and career issues.

See also the "Advising" section of the self-study.

4.B.10 The faculty of the accredited institution, as a whole, establishes minimum standards for student competency to undertake collegiate level work in terms of 1) written communication and 2) quantitative skills. Attainment of these minimum competencies is assured by the institution as early as possible in each student's undergraduate program. Courses taken to bring students to college-entry levels of competency in written communication and quantitative skills shall not be counted as satisfying any portion of the general education requirement. Whenever remedial work is required of students who are admitted to any program, clear policies govern the procedures that are followed, including such matters as permissible student load and possible granting of credit; when remedial courses yield credit, students are informed whether or not the units count toward the degree.

Minimum entrance standards for competency in mathematics and written composition may be met through the completion of high school courses (four years of English and three years of mathematics through geometry and advanced algebra).

In addition, students must pass an examination in composition. See \textit{The Navigator}, p. 6 and the \textit{General Catalog} pp. 13-16 and 25-26 which describe the Subject A (English Composition) requirement.

Writing 10 and Mathematics 1 are designed for students whose previous preparation is not sufficient for college-level work. These courses carry workload credit only (non-credit preparatory courses for university work) and are described in 4.G.1, p. 25 of \textit{The Navigator}, and in the \textit{General Catalog}.

\textsuperscript{41} Standard Four reference 7.
\textsuperscript{42} Standard Four reference 8.
4.B.11 A sufficient number of full-time faculty (see 5.A.2) is available to support all undergraduate programs. The number of full-time faculty is proportionate to the type and range of degrees offered and the number of students served.

A sufficient number of faculty to support undergraduate programs is insured as a result of the process that exists between the State of California and the University of California for funding faculty. The University receives funds from the state based on projected undergraduate and graduate enrollments. The University allocates funds and faculty full-time-equivalents (FTE) to its campuses based on predetermined student-faculty ratios. This campus allocates funds and faculty FTE to its colleges and schools based on teaching needs and on programmatic considerations. Essentially, this process insures that as enrollments grow, an adequate number of faculty FTE should be available for teaching.

See the discussion of distribution of faculty resources in the "Course load" subsection of "Teaching." See also undergraduate Education reference 10, Managing Faculty Resources.

4.B.12 Except as qualified in 4.E.2, full-time faculty are involved in the delivery of each off-campus program, including providing some physical presence and participating in instruction, in a manner determined by the institution.

The Education Abroad Program is staffed and overseen by regular full-time faculty. Faculty recruited for university Extension courses, which transfer to the university and can be counted towards degree requirements, must be reviewed by the appropriate board of studies on campus.

4.B.13 Basic library collections, learning resources, and equipment are held by the institution to support all undergraduate degree programs. Library usage is required in all undergraduate degree programs.


4.B.14 Undergraduate degrees are awarded only by those institutions that offer undergraduate programs. Graduate or professional schools which do not offer complete undergraduate programs refrain from awarding undergraduate degrees to any of their students unless those students met the undergraduate requirements specified in this standard.

Not applicable.

STANDARD 4.C
GRADUATE DEGREES

Graduate and professional programs offer conceptually well designed programs of study which are guided by appropriate and well defined educational objectives, and are supported by sufficient resources to ensure a sophisticated mastery of a complex field of study or a professional area.

Objectives, policies, requirements, degree nomenclature and resources are appropriate to the several levels and types of graduate and professional degrees offered: disciplinary Master's, professional Master's, professional Doctorate, and research Doctorate.

Graduate study necessarily entails greater depth, sophistication and mastery than is required for undergraduate learning; adequate provision is made in terms of 1) student applicant qualifications and selection, 2) curricular design, 3) assessment of student academic work, 4) faculty preparation and competence, 5) financial support for instruction, 6) laboratory and field research support, 7) clinical and field supervision, and 8) library and computing resources.
4.C.1 Programs of study at the Master's level are guided by well defined and appropriate educational objectives and differ from undergraduate programs in greater depth of study and increased demands on student intellectual or creative capacity.

Master's level programs have requirements which take into account the different types of Master's degrees: 1) disciplinary Master's programs which have at lower levels of mastery many of the same objectives as the research doctorate, and typically involve at least one year of full-time study beyond the baccalaureate degree; and 2) professional Master's degrees which emphasize broad conceptual mastery of a field of professional practice, are frequently terminal degrees, and involve up to two years of full-time study beyond the baccalaureate.

Degree nomenclature appropriately reflects the type of degree. Disciplinary Master's degrees characteristically carry the designation of M.A. or M.S.; professionally oriented Master's degrees typically indicate the appropriate professional field such as Master of Engineering, Master of Business Administration, Master of Social Work, or Master of Education.

UCSC offers master's programs in Chemistry, Computer Engineering, Computer and Information Sciences, Earth Sciences, Economics, Education, Linguistics, Marine Sciences, Mathematics, Music, and Physics. All are disciplinary master's programs leading to the M.A. or M.S. degree; UCSC currently offers no professionally oriented master's programs, although two (in Environmental Studies and Environmental Toxicology) have been proposed and are now in the process of review. There are four certificate programs which are available for students with an undergraduate degree: Art, Education, Science Communication, and Theater Arts. Specific requirements for degrees and certificates are listed in individual program brochures.43

4.C.2 Doctoral programs of study are guided by well defined and appropriate educational objectives and differ from Master's level programs by greater depth of study and increased demands on student intellectual or creative capacity.

Doctoral level programs of study have requirements which take into account the different types of Doctoral degree programs: 1) research-oriented programs which are designed to prepare students for scholarly careers, emphasize the discovery and dissemination of new knowledge, and lead to the Ph.D. degree; 2) professional or practice-oriented programs which, while providing instruction in research, are designed to prepare students for professional practice involving the application or transmission of existing knowledge, and lead to a professional degree designation; and 3) degree programs which emphasize both research and professional training. Institutions define the educational models for their Doctoral programs in relation to the relative emphasis on research and professional training, developing their programs and resources in light of their chosen model.

Degree nomenclature is compatible with the type of degree offered. Research-oriented programs offer the Ph.D., while professionally oriented programs award the appropriate professional degree, such as the M.D., Ed.D., J.D., Psy.D., or D.B.A. Programs which combine both research and professional objectives employ a degree designation appropriate to the emphasis on one or the other of these components: those giving priority to research objectives offer the Ph.D.; those emphasizing professional objectives offer the professional degree.

UCSC currently offers sixteen doctoral programs. All are research-oriented programs designed to prepare students for scholarly careers, all lead to the Ph.D. degree, and all require a dissertation. Anthropology, Computer Engineering, and International Economics have been implemented since the 1986 WASC review.44

44See Standard Four reference 10.
4.C.3 Faculty and students in Ph.D. programs are actively involved in original research contributing to generalizable new knowledge. Such involvement is also present to a significant extent in disciplinary Master's degree programs.

All UCSC ladder-rank faculty members are expected to publish original research or demonstrate comparable creative activity. Many graduate students also publish their findings and insights, either individually or as members of research teams.\textsuperscript{45} Copies of theses and dissertations are available at McHenry Library.

4.C.4 Admission to both Master's and Doctoral programs involves special screening, with higher eligibility requirements in the latter case. Admitted students have a baccalaureate degree and evidence of capacity for graduate work. Professional schools, while customarily requiring the baccalaureate degree for admission, may, in some fields, accept undergraduates with advanced standing. Exceptions are fully justified and documented.

To be admitted with graduate status at UCSC, a student must have completed a bachelor's degree or its equivalent from an accredited undergraduate institution of acceptable standing and demonstrate ability to pursue a program of study leading toward an advanced degree. Preparation must provide an adequate foundation for advanced study, as determined by the board of studies for the program in which the student intends to enroll. If a student's bachelor's degree is not in the same discipline as the graduate program, there must be sufficient preparation in the intended area to undertake graduate-level work. Students are admitted to graduate status by the Dean of Graduate Studies and Research based on recommendations from the boards of studies. Regulations concerning admission to graduate study are covered in Chapter 14 (1-5) of the Santa Cruz Division of the Academic Senate and Regulations 510 and 520 of the UC Academic Senate.

4.C.5 Graduate programs are not offered unless resources are available beyond those expected for undergraduate programs. In the case of Doctoral programs, adequate provision is made for the significantly greater resources needed beyond those in Master's level programs.

Provision of faculty and staff resources is based on the University of California's "weighted ratio" approach to resource allocation. A master's student or a first-stage doctoral student brings 2.5 times as much funding to the campus as does a lower-division undergraduate, and a doctoral student who is advanced to candidacy brings 3.5 times as much funding as a lower-division undergraduate.

See the "Graduate Education" section of the self-study for resources relating to graduate student funding.

4.C.6 The addition of Master's and/or Doctoral programs does not impair the quality of undergraduate programs.

This standard assumes that undergraduate programs are primary, and master's and doctoral programs are of secondary importance. The university's role under the California Master Plan for Higher Education specifies that the university is the only legitimate public doctorate-granting institution in the State. In the University of California, therefore, graduate programs are coequal in importance with undergraduate programs, if not actually more important (since California State University and the California Community College System share in the education of undergraduates). It is the position of the University of California that the absence of master's and doctoral programs would impair the quality of undergraduate programs by attracting less qualified faculty members than UC currently enjoys. At UCSC, for instance, there are three programs that offer only graduate degrees (Astronomy, History of Consciousness, and Marine Sciences), but supplement the undergraduate curriculum with general education and upper-division offerings.

In the process of developing new graduate programs, boards are asked to look specifically at the relationship of graduate and undergraduate programs.

\textsuperscript{45}For a list of Ph.D. and Master's thesis titles for the years 1987-1992 see commencement programs, Standard Four reference 10.
See also the "Graduate Education" section of the self-study regarding TA training and the role of TAs in undergraduate education.

4.C.7 Institutions offering graduate degrees have an appropriate staff of full-time faculty (as defined in 5.A.2) in areas appropriate to the degree offered. Such faculty are related by training and research to the subject fields in which they teach and supervise research.

These full-time faculty are adequate in number and sufficiently diversified in discipline so as to provide effective teaching, advising, and scholarly or creative activity, as well as to participate appropriately in curriculum development, policy making, institutional planning, and governance.

Institutions offering Master's degrees have a core of full-time faculty at the home campus or base facility. In the delivery of each off-campus program, full-time faculty are involved, including providing physical presence and participating in instruction, in a manner determined by the institution.

Institutions offering Doctoral degree programs have a core of full-time faculty at the home campus or base facility, and at each off-campus location where Doctoral programs are offered.

Given the faculty responsibilities described above, even small graduate programs ordinarily demand the participation of several full-time faculty.

In the case of institutions offering more than one Master's or Doctoral degree program, individual programs leading to the Master's or Doctoral degrees are staffed by a core of full-time faculty as well.

UCSC currently employs approximately 450 ladder-rank faculty members with the expectation of their teaching at both the undergraduate and graduate levels. Adequate faculty FTE are insured by annual monitoring of student-faculty ratios program by program and through periodic external review of academic programs. Additional faculty members are assigned when the need is clearly apparent.

4.C.8 Graduate programs are staffed with highly qualified faculty whose education, experience, and competence are appropriate to the type of degree offered.

All UCSC graduate programs have a preponderance of research scholars on their faculties who are experienced and active researchers contributing to the generation of new knowledge.

4.C.9 Graduate programs provide carefully designed and sensitively monitored curricula and educational experiences appropriate to the level and orientation of the degree.

All graduate programs, whether at the master's or doctoral level, have curricula that enable both the scholarly mastery of a field of learning and a sequential development of research skills. Library, computing, media, and other learning resources necessary to support the extensive and in-depth research activities of faculty and students are provided. Periodic external reviews are conducted which look specifically at curricula.


4.C.10 Research and professional training experiences are fully integrated into the educational program, both conceptually and by virtue of faculty coordination of these activities.

At UCSC, graduate students are introduced to the knowledge, behavior, and skills of professionals in their disciplines. Faculty mentors and advisers facilitate the process by which graduate students become professional colleagues by directing them toward professional learning opportunities beyond the classroom, including writing for publication, presenting papers at professional meetings and conferences, and interacting with colleagues through

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46 See Standard Four reference 4 for copies of external reviews.
professional and personal associations. The dissertation adviser is particularly well positioned to provide such mentoring, but the board's Graduate Representative or Graduate Program Director is also available to supply information and guidance. (See also "Graduate Education" section of self-study for a discussion of TA training).

4.C.11 Course requirements call for heavy use of primary sources, current periodicals, and other literature appropriate to the research and professional education objectives of the program.

Graduate students are systematically introduced to both the primary source materials and the principal professional journals in their fields of study. McHenry Library and the Science Library have holdings in excess of one million volumes, and students have access to additional millions of volumes on other UC campuses and elsewhere through the campus's Interlibrary Loan Service.

4.C.12 Doctoral dissertations require a substantial depth of understanding in a major field or professional area, a sophistication of concept, and an illumination of the essential nature of the field of knowledge.

Academic Senate Regulation 18.6 (Santa Cruz Division) provides that: "A committee to read and pass upon the dissertation is appointed by the candidate's board of studies, and the board shall at the same time notify the Office of Graduate Studies and Research of the membership of the committee. The majority of the membership of a dissertation committee shall be members of the Santa Cruz Division of the Academic Senate. A change in the membership of the committee, once appointed, may be made only with the approval of the Graduate Council." Evaluation of the academic quality and contribution to knowledge represented by the submitted dissertation is an important responsibility of the faculty in the discipline involved.

4.C.13 Institutions that offer graduate degrees but are not part of a general college or university (sometimes called free-standing institutions) demonstrate strategies and mechanisms, such as external faculty advisory boards, or periodic external reviews, for providing the enrichment, checks and balances, and the quality deemed necessary in a general college or university.

Not applicable.

STANDARD 4.D
RESEARCH

Research and scholarship are present in the work of faculty and students at all institutions and are particularly evident in institution granting graduate degrees; research, scholarship, and instruction are integrated and regarded as mutually supportive.

4.D.1 Scholarship, research productivity, and service to the academic or professional communities are among criteria used for evaluating faculty for appointment, promotion, and tenure. In Ph.D.-granting institutions, these criteria take cognizance of the extent to which each faculty member's productivity and service are recognized by peers outside the institution.

See the "Teaching" and "Research and Creative Activity" sections of the self-study and 5.B.1.

4.D.2 Physical and administrative resources together with academic services are adequate to support the institution's research commitment.

UCSC is engaged in an ambitious building program designed to provide state-of-the-art facilities for students and faculty working in all of the basic scientific disciplines and key interdisciplinary areas. The Robert L. Sinsheimer Laboratories, completed in 1989, added 56,000 square feet of laboratory and science-related floor space for the biological sciences. The new Science Library, opened in 1991, quadrupled the space available in the previous building, which is being renovated to create new space for the University of California Observatories/Lick Observatory. A new Earth and Marine Sciences Building was completed fall 1993. A new Chemistry and
Biochemistry Building is well advanced in the planning process, and the Long Marine Laboratory is scheduled for expansion and renovation. Much of the research space for the Social Sciences and the Humanities is integrated into the colleges. The new colleges Nine and Ten will provide for Anthropology, Economics, Psychology, and Education. Since the last WASC review, a new Arts complex has been built and a renovation of space in Applied Sciences has been completed for Computer Engineering.

Administrative resources supporting UCSC's research commitment include staff Research Coordinators in the Divisions of Humanities and Social Sciences, staff in the Division of Graduate Studies and Research (including the UCSC Office of Contracts and Grants), additional contracts and grants staff in the Natural Science Division’s Business Office and in the UCSC Accounting Office, and administrative staff employed in various of the campus's Organized Research Units: UC Observatories, the Institute of Marine Sciences, the Santa Cruz Institute for Particle Physics, the Institute of Tectonics, and the Center for Nonlinear Science. The campus provides support, space, and facilities for a wide range of research endeavors in such areas as Agroecology, Bilingual Research Studies, National Center for Research on Cultural Diversity and Second Language Learning, Cultural Studies, Dickens Studies, Feminist Studies, Shakespeare, Syntax Research, and Translation Studies.

In addition, research funds are made available to faculty through the Academic Senate Committee on Research. See the "Research and Creative Activity" section of the self-study and 8.A.1.

4.D.3 The institution has established policies specifically addressing such matters as classified research, the use of human and animal subjects, patent provision, cooperative research relations with industry, and other similar issues related to the integrity and independence of the research enterprise.

Institutions that support applied research having the potential for producing significant revenue have clear policies on how faculty responsible for such research share revenue from patents, licenses, and sales. Institutions supporting entrepreneurial activity of faculty or institutionally sponsored research parks have clear policies covering the involvement of faculty in such ventures, the protection of basic research, and the publication of research results.

The UC Office of the President has established a number of policies regarding the performance of its faculty members engaged in extramural research. The UC Contract and Grant Manual (in the Contracts and Grants Office), applicable to extramural research conducted on all of the UC campuses, including UC Santa Cruz, describes the policies and procedures governing such matters as classified research (Chapter 20), the use of human and animal subjects (Chapter 18), patent provision (Chapter 11), cooperative research relations with industry (Chapter 13), and other similar issues related to the integrity and independence of the research enterprise.

With respect to policies on revenue sharing from patents and licenses, the University has adopted a Patent Policy. This policy requires all University employees, persons not employed by the University but who use University research facilities, and those who receive grant or contract funds through the University, to assign patents and inventions to the University. In return, the inventor receives a portion of net royalties and fees received by the University. This policy is outlined in the University of California publication entitled A Guide to Patenting and Technology Transfer.47

While the limitations placed on university researchers are generally well understood by federal and state research funding organizations, they are less appreciated by members of industry interested in funding university research. As a consequence, the UC Office of the President, on May 17, 1989, issued Guidelines on University-Industry Relations,48 which consolidated the various university policies governing relations with industry. A pamphlet designed for broader dissemination was published by the Office of the President, entitled Research Agreements—University of California—A Guide for Industry.49 This pamphlet, which summarizes the Guidelines issued in May 1989, outlines topics such as: academic policy governing research, publication policy, patents and other intellectual

47 Standard Four reference 11.
48 Standard Four reference 12.
property, payments, use of the university's name, and liability, risk and "best efforts." The publication points out that "... the University will not accept contract provisions that guarantee results, impose penalties for failure to make progress by firm deadlines, or provide for withholding of payment if the sponsor is not satisfied with the results."

The UC Contract and Grant Manual addresses financial disclosure requirements by the University. Principal investigators are required to complete the Principal Investigator's Statement of Economic Interests when research is supported in whole or in part by a contract, grant, gift of $250 or more from a non-governmental sponsor. The statement indicates whether a principal investigator has direct or indirect financial interest in the sponsor of a proposed research project or in the donor of a gift when the gift is earmarked by the donor for that investigator.

UC Santa Cruz complies with policies to promote and ensure integrity in research. The June 19, 1990 issuance of the University Policy on Integrity In Research, prepared by the UC Office of the President, states:

"It is long-standing policy of the University of California to encourage and maintain the highest ethical standards in research. This Policy reaffirms the University's commitment to integrity in research."

Integrity in research includes not just the avoidance of wrong-doing, but also the rigor, carefulness, and accountability that are hallmarks of good scholarship. All persons engaged in research at the University are responsible for adhering to the highest standards of intellectual honesty and integrity in research.

Regarding the use of human subjects in research, see 1.B.8.

4.D.4 Research policies and practices are developed and administered cooperatively by faculty and administration. These policies are clearly communicated throughout the institution.

The UC Santa Cruz Contracts and Grants Office acts as an intermediary between faculty researchers and extramural funding sources. The Contracts and Grants Office insures compliance with federal, state, and university regulations by reviewing all extramurally funded contract and grant proposals prior to the transmittal of the proposal to the funding agency. Awards for extramural projects are also negotiated and accepted on behalf of the University by the Contracts and Grants Office to protect the university's interests and comply with obligations to the sponsor in the conduct of a successful research project. The review process insures that principal investigators do not commit themselves to agreements with sponsors that do not conform with University and agency policies and procedures.

While there are a myriad of regulations governing the conduct of research, all applicable policies and procedures are described in the UC Contract and Grant Manual. In addition, the Contracts and Grants Office solicits input and informs faculty and staff of regulations, policies, and procedures with the regular sharing of information, solicitation of comments on potential changes in policy, and inclusion of faculty in regular and ad hoc research-related policy groups. The Contracts and Grants Office provides appropriate assistance and follow-up to principal investigators, academic departments, and administrative offices which have responsibilities under extramural awards in order to achieve full compliance with research policies and practices. A Principal Investigator's Handbook also serves as a resource for faculty and staff to help insure compliance with University and sponsor procedures and regulations.

4.D.5 The institution establishes policies covering the treatment of animal subjects in research.

The University policy on the care and use of laboratory animals is detailed in the UC Contract and Grant Manual (Chapter 18).

These policies are implemented at UCSC by the Chancellor's Advisory Committee on Animal Research (CARC) and include an Assurance of Compliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals set forth in the Health Research Extension Act of 1985, Public Law 99-158.

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50See Form 730 U, Standard Four reference 14.
See also 1.B.8.

4.D.6 The computing and data communication services adequately ensure security and privacy of data developed by faculty and students.

See 6.F.5.

STANDARD 4.E
SPECIAL PROGRAMS AND COURSES FOR CREDIT

All off-campus and other special programs providing academic credit are integral parts of the institution and maintain the same academic standards as regular campus programs. Their functions, goals, and objectives are consonant with those of the institution and lead to academic accomplishments at least equal to those attained by traditional practices. The institution maintains direct quality and fiscal control on all aspects of all programs and provides adequate resources to maintain this quality. The institution follows the Commission’s special requirements for institutional reporting.

The provisions of Standard 4.E apply to:

- All off-campus programs and course for credit, including those at centers or satellite sites, certificate programs, external degree programs, and military base programs;

- Courses taught exclusively by special delivery systems, such as computerized learning, newspaper, correspondence, television, video or audio tape, both on- and off-campus;

- All practices providing credit for prior experiential learning;

- All travel/study and study abroad programs.

4.E.1 The institution is solely responsible for the academic and fiscal elements of all instructional programs and courses which bear the institution's name. The institution conforms to the policy on Contracts With Unaccredited Organization, page 47.

Summer Session and University Extension

UCSC administers two large, self-supporting extra-session academic programs: Summer Session and University Extension. Summer Session courses are recommended by the various divisions and boards of studies, are approved by the Committee on Educational Policy of the Santa Cruz Division of the Academic Senate, and carry university credit. Summer Session courses must conform in every way, including qualifications of the faculty and contact hours, to courses offered during the academic year. 51

University Extension is solely responsible for the academic and fiscal elements of all of the instructional programs and courses that bear the University Extension name. All students are enrolled through its own Registration office and all fees are collected by that same office. Teachers and courses which are for University Extension credit are first approved by the Dean and then are sent along with letters of recommendation to the appropriate boards of studies, division, or academic committee for final approval by the Chair, Dean or Coordinator. Non-credit classes are approved by the Dean of Extension. 52

Teachers whose regular employment is not with the University are paid a stipend by University Extension for their role in teaching and evaluating student performance.

51See Summer Session Brochure, Standard Four reference 15.
52See University Extension Brochure, Standard Four reference 16.
Inter-campus Visitors Program (ICV)
A student at any UC campus may apply to visit another UC campus for one or two terms. This program permits a student to take courses not available at the home campus and to participate in a special program of study with distinguished faculty at another campus. Applicants must have completed three quarters in residence at UCSC, be in good academic standing, and obtain the approval of their college. An Intercampus Visitor pays fees and enrolls in classes at the host campus. Upon satisfactory completion of the course work, the credit is posted to the UCSC transcript with a description of visitor status and symbols to identify the courses taken at another UC campus. The student may petition for the ICV course credit to be applied to courses required for the major. Eight to ten UCSC students participate each term and about six are accepted here from the other UC campuses.

UCSC Program in Washington D.C. (UC/DC)
In 1992 UCSC approved a four-year pilot of a campuswide undergraduate program of study in Washington D.C. UC/DC provides a unique array of opportunities to undergraduate students and faculty including cultural and historical resources, archives, and interactions with federal policy makers. The program takes advantage of the University of California's facilities in our nation's capital offering two extended quarters of instruction (spring and fall). An extended quarter is a twelve-week period, a compromise between the semester and quarter calendars. The UC/DC program began spring quarter 1994 with fifteen UCSC students per term; enrollment will build to about forty. Students will be taught primarily by UCSC faculty assisted by UCSC graduate students, with four to six courses taught in each term. An internship or field study will be an intrinsic part of each student's program.

Contractual Agreements with Other Institutions
The University of California, Santa Cruz has established exchange programs with the University of New Hampshire and the University of New Mexico. These programs offer students an opportunity to enhance their majors or investigate other fields of study, and to experience a different educational environment. Students may enroll in one of these programs for a semester or a full year. During the exchange, students pay fees to, and remain registered at, UCSC. Course work which is comparable to courses offered at UCSC is recorded on the UCSC transcript. Copies of the contractual agreements are attached. About sixteen students participate in these programs each term, with participation evenly divided between UCSC students going to New Hampshire and New Mexico, and those coming here.53

4.E.2 All programs and courses which are taught by special delivery systems, such as computerized learning, courses by newspaper, television, video or audio tape methods provide appropriate time for students to question and discuss academic concepts with faculty, and ready access to appropriate learning resources. Full-time faculty are involved in the planning, delivery, and evaluation of these programs.

Not applicable.

4.E.3 Credit for prior experiential learning is offered only at the undergraduate level and in accordance with the policy on Credit for Prior Experiential Learning, pages 45-6.

UCSC does not award credit for prior experiential learning. If another institution awards experiential credit to a student, and the student later is accepted as a transfer to UCSC, the previously awarded experiential credit is not accepted in transfer.

4.E.4 Travel/study courses meet the same academic standards, award similar credit, and are subject to the same institutional control as other courses and programs offered by the sponsoring or participating institution.

The University of California Education Abroad Program (EAP) is governed by systemwide guidelines and meets all criteria outlined in the WASC Policy on study abroad. It offers study at more than ninety UC-affiliated universities in thirty-two countries to students from all of the University of California campuses. Most of the programs consist of a full academic year of nine to eleven months, with a few for shorter periods. For programs with a language

53See contractual agreements, Standard Four reference 17.
requirement, students participate in on-site intensive language instruction and orientation. Primary administrative responsibilities are handled by the University Office of Education Abroad located on the UC Santa Barbara campus. UCSC students who are selected for EAP must be at the upper-division level at the time of participation and have a good to very good academic record. The application and selection process includes endorsement from the College Provost or Academic Preceptor and review and selection by a campus committee and then by the universitywide office.

Courses offered through EAP are reviewed and approved by the various UC Committees on Educational Policy. Students are concurrently enrolled in the host university and UCSC and receive full UC academic credit for courses satisfactorily completed. UCSC students must obtain specific permission to apply EAP credit toward courses required for the major. Approximately 200 UCSC students per year are selected for and participate in EAP.

4.E.5 Credit for travel/study courses is limited to a maximum of one semester unit of credit per week of full-time travel/study with one additional unit of credit for additional readings, papers, and class meetings required before or after the course (or the equivalent in quarter system units). Credit is not awarded for travel alone.


4.E.6 Programs of study abroad are available to students carefully selected for their ability and interest, and operate consistent with the policy on Study Abroad, pages 48-9.


STANDARD 4.F
ACADEMIC PLANNING

Academic planning is designed to achieve the aims of the institution and provides the rationale for the projected use of both currently available and future human, financial, and physical resources. This systematic planning is based on continuing institutional self-evaluation and assessment of the need of the institution's constituencies. All appropriate segments of the institution are involved in planning.

4.F.1 The institution has a clearly specified and implemented academic planning process that culminates in written statements that are regularly updated. These written statements are well publicized to the appropriate constituencies.

The Santa Cruz campus maintains an ongoing academic planning process that mandates submittal of both board- and divisional-level six-year plans. In order to streamline the planning process and more clearly integrate it with the program review process, the campus has just instituted modified procedures which combine the two processes. Although historical planning efforts were almost completely divorced from the review process (resulting in mixed efforts and sometimes a lack of focus), boards will now be asked to submit a six-year plan as part of the six-year review cycle. An initial six-year plan must be included with a board's self-study (in the year prior to their review), and revised three years later (in the second year after the review) when boards are asked to submit an updated plan that addresses issues raised by the last review. Although this results in a situation where not all plans are updated in any given year, it should facilitate better coordination of board efforts. It is hoped that the resulting product will be more responsive to both external opportunities and pressures and conditions within the board.

Deans will also submit six-year divisional plans on a three-year cycle which summarize, balance, and prioritize the board plans. Updated plans will be required of only two of the four divisions each year, resulting in one fallow year for each three-year cycle. The submittal of divisional plans has been staggered with the hope that plans submitted in

the first year will foster interdisciplinary efforts that can be more fully captured and described by the related division in their plans submitted the following year.

4.F.2 The relationship between institutional purposes and institutional programs is clear, and is reflected in long-range planning for both on- and off-campus instruction.

The relationship between institutional purposes and institutional programs is embodied in the 2005 Report and Shaping Our Future: Planning for 15,000 Students.\textsuperscript{55}

4.F.3 Responsibility for design, approval, and implementation of the curriculum is vested in designated bodies with clearly established channels of communication and control. The faculty has the major role in designing and implementation of the curriculum.

Responsibility for design and implementation of the curriculum is exercised by the faculty under the coordination and direction of the board chairs and ultimately the deans. Courses are initially developed and approved by the boards of study. Final course and curricular approval is vested in the Academic Senate Committee on Educational Policy for undergraduate programs and the Graduate Council for graduate programs. (See Bylaws of the Academic Senate, Santa Cruz Division, chapters 13.16.5 and 13.20.4.)

4.F.4 Human, financial, and physical resources are allocated on the basis of academic program needs and objectives, and are consistent with the academic plans. Resource planning takes into account a realistic assessment of institutional resources and stated goals.

Resources are allocated based on programmatic need, workload justifications, and contribution to mission of the institution as outlined in Managing Faculty Resources.\textsuperscript{56} The Office of Planning and Budget routinely analyzes resource allocation methodologies and implements revised strategies based on course load, number of majors, quality of instruction, quality of research, and centrality to campus mission.

New program proposals are forwarded only after receiving close scrutiny to ensure that resource requirements are reasonable and supportable.

4.F.5 The institution engages in periodic review of program and departmental quality under clearly specified and demonstrably implemented procedures. This process is based on current qualitative and quantitative data which attempt to assess strengths and weaknesses in achieving program purposes and projected outcomes.

Program review procedures are described briefly in section 4.F.1 as they are now integrated with the planning process. Periodic reviews of UCSC programs, currently conducted by faculty external to the campus, incorporate evaluation of quantitative data (e.g., students served, student/faculty ratios, faculty course load, degrees conferred, time-to-degree, etc.) and qualitative assessments (e.g., student morale, faculty collegiality, research activity, curricular coherence and effectiveness, etc.). The reviews focus on the strengths and weaknesses of both the faculty and the curricula. Issues of specific concern to the program under review are also highlighted and addressed.

The external review team presents its findings in the form of a written report. The review process culminates in a closure report, drafted by the Associate Vice Chancellor of Programs and Planning, which represents a synthesis of the review team’s major findings with the carefully considered responses of the board, the relevant dean(s), and the appropriate academic senate committees.

In addition, the Office of Planning and Budget annually updates two reports, the Instructional Load Summary and the Course Audits, which provide an ongoing quantitative assessment of program and faculty instructional efforts and workload.

\textsuperscript{55}Graduate Education references 6 and 7.
\textsuperscript{56}Undergraduate Education reference 10.
4.F.6  Curriculum assessment and planning take into account the role of information technology and the use of computing resources.


4.F.7  Policies and procedures for additions and deletions of programs or courses are carefully developed and administered, and are consistent with the resources of the institution, the capabilities of faculty, and the needs of students.

Policies for the addition and deletion of courses are developed and administered by the Academic Senate through the Committee on Educational Policy.

See also 4.A.3.

STANDARD 4.G
NON-CREDIT COURSES AND PROGRAMS

Non-credit courses (including those offering CEU's) are consistent with the educational purposes of the institution. These courses are characterized by careful planning and high standards of instruction by qualified faculty.

4.G.1  Non-credit courses are administered under appropriate institutional policies and procedures. Campus administrators and faculty are involved in planning, administering, and evaluating non-credit courses.

The Committee on Educational Policy approves and oversees all non-credit courses. All physical education courses, graduate supervised teaching, and some graduate seminars are non-credit courses. These do not count towards the fifteen-credit workload.

Workload credit courses are UCSC courses that are preparatory for university-level work carry workload credit only. These courses count for determination of student workload and for financial aid eligibility, but carry no credit toward the baccalaureate degree. Examples include Mathematics 1, Writing 10 and 11.


4.G.2  The institution maintains records which describe the nature, level, and quantity of service provided through non-credit instruction.

In addition to the Summer Session and UC Extension programs described under 4.E.1, University Extension at UCSC offers non-credit courses. These are defined as those courses that do not carry academic credit but that may offer continuing education units (CEUs). One CEU is awarded for each ten hours of scheduled class time; a notation of non-credit (NC) appears under the grade designation; and the number of classroom hours is recorded on transcripts and grade reports. For all other non-credit courses a grade designation of NC appears on the transcripts and grade reports, but the number of classroom hours are not recorded.

4.G.3  Institutions using the Continuing Education Unit (CEU) for purposes of recognizing and recording participation in non-credit courses, follow the national standards and guidelines established for measurement (one CEU being equivalent to ten hours of instruction appropriate to the objectives of the course).

University Extension, Santa Cruz follows national standards for classes offering CEUs—one CEU is equivalent to ten hours of instruction. Permanent records for credit courses and CEUs are maintained by the Office of the Registrar and Recorder at Extension.
4.G.4 Institutions do not enter into contracts wherein instruction is provided by unaccredited agencies. Institutions maintain full responsibility for the content and quality of the instructional program, the selection of faculty, and the collection and disbursement of funds. (See policy on Contracts With Unaccredited Organizations, page 47.)

UCSC does not have contracts with unaccredited agencies.

STANDARD 4.H
ADMISSIONS AND RETENTION

Established admission and retention standards ensure that student qualifications and expectations are compatible with institutional objectives. Admission and retention policies apply equally to students in regular and special degree programs.

4.H.1 Standards for admission at each level, including provisions for exceptional cases, are based upon norms of expectation generally recognized in higher education, and are consistent with the institution's educational purposes.

As stated in the UC publication, Introducing the University, 1994-95, the undergraduate admissions policy of the University of California is guided by the University's commitment to serve the people of California and the needs of the state, within the framework of the California Master Plan for Higher Education. The General Catalog, (pp. 13-19), states that undergraduate admission is based on two principles: that the best predictor of a student's success in the university is high scholarship in previous work and that the study of certain subjects gives a student good preparation for university work.

While minimum admission requirements are the same for all UC campuses, each campus sets additional standards or "selection criteria" when the number of qualified applicants exceeds capacity. At the freshman level, academic criteria alone are used to select not more than 60 percent of admitted applicants; the remainder are selected using a combination of academic and supplemental criteria. The admission of transfer students is based on scholarship, academic course work, level at entry, and the type of college/university from which they transfer. Supplemental criteria are used when relevant to assessing overall promise of success at UC Santa Cruz.

The university permits campuses to admit a portion of applicants who do not meet the stated undergraduate eligibility requirements (i.e., specific course work, grade point average and standardized test scores) but who show potential for academic success. The UC "Policy on Undergraduate Admissions by Exception" (approved May 17, 1990) permits the admission by exception of up to 6 percent of new freshmen and 6 percent of advanced standing students enrolled. Within the 6 percent designations, up to 4 percent shall be drawn from "disadvantaged" students, defined as "students from underrepresented minorities or students from low economic or limited educational background." Others are admitted under this policy because their ineligibility is for minor technical reasons or they possess special talents and abilities.

4.H.2 Admission and retention policies and procedures are clear, available to all students, and carefully observed by the institution. Particular attention is paid to the application of sound admission and retention policies for athletes, international students, and other cases where unusual pressures may be anticipated.

Admission policies and procedures are available to all students through the UC publications "Introducing the University," "Answers for Transfers," and the General Catalog. At UCSC the same admission criteria as that outlined in section 4.H.1 are applied to athletes and international applicants. Campus retention policies are published in the student handbook, The Navigator (see pp. 2-3, "Academic Standing"), and administered by the college academic preceptor. Students who fail to meet minimum progress standards are subject to academic

57 Standard Four reference 19.
warning, probation, or reviewed for disqualification. The college notifies those students who are disqualified or
barred from enrollment of any conditions necessary for readmission.

Advising and support services are available for all students through the colleges and academic programs. In
addition, the Student Affirmative Action/Educational Opportunity Program provides a range of services to
underrepresented students and those from historically low-income or educationally disadvantaged backgrounds.
Services include the Summer Bridge Program, counseling, tutorial assistance, and programs available through the
Learning Center.

4.H.3 Within the parameters defined by its mission, the institution actively seeks diversity in its student body.

See the "Undergraduate and Graduate Student Diversity" sections of the self-study.

4.H.4 Transfer credit is accepted from accredited institutions or from other institutions under procedures
which provide adequate safeguards to ensure academic quality and relevance to the student's program.
Implementation of transfer credit policies is consistent with 4.B.8 as well as the policy on Transfer and Award
of Academic Credit, pages 50-54.

Policies for advanced standing credit are governed by "Working Rules for Admission in Advanced Standing." This
UC document provides systemwide standards for assessing whether courses taken outside the UC system are
transferable. The Working Rules were issued by the Office of the President on August 1, 1971, and are currently
being revised; they are internal guidelines and are not distributed to the public.

Information regarding UC transfer credit policies is contained in "Answers for Transfers, 1991-1992," "Quick
presented in the General Catalog (pp. 56, 62) and in the Undergraduate Admissions flyer "Transfer Admission
Agreement."

In accordance with UC systemwide and campus policies, advanced standing credit is awarded for work of quality
comparable to that required of students in this university. The UC Office of the President issued revised guidelines
for the evaluation of advanced standing credit in October 1992. These documents, "Guidelines for the Evaluation of
Transfer Applicant Records and Allowance of Advanced Standing Credit" and "Guidelines for Admission to
Undergraduate Standing" are internal guidelines that are not distributed to the public.58 Another internal UC
document, "Limitations of Credit in Subject Areas," last updated in 1983, is currently under revision.59

Application of transfer credit to major requirements is the responsibility of the individual boards of studies,
departments, or programs at the campus level. Where possible, UCSC maintains course-to-course and major
preparation agreements with California community colleges to facilitate transition to upper-division course work at
the university.60

4.H.5 Credit for prior experiential learning is awarded only in conformity with 4.E.3 and the policy on Credit
for Prior Experiential Learning, pages 45-46.

No credit is awarded for prior learning. See 4.E.3.

4.H.6 Non-degree credit is not accepted toward a degree, whether upon transfer or otherwise.

In accordance with UC systemwide and campus policies, non-degree credit is not accepted upon transfer nor is it
otherwise applied toward a degree.

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58 Standard Four references 20 and 21.
59 Standard Four reference 22.
60 Standard Four reference 23.
4.H.7 The institution specifies and publishes requirements for continuation in or termination from its academic programs, and maintains an appellate process. The policy of readmission of students who are disqualified for academic reasons is clearly defined.

See *The Navigator*, pp. 2-4, 48-49, and 57-58.

4.H.8 Periodic analyses of retention data and graduation rates are undertaken to validate admissions criteria and academic standards. To avoid grade inflation, studies of grading are also made.

Each year a report, *Retention and Graduate Update*,\(^\text{61}\) is distributed throughout the campus. Using the methodology defined in the Student Right-To-Know Act, retention and graduation rates are reported for undergraduate students by entering level (freshperson, junior transfers), admission status (regular, special admissions), ethnicity, gender, college, and residency (California, out-of-state, international). Forty-one percent of the freshpersons who entered in 1988 graduated within four years—the highest rate in campus history (see p. 13 in the *General Catalog*). Time-to-degree (enrolled and clapsed) is reported by discipline, entering level, ethnicity, and gender. The Division of Graduate Studies and Research produces similar statistics for graduate students. Studies of narrative evaluations and grades are periodically conducted by the Registrar's Office and the Office of Planning and Budget. Results from the most recent study of grades are cited in the discussion of the narrative evaluation system.

4.H.9 When an institution recruits and enrolls international students, the institution has clearly defined admissions policies attentive to their special needs and interests. The institution complies with 7.A.8 and the policy on International Students, pages 74-5.

*About the University of California: Information for Prospective Students from Other Countries*\(^\text{62}\) is reviewed and printed annually by the Office of the President; it is distributed to campus visitors and in response to inquiries. The General Catalog describes admission of students from other countries (p. 18), expenses and financial resources (p. 20), services for international students (p. 33), graduate education (p. 39), foreign applicants, and fees and expenses for graduate students (p. 42). The materials are updated annually.

Students whose native language is not English, or whose language of instruction was not English, are required to take the Test of English as a Foreign Language (TOEFL) and achieve a minimum score of 550.

The Office of International Programs, located on campus, assists international students in their pre-arrival preparation and advises on a variety of issues, such as government regulations and visa questions, finances, employment and adjustment to life and study in Santa Cruz.\(^\text{63}\)

4.H.10 Graduation requirements are clearly stated in appropriate publications and are consistently applied to the degree certification process.

See the *General Catalog*, pp. 25-29, and *The Navigator*, pp. 6-7.

**STANDARD 4.I**

**ACADEMIC CREDIT AND RECORDS**

Evaluation of student learning or achievement, and the award of credit are based upon clearly stated and distinguishable criteria. Academic records are accurate, secure, comprehensive, and comprehensible.

\(^{61}\) Undergraduate Education reference 5. See also the discussion of retention and graduation in the "Advising" section of the self-study.

\(^{62}\) Standard Four reference 24.

\(^{63}\) See Standard Four reference 25, *International Programs Information for International Students and Scholars*. These materials are updated annually.
4.1.1 Criteria used for evaluating student performance and achievement, including those for theses, dissertations, and portfolios, are appropriate to the degree level, clearly stated, and implemented.

The Committee on Educational Policy (CEP) establishes and monitors criteria used to evaluate student performance, as part of its overall responsibility for courses of instruction. The committee publishes a set of policies and procedures for development of new courses and revision of existing courses. Each petition for approval of a new or revised course must include, as part of its expanded course description, a statement about grading procedures and course requirements.

The policies and procedures of CEP and the Santa Cruz Division of the Academic Senate also provide specific guidelines for courses offered in Summer Sessions and for independent study courses, including internships.

4.1.2 Criteria for offering independent studies and internships clearly delineate expectations and responsibilities of students, faculty, and site supervisors.

UCSC has five academic internship programs which are housed in boards of studies in the Division of Social Sciences. Criteria for students, faculty, and site supervisors are delineated in the brochure *Academic Internship Programs.* UCSC Academic Senate Regulations 6.5 - 6.5.7 cover internships, field study, and independent study.

See also 4.1.1.

4.1.3 Evaluation of student performance and achievement differentiates among levels of quality and among attainments. Where lower and more advanced degree programs are offered in the same field of study, clear differences in levels of expectation and requirements are articulated.

See the General Catalog.

4.1.4 Credit is defined and awarded consonant with the Glossary definition. When credit is measured by outcomes alone or other nontraditional means, student learning and achievement are demonstrated to be at least comparable in breadth, depth, and quality to the results of traditional procedures.

Academic credits earned at UC Santa Cruz are fixed by systemwide policy of the University’s Academic Senate Regulation 760, reckoned at the rate of one credit for three hours of work per week by the student. This includes a minimum of one hour in class and two hours of out-of-class work. Most UCSC courses are five-credits in value, with a limited number of one-, two-, and three-credit courses. Each undergraduate is expected to carry a fifteen-credit load each quarter. Exceptional loads below fifteen and above nineteen credits require approval at the college level. An Official Part-time Program (OPT) is available for students fully employed, or with approved health or family conditions that require the student to be enrolled less than full-time. A 50 percent reduction in the Education Fee is available for students approved for OPT, provided they enroll for ten credits or fewer per quarter. Approximately 300 students qualify for this program each quarter.

Qualified undergraduates may also earn a limited number course credits by petition, subject to Academic Senate regulation 6.7. Credit for a regular course may be earned by passing an appropriate examination or completing an appropriate body of work. Conditions regarding number of credits, type of course, fees, and other relevant matters are outlined in detail in *The Navigator,* the campus handbook for undergraduates.

4.1.5 Clear and well-publicized distinctions are made between degree and non-degree credit. Institutional publications and oral representations explicitly indicate if credit will not be recognized toward the degree, or if special conditions exist before such credit will be recognized. Any use of such terms as extension credit, X credit, or continuing education credit, is accompanied by clear statements regarding the acceptability of such credit toward degrees offered by that institution. Student transcripts clearly note when any credit-awarded is

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64Standard Four reference 26.
non-degree credit. Whenever institutions grant non-degree credit other than the Continuing Education Unit (CEU), some summative evaluation of student performance beyond mere attendance is available.

See the General Catalog, pp. 17-18, 36, and 254, and The Navigator, pp. 36 and 55-56.

4.1.6 Any credit awarded for prior experiential learning experience is in compliance with 4.E.3 and the policy on Credit for Prior Experiential Learning, pages 45-6. Courses or subjects for which credit for prior experiential learning is given are clearly indicated as such on the student’s record and transcripts, and the institution is prepared, on request by another institution or agency, to furnish full documentation showing what learning was evaluated and the basis on which credit was awarded.

Not applicable.

4.1.7 If study abroad is offered, the institution follows the policy on Study Abroad, pages 48-9.


4.1.8 The institution makes provision for the security of student records of admission and progress. Student records, including transcripts, are private, accurate, complete, and permanent. They are protected by fireproof and otherwise safe storage and backed by duplicate files. Data and records maintained in computing systems have adequate security and provision for recovery from disasters.

Record-keeping practices in use at UCSC are promulgated by the University of California, the UCSC Academic Senate operating through its Committee on Educational Policy, and by the American Association of Collegiate Registrars and Admissions Officers (AACRAO). AACRAO policies and procedures followed by the UCSC Registrar’s Office are outlined in Admissions, Academic Records, Registrar Services, and in topical brochures published by AACRAO.

The centerpiece of the student records system is the software package purchased from Information Associates (now owned by Systems and Computing Technology–SCT) and installed on the mainframe in 1986, just after the last accreditation self-study. Student Information Systems (SIS) has four basic components, Accounts Receivable, Admissions, Financial Aid, and Student Records. Simply put, SIS is an interactive on-line student records database that eliminates duplicate data entry, and provides up-to-date records available on-line or through batch interface. Student records are maintained on-line and in hard-copy, and are continuously updated. Only authorized personnel in the Office of the Registrar, the board, college and steno pools have access to SIS.

Batch-oriented records maintained prior to 1986 are available in paper form, backed up electronically when possible, and archived on optical disk, using the latest technology (Canon 250 Canofile Optical Disk Technology). Transcript production is in two forms, on-line and on optical disk. Duplicate copies of the archived material are stored off-campus for extra security. On-line files are backed up on disk and tape and daily tapes are also stored off-campus. Faculty advisers and college preceptors obtain key student academic records by on-line terminal inquiry and in paper form. A Counseling Report (unofficial transcript) listing all pertinent academic data for each student is accessible on-line. The Counseling Report Arrays each student’s progress by courses passed grouped by academic discipline with a summary of academic standing per quarter.

4.1.9 If an institution closes, provision is made for the future security and accessibility of academic records. (The Commission policy on Closing an Educational Institutions is available upon request.)

Not applicable.
STANDARD 4J
PUBLIC SERVICE

Public service, when offered, is consistent with the educational purposes of the institution.

4.J.1 Public service is designed in relation to the needs of the constituency and the available resources of the institution.


4.J.2 Faculty are encouraged to provide professional expertise as a service to the public.

Public service is one of the criteria by which faculty members are evaluated for advancement. See the Faculty Handbook, p. 14.65

4.J.3 Institutions collaborate, as appropriate, with neighboring elementary and secondary schools, community colleges, and other institutions to improve education at all levels.

See 4.B.8 and the "Undergraduate Diversity" section of the self-study. In addition, the Speakers Bureau facilitates faculty and staff speakers for local public schools and community groups.

4.J.4 If the institution includes public service as a goal, it has a long-range plan for public service and clear-cut administrative assignment of responsibility.

As a public institution, UCSC sees public service as being deeply integrated into its fundamental mission and not conceived of separately. There is ongoing involvement in public service ranging from the individual faculty member to the institution as a whole (as is the case with the current Fort Ord project, and for which there is a clear-cut administrative assignment of responsibility).

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65 Standard One reference 1.
STANDARD FIVE:
FACULTY AND STAFF

STANDARD 5.A
FACULTY ROLE IN ACADEMIC PROGRAMS

The faculty exercises central responsibility for the academic programs, quality, and character of the institution. The faculty is adequate in size and qualifications to meet its obligations.

5.A.1 The faculty is engaged in processes and structures which enables it to carry out the responsibilities enumerated by this standard.

The role of the faculty in academic programs is specified in the Regents’ Standing Orders, the systemwide Academic Senate Bylaws, and the Santa Cruz Division Bylaws.66

See Chapter 2, Functions, and Chapter 13, Committees, of the Santa Cruz Division Bylaws.

5.A.2 The faculty has as its core a full-time component of sufficient size to ensure the exercise of its responsibility. While faculty at many institutions may include persons with administrative responsibilities, for purposes of these standards, there must be a core of full-time faculty whose primary employment obligation is to teaching and research at the institution.

A sufficient number of faculty to support undergraduate and graduate programs is ensured by the process for funding faculty established by the State of California and the University of California. The university receives funds from the state based on projected undergraduate and graduate enrollments. For undergraduates, the number is based on actual projections of expected enrollments; for graduates, the number is based on a mutually agreed upon target between the university and the state. The university then allocates funds and faculty full-time equivalents (FTE) to its campuses based on pre-determined student-faculty ratios. The campus then allocates funds and faculty FTE, based on teaching needs and on programmatic considerations. Essentially, this process ensures that, as enrollments grow, an adequate number of faculty FTE should be available for teaching and it also ensures that the diversified needs of the campus are met.

The majority of faculty in administrative positions continue their teaching and research responsibilities at a reduced rate.

5.A.3 The full-time faculty is adequate in number and sufficiently diversified in discipline so as to provide effective teaching, advising, and scholarly or creative activity, as well as to participate appropriately in curriculum development, policy-making, and institutional planning and governance.

UCSC’s faculty-student ratio (1:20.9 in 1992-3) conforms to standards of the University of California and is regulated by the campus administration and the Academic Senate Committee on Planning and Budget. The number of full-time faculty members (403 in fall 1993), and the diversity of their disciplines, is adequate to provide effective teaching, research, and advising, while meeting their other responsibilities.

See the "Teaching," "Advising," and "Research and Creative Activity" sections of the self-study.

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66 Regent Standing Orders are Standard Three reference 1. The Senate Bylaws are available on INFOSLUG or in the Academic Senate Office.
5.A.4 Members of the faculty are qualified by academic background, degree, and professional experience to carry out their program and institutional responsibilities in accord with the purposes of the institution.

The UCSC philosophy regarding the acquisition and retention of suitable faculty is outlined in the UCSC Academic Personnel Manual (APM) Section 100.500.67

The quality of faculty is ensured by the rigorous review process that faculty members are subjected to in order to be promoted, achieve tenure, and receive merit increases. The Academic Personnel Manual Section 210 Appointment and Promotion, Review and Appraisal Committees, specifies several procedures to be used in evaluating faculty at all levels, as follows:

The quality of the faculty of the University of California is maintained primarily through objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion. Responsibility for this appraisal falls largely upon the review committees nominated by the Committee on Academic Personnel or equivalent Committee and appointed by the Chancellor or a designated representative. It is the duty of these committees to ascertain the present fitness of each candidate and the likelihood of the candidate’s pursuing a productive career. In judging the fitness of the candidate, it is appropriate to consider professional integrity as evidenced by performance of duties. (A useful guide for such consideration is furnished by the Statement on Professional Ethics issued by the American Association of University Professors. A copy of this Statement is appended to these instructions of Section 210-1 for purposes of reference.) Implied in the committee’s responsibility for building and maintaining a faculty of the highest excellence is also a responsibility to the candidate for just recognition and encouragement of achievement.

Recommendations concerning appointment, promotion, and appraisal normally originate with the department chairperson. The letter of recommendation should provide a comprehensive assessment of the candidate’s qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the department chairperson’s consultation with the members of the department, including any dissenting opinions. In addition to the letter of recommendation, the department chairperson is expected to assemble and submit to the Chancellor an up-to-date biography and bibliography, together with copies of research publications or other scholarly or creative work.

The department chairperson should include in the documentation opinions from colleagues in other institutions where the nominee has served and from other qualified persons having first-hand knowledge of the nominee’s attainments. Extramural opinions are imperative in cases of proposed appointments to tenure status of persons from outside the University.

The highest attained academic degree and the name of the granting institution are listed for each faculty member in the departmental listings in the General Catalog.

5.A.5 The institution has adopted, published, and made available to all faculty and students a policy established by the governing board, assuring academic freedom in teaching, learning, research, publication, and oral presentation. Terms of employment and procedures for termination or nonrenewal of faculty contracts contain adequate safeguards for protection of academic freedom.

See 1.A.1.

5.A.6 Primary responsibility for classroom instruction rests with the faculty. Teaching fellows and assistants receive proper orientation, supervision, and evaluation by appropriate faculty. Minimum standards of

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67Standard Five reference 1 (also available on INFOSLUG).
preparation and personnel policies governing employment of teaching fellows and assistants are established and enforced.

Primary responsibility for classroom instruction is vested in the faculty by Regents' Standing Order 105.2, which says, inter alia, "The Academic Senate shall authorize and supervise all courses and curricula offered under the sole or joint jurisdiction of the departments, colleges, schools, graduate divisions, or other University academic agencies approved by the Board, except that the Senate shall have no authority over courses in the Hastings College of the Law, San Francisco Art Institute, in professional schools offering work at the graduate level only, or over non-degree courses in the University Extension."

See also systemwide Academic Senate Regulation 750 (Chapter Three–Persons in Charge of Courses).

New campus procedures for clarifying systemwide policies relating to TAs are being developed (1/94). See the "Teaching" and "Graduate Education (Support)" sections of the self-study which describe training and use of teaching assistants as well as related issues. In addition to board, divisional, and campuswide trainings, teaching assistants are assigned to a supervising faculty member, enrolled in course 301, and receive an evaluation of their performance.

5.A.7 With regard to the obligations and responsibilities of part-time faculty, the institution has a policy designed to integrate them appropriately into the life of the institution.

UCSC has no formal policy designed to integrate part-time faculty into the life of the institution. In addition to informal efforts to welcome them, they are given an office and phone, provided with support through the steno pools, and added to mailing lists.

5.A.8 If academic programs are offered off-campus, the institution ensures that the quality of faculty offering these programs is substantially equivalent to that available on campus.

Academic programs off-campus follow the same guidelines as on-campus offerings.

STANDARD 5.B
FACULTY SELECTION AND EVALUATION

Explicit and equitable faculty personnel policies and procedures are published, accessible, and implemented.

5.B.1 Explicit criteria for faculty appointment, retention, advancement, termination, and due process are well publicized, appropriately administered, and periodically reviewed.

The following sections of the Academic Personnel Manual apply to this standard:

Section 210.0 - Appointment and Promotion Review and Appraisal Committees (this section is given to each ad hoc committee appointed to review an appointment or promotion)

Section 220 - Professor Series - Appointment and Promotion

Sections 400.220-516 - Academic Personnel Titles and Series (UCSC APM)

Systemwide Bylaws 113 and 335 also specify procedures relative to faculty rights and grievances. Advertisements for faculty position are circulated widely in appropriate professional venues. These identify the required terminal degree and other qualifications demanded of applicants.


68Standard One reference 1.
5.B.2 All faculty selection (full- and part-time, on- and off-campus) is based on criteria and procedures which are clearly stated, widely disseminated, and directly related to program and institutional purposes. Care is taken to avoid overdependence on graduates of any one institution.

See 5.B.1.

5.B.3 In recruitment, retention, and advancement of peers, faculty roles and procedures are recognized and clearly defined. Home campus faculty are directly involved in the selection and retention of off-campus faculty.

See 5.B.1.

5.B.4 Recognizing both the importance of faculty as role models and the present and projected demographics of the WASC region, institutions are encouraged, within the boundaries defined by institutional purposes, to seek diversity in hiring of faculty. Nondiscrimination, equal opportunity, and affirmative action policies are published, and made known to faculty, to search committees, and to faculty candidates. These procedures and their results are monitored and periodically reviewed. Institutions at which religion has been determined to be a bona fide qualification for hiring, so indicate in their announcements of positions.

See the "Faculty Diversity" section of the self-study.

5.B.5 Employment procedures for part-time faculty include dissemination of information regarding the institution, the assignment, conditions of work, rights, responsibilities, and due process.

See 1.B.4, 1.B.5, and the Memorandum of Understanding for non-Senate instructional faculty.69

5.B.6 Institutional expectations of faculty research are clearly stated at the time of hiring and adequately supported consistent with 4.D and 5.C.3.

Institutional expectations of faculty research are clearly stated in job announcements and in the Faculty Handbook (p. 25) given all faculty at the time they are hired. Start-up funds, junior faculty fellowships, and grants from the Committee on Research and the academic divisions support new faculty.

See the "Research and Creative Activity" section of the self-study for further discussion of research support.

5.B.7 The institution has developed policies and procedures which provide safeguards against encroachment by internal or external responsibilities on the quality of work that a full-time or part-time faculty member is employed to perform. These policies include statements on faculty workload, conflict of interest, employment outside the institution, etc.

The Academic Personnel Manual outlines a number of policies and procedures which provide safeguards against internal and external encroachment by means of internal and external responsibilities. In 1935, Orders of the President No. 3 was issued by the University of California, entitled Privileges and Duties of Members of the Faculty. Regarding faculty workload, the Order states:

The [Academic] Senate assumes that each of its members is devoting all his time and energies (his full "working" time) to the University. Such service to the University includes varied type of activities, such as classroom teaching, conference with students, studying and writing, research, committee work, administration, and public service.

University Regulation No. 4 (Revised), issued in 1958, recognizes the need of faculty to pursue activities external to the university. However, the university does put limits on these activities:

Members of the faculty may render professional or scholarly services for compensation, unless they are prohibited by the terms of their appointment from accepting such compensation; but in no case may such employment be solicited or interfere with regular University duties.

When consultations or outside service are such as to interfere with recognized University duties, they may be undertaken only on the basis of a leave of absence, without University salary, for the period involved.

More recently (1979) APM-025, Guidelines for Reporting Outside Professional Activities, reiterated and reaffirmed the university's prior policies regarding outside activities. One of these policies requires members of the faculty to report their outside professional activities to their department chairs on an annual basis. In addition, APM-028 stipulates that a principal investigator must disclose whether or not he or she has a direct or indirect financial interest in the sponsor of research which is funded from a non-government agency.

Broader limitations on the relations of business, industry, government, and private donors to research are spelled out in the UC Office of the President Guidelines on University-Industry Relations. These guidelines are directed at thirteen areas of concern, including "The Obligation to Avoid Conflict of Interest."

Beyond the realm of research, the State of California's Political Reform Act of 1974 requires that all government employees and officials (including all employees of the University of California) disqualify themselves from participating in a University decision when a financial conflict of interest is present. To help insure employee awareness of these regulations, the UC Office of the President has two publications explaining these regulations. One, entitled Political Reform Act Disqualification Requirements, explains the law and its relevance to UC employees and details the appropriate steps to be taken when a potential conflict exists. The other publication, 1994 Conflict of Interest Code, also explains the Political Reform Act and, in addition, indicates the appropriate individuals to contact on each of the University of California campuses.

The following sections of the Academic Personnel Manual apply to 5.B.7:

- Section 020 - Special Services to Individuals and Organizations;
- Section 025 - Outside Professional Activities of Faculty Members; and
- Section 028 - Disclosure of Financial Interest In Private Sponsors of Research.

See also 1.D.3.

5.B.8 Evaluation of all faculty is systematic, is conducted at stated intervals, includes peer and (where appropriate) student evaluation, and is based on multiple criteria, consistent with 4.D.1. Teaching effectiveness is a significant criterion in the evaluation of instructional faculty. Follow-up of faculty evaluation is formal, systematic, and timely.

The Annual Call for Merits and Promotions establishes the calendar of deadline dates for the submission of academic personnel review materials for merit increases, promotions, and appraisals. The Annual Call describes the required documentation for the evaluation of teaching, as does Academic Personnel Manual Section 210.

See also the "Teaching" section of the self-study.

5.B.9 Policies regarding privacy and accessibility of information are clearly stated, published, and implemented. Materials in personnel files are accurate, complete, and properly protected.

These policies are stated in Section 160 of the Academic Personnel Manual and in Sections 200.160 - 204.160 of the UCSC APM. See also 5.B.1.
STANDARD 5.C
FACULTY WELFARE AND DEVELOPMENT

The institution provides an environment favorable to faculty activity and development, and the faculty continues to be professionally active.

5.C.1 The institution provides facilities that enable faculty members to teach effectively.

Classrooms meet the standards of the University of California. Also, each summer, the Space Committee’s Sub-committee on Classrooms examines each classroom to identify problems requiring attention and needs for enhancement of facilities, e.g. audio-visual and media resources.

See also 8.A.1-4.

5.C.2 Policies of the institution provide substantial encouragement for faculty to be active in scholarly or creative ways.

See "Research and Creative Activity" section of the self-study.

5.C.3 Institutional expectations of faculty research, scholarship, and creative work are accompanied by adequate support in facilities, staff, equipment, and relevant materials, or assistance in securing such support through external sponsorship.

See "Research and Creative Activity" section of the self-study and 8.A.1-4.

5.C.4 Faculty workloads reflect the purposes of the institution and the talents of faculty, allowing sufficient time for professional growth and renewal.

Faculty workload is comprised of a number of measurable components including course load, student contact (majors advising and enrollments), level of instruction (through the weighting of student level), service, and research. The Managing Faculty Resources (MFR) document\(^\text{70}\) outlines the direct relationship between faculty instructional, research, and service efforts and the allocation of resources which in turn dictates the appropriate workload target for faculty in each discipline. The MFR model, which is currently being developed in consultation with the deans, faculty, and the appropriate Academic Senate committees, will establish each program’s workload targets and will be responsive to the variety of demands placed on faculty.

One component of workload, faculty course load, is currently governed by campus policy that mandates a five-course equivalent course load (with equivalencies defined as substantial contributions to research and/or service). In practice this policy translates into a much lower per-faculty course load, subject as it is to the different demands of the various disciplines, and external pressures such as course load in comparative disciplines at other campuses. The current budget crisis has resulted in a reduction of temporary faculty which necessitates a greater contribution by permanent faculty. EVC Tanner, with the support of the Academic Senate Committee on Planning and Budget, has recently requested that faculty members increase their course load.\(^\text{71}\) This should help mitigate the otherwise imminent loss of courses, a loss which could conceivably threaten students’ ability to obtain the courses they require to complete their academic careers.

The Office of Planning and Budget regularly reports faculty workloads in the Course Audits and Instructional Load Summary reports.\(^\text{72}\)

\(^{70}\) Undergraduate Education reference 10.

\(^{71}\) See EVC Tanner to Divisional Deans and Board Chairs, Course Load, February 19, 1993.

\(^{72}\) Standard Five reference 2 contains the 1992 audits. The 1993 audits are available in the Office of Planning and Budget.
5.C.5 Criteria for determining faculty workloads are stated clearly and developed in consultation with faculty members. All workload factors are considered, e.g., mode and level of instruction, class size, number of preparations, contact hours, off-campus teaching and supervision, student advising, available support services, time engaged in research and faculty development, and other institutional assignments.

See 5.C.4.

5.C.6 Salaries and benefits for faculty members are adequate and consistent with the purposes of the institution. Policies on salaries and benefits are clearly stated, well publicized, and equitably administered. Salaries and benefits for off-campus faculty are commensurate with those of faculty in comparable positions on-campus.

Salaries are set for the system as a whole and are consistent with comparable institutions across the country. See APM policies 600 - 690 Salary Administration and 700 - 760 Benefits and Privileges as well as UCSC APM policies 800.615 - 806.660 Salary Administration, 900.700 - 904.200 Benefits and Privileges, and Appendix 6 Salary Scales.

STANDARD 5.D
STAFF SELECTION AND POLICIES

Administrative, professional, technical, and other staff is sufficient in number and qualified by training and experience to enable the accomplishment of institutional purposes.

5.D.1 Explicit procedures and criteria for staff appointment, retention, evaluation, advancement, termination, and due process are published, accessible to all staff, and periodically reviewed.

The following policies apply:

**Staff Personnel Manual**

- 210 Recruitment
- 211 Selection
- 250 Probationary Period
- 255 Performance Evaluation
- 270 Corrective Action
- 280 Employee Grievances
- 740 Dismissal of Regular Status Employees
- 760 Layoffs
- 765 Medical Separation

**Administrative and Professional Staff Program Manual**

- 120 Recruitment
- 121 Selection
- 125 Probationary Period
- 140 Performance Evaluation
- 170 Corrective Action
- 178 Medical Separation
- 185 Dismissal of Regular Status Employees
- 186 Release—Casual and Probationary Employees
- 188 Layoffs

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73 The *Staff Personnel Manual* is Standard Five reference 3.
74 The *Administrative and Professional Staff Program Manual* is Standard Five reference 4.
Grievances

Management and Professional Program Manual

20  Recruitment
21  Appointment
40  Performance Appraisal
85  Termination of Appointment

Executive Program Manual

5   Recruitment
6   Appointment
10  Performance Evaluation
28  Termination of Appointment

See 1.B.5 for due process and grievance policies.

5.D.2 Salaries and benefits accruing to staff are adequate and consistent with the purposes of the institution. Policies on salaries and benefits are clear, equitable, and well publicized.

The following policies apply:

Staff Personnel Manual

305  Pay
400  Holidays
405  Vacation
410  Sick Leave

Administrative and Professional Staff Program Policies Manual

130  Salary
150  Holidays
151  Vacation
153  Sick Leave
154  Administrative Leave with Pay

Management and Professional Program Manual

30  Salary
31  Incentive Awards
50  Holidays
51  Vacation
53  Sick Leave
54  Administrative Leave with Pay

Executive Program Manual

8   Salary
12  Holidays

76The Executive Program Manual is Standard Five reference 6.
13 Vacation
14 Supplemental Vacation Leave
15 Sick Leave
16 Administrative Leave with Pay

Full-time staff and faculty receive the same benefits package regarding dental, health, vision, and other coverage.\(^\text{77}\)

5.D.3 Appropriate opportunity is provided for professional staff development.

The following policies apply:

Staff Personnel Manual

260 Employee Development

Administrative and Professional Staff Program Manual

141 Professional Development

Management and Professional Program Manual

41 Development
56 Educational and Professional Development Leave

Executive Program Manual

11 Development
18 Educational and Professional Development

5.D.4 Nondiscrimination, equal opportunity, and affirmative action policies are published, and communicated to staff, to search committees, and to candidates for positions. Procedures and results are monitored and periodically reviewed.

Recognizing both the importance of professional staff as role models, and the present and projected demographics in the WASC region, institutions are encouraged, within the boundaries defined by their institutional purposes, to seek diversity in the hiring of professional staff.

See the "Staff Diversity" section of the self-study. See also 1.B.6 and Diversity reference 11.

\(^{77}\)Standard Five reference 7.
STANDARD SIX:
LIBRARY, COMPUTING, AND OTHER INFORMATION RESOURCES

STANDARD 6.A
GENERAL REQUIREMENTS

Information and learning resources, including the holdings and any equipment needed to access the holdings of libraries, media centers, computer centers, and any other repositories, are sufficient to support institutional offerings at appropriate levels.

6.A.1 The curriculum is supported by appropriate learning resources.

UCSC's broad-based research and instructional mission is supported by an interrelated series of information and learning resource centers, including the University Library, campus Media Services (included within the University Library), an informal network of small independent college and board "libraries" or reading rooms, the campus's Bay Tree Bookstore, and centralized Communications and Technology Services (CATS).

Santa Cruz's University Library is the newest member of UC's distinguished nine-campus library system. It consists of two facilities: the main or McHenry Library, which provides centralized support for instruction and research in the humanities and social sciences and which also provides centralized library administrative and processing services; and the new and technologically innovative Science Library, situated on Science Hill. Several units of the library's new Media Services Section remain housed in the Communications building.

The library has a formal mission and objectives statement which has proven surprisingly durable in a period of rapid technological and institutional change.\(^7^8\) Within this framework, the library reflects the distinctive characteristics of the Santa Cruz campus: an emphasis on excellence of service, especially to undergraduates, and on the quality rather than size of collections; an effort to meet the differing needs of an increasingly diverse campus community; and a commitment to provide Santa Cruz faculty not only with outstanding instructional support but with timely access to the resources required to meet the rigorous research standards of the University of California.

Information technology resources that support the curriculum include: nine student computer labs; the growing but still inadequate number of campus classrooms that are equipped with computers, sound systems, video, and large displays;\(^7^9\) the campus computer network; central computer systems; and online databases and bulletin boards.

6.A.2 Learning resources are readily accessible to all students and faculty.

The collections and services of the University Library are organized for maximum availability to the academic and local community. McHenry and Science Library open hours are extensive (see 6.D.1). Books, newspapers, and bound and unbound periodicals are arranged by title or Library of Congress call number in open stacks, except for materials stored in Reserves, the Protect collection, or Special Collections. Circulation rules vary for different categories of users and are consistently enforced; items are promptly searched, recalled, held, and replaced, as needed. Library photocopy facilities are conveniently located, well-maintained, and competitively priced.

Faculty members need not visit the library to retrieve materials; they can use the subsidized, UNIX-based Library Material Delivery Service (LMD) to request on-campus delivery of books and articles via campus mail.\(^8^0\)

The library is engaged in a number of efforts to make more of its resources electronically accessible to remote users. The first of a projected series of full-text databases recently debuted on UC's MELVYL® Library System. The

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\(^{78}\) See Standard Six reference 1.


\(^{80}\) See Standard Six reference 3.
library's innovative INFOSLUG Campuswide Information System (CWIS) also provides keyword access to a growing number of electronic texts.\textsuperscript{81}

All registered students have access to the student computer labs and may have accounts on the campus's open access time-sharing UNIX system. Faculty have access to accounts and are provided with the necessary hardware. Campus computer accounts furnish access to the campus network and to the facilities of the Internet.

6.4.3 Special equipment, software, or telecommunications necessary for access to learning resources are regularly available to students and faculty in appropriate type, number, and quality.

Santa Cruz collections are listed in the University of California's world-famous MELVYL\textsuperscript{®} Library System. The MELVYL\textsuperscript{®} system also includes a union catalog of UC monographic and serial holdings, a growing number of abstracting and indexing databases mounted by UC's Division of Library Automation (DLA), and a gateway to hundreds of other bibliographic, textual, and numeric databases scattered across the Internet. At UCSC, the MELVYL\textsuperscript{®} system is accessible from over a hundred library terminals and workstations and remotely accessible via the campus network.

The new Science Library includes the foundation-funded S.H. Cowell Room, which provides networked access to a variety of electronic resources in the sciences, including databases in compact disk (or CD-ROM) format selected to complement those databases mounted on the MELVYL\textsuperscript{®} system. McHenry Library maintains a similar but smaller and overcrowded bank of workstations providing access to compact disks in the social sciences and humanities. McHenry also houses equipment for accessing other nonprint media collections, such as microforms, slides, films, and audio and video recordings. The Media Service units in Communications are responsible for teleconferences and classroom use of nonprint media.

Computers in the classrooms and student computer labs are connected to the campus network. The available hardware and software are those commonly used in industry and at other universities.

6.4.4 Professional staffs with appropriate expertise are available to assist users of the library, computer center, and other learning resources.

The library has a full-time equivalent staff of 140, including 28 professional librarians. The staff is organized into seven sections, the heads of which report directly to the University Librarian.\textsuperscript{82} General policy is the responsibility of the Library Management Group, composed of the University Librarian, seven section heads, and two Assistant University Librarians, one responsible for Personnel, one for Planning and Automation. Five of the seven sections (Access Services, Collection Planning, Media Services, Reference Services, and Science Library) provide direct assistance to users.

Computer support staff members are available at the central computing facility and in the divisions (except in the natural sciences where the support is at the board level).

See also 6.5.1.

6.4.5 Provisions are made for the security and preservation of all learning resources.

Both library buildings are equipped with a state-of-the-art electronic security system. The library's Special Collections are protected with more elaborate security devices. Non-print media, such as maps, slides, and videotapes, are shelved in non-public areas and circulated by library staff. Security has also been provided for equipment used to access non-print media, including instructional equipment located in classrooms. The library has a conservation unit, responsible for binding, mending, cleaning, and otherwise protecting library materials. UCSC also participates actively in UC's well-regarded systemwide preservation program. Through this program, the senior

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\textsuperscript{81}See Standard Six reference 4.

\textsuperscript{82}See Standard Six reference 5.
librarian who serves as UCSC's Library Preservation Officer receives training, advice, and funding to support special preservation projects.

See also 6.F.5.

6.A.6 Institutional planning recognizes the need for service linkages among complementary resource bases (e.g. libraries, computer centers, learning resource centers).

The campus's historically under-supported audiovisual and instructional technology units were integrated into the library's administrative structure in July 1988. The new Media Services Section was created by combining library units responsible for slides, audio, and video recordings with non-library units responsible for film, creating original video recordings, equipping and maintaining classroom instructional equipment, and providing faculty with support for computer and media aided instruction. Campus support for nonprint media has been substantially increased after this administrative change.

The Computer Resources Planning and Policy Committee (CRPPC) is responsible for making recommendations to the Executive Vice Chancellor relating to planning campus computing, including setting policy, allocating associated resources, and coordinating service. Both the University Librarian and the administrator of CATS serve on this committee. Computing, media services, and library staff work closely together on both planning and operational levels.

The University Librarian chairs quarterly meetings of librarians assigned responsibility for liaison with the eight colleges.

6.A.7 Learning resources available in the institutional bookstore support the educational program, contribute to the intellectual climate, and serve other student needs. (See 7.A.14).

UCSC's Bay Tree Bookstore, located in the center of campus, sells texts, a limited selection of general and reference books, computers, school and office supplies, clothing, gifts, and sundries. Its mission is to serve faculty, staff, students, alumni, and visitors. It supports the institution's educational program by stocking required and recommended course materials and recreational reading, but does not currently attempt to meet all the research needs of the faculty. The store uses both automated and traditional techniques to obtain materials quickly and efficiently. Standard marketing techniques are used to advertise store offerings.

The campus bookstore also supports a full-service microcomputer center with immediate availability of hardware and software; staff (career and students) provide consultation to the campus community. Plans have been approved to enlarge the bookstore from its current 8,000 square feet to a 30,000 square foot facility and site selection is in process. This will further enhance the bookstore's ability to serve the campus as it grows.

LIBRARY

STANDARD 6.B
QUALITY OF HOLDINGS

Library holdings and media resources are sufficient in quality, depth, diversity, and currentness to support the institution's academic offerings.

6.B.1 Basic collections held by the institution are sufficient in quality and quantity to meet substantially all the needs of the educational program on and off campus. (See also 4.B.13.)

In 1991, the University Library celebrated a major milestone in the evolution of a research library: acquisition of its millionth volume. As of December 31, 1992, library collections included a total of nearly 1,050,000 volumes, 805,000 classed in the social sciences and humanities, and 245,000 classed in the sciences. Over 10,000 serials are
currently received. Manuscript units total 2158; maps, 165,269; microform units, 598,615; government publications, 77,907; audio materials, 25,453; video materials (including motion pictures and filmstrips), 3567; pictorial items, 14,447; slides, 239,512; and computer files, 709. Items housed off-campus in UC's Northern Regional Library Facility number 83,617 volume equivalents.83

The library's core collection was acquired in the early 1960s via the University of California's groundbreaking New Campuses Program. In consultation with subject specialists, approximately 75,000 volumes critical to undergraduate education were identified, ordered, cataloged, and ready for use when the library opened in 1965.

In subsequent decades, library collections have generally grown at the rate of 40,000 volumes a year. More recently, because of a complex set of factors, including a dramatic increase in the volume of scholarly publication, double-digit inflation in the cost of library materials, the devaluation of the dollar, and decreasing state support for higher education, the annual number of volumes added has declined to approximately 32,000. This decline in acquisition rate has been particularly difficult because it has been accompanied at Santa Cruz by rapid campus growth in students and programs. Currently, the library remains able to acquire all materials needed for instruction and an adequate if declining percentage of the materials needed to support research; but prospects for maintaining even this minimally satisfactory level of acquisition are uncertain.

6.B.2 The institution provides services and holds readily available basic collections at all program sites not serviced by the main library. Interlibrary loan or contractual use arrangements may be used to supplement basic holdings, but are not used as the main source of learning resources.

N/A. (The institution does not maintain off-campus program sites at this time.)

6.B.3 Collections are structured in direct relationship to the nature and level of curricular offerings, and they include adequate holdings in non-book materials as appropriate.

The library deploys a staff of professionals to develop collections that support the research and instructional needs of campus programs as comprehensively and equitably as possible within the constraints of state funding.

Each board of studies, committee, and organized research unit is served by a subject bibliographer responsible for communicating with students and faculty, assessing their information needs, and meeting those needs to the extent funds allow. Library staff monitor changing campus programmatic requirements in many other ways, both formal and informal. Staff works closely with faculty at public service desks and in the classroom. Librarians sit on several key Academic Senate Committees, including the Library Committee, Graduate Council, and Committee on Educational Policy, and participate in other governing bodies, such as Chancellor's Advisory Committees, standing coordinating committees, and ad hoc search committees. Librarians are regularly consulted during the development of new programs, external reviews of existing programs, faculty recruitments, and negotiations for faculty "start-up" funds.

In theory, library collection development policy stipulates that subject funds are to be used to support all information sources, regardless of format. In practice, the library recognizes that nonprint media have been historically underemphasized. Accordingly, the library places special emphasis on enhancing nonprint media, despite current pressures on the collections budget. Separate funds have been established for nonprint formats, including films, maps, slides, audio and video recordings. An electronic information resources and services team manages the machine-readable data collection and a 1992-93 budget of $52,400. Establishing a secure and growing funding base for acquisition of non-print media is a major library objective.

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6.B.4 Written collection development and weeding policies are documented, updated, communicated to the faculty, and implemented. These policies include the bases for accepting gifts.

Ensuring the overall balance of acquisitions is the responsibility of senior staff appointed to the library's Collections Budget Committee. This committee is charged with subdividing the materials budget into individual "funds" appropriate to the needs of different subject areas and with monitoring expenditure of these funds by subject bibliographers.

Consistency of policy and procedure is maintained among the fourteen selectors dispersed through nine units via biweekly meetings and a lively electronic mail forum. A detailed Bibliographers' Manual documents and interprets policy and procedure for selecting and deselecting materials.

Bibliographers are responsible for soliciting gifts-in-kind which enhance the breadth and depth of subject collections. The Bibliographers' Manual delineates library policy for soliciting gifts, assessing their appropriateness for the Santa Cruz community, and for disposing of unwanted materials in a cost-effective manner. A Gift Assistant is responsible for monitoring the gift process, ensuring that donations are promptly processed and acknowledged.

6.B.5 Institutions having formalized agreements to supplement their own collections with those of other institutions have mutually agreed upon arrangements with those other institutions and contribute appropriately to the maintenance of those resources.

University of California policy stipulates that "The library holdings of all the campuses should be considered as a single University collection rather than nine separate collections" (The University of California Libraries, a Plan for Development, p. 21).

The complete holdings of the University's nine campus libraries are included in the MELVYL® union catalog. Three percent of University collection funds are reserved for cooperative purchases, such as major microform sets, on-line databases, and membership in the Center for Research Libraries. The Shared Collections and Access Program (SCAP) and other cooperative collection development programs in U.S. History, Women's Studies, Physical Sciences, Art, Music, Government Publications, and Maps are coordinated by a systemwide committee, composed of the heads of collection planning at the nine UC campuses and Stanford University. Two governing boards coordinate access to low-use materials selected from campus collections and stored at regional facilities located in Los Angeles and Berkeley.

STANDARD 6.C
ACQUISITIONS AND BIBLIOGRAPHIC SERVICES

Library and learning resource materials are kept current; bibliographic services meet the needs of institutional users.

6.C.1 Annual budget allocations for acquisitions provide sufficient learning resources to support degree programs.

The library's 1992-93 Collections Budget includes $2,253,595 from the UC Office of the President, plus or minus various reserves and assessments, for a total of $2,473,949 in available funds. The library projects expenditures of $542,034 for monographs received automatically from vendors, $1,655,934 to renew current serials, and $67,255 in other fixed costs; $208,726 is available to bibliographers for discretionary spending.84

The library's current acquisitions budget suffers from the same severe shortfalls currently being experienced by most major academic and research libraries, especially in California. The reasons for this national collections budget crisis are complex and not likely to be resolved locally or in the near future. At UCSC, the campus administration

has an excellent understanding of the crisis and has supported library collections to the extent possible; but the impact of declining acquisitions on the institution's instructional and research functions is increasingly apparent.

In an effort to supplement state funding for collections and provide a buffer against its inevitable ebb and flow, library administration conducts an active fundraising program, in cooperation with the campus development office. In the past four years, the library endowments and funds totaling over $300,000 have been established, some providing relatively unrestricted collection support, others providing specialized support in such diverse areas as maps, political theory, Asian-American studies, and multicultural children's literature.

6.C.2 Faculty participate in the selection and evaluation of resources.

As noted in 6.B.3, the faculty of every campus board of studies is assigned a subject bibliographer. Bibliographers are responsible for interviewing new faculty members, introducing them to the resources and limitations of library collections, and soliciting their advice on new acquisitions and other collection management activities, such as weeding and storage.

Even in today's uniquely stringent budgetary climates, the library has been able to fill all faculty Reserves requests and most requests for monographs. Faculty requests for new serials are more problematic; in general, new subscriptions can only be instituted with proceeds gained by canceling old ones.

6.C.3 All materials are catalogued or appropriately listed so as to make them easily available to their users. Where appropriate, a union catalog is established to provide a central listing for all resource centers serving the institution.

All UCSC materials have been cataloged in machine-readable, full-MARC format. The cataloging backlog is negligible. OCLC has been the library's bibliographic utility since 1980; machine-readable records produced on the library's home-grown system prior to that date have been upgraded. The library maintains its own master bibliographic database, which provides backup and security and is used to generate an inexpensive local microfiche catalog that is updated annually. Records are also transmitted and added to the on-line UC union catalog which comprises MELVYL's® central file. MELVYL® catalog searches can be easily limited to UCSC holdings. The MELVYL® catalog serves as UCSC's primary public access catalog.

The MELVYL® catalog has a powerful, easy-to-use interface, is fully networked, and is supported by systemwide rather than local funds.

6.C.4 Bibliographic records for machine-readable data files are included in appropriate catalogs, and their use is facilitated to the same degree as are book and media resources.

The MELVYL® catalog includes full-MARC records for the library's current collection of 709 machine-readable data files (MRDFs), including floppy, compact, laser, and video disks. Each catalog record includes an accession or call number and location designation: MRDFs are stored at a growing number of library locations, including the Protect collections at both Reserve Desks, the Science Library's S.H. Cowell Room, the CD-ROM area adjacent to the McHenry Reference Desk, Government Publications, Maps, and Slides. Some of the more heavily used reference disks are mounted on library workstations for continuous access; others are loaded by staff upon request. Disks stored at Reserve circulate like other library materials; some may be used on library workstations; others may be transported to and used at other campus computing facilities.
STANDARD 6.D
AVAILABILITY AND USE

Collections are readily available for use by the institution's academic community on-campus and where, by virtue of program or distance from the main campus, they are needed off-campus.

6.D.1 Open hours provide for convenient access to library collections and resource centers.

Despite recent reductions in its operating budget, the library has managed to meet its goal of retaining traditionally liberal open hours. The McHenry Library remains open to the public for some form of collection use 109 hours per week. Science Library hours are nearly as extensive. The hours of special service units are variable and tailored to the needs of their own clientele. Particularly noteworthy are the Friday and Saturday night study halls sponsored at McHenry Library: minimal staffing allows the library to maintain extended hours in a period of budgetary retrenchment.  

All UCSC community members enjoy on-site borrowing privileges throughout the UC library system. More recently, a new reciprocal agreement provides UCSC graduate students and faculty with direct borrowing privileges at the Stanford University Libraries.

6.D.2 An efficient circulation system facilitates the expeditious checking out and reshelving of library resources.

The library implemented CLSI's automated circulation system in 1980. A title database and matching barcode labels were created programmatically from the library's master bibliographic database. The library has been successful in obtaining funds to upgrade CLSI software and hardware as needed. Overdues, recalls, and other pertinent circulation reports are generated promptly. Bills and processing fees are handled by the campus's new Series Z comprehensive billing system. The CLSI system has never experienced significant "downtime." Non-confidential circulation information is available to users via public library terminals and the campus network. The library is currently reviewing options for upgrading the circulation system and for integrating circulation information more conveniently with catalog and acquisitions information.

6.D.3 The intensive-use service is available for reserve materials required by the curriculum.

Both the McHenry and Science Libraries feature active, automated Reserves Units with a combined peak monthly circulation of nearly 20,000 items. The units have integrated CSLI's hourly loan capability successfully into their operations. They also use Enable software to produce easy-to-read Reserve lists and binders. Faculty can submit or update reserve lists in print or via electronic mail.

6.D.4 The interlibrary loan service provides the academic community with needed resources that are otherwise unavailable in the library's collections.

As a research library which opened with fewer than 100,000 volumes, UCSC has historically placed special emphasis on the provision of outstanding interlibrary loan service. Indeed, the critical first cohort of faculty appointees was recruited with the promise to provide such service. All UCSC community members are eligible for interlibrary loan privileges; faculty and graduate students enjoy unlimited privileges.

Central to the quality of service are two special interlibrary loan agreements. The first, among UC libraries, is mandated by the one-library concept outlined in The University of California: a Plan for Development (see 6.B.5) and codified in the UC Interlibrary Loan Code. The second is a unique proxy borrowing arrangement with the neighboring UC Berkeley libraries; several UCSC interlibrary loan staff members work exclusively in these libraries, checking out materials directly to Santa Cruz community members and forwarding them promptly via the

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daily intercampus jitney. The library is also an active participant in the local multitype Monterey Bay Area Cooperative network (MOBAC).87

The vast majority of borrowing requests are filled through the Berkeley proxy borrowing program, often within one week. Most other requests are filled within the UC system, usually via OCLC's interlibrary loan subsystem. Remaining requests are filled from a wide variety of local, state, national, and international sources, including Stanford University and the Center for Research Libraries. The Interlibrary Loan Unit houses a dedicated FAX machine, and both borrowing requests and requested texts are expedites by FAX when appropriate. All costs associated with borrowing are covered by the library.

Interlibrary loan service remains one of the highest priorities for UCSC faculty members, and maintaining its quality in an era of universally dwindling resources will be a major challenge for the library's next decade. Traditional interlibrary loan service is labor-intensive and increasingly expensive. Several ambitious experiments are in place at both the systemwide and campus levels, emphasizing decentralization, increased use of telefacsimile and electronic texts, commercial document delivery, and direct patron request of materials.

6.D.5 Where off-campus programs exist, students are provided ready access to basic collections held by the institution. (See also 6.B.2.)

N/A. The institution does not maintain off-campus program sites at this time.

6.D.6 Comprehensive training programs to promote library use are available to both students and faculty. Library orientation is responsive to the needs of the nontraditional as well as the traditional student.

The library provides a variety of different services aimed at promoting efficient and effective use of its collections. One-on-one reference assistance is provided at the McHenry and Science Library Reference Desks and at a variety of special service points, including Government Publications, Maps, Slides, and Special Collections. Assistance is offered by a skilled team including librarians, professional library specialists, library assistants, and student assistants. In-depth subject assistance is also provided by bibliographers.

Assistance with electronic sources is provided at the Science Library's S.H. Cowell Room and in the CD-ROM area near the McHenry Reference Desk. For the diminishing number of databases inaccessible to campus end-users, librarians provide partially subsidized, mediated searches.

The library also provides a multi-tiered library instruction program. Basic introductions to library collections and services are offered to new students at the beginning of each academic quarter; these sessions are complemented by demonstrations of the MELVYL® Library System. Beginning students who enroll in a college core course or writing course may receive a second library orientation, enhanced by self-paced exercises. Bibliographers are responsible for providing graduate students and senior thesis writers with comprehensive reviews of the literature of their fields. Other subject or course-based instruction is offered on demand as resources permit.

The library is committed to serving the needs of non-traditional students. Special classes are provided for re-entry and foreign students, non-English speakers, and those enrolled in the Student Affirmative Action and Educational Opportunity Programs. The Reference Unit includes a Multicultural Services Librarian.

Early retirement programs and other changes in library operations support generated by permanent cuts to UC's budget are beginning to affect the library's user service programs. New and more cost-effective service models are being implemented, but some service reduction seems inevitable, if budgetary cutbacks continue.

STANDARD 6.E

FACILITIES

The library facilities accommodate the collections, readers, and staff so as to foster an atmosphere of inquiry, study, and learning.

6.E.1 The size of the central library structure and other decentralized units, as required, is adequate and appropriate to the nature of academic programs, student enrollment, the size and character of the collections, the specialized equipment, and the size of the staff.

The central Dean E. McHenry Library, designed by distinguished San Francisco architect John Carol Warnecke, opened in 1966 and was substantially expanded ten years later. The building contains 114,000 assignable square feet and houses 745,000 volumes, approximately 900 user stations, numerous special service units, and centralized facilities for library administration and processing.

Decentralized library units include the 55,000-square foot, 275,000-volume capacity Science Library, designed by library architectural specialists Esherick, Homesy, Dodge, & Davis; two Media Services units located in the campus Communications Building; and remote storage space in UC's Northern Regional Library Facility in Richmond.

The 1991 opening of the new science library reunited the campus's dispersed science collections in a single convenient location, provided the science community with critically needed research and study space, and resolved the major dissatisfaction with library service identified in the accreditation last self-study.

6.E.2 Adequate space is provided for immediate growth and plans have been laid for the future. As new technology is adopted for library functions and services, adequate space is provided for equipment.

The award-winning new Science Library was designed to provide the UCSC science community for the next two decades with sufficient space for collections, use, and electronic data access.

Despite the functionality of its basic design and a major recent rewiring project, McHenry Library shows increasing signs of age: nonprint media facilities (especially for public microcomputing) are limited; vacant collection space is diminishing; user facilities are worn and crowded. However, plans to expand, modernize, and refurbish McHenry are well under way; planning funds have been allocated by the state; a Building Committee and outside consultant have been appointed. The new McHenry addition is expected to open sometime between 1998 and 2001.

The library's Media Services Section remains deficient in both quantity and quality of space. Units are scattered between and within the McHenry and campus Communications buildings. Space is inflexible; there are not enough user stations; equipment funds remain inadequate, despite a recent increase in campus support. A new state-of-the-art facility for Media Services is a high priority for the library and campus. It may be included in the McHenry addition or in a proposed new campus instructional technology center, for which private support is being solicited.

6.E.3 Space and furnishings have been laid out for efficient use; needs of the physically disabled are accommodated. (See 8.A.6.)

Science Library layout and furnishings are outstanding, thanks to a special $25,000 grant for interior design services provided by the Honeywell Foundation. McHenry and Media Services furnishings are in need of renovation.

The Science Library was designed to be fully accessible to disabled users; the McHenry Library and Communications buildings have been adapted for use by the disabled with moderate success. In both libraries, staff members provide a variety of accommodations tailored to individual needs, in consultation with campus Disabled Student Services. Disabled students and faculty are also eligible for subsidized use of the Library Material Delivery service.

See also 6.A.2.
6.E.4 Collections and services are readily accessible, yet provision has been made for adequate security and the long-range preservation of library materials.

See 6.A.5.

COMPUTER AND ASSOCIATED RESOURCES

STANDARD 6.F
INFORMATION TECHNOLOGY

Computing and data communication services are provided as learning resources to the academic community in sufficient quantity and quality to support the academic offerings of the institution.

6.F.1 A variety of computing resources (e.g., professional support staff, hardware, software, and, as appropriate, network access on- and off-campus to databases and computing resources) supports the instructional and research needs of students and faculty.

UCSC supports its instruction and research with a broad array of computing resources.

Support staff is located in the academic divisions and in the central computing facility. The computing coordinators in the Divisions of Arts, Humanities, and Social Sciences oversee all computing activities for the faculty and staff of these divisions. The coordinator and his/her staff provide training, consulting, equipment acquisition and maintenance, and assistance with classroom computing. In the Division of Natural Sciences, similar coordination is provided by the Board of Studies in most of the boards. The central support staff manages student computer labs, computers in the classrooms, the campus network, and central computing facilities. The divisional and central staffs work closely together and meet on a monthly basis.

The campus supports three platforms for instructional and research computing "workstations": Macintosh, Intel architecture, and UNIX. In 1986, the University of California developed a strategy for academic computing that established a goal of one workstation for every faculty member and one workstation for every fifteen students. The campus has endorsed this goal. According to inventories maintained by the divisional computing staffs we are about 75 percent of the way towards achieving the faculty goal. Campus practice is that faculty workstations are obtained either through internal or external research grants, or through campus equipment funds.

The campus goal is to have one workstation for every fifteen students. We are only about 30 percent of the way towards that goal. We have nine general-purpose, centrally supported computer labs, with a mix of the supported platforms. These labs serve primarily an undergraduate population. Faculty can reserve time in the labs for class sessions for an entire quarter or reserve for specific times. The labs are heavily used and are booked from early morning into the night each school day. The labs are equipped with standard software for word processing and spreadsheets, as well as specialized software such as Mathematica, SAS, etc. Graduate student computer labs are provided by the academic divisions and boards of studies when appropriate and when funding is available.

The central facility offers non-credit courses in a wide range of topics. These cover introductory classes for the supported platforms to specialized classes in advanced topics, such as statistical software, database systems, and use of off-site supercomputers. There is a general perception that the current training program does not meet many of the needs of the campus as more faculty, staff, and students use computers. This is most critical for staff as new online administrative systems are implemented (i.e., enrollment, payroll/personnel, purchasing, etc.). Efforts are under way to strengthen the training program and to re-establish the staff development program that was eliminated two years ago. How quickly this will happen is unknown at this time.

See also 6.F.6 and 8.A.4.
6.F.2 Access to computing resources is convenient for faculty and students.

Access to computing resources is readily available through the campus network, student computer labs, and central facilities. Faculty and students are provided computing accounts upon request. Electronic mail (E-mail) capability is universal.

There are some bottlenecks to access including:

- For many faculty (especially those in computer science and engineering), the central UNIX computer servers are the most cost-effective vehicle for their classes. The campus has only two computers to service these classes. Students often need to endure slow response time while using these facilities. One of the two computers was recently upgraded, but the demand once again will quickly outpace the supply.

- As more faculty members use the undergraduate computer labs for their classes, the demand for lab time will become more competitive. One of the effects of the increased demand is that we restrict the number of hours available to students who want to use the labs for completing assignments. The target is to allow two hours of open access time for students in the labs for every hour that a class is scheduled in the lab. We are now down to only 1.6 hours because of the heavy demand by faculty to use the labs for classes. Some relief is in sight when we open a large 60-seat lab in College Nine next year, but again demand will quickly outpace supply.

- Faculty, staff, and students have computers at home and need access to campus computing resources from their home. The campus provides approximately 60 dial-in modems for this purpose. The demand for modems far exceeds the supply, especially during the final weeks of each quarter.

6.F.3 The institution provides adequate computer support services (including consulting, documentation, and software) to meet academic needs.

Student consultants are available in computer labs and by phone to assist undergraduate students. Divisional computing coordinators and central computing staff are available to assist faculty and graduate students. Documentation is available through the campus bookstore, library, and computer center; it is also online.

Some assistance is provided to instructors of credit courses. Computing staff teaches introductory computing to students in the first few sessions of an academic course, providing them with the skills required to complete the lessons using computing techniques. There is a dearth of support for faculty who want to introduce computing into their classes. There are two people who specialize in this among many other responsibilities they hold. Despite the lack of support, the number of classes that use computing (and the undergraduate computer labs) is increasing sharply.

6.F.4 The appropriate software and databases are available to support curricular needs of disciplines.

The campus provides standard software packages for instructional purposes. These are available in the computer labs and include compilers for various languages, mathematical software (Mathematica, Matlab, Maple), statistical software (SAS, SPSS, JMP, Systat), word processors, and spreadsheets.

A growing number of bibliographies as well as textual and numeric databases are available to faculty and students through the campus network. These include databases accessible via the Inter-university Consortium for Political and Social Research (ICPSR); gene and protein databases; literary texts, such as the Bible and the complete works of Shakespeare; and databases accessible via the MELVYL® library system, such as MEDLINE, Current Contents, and INSPEC.
6.F.5 The computing and data communication services adequately ensure security and privacy of records and data developed by faculty and students. (See also 4.D.6)

All computer accounts and confidential data are password protected. The wiring plant supporting the campus network is standardized to minimize the risk of eavesdropping. Computer use is governed by the campus computer use policies, which clearly state what accounts are to be used for. Vulnerable systems (e.g., UNIX) have been modified to be more robust and less susceptible to unauthorized access. The campus auditors have reviewed and approved security policies.

Even with all of the above, some risks to data integrity and confidentiality exist. The campus has assessed these risks and decided to accept them. To further minimize the risk, the campus would have to (1) implement very costly measures (e.g., smart cards) that only eliminate some of the risks and/or (2) implement more advanced technologies (e.g., encryption) for which off-the-shelf products are not available in today's market. The campus decided to assume the risks in the anticipation that such products would be available within an 18-24 month timeframe.

The campus has had serious problems with theft of popular workstations (i.e., Macintosh, Sun) from labs and offices. The campus police are developing agreements with local security alarm vendors to facilitate the deployment of alarms to prevent such theft. In addition, many units have already invested in lock downs and alarm systems.

6.F.6 Data communication services provide access to information and services both locally and, where appropriate, nationally.

The campus network extends to almost all buildings. A large percent of the faculty is on the network, and access is available to all students. The campus is connected to the major off-campus networks, such as the Internet, the National Science Foundation Network, and BITNET. The network provides access to the University of California's MELVYL® Library System as well as many other information sources around the world.

See also 6.F.1.

6.F.7 Information technology and academic resource planning assess the need for computing resources. Strategies are established for acquisition of hardware and software to meet institutional and program needs and for replacement to prevent obsolescence from impeding educational objectives.

The Computer Resource Planning and Policy Committee (CRPPC) is the campus body that advises the Executive Vice Chancellor on computing issues, such as long-range plans and what percentage of the campus's total resources should be allocated to computing. Each of the four divisional deans is a member of this committee. The committee has recommended long-range plans for both academic and administrative computing that balance the need to provide resources for direct support of the curriculum with the need for information systems that increase faculty and staff productivity. Equipment replacement is reviewed by this committee as well.
STANDARD SEVEN:
STUDENT SERVICES AND THE CO-CURRICULAR LEARNING ENVIRONMENT

STANDARD 7.A
CO-CURRICULAR EDUCATIONAL GROWTH

The institution supports a co-curricular environment that fosters the intellectual and personal development of students. That supportive environment is characterized by a concern for the welfare of all students, on and off campus; a commitment to student academic and self-development; a conscious attention to ethnic, socioeconomic, and religious diversity consistent with institutional purposes; a responsiveness to the special needs of a diverse student body; a regard for the rights and responsibilities of students; and an active understanding of the interdependence of the elements of the learning environment.

7.A.1 The institution systematically identifies the characteristics and learning needs of the student population, including such constituencies as traditional-aged undergraduates, women students, re-entry and older students, student parents, international students, the physically limited and learning disabled, racial and religious minorities, the academically disadvantaged, veterans, and off-campus students such as military students. The institution then makes provision for meeting those identified needs, building an academic community that significantly involves its various populations.

Several Student Services units offer support and advising for students in groups with special needs.

- The University provides students the option to self-identify as having a disability or being a veteran through the undergraduate and graduate admissions process. Those students who self-identify are sent information from the Disabled Student Services Office or the Veterans Student Services Office concerning programs and services.

- Student Affirmative Action/Equal Opportunity Program (SAA/EOP) students are recruited through outreach activities of the SAA/EOP office. Qualified students are identified at admission. Selected students are invited to attend the five-week Summer Bridge Program, which includes academic advising, orientation, study-skills assessment and development, and support services. All SAA/EOP students are encouraged to attend the SAA/EOP orientation program which takes place during the week preceding campuswide orientation programs. In addition, both the Division of Natural Sciences and the Division of Social Sciences provide special programs and academic support services for students in groups that are underrepresented in post-secondary studies.

- The staff of the Re-entry Program provides special orientation and numerous educational programs for re-entry students. Peer advising and a special re-entry lounge are also provided.

- Each college has specific programs designed for transfer students. These programs provide opportunities to attend some general sessions with all new students and other activities which focus on issues of specific interest to transfer students. Transfer student issues are also addressed through the ad-hoc Committee on Transfer Students, a faculty/staff/student group. Several recommendations from the committee have been implemented over the past two years.

- International students are assisted by the staff of the Education Abroad Program. Special orientations and educational programs are provided.

- Numerous programs and activities take place at the Woman’s Center, many of which are co-sponsored by other campus units including academic boards of studies, the Counseling Center, the colleges, and the Rape Prevention Education Program.

See also the "Teaching," "Advising," and "Undergraduate Diversity" sections of the self-study.
7.A.2 Policies on student rights and responsibilities, including the rights of due process and redress of grievances, are clearly stated, well publicized, and readily available. In addition, they are implemented in a fair and consistent manner.

Student rights and responsibilities, including the rights of due process and redress of grievances, are printed annually in the Rule Book. This publication is provided to each student the first quarter of registration each academic year. Implementation of these policies and procedures is the responsibility of the college staffs and is coordinated by the Campus Judicial Officer in the Office of the Vice Chancellor of Student Services.


7.A.3 Publications (e.g., student handbooks) describe student services and programs, student government and activities, as well as student rights and responsibilities are readily available. These publications also include policies and rules defining inappropriate student conduct.

Each college publishes a separate handbook for its students. These handbooks include residential and college rules and regulations and campus resources. The Rule Book is printed annually and includes rules and regulations relating to student conduct, government, grievances, and organizations. Publications are also available which describe special services and programs such as student government, student activities, Rape Prevention Education, Sexual Harassment, and most student services units. All of the above publications are provided to new students in their orientation packets. The college handbooks and the Rule Book are provided to returning students with registration materials during their first quarter of attendance each academic year. Additional copies of handbooks, various publications, and the Rule Book are available at each college office and the Office of the Vice Chancellor of Student Services throughout the academic year.

7.A.4 The institution supports opportunities for student participation and leadership in campus organizations and student involvement in institutional governance.

Opportunities for students to participate in leadership activities are available at both the college and campuswide levels. College and residence hall staffs provide leadership and student development workshops within the individual colleges, including orientations and programs which address the needs of our diverse populations. Students have the opportunity to develop their leadership and communication skills by participating in a myriad of student committees and groups, such as Residence Hall Advisory Boards, Student Housing and Food Service Boards, and activities planning committees.

At the campuswide levels, opportunities include the Student Union Assembly (SUA) and its various committees, a wide range of Academic Senate and administrative committees which require student representation, and the option of membership in one or more of the political, social, ethnic, cultural, religious, advocacy, or other special interest student organizations. Organization membership allows students to develop and fine-tune leadership and interpersonal skills; contribute to the local community through volunteer service projects; enjoy the intimacy and friendship of a group of people working closely together; and receive support, encouragement, and recognition for pursuit of academic goals.


7.A.5 An effective orientation responds to the needs of new students, including special populations, both undergraduate and graduate.

The campus provides comprehensive orientation programs for all new students. Fall orientation occurs over a five-to-six day period immediately preceding the first day of instruction and is coordinated by the Campuswide Orientation Committee to avoid time conflicts. As the campus moves to an advanced enrollment system, current

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88 Standard One reference 3.
89 Standard Seven reference 1.
programs may be modified. College programs include general academic advising, social activities, and introductions to college and campus life. Several colleges utilize returning students as facilitators or presenters in their programs. Campuswide programs offered include board of studies orientations, placement tests, campuswide services (e.g., Health Center, Counseling Center, Financial Aid, Career Services), and discipline-specific academic advising.

One college, Stevenson, offers an optional summer orientation program. First-year students may choose one of three weekends during July to attend an orientation/advising program. Students stay in a residence house for two nights, attend small group presentations led by returning students, and participate in small group discussions on academic issues, campus life, and transition issues. Students receive academic advising from peer advisors and staff. Transfer students may choose one of the weekend programs or attend an abbreviated program specifically for local transfers. Approximately 60 percent of Stevenson’s new students attend this summer program.

With the advent of advance enrollment, a campuswide Summer Advising and Enrollment Program was endorsed by the Committee on Educational Policy and is scheduled for implementation in 1994. It will provide all new students with the opportunity to complete placement exams, receive individualized academic advising, and prepare for advance enrollment which takes place in July.

Winter- and spring-quarter orientations are abbreviated versions of the fall program, usually occurring on the day before the first day of instruction. As a result of recommendations by a campuswide ad hoc committee on transfer student issues, a special orientation session has been held before winter quarter for the past two years to provide new transfer students with information on campuswide programs and services. Approximately 225 students attended this program, which included an introduction to most campuswide programs and services, a panel discussion by previous transfer students, and small group peer advising.

See also 7.A.1.

7.A.6 A systematic program of academic advisement assists students in making appropriate academic decisions.

See 4.A.7 and the "Advising" and "Undergraduate Diversity" sections of the self-study.

7.A.7 Intercollegiate athletics, if offered, are conducted pursuant to the policy on Collegiate Athletics (pages 71-2), in a manner consistent with sound educational policy, with standards of integrity, and with the institution's published objectives and educational purposes. The administration and faculty of the institution have responsibility for the control of these programs: academic policies and other expectations are the same for student athletes as for other students.

The campus sponsors twelve National Collegiate Athletic Association (NCAA) teams (six women's and six men's). The head of athletics addresses each team at the beginning of the season regarding: eligibility rules, safety, drug use, appropriate behavior, and integrity. Regular coaches' meetings are conducted to discuss sportsmanship, academic success, ethnic and gender representation, and the budget. Athletic issues are discussed and advice to the Athletic Director is forwarded from an Advisory Committee comprised of non-athletic staff and faculty, and a Steering Committee comprised of physical education, recreation, and intramural supervisors. Pursuant to NCAA Division III policy, all academic policies and other expectations are the same for student athletes as for other students.

See also sections II and II of NCAA Institutional Self-study.90

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90 Standard Seven reference 2.
7.A.8 When an institution recruits and enrolls international students, the institution demonstrates that it admits and serves such students in a responsible and sensitive manner, consistent with the policy on International Students, pages 74-5.

See 4.H.9 and the *International Programs Information for International Students and Scholars*.91

7.A.9 Career development counseling and placement services are consistent with student needs and institutional purposes.

Career and Internship Services provides advice and information to help students link their academic life with the world of work. Many of the services and resources provided to students by Career and Internship Services are designed to teach skills that can be used not just during college, but throughout a lifetime. Programs help students discover their values, interests, and skills, and to apply this discovery to identification of career options. Library resources, a student computer lab which offers career assessment and résumé software, and a large Alumni Career Resource Network provide information necessary to explore career options. Workshops such as Career Assessment, Academic Majors and Careers: Making Informed Decisions, Internship Search, Strategies to Find Employment, Résumé Preparation, Interviewing Techniques, and Applying to Graduate School or Law School as well as individualized, video-taped, mock interviews provide tools and practice that give students the confidence to succeed. Specialized workshops are also offered in international and media careers, and for students in economics, psychology, and environmental studies majors. In addition, alumni are invited to participate on panels regarding careers in many different fields.

Internships develop skills that will help fulfill career or graduate school goals. Career and internship offerings are listed daily, and the publications *Career Flash* and *Internship Flash* are distributed semi-monthly. Many employer directories and files are also available.

Walk-in advising is offered to help students determine the best use of the services, provide quick access to résumé review, and answer short questions. Individual advising appointment are designed to help students develop an action plan, assess their options, and establish strategies.

Other programs include an annual Career Faire that brings between sixty and seventy employers to campus, a Career Conference for Students of Color that brings approximately seventy alumni of color to campus to talk to students about the work and graduate school environment, an annual Graduate and Professional School workshop, and educational placement and graduate school reference letter file services.

Students with special needs are encouraged to use the services through staff outreach activities and publicity. Special programs have been coordinated with SAA/EOP, Re-Entry, and Disabled Student Services.

7.A.10 Professional health care, including psychological health and relevant health education, is readily available to residential students, and to others, as appropriate.

The staff of the Cowell Student Health Center offers primary health care to students, and limited health care services to students' dependents, staff, and faculty. Primary health care to students includes physician, physician assistant, and nurse visits; laboratory, pharmacy, and x-ray services; and specialty care in psychiatry and women's services. Health education programs provided by the health center include the AIDS Prevention and Substance Abuse Prevention programs.

Counseling and Psychological Services (CPS) offers individual and group counseling for students with educational, vocational, and personal-social concerns; conducts outreach programs for academic departments, underrepresented students, peer counseling units, and residential halls; consults with faculty and staff on the counseling needs of students, including students in crisis; and trains peer counselors and counseling interns. CPS also provides stress

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91 Standard Four reference 25.
management programs and individual stress management sessions through its Stress Clinic. Staff includes experienced professionals trained in counseling, clinical psychology, and social work.

7.A.11 If appropriate to its purposes, the institution provides adequate opportunities and facilities for student recreational and athletic needs apart from intercollegiate athletics.

The campus supports ten non-NCAA sport clubs and seven recreation clubs including SCUBA, Aikido, Tae Kwon Do, dance, ski, bicycling, and rugby. The intramural program services close to 4,000 students per year in over 50 activities. The Recreation Department serves over 8,000 participants in classes, workshops, special events, and outings. Although the campus has some fine facilities, their number and size is less than what comparable institutions have available.

See also section XI of *NCAA Institutional Self-study.*

7.A.12 The student financial aid program is well organized, well publicized, and administered equitably according to well-understood criteria. It is subject to periodic audit.

The Office of Financial Aid administers a variety of need-based and non-need-based federal, state, university, and private financial aid programs to help students pay educational expenses. These include scholarships, grants, work-study and student loans. The unit assists the campus recruitment efforts by offering financial aid workshops for prospective and continuing students and their parents both on- and off-campus. Money management workshops and debt counseling sessions are conducted several times each year. Information is distributed through numerous publications, posters, correspondence, and workshops. The Student Employment Office coordinates employment opportunities on- and off-campus for students.

Financial aid programs are audited periodically, including annual reviews mandated for the federal student aid programs. There have been no major findings from any of the audits in the past seven years. Annual financial aid disbursements in 1992-3 totaled $27 million annually to over 4,500 students.

7.A.13 Student housing, if provided, is designed and operated to enhance the learning environment. It meets recognized standards of health and safety, and is competently staffed.

The Campus Housing program administers undergraduate and graduate residence halls and summer conferences; provides advising and developmental programs for students; and manages facilities and food programs. Managed by full- and part-time professional and paraprofessional staff, residence halls are designed and furnished for comfort and efficiency. They include ample furniture, lounges, and lighting to ensure suitable atmospheres for study. Facilities are thoroughly cleaned by trained full-time staff and meet stringent standards of sanitation. Routine structural and health and safety inspections are conducted by the campus Fire Department, Campus Facilities, and Environmental Health and Safety; when found, deficiencies are corrected immediately.

Family Student Housing administers and maintains 197 student family apartments. A Residential Life Program provides a sign-in after-school recreation program and a variety of social and educational activities for adult residents. At the complex, a university-run child care center provides infant and toddler care during the academic year. Student family apartments are maintained in conformity with state health and safety codes; regular inspections are conducted by the campus Fire Department and Environmental Health and Safety. Staffing is provided during both regular business hours and after 5:00 p.m. on weekends. On-site maintenance supervisors monitor day-to-day maintenance.

Housing also administers an off-campus housing office that provides rental listing information, advising, and educational workshops on such topics as: selecting roommates, tenants' rights and responsibilities, and understanding lease agreements.

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92 Standard Seven reference 2.
Nearly 43 percent of students (96.5 percent of fall 1992 freshmen) live in campus housing: 4,000 in residence halls and apartments, 202 in student family housing, 79 in graduate student apartments, and 42 in the camper park.

7.A.14 If the institution has a bookstore, it supports the educational program and contributes to the intellectual climate.

The following is the mission statement for the Bay Tree Bookstore: "Organized as a self-supporting auxiliary enterprise of the university, the Bay Tree Bookstore has the mission of providing to the campus community books, related materials, and services which complement the academic environment and which support the diverse needs of the campus community. The intent is to provide products and services to students, faculty, staff, and campus units in an economical and efficient fashion with revenues paying salaries and operating expenses and providing sufficient return for improvement of facilities and inventory."

See 6.A.7

7.A.15 Appropriate food services are provided for both resident and nonresident students. These services are supervised by professionally trained food service staff and meet recognized health and safety standards.

Housing Services manages food programs for resident students. A food service contractor is contracted to provide daily meal service to all residents. Each of the six dining rooms has professional, on-site managerial supervision; the entire operation is directed by a full-time professional. Further, the contractor provides catering services to the entire campus through the catering kitchen in Cowell/Stevenson. Health and safety inspections occur regularly and, when found, deficiencies are corrected immediately.

Nonresident students may eat in the dining halls on a cash basis or buy-a-meal plan that allows them a reduced rate. In addition, each college has a coffee shop open to all students, staff, and faculty. Retail food is also available from a restaurant, a deli-shop, and three food carts as well as 52 vending machines located throughout the campus. These programs are also closely monitored by Environmental Health and Safety.

7.A.16 The institution makes adequate provision for the safety and security of its students and their property.

The campus maintains a full service police department to provide for the safety and security of the campus community. This unit protects life and property through continuous patrols and fixed-post nighttime security at both entrances to campus. Police officers maintain peace and order through enforcement of state laws and university regulations and protect the rights of individuals.

On-site residential staff is trained to observe safety procedures, report and repair safety hazards promptly, and work with University Police to promote a safe environment. Residence halls also have nighttime proctors who patrol the residential areas and have two-way radio communication with police officers. Residents are regularly informed of campus crime trends through a monthly crime summary and special bulletins.

A free night shuttle provides regular service throughout the campus and off campus to a nearby market, and officers give rides to students after the shuttle stops operating.

The UCSC Fire Department protects the safety and welfare of the campus community and visitors through extensive programs of fire and life safety inspections of residential and non-residential buildings, a full spectrum of public education from CPR and first aid to disaster preparedness, and by safeguarding the reliability of fire protection systems to insure early warning. To maintain a highly professional emergency service level minimizing injury, preventing destruction of property, and reducing disruption to academic programs, the Fire Department provides emergency medical services at the EMT-1 levels enhanced by EMT-defibrillation skills, and takes the necessary actions to minimize the life and safety threats of fire, hazardous materials spills or releases, vehicle accidents, and other rescue situations. The Fire Department is committed to ensuring a safe "home away from home" by efforts above those of recognized industry standards including education, training, and dedication to the unique requirements of a university setting.

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STANDARD 7.B
COORDINATION AND ADMINISTRATION

The institution has an administrative structure responsible for the overall coordination and administration of the co-curricular program. The institution provides staffing and resources commensurate with its level and size, with its goals for the co-curricular program, and with its institutional purposes.

7.B.1 The professional staff has the training and experience necessary to implement the educational goals of the co-curriculum and is committed to the purposes of the institution.

Staff recruitment (through the development of detailed job descriptions, supplementary application forms and a multi-faceted interview process) yields professional staff members in the Student Affairs Division who bring a high level of expertise, breadth of experience, and commitment to student development and service delivery.

The Vice Chancellor and individual Unit Managers in Student Affairs, are committed to ongoing professional staff development and support professional staff leadership and participation in national professional organizations.

Annually, all staff in the Division of Student Affairs prepares detailed goals and objectives which complement and support the divisional mission statement and reaffirm their unit's commitment to the purposes of the institution. These are reviewed by the Vice Chancellor's office and performance evaluations are based on the successful accomplishment of these shared priorities.

7.B.2 Arrangements are in place which ensure that students and faculty are involved in the processes of policy development, program evaluation, and planning relevant to the co-curricular learning environment.

Student involvement in policy development is promoted in a variety of ways. Undergraduate student appointments to universitywide committees is coordinated by the Intercollegiate Council on Student Appointments (ICSA), which is comprised of students appointed by the various college student councils. Each student council is also asked to appoint representatives to specific committees, including "Core Council" (responsible for the allocation of student fees), and the Chancellor's Advisory Board. At the college level, student involvement includes appointment (usually through the individual college student councils) to advisory boards in such areas as college core courses and special topics (e.g., diversity issues in the college). Graduate students are appointed to university committees through the Graduate Student Association.

In the 1993-94 academic year two new initiatives were undertaken on campus:

The first was the establishment of a Chancellor's Undergraduate Internship Program (CUIP) which was jointly developed by Student Affairs and the Student Union Assembly. Serving as an adjunct to the academic curriculum, the co-curriculum provides a myriad of activities for undergraduates and serves as a laboratory for learning outside the classroom. The internship program, which will begin in fall 1994 will:

- serve the entire student population and the university community by drawing on student talents;
- enhance communication between students and the administration;
- involve qualified students in the operation of the campus, while providing learning, leadership, and managerial experiences that will be of benefit while the students are enrolled and when they join the labor market;
- provide opportunities for students to learn and enhance leadership skills under the guidance of professionals in administration;\(^{93}\)

\(^{93}\)Host administrators and staff members would function in mentoring relationships, and serve as role models through precept and example.

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• allow interns to participate in the administrative functions and responsibilities of various offices; and

• give interns the opportunity to communicate their knowledge of administration and the decision-making process to fellow students through interaction with student organizations and student leaders.

The second was the establishment of a "Student Voice Task Force" which, as charged by the Interim Vice Chancellor, is undertaking an in-depth study on how students participate and are represented in the university's decision making process. The goal is to strengthen the student voice at UCSC and increase student involvement in constructive ways. Task Force membership includes faculty, students and staff. The Task Force is co-chaired by a student and the Interim Assistant Vice Chancellor, Student Affairs.

7.B.3 The institution has a policy regarding fee refunds that is well publicized, uniformly administered, and consistent with customary standards.

The campus has a clear, well-publicized policy on the refunding of student fees; it appears in the General Catalog under the section "Fee Refunds" (pp. 20-21). Detailed fee information is also printed in the campus handbook The Navigator (pp. 37-40). The Navigator is distributed to each registered student through their college at the beginning of each academic year.

7.B.4 The student affairs program and its various agencies are periodically evaluated.

The Student Fee Advisory Committee (SFAC) annually reviews all registration fee funded units on campus. The SFAC is comprised of students from each of the eight colleges, a graduate student, the Interim Assistant Vice Chancellor (Student Affairs), and staff support from the Office of Planning & Budget.

As part of this evaluation process, each unit submits the following:

• a mission statement
• a brief description of the services provided by the unit, to whom these services are provided, and the role of any oversight committees, or other external evaluations of the unit
• a description of the most recent evaluation of the unit's programs and the unit's response to those evaluations
• a description of the avenues for student input in policy development for the unit
• funding strategies for the unit and plans for future development
• a description of resource constraints and the impact these constraints have had on students.

In addition to written evaluation materials, members of the SFAC interview all unit managers about their individual programs. In the spring quarter of each academic year, the SFAC submits budgetary recommendations and program evaluation summaries to the Chancellor and the Vice Chancellor of Student Affairs.

See also 2.B.1.

7.B.5 The staff is engaged in planning for the future development of the co-curricular program; planning includes attention to staffing, facilities, demographic characteristics of the student body, and assessment and fulfillment of student needs.

Beginning in the fall of 1993, the Division of Student Affairs instituted an annual retreat for all professional staff in the division. The retreat also included students who were members of the SFAC or served in other leadership roles on the campus. Last year's two-day retreat accomplished:

• a central mission statement for the division
• a process for articulation of the mission statement
• a process and guidelines for establishing divisional priorities
• a process and guidelines for establishing budget reductions
The retreat also allowed the division to continue the process of building a cohesive Student Affairs team, to develop a central identity, to work together cooperatively and professionally to address some difficult tasks, to establish greater student involvement and interaction, and to get to know each other's skills, talents, and resources.

Staff in the division is actively engaged in the long-range development process for campus physical planning. Student Affairs staff play a key role helping to shape the campus's Long-Range Development Implementation Plan. Housing Services and the colleges conduct regular assessments with regard to student residential needs.

See also the "Undergraduate Diversity" section of the self-study.
STANDARD EIGHT:
PHYSICAL RESOURCES

STANDARD 8.A
INSTRUCTIONAL AND SUPPORT FACILITIES

Sufficient physical resources, particularly instructional facilities, are designed, maintained and managed at both on- and off-campus sites to achieve institutional purposes.

8.A.1 Instructional, research, and support facilities are appropriate to the instruction and/or research performed at the Institution.

UCSC is a growing, developing campus; therefore, space planning at this time emphasizes construction of new facilities rather than the renovation of aging facilities (as is the case at some older UC campuses).

The basis for planning and assignment of campus space is workload, program development, and utilization. Two space and utilization standards are used by the state and the university as guidelines for the amount of space adequate for the existing workload: the 1955 California Commission on Higher Education RESTUDY standards; and a proposed standard\(^4\) that will replace RESTUDY, the 1990 California Postsecondary Education Commission (CPEC) standards. These standards, though not design criteria, are useful in comparing and projecting campus space inventory to a standard.

These standards also separate space into categories of teaching, research, and offices. Given the changes in teaching methods and in both the techniques and technology of research since the 1955 RESTUDY standards were adopted, it has not been useful to compare, by category, the available space to the RESTUDY standards. Comparisons by category using the new CPEC standard are more realistic.

After leveling off between 1981-82 and 1983-84, for the past nine years (1984-85 to 1992-93) enrollment increased 49 percent to an enrollment of 9,989 students. In 1983 the total amount of assignable square feet (asf) for the campus was 1,659,000 of which about 386,000 asf, or about 23 percent, was for Instruction and Research (I&R) programs. A comparison of adequacy of asf of I&R space related to RESTUDY (old) standards was 85 percent.

By 1988, with no new major buildings for I&R yet on line, the campus was at a barely manageable level of 71 percent (RESTUDY). There was a shortage of space in nearly all programs. In addition, because of the series of makeshift arrangements to solve space problems, there was a lack of consolidation of some academic units that needed more integrated space.

Five years later (1992-93), an additional 612,000 asf had been added to the campus to total 2,271,000 asf; 465,000 asf or about 20 percent of this space is assigned to I&R. A science building, college, science library, and a series of small projects were added to support I&R; several housing and student life facilities were also completed during this time. UCSC is currently operating at 77 percent of RESTUDY standards and 70 percent of the proposed CPEC standards.

In the next few years several additional buildings will be completed, primarily supporting I&R, that will add an additional 233,000 asf to the campus (total campus asf will be 2,504,000 asf). Included in these will be a science building, two colleges, a music facility, a 400-seat lecture hall, improvements to arts facilities, and a new bookstore.

Once these projects have been completed, the campus will be at about 108 percent of RESTUDY standards and 96 percent of CPEC standards (using 1992-93 enrollment of 9,989). Overall, the campus will have adequate space both in amount and in space designed to accommodate specific programs.

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\(^4\)Not yet adopted by the State Legislature.
Approval for campus capital programs and projects is based primarily on the relative percentage of I&R standard space in comparison to other UC campuses. Although a number of future capital projects have been included in the campus's 1993-98 Major Capital Improvement Program, recent budgetary reductions from the state have forced the UC system to defer funding for enrollment growth. Projects that accommodate enrollment growth that are included in this five-year capital program will be delayed until more is known about future enrollments.

In addition to a comparison of inventory to standard space allowances, the standards specify utilization (weekly station hours\textsuperscript{95}) that should be met for use of classrooms and teaching laboratories. General assignment classroom utilization for fall 1991 was 33 weekly station hours, 94 percent of the standard 35 hours per week specified under RESTUDY or 110 percent of the 30 hours per week specified under CPEC.

For teaching laboratories, the requirement under CPEC is 20 weekly station hours; for fall 1991, the campus averaged 19 hours or 96 percent. (Utilization for teaching laboratories is not prepared under RESTUDY.)

Standard Eight reference 1 contains charts of: 1) projects that have been completed since 1986 or will be completed by 1996; 2) Projects Effects Tables for Instructional and Research Space; 3) A Comparison By Space Category Of Actual to Allowed Space for 1992-99; 4) Classroom and Teaching Laboratory Utilization Tables for Fall 1991; and 5) the 1993-98 State-Funded Major Capital Improvement Program (MCIP).

Over the past seven years (1986-93), an average of nearly $29 million annually has been funded/financed for capital improvements at UCSC, with approximately $22 million of that amount supporting academic programs (primarily from state funds). However, future funding for state-funded capital projects is uncertain. Currently about 60 percent of funding for capital for the University system comes from General Obligation (GO) Bonds (which must be approved by the voters) and the remaining 40 percent from Revenue Bonds (which are repaid from operating funds, making this an undesirable fund source). Given the current economic climate, only one of these funding mechanisms may be available in the future. If a GO Bond does not pass, the state is likely to continue the use of Revenue Bonds.

8.A.2 Facilities assigned to a function are adequate for the effective operation of that function.

An essential part of planning is to determine the best use, short-term and long-term, for new and existing buildings. As new buildings are occupied, the space left vacant in existing buildings becomes available for expansion of other programs. Alternatively, the vacant space may be used to consolidate dispersed programs, to start new programs, or to build useful affinity groupings. As the campus develops, the final occupants of each building must be provided with the best space available to fit their needs.

The campus strives to avoid successive alterations of the same space when expanding or consolidating programs. This requires a long-term understanding of each building's occupants and programs, careful planning to coordinate the completion of new facilities, and selective alteration of existing space—all coordinated to meet the requirements of each program.

General assignment classrooms are scheduled by the Office of the Registrar regardless of discipline, based primarily on class size. The majority of teaching and research laboratories and academic office space is allocated to the four academic divisions based on program growth and development and type of facility available, and is in turn assigned by the divisions to the individual boards and faculty based on the same principles. A Working Subcommittee of the Space Policy Committee (see 8.C.1) was established a year ago to assist in the critical function of arranging for space reassignments and brokering transfers of space across divisional lines.

\textsuperscript{95}Weekly station hours are the number of seats in use in each room each week and are derived from weekly room hours (the number of hours a particular room is expected to be in use each week) multiplied by the station occupancy percentage (the percentage of available seats occupied while the room is in use).

Appendix C

C-82

Standard Eight
As noted previously, the campus will have sufficient space (in a no growth situation) when currently funded projects are completed and most space will meet the requirements of the various programs. However, there are some problems that the campus will need to address. In particular, Environmental Studies requires additional laboratories and should be consolidated so that they can meet their programmatic and interdisciplinary goals.

Another space issue that will need to be resolved is to move central administrative units out of buildings designed for academic programs and to consolidate administration. For example, the Chancellor's immediate staff currently occupies a wing in the main library and an area in the student services building, and some general administration units are located in an academic engineering building. A building is planned for this purpose; however, it cannot house all administration. The Working Subcommittee is in the process of determining which administrative units should move to the building.  

8.A.3 Offices and other facilities for faculty provide the elements needed for them to conduct properly their various instructional, research, counseling, and administrative responsibilities.
See 8.C.1.

8.A.4 All physical facilities include the furniture, equipment, utilities, and other amenities needed for a proper work and study environment for faculty, staff, and students.
For furniture and equipment see 8.B.1.

Specialized Study
In addition to instructional, research, and office space, the campus provides a number of fully equipped facilities for specialized study. Many boards of study which require computer coursework maintain computing labs, and there are computing facilities available in a number of campus locations, including many of the colleges. Furnished study areas and commons rooms are located in each of the colleges, residence halls, libraries, and various other locations on campus. There are also auditoriums, an outdoor amphitheater, specialized field buildings, media production space, and some of the colleges house gallery or exhibit space. The campus has a glass shop, wood shop, a vivarium, greenhouses, cold rooms, farm and garden facilities, and recreational facilities which offer specialized instruction and equipment available for check-out. The General Catalog section on "Resources for Learning and Research" (pp. 45-46), contains descriptions of UCSC's libraries, computing facilities, and research programs and facilities.

Utilities
UCSC is continually seeking to upgrade and enhance the campus's computing and telecommunications capabilities. It is a campus objective to provide each classroom with data, telephone, and video communications and each faculty office with data and telephone lines. Campus communications links the campus population to other UC campuses and locations worldwide through internet and a systemwide UNIX computing network with terminal access at a number of computing lab locations, all faculty and administrative offices, and via modem. Fiber-optic cable is currently being wired between buildings to upgrade campus network computing and internal campus databases are being redesigned to enable data collection and distribution to flow among campus units.
See also 8.A.1, 8.A.2, 8.C.1.

8.A.5 An appropriate level of routine and preventive maintenance on buildings and grounds is provided.
All programs on campus are provided Operation and Maintenance of Plant (OMP) funding for maintenance of occupied building and grounds. The campus receives state OMP funding for those physical resources occupied by

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96 Standard Eight reference 2 is a sample of an agenda item for the Space Policy Working Subcommittee dealing with space reassignments.
state supported activities, primarily instruction and research programs. OMP funds are provided from housing fees for residential programs and from registration fees for student support programs.

It is the responsibility of the Campus Facilities Office (CamFac) to maintain the campus’s physical facilities. OMP funds support CamFac’s administrative, groundskeeping, and maintenance staff. Some programs (mostly housing) supported by non-state funds have routine maintenance staff and pay for additional CamFac services through a recharge mechanism. Recent budgetary cuts have necessitated reductions in some routine facilities maintenance services such as window cleaning, gardening, and custodial services. In addition, state funding for deferred maintenance has recently been reduced by 16 percent to $275,000 annually. UCSC currently has a list of nearly two hundred deferred maintenance projects totaling roughly twelve million dollars.

8.A.6 Facilities are constructed and maintained with due regard for appropriate health and safety considerations, and for access by the physically disabled.

See 8.C.3.

8.A.7 When programs are offered off-campus, the physical facilities at these sites are appropriate to the program offered, and provide an environment conducive to learning

Research facilities are located both on- and off-campus. Some research sites have public access and educational programs designed to share ongoing research with visiting educators, scholars, and the general public. Most of the off-campus research programs have Organized Research Unit (ORU) or Multi-campus Research Unit (MRU) status and therefore have some funding provided by the UC system for facilities and equipment. These programs are fully described in the General Catalog section on "Resources for Learning and Research." Additional off-campus programs sponsored by UCSC include Summer and University Extension programs. These self-sustaining programs contract facilities and provide equipment from operating budgets. (See the General Catalog, p. 36, for a description of these programs, as well as the catalog section on "Field and Exchange Programs," pp. 33-36.)

STANDARD 8.B
EQUIPMENT

Equipment is sufficient to facilitate the educational objectives of the institution.

8.B.1 Suitable equipment is provided and is readily accessible at on- and off-campus sites to meet faculty, administrative, staff, and student needs.

There are standard formulas for initial equipment funding for new state-funded buildings based on the nature of the program designated to be assigned the new space. This funding provides basic equipment and furniture for classrooms as well as program-specific equipment for teaching and research. Although generally more equipment is requested from users than can be provided, basic needs are met. Funding for office furniture is provided by the campus.

Basic start-up equipment packages are allocated for new faculty recruitments. New faculty members and their board of studies negotiate for specific start-up funding at the time of hire, depending on their specific research and teaching needs and the programmatic needs of the hiring unit.

Some major equipment purchases are made for new faculty as start-up or for existing faculty as matching requirements for new grant funding. Other equipment purchases are coordinated with new buildings or programmatic expansion, upgrade of existing equipment, or retirement of obsolete or depreciated equipment. The academic units have equipment budgets for some of these purposes, while major equipment purchases require central funding coordination. Major instructional and research equipment needs are prioritized first by the boards, then by the divisional deans, and then by the Executive Vice Chancellor (EVC) for purchase within the constraints of available funding.
In 1985, improving the classroom instructional environment to make learning more effective and space-efficient became a high campus priority. The campus developed planning standards for classrooms which covered audio-visual requirements as well as requirements for fixtures and furniture, mechanical systems, surfaces and finishes, and lighting systems. Based on the classroom size and curriculum need, "media packages" were designed which provide equipment for the individual classrooms. Since then, the campus has made great progress in pursuing this priority through a multi-year, phased program. Currently, these media packages have been installed in over three-fourths of the classrooms on campus. In addition, the Classroom Subcommittee surveys campus classroom space twice annually; once in spring quarter to identify needed repair or upgrade of the furniture and equipment and once in fall to assure that corrections have been made.

See also 8.A.4.

8.B.2 Equipment is maintained in proper, safe operating condition, and is adequately inventoried and controlled.

Equipment is maintained by the unit to which it is assigned and is inventoried annually and depreciated in accordance with University of California systemwide practices. Many major equipment purchases include maintenance agreements.

8.B.3 Periodic replacement of equipment is scheduled, budgeted, and purchased in accord with the academic and other needs of the institution.

An Instructional and Research equipment inventory is maintained by the campus, and Instructional Equipment Replacement (IER) funds are generated by depreciation of this inventory. IER funds come from the UC system to the central Planning and Budget office and are distributed to the academic units in close proportion to the depreciation which generates the funds. Often programmatic need will require a disproportionate allocation of IER funds on a one-time basis.

Many units also have small equipment budgets. The Vice Chancellors have some funds they can use to augment unit funds for major equipment purchases within their units; Chancellor's funds may be available for major equipment purchases which are required for the campus.

STANDARD 8.C

PHYSICAL RESOURCE PLANNING

Comprehensive planning occurs and is based upon the stated academic goals and objectives of the institution.

8.C.1 The master planning for campus physical development is consistent with the purposes of the institution and its long-range academic planning.

UCSC is a relatively young and growing campus. In 1985, after the first twenty years of operation, the campus completed a comprehensive Twenty-Year Plan which outlined the program directions and priorities of the campus through the year 2005. In 1987 the campus Space Plan translated these programmatic goals and directions into physical requirements. The Space Plan defines a capital improvement program which both addresses existing space deficits and establishes the scope of physical development associated with the initial phase of the Twenty-Year Plan. A Long-Range Development Plan (LRDP) was produced in 1989 and outlines a policy framework for this physical development. This comprehensive planning effort continues as the campus refines its academic plans.

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97 See Standard Eight reference 3.
98 See Standard Two reference 2 and Standard Eight references 4 and 5.
The original UCSC academic plan established a residential college model as the basis for the campus academic organization and the physical plant layout. The collegiate structure combines academic facilities and housing in an integrated intellectual and social environment for undergraduate students. They consist of a set of physically integrated classrooms, academic offices, research space, administrative offices, student housing, and support facilities.

The academic and physical relationships between the colleges and central academic facilities are carefully considered in all physical planning. Approximately one hundred acres of the two thousand acre campus have been designated as the campus core and the focus of centralized resources. An additional two hundred and forty acres have been designated for the colleges. The core concentration of centrally-located science laboratories, art studios, libraries, and support functions is circumscribed and complemented by the residential colleges. (See the campus map on p. 288 in the General Catalog.)

Several space planning principles are being used at UC Santa Cruz to outline future development of the campus as increasing enrollment requires more academic space to support boards of study. Included in these principles is the premise that the Natural Sciences and the Arts will grow by addition of new buildings within the campus core and space for the Social Sciences and the Humanities will be provided in the colleges.

**Planning Structure**
The Capital Planning and Space Administration unit in the office of Planning and Budget and the Architecture and Engineering group in the Campus Facilities office assist in translating programmatic needs into physical plant. There are several committees at UCSC which are charged with oversight of various aspects of the space planning process.

- **Space Policy Committee** - Advises the Chancellor on space requirements, principles, goals, space plans, and capital improvement programs.
- **CPB** (Committee on Planning and Budget) - An Academic Senate Committee that consults with the Chancellor, or designee, on space plans and the capital improvement program.
- **Classroom Subcommittee** - A subcommittee of the Space Policy Committee which deals with classroom space issues.
- **Programming Committee** - Develops academic justification and identifies specific programmatic elements and requirements of individual building projects.
- **Building Committee** - Works with architects to ensure that functional designs of specific buildings meet programmatic elements and requirements.
- **CPPAC** (Campus Physical Planning Advisory Committee) - Reviews and makes recommendations to the Chancellor on matters concerning physical planning (siting and design) of facilities.

Each year space plans are reviewed by the Space Policy Committee and CPB; a state-funded five-year *Capital Improvement Program* is developed for the campus; and a recommendation is made to the Chancellor. The Chancellor submits the program to the Regents for approval. The Regents publish a five-year program (*Regents' Budget for Capital Improvements*) and request funds for projects listed in the first year of the program from the State.

**Project Planning**
Projects are planned with several objectives in mind including sufficient state-of-the-art space for not only existing programs and planned growth, but also for consolidation and the physical organization of academic programs according to affinity groups. This enables researchers doing related work or requiring the use of common support facilities to be located in proximity to one another.

The types of spaces included in I&R projects are spaces for teaching (classrooms, teaching laboratories or studios, support spaces such as audio-visual rooms, preparation rooms, and storage), research (research laboratories and support space such as cold rooms, scholarly activity space, equipment rooms), and offices (academic and staff offices, conference rooms, and office services). As noted previously, a Programming Committee is appointed to help develop specific programmatic elements for projects. Included in Programming Committees are faculty and students from the board of study that will be served by the project as well as campus-wide representatives.
In order to build more classrooms, projected utilization must meet utilization standards specified by the State (as noted previously). The Classroom Subcommittee reviews analysis on classroom utilization by room-size categories to help determine future need. The number and types of teaching laboratories to be included in a new project are based on curriculum plans and projected utilization of those rooms.

Many research laboratories, particularly in the sciences, are now planned based on a "team" approach. As the nature of research activity has evolved, the campus has seen the emergence of research teams for which complex procedures and equipment require technically competent support staff, and in which students at every level (undergraduate, graduate, and postdoctoral), as well as research personnel and technicians, participate with faculty. While formal laboratory courses remain the primary method for teaching at the lower-division level in the sciences, students at the upper-division and graduate levels participate in faculty-directed research. In this way students gain insight into the complexity of research and obtain hands-on experience with today's computerized and specialized instrumentation.

Non-State-Funded Program

The campus also prepares a comprehensive plan for non-state funded projects such as housing, student-life facilities, and gift-funded projects. The projects that are actually built depend on many factors—financial feasibility, debt capacity, demand, student elections to increase fees to pay for facilities, and gift funds actually received. Since 1986, completed facilities include a student center, physical education facilities (including a swimming pool, tennis courts, playing fields, and a service center), and eight housing projects (including two faculty-for-sale projects).

In the past, there has been considerable pressure from the downtown community to increase on-campus housing. In response to this, the LRDP sets forth the goal of housing 70 percent of all undergraduates and 50 percent of graduate students on campus, subject to financial feasibility. Currently, approximately 44 percent of students are housed on campus. Because the campus now has housing vacancies and future enrollment increases are not yet known, construction of housing associated with Colleges Nine and Ten has been placed on hold.

Non-state-funded projects that have been completed since 1986 and those projects that have been approved for financing are included in the Project List in Standard Eight reference 1.

8.C.2 Physical facilities development and major renovation planning is accompanied by planning for the acquisition or allocation of the required capital and operating funds.

Identification of new project funding is required prior to submitting a capital project proposal to the Space Policy Committee, the Chancellor, or the Regents. Academic projects are primarily state funded, but state funds are not provided for non-academic projects. State-funded projects need Regental approval for inclusion in the five-year Capital Improvement Plan. Minor academic projects compete for priority for the campus allocation of state minor capital project funding.

See also 8.A.1 and 8.A.2.

8.C.3 Physical resource planning enables ready access to campus facilities for various constituencies, including the physically limited, and provides for appropriate security arrangements.

All facilities are planned and built in compliance with codes existing at the time of construction. UCSC is in compliance with section 504 of the Rehabilitation Act of 1973. The campus completed a four-step project for

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99 See Standard Eight reference 6 for a sample of utilization data that was recently reviewed by the Classroom Subcommittee.
100 Standard Eight reference 7 is a sample of a curriculum plan and projected hours of room use that was used in planning for the new Music Facility.
101 Standard Eight reference 8 contains examples for planning team labs and general principles for planning science buildings from the planning guide for a future Physical Sciences building.
102 Standard Eight reference 9 is a five-year non-state-funded plan (with several scenarios), which is currently being used to evaluate the campus's debt capacity.
handicapped access to classrooms and is moving toward full access to all faculty offices. UCSC is only marginally out of compliance with the new Americans with Disabilities Act (ADA) standards of 1992. A new position, ADA Compliance Officer, was developed in response to the 1992 ADA. The campus has prepared a transition plan which addresses facilities out of compliance with the new ADA. Some situations with administrative solutions have been remedied, construction is underway to address some areas, and the campus is preparing a funding plan for the remaining areas. The ADA Compliance Officer also works with campus architects to review working drawings for new projects to ensure compliance.

UCSC's Environmental Health and Safety (EH&S) unit monitors safety issues for the campus with regard to safe storage and disposal of toxic waste from the arts and sciences, physical safety requirements for facilities, and environmental planning issues. Existing facilities are periodically assessed for upgrades in compliance with changing guidelines. The EH&S unit recently completed a campus assessment of required emergency shower and eyewash units for upgrade in facilities where hazardous material use occurs.

The Santa Cruz campus is called the "City on a Hill" because the physical location of the campus somewhat isolates it from the city resources below. Because of this isolation and its size and wooded nature, the campus maintains its own transportation and emergency service (police and fire) units to ensure the safety and welfare of the campus population.

The campus operates a Disabled Student Services unit which provides transportation to classes, interpreter and note-taking services, and equipment to students with physical disabilities. Footpaths, roads, and the campus shuttle service provide access to buildings. In addition to the campus police department, each college has a staff Proctor who provides night security to the residential areas. Some buildings have area security for laboratories which require code entry for access, and there are alarms on exterior entries to some buildings.

The two campus entrances are monitored by kiosk guards at night to restrict access to persons not affiliated with the campus. There are bicycle safety police who tour the campus on bicycle via footpaths and fire roads as well as by major access roadways. Due to recent budget cuts, the campus health clinic has reduced medical services to daytime only (night emergency medical services are provided by the local hospital), and it has converted its hospital wing to office space.

See also 8.A.6.

8.C.4 The governing board, administrators, and others as appropriate, are involved in planning physical facilities.

As discussed in 8.C.1, the campus has several committees that make recommendations to the Chancellor on the capital program and the siting and design of buildings. Standard Eight reference 10 shows the make-up of those committees.
STANDARD NINE:
FINANCIAL RESOURCES

STANDARD 9.A
SUFFICIENCY OF FINANCIAL RESOURCES

Financial resources are sufficient to achieve, maintain, and enhance the objectives of the
institution at the level of quality required by these accreditation standards. The level of
financial resources provides a reasonable expectation of financial viability and institutional
improvement.

The University of California is one of three postsecondary educational systems in California which receives funding
from the state. Each system, or segment as it is commonly called, has been assigned specific responsibilities as set
forth by the state's Master Plan Commission; one of the specified responsibilities for the University of California
not in the missions of the other two segments is research. The three segments of public higher education receive
different amounts of state support, and state support constitutes different percentages of their overall budgets. The
UC campuses also differ individually in the percentages of their budgets derived from state funds; for example, two-
thirds of UCSC's funding comes from tuition, fees, or the state in comparison to just over one-third for the nine-
campus UC system as a whole.

Prior to the recent state fiscal crisis, campus funding had been growing regularly as the campus increased its
enrollment at a rate of about 400 student per year; as described below, in response to the state's fiscal problems,
actual campus enrollment has leveled off at 10,000 students (and will remain at that level until a budgetary solution
is forthcoming) while budgeted campus enrollment is somewhat lower.

UCSC's total receipts for 1991-92 (as reported in the "University of California Campus Financial Schedules 1991-
92") were:

<table>
<thead>
<tr>
<th>UC Santa Cruz 1991-92 Current Fund Receipts ($000's)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type of Funds</strong></td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td>Tuition and Fees</td>
</tr>
<tr>
<td>State Government</td>
</tr>
<tr>
<td>Federal Government</td>
</tr>
<tr>
<td>Local Government</td>
</tr>
<tr>
<td>Private Gifts, Grants, and Contracts</td>
</tr>
<tr>
<td>Sales and Services of Educational Activities</td>
</tr>
<tr>
<td>Sales and Services of Auxiliary Enterprises</td>
</tr>
<tr>
<td>Other Sources</td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

The campus's operating budget is divided into standard program categories. UCSC's total expenditures for 1991-92
(as reported in the "University of California Campus Financial Schedules 1991-92") were:
UC Santa Cruz 1991-92 Current Fund Expenditures ($000's)

<table>
<thead>
<tr>
<th>Program Category</th>
<th>Total Funds</th>
<th>UCSC Percentage</th>
<th>Overall UC Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>$ 58,850</td>
<td>32.0%</td>
<td>24.1%</td>
</tr>
<tr>
<td>Research</td>
<td>28,566</td>
<td>15.6%</td>
<td>18.6%</td>
</tr>
<tr>
<td>Public Service</td>
<td>1,542</td>
<td>0.8%</td>
<td>2.2%</td>
</tr>
<tr>
<td>Academic Support</td>
<td>17,961</td>
<td>9.8%</td>
<td>9.4%</td>
</tr>
<tr>
<td>Student Services</td>
<td>15,387</td>
<td>8.4%</td>
<td>3.4%</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>13,585</td>
<td>7.4%</td>
<td>5.8%</td>
</tr>
<tr>
<td>Operation and Maintenance of Plant</td>
<td>11,369</td>
<td>6.2%</td>
<td>4.0%</td>
</tr>
<tr>
<td>Student Financial Aid</td>
<td>12,078</td>
<td>6.6%</td>
<td>4.0%</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>24,333</td>
<td>13.2%</td>
<td>5.9%</td>
</tr>
<tr>
<td>Teaching Hospitals</td>
<td>n/a</td>
<td>0.0%</td>
<td>22.7%</td>
</tr>
<tr>
<td>Total</td>
<td>$ 183,671</td>
<td>100.0%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

Information corresponding to the standard WASC tables (i.e., 9.1 Sources of Revenue, 9.2 Operating Expenditures, 9.3 Assets and Liabilities, 9.4 Changes in Fund Balances, and 9.5 Capital Investments) are available in the "University of California Campus Financial Schedules."\(^{103}\)

9.A.1 The commitment of resources among the various degrees and programs, undergraduate and graduate, reflects appropriately the educational objectives and priorities of the institution.

The academic budgetary planning process at UCSC has been designed to reflect both the long-term educational objectives and priorities of the institution and the near-term student course load levels. The process, which is strongly influenced by decisions external to the campus, is multi-year in nature. The number of permanently funded faculty positions is controlled by allocations from the UC Office of the President, which in turn reflects the state's control over the number of positions for the university as a whole. Except in the past couple of years when the UC system has been cut significantly because of the state's fiscal difficulties, allocations of faculty positions has been based upon a weighted student-to-faculty ratio. Similarly, allocations associated with library volumes are allocated to the campus on the basis of formulae involving such variables as the number of programs offered. Allocations associated with the operation and maintenance of the physical plant are on the basis of formulae involving such variables as the number of square feet which must be maintained. During the recent budget cuts, however, reductions to the UC system as a whole have been translated into cuts to the campus's budget primarily on a pro-rata basis (using the 1991-92 enrollment levels which appeared in the Governor's budget).

Once the campus receives its allocation from the UC Office of the President, allocations (and re-allocations) at the campus level are committed on the basis of extensive analysis at both the board of studies and divisional level as well as at the Chancellor/Executive Vice Chancellor's level, and on the basis of advice from the Academic Senate Committee on Planning and Budget. The following documents are used in the campus's decision-making process:

- **Managing Faculty Resources** describes the methodology used to allocate both temporary and permanent faculty resources and the mechanisms the campus has put in place to ensure that both near-term and long-term educational objectives are met.\(^{104}\) While this methodology has not yet been fully implemented (i.e., the board-by-board ratios have not been finalized), its philosophy has guided the allocation process since its adoption in April, 1992.

- "Collection of 1992-94 Budget Reduction Papers" describes the principles used and the deliberations conducted to ensure that the allocations among various campuswide jurisdictional areas (student services, business services,

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\(^{103}\) Standard Nine reference 1 and 2.

\(^{104}\) Undergraduate Education reference 10.
instructional programs, etc.) maintain a balance among academic programs and support services. The first essay in this collection, "How the Campus is Planning for Lean Budgets in 1993-94 and Beyond," provides an overview of the financial uncertainties UCSC is facing and the process used to make budget decisions.

9.A.2 The continuity of each area of institutional income has been realistically assessed such that the current and anticipated total income is sufficient to maintain the educational quality of the institution.

The major categories of institutional income are state appropriations; tuition and fees; private gifts, grants and contracts; federal appropriations; contracts and grants; and sales and services.

- State appropriations, tuition, and student fees fund the instructional, administrative, and student service activities of the campus. As noted above, the state's fiscal problems (both short-term because of the recession and long-term because of severe structural problems) have caused the campus to question its ability to sustain its current programs and activities. As a result, discussions are underway at the divisional deans' and Executive Vice Chancellor's levels concerning the appropriate breadth and depth of the campus's academic programs during this period of difficulty. Further, the campus is carefully reviewing its business processes (both academic and administrative) to develop new approaches to administration in which goals are consumer oriented, decision-making is localized wherever appropriate, processes are simplified, attitudes support innovation, and evaluation measures are developed to assess whether these principles are achieving the intended results. An initial review of local practices has revealed a great deal of potential for simplification and downsizing. The campus has engaged an external consultant to help rethink and redesign the way we conduct our business.

- Private gifts, grants, and contracts represent a source of funding that will take on growing importance as the campus develops. See 1.D.4 for a fuller discussion of this aspect of campus funding.

- Federal appropriations are received for student financial aid and to support research activities. In the area of student aid, the campus received approximately $15.4 million in federal aid in 1992-93, including $2.6 million for campus programs (such as work-study), $4.2 million for Pell Grants, $8.0 million for Stafford Loans, and $.6 million for loans to parents.

- Contracts and grants are funded primarily from federal funds, in response to grant proposals submitted by faculty. Granting agencies include the National Institute of Health (NIH), the Department of Energy (DOE), Office of Naval Research (ONR), National Aeronautics and Space Administration (NASA), United States Department of Agriculture (USDA), and the National Science Foundation (NSF), among others. In addition to providing funding to support faculty research activities, many externally funded contracts and grants provide funding for the indirect costs associated with these research activities. Since indirect costs charged to federal contracts and grants are intended to reimburse the university and the state for overhead costs associated with contract and grant activity, the university has a formal agreement with the state on how these indirect costs will be distributed. This agreement allows the university to keep 19.9 percent of the indirect costs recovered to help offset administrative costs associated with research activities. The remaining 80 percent is divided between the university and the state. The state receives 55 percent and the remaining 45 percent is retained by the university.

- Sales and services (in both educational activities and auxiliary enterprises) are campus activities which are expected to develop annual and multi-year business plans to demonstrate their fiscal viability. These plans are reviewed by the campus's recharge committee on an annual basis.

105 See plans of major sales and services organizations, such as the on-campus housing unit. See Business and Finance Bulletin A-47 and A-56 for University policy and procedures which govern these types of activities. Copies are available in Planning and Budget or Administrative Records.
9.A.3 The analysis of the current year's financial operations indicates financial strength.

See the "University of California Financial Report, 1991-92" and the "University of California Campus Financial Schedules, 1991-92." Copies are available in Planning and Budget, Administrative Records, and Accounting. See also 9.A.1, which describes the financial uncertainties faced by the campus as a result of the state's fiscal problems.

9.A.4 The financial statements indicate a history of financial stability. The institution has operated for at least three previous years without incurring operating losses. If an accumulated deficit has been recorded, a realistic plan to eliminate the deficit is clearly presented, understood, and approved by the governing board.

See the "University of California Financial Report, 1991-92" and the "University of California Campus Financial Schedules, 1991-92." No accumulated deficit has been recorded by the Santa Cruz campus.

9.A.5 Adequate resources are available to meet debt-service requirements of short-term and long-term indebtedness without adversely impacting the quality of educational programs.

See the "University of California 1992 Debt Capacity Study."107

9.A.6 Transfers among the major funds and interfund borrowing are guided by clearly stated policies in accordance with the educational goals of the institution.

The University of California uses a "fund accounting" system which does not permit budget transfers between major fund groups. See UC Planning and Budget Manual Chapter 4010. Copies available in Planning and Budget, Administrative Records, or Accounting.

9.A.7 The institution has the financial capacity to respond to financial emergencies or unforeseen occurrences.

As part of the University of California, the campus can call upon the resources of the larger institution (e.g., in the event of a natural disaster such as the "Loma Prieta Earthquake" in 1989). In addition, the Chancellor maintains a prudent reserve for unforeseen financial occurrences of more modest scope.

STANDARD 9.B
FINANCIAL PLANNING

Financial planning and budgeting are ongoing, realistic, and based upon institutional educational objectives.

9.B.1 The institution has an annual budget and the policies, guidelines, and processes for developing the budget are clearly defined and followed.

Each year, the campus receives allocation from the UC Office of the President as described in 9.A.1. In addition, the campus Office of Planning and Budget makes estimates of the tuition and fee income available in the upcoming year. On the basis of these estimates, and on the basis of a campuswide budgetary planning process (as referenced in 9.A.1), each campus unit develops an annual budget and staffing plan and enters that plan into the campus's computerized budget system. These plans are then available for analysis. The policies, guidelines, and processes for developing these annual budgets are described in the UC Planning and Budget Manual.

9.B.2 Annual budgets and long-range forecasts or budget plans reflect realistic assessments of resource availability and expenditure requirements for academic priorities and support needs.


9.B.3 The short- and long-range capital budgets reflect educational objectives and relate to the plans for physical facilities.

See Standard 8.

9.B.4 Faculty have an opportunity to participate with administrators in the development of budgets and financial plans.

The role of the faculty in the development of the campus budget is specified in UC Santa Cruz Division Bylaw 13.23, Committee on Planning and Budget:

13.23.1 The Committee has eight voting members, including the Chair of the Division, ex officio, and not more than two student members. The Committee shall invite the chancellor or his or her designee to sit with it. It confers with the chancellor concerning the budget and budget policy for the Santa Cruz campus. It makes recommendations to the chancellor and acts for the Division on all matters concerning planning, including the organization of, and relations among, divisions, schools, colleges, boards and committees of studies, Organized Research Units, and the University Library.

13.23.2 The Committee acts for the Division on all proposals for the initiation and abolition of academic programs and on all proposals for their revision when a change of budget is involved. In its deliberations the Committee works closely with the Committee on Academic Personnel, the Committee on Educational Policy, and the Graduate Council, and may call upon them for advice.

9.B.5 Governing boards and state agencies have given the institution appropriate autonomy in budget and planning matters within overall mandates and priorities.

See 3.A.

STANDARD 9.C
FINANCIAL MANAGEMENT

The financial management and organization, as well as the system of reporting, ensure the integrity of institutional finances, create appropriate control mechanisms, and provide a basis for sound financial decision making.

UCSC conforms to the financial policy and guidelines promulgated by the University of California, as well as to campus-specific policy. These policies and guidelines are incorporated into written manuals (available to the review team upon request), and assist campus planners in sound budget practices. UCSC maintains records and accounts in accordance with the general principles recommended in the National Association of College and University Business Officer's publication, College and University Business Administration and the American Institution of Certified Public Accounts' publication, Audits of Colleges and Universities. These accounts are audited on an annual basis by the firm of Peat, Marwick, Main & Co., whose report is transmitted to the Board of Regents.
9.C.1 The management and organization of financial administration are clearly defined, with specific assignment of responsibilities appropriately set forth.

The fiscal integrity of the campus is insured by numerous checks and balances, provided at several levels of institutional control.

The highest level of control is provided by the State of California. The Bylaws and Standing Orders of The Regents of the University of California state that the corporate entity known as "The Regents of the University of California" is "subject to such legislative control as may be necessary to insure the security of its funds and compliance with the terms of the endowments of the university and such competitive bidding procedures as may be made applicable to the university by statute for the letting of construction contracts, sales of real property, and purchasing of materials, goods, and services." (Bylaw 5)

The Bylaws and Standing Orders (Bylaw 12) also provide for three Standing Committees related to fiscal integrity: the Committee on Audit, the Committee on Finance, and the Committee on Investments.

Committee on Audit: exercises supervision over post-auditing activities related to the conduct and administration of the University; transmits to the President of the University instructions necessary for the enforcement of sound accounting and auditing practices; recommends to the Regents a firm of independent certified public accountants which shall audit the financial statements of the Corporation and of the University on an annual basis in accordance with generally accepted auditing standards.

Committee on Finance: considers all matters relating to the business management of the University and the Corporation, including appropriations, existing and future budgets, real estate purchases, sales, and leases.

Committee on Investments: manages the investments and investment properties of the University of California.

As part of the overall responsibilities delegated by the President of the University, the Vice President of Business and Finance is responsible for developing financial reporting policies and procedures. These are set forth in a series of Business and Finance Bulletins and in the University of California Accounting Manual.

The goals and objectives of the university's accounting program are stated in Section A-000-4 of the Accounting Manual:

1) to provide management information to all levels of University administration as well as to state and federal officials;

2) to process properly and accurately all receipts and disbursements of funds; to account for all financial resources received and used; to ensure that all financial transactions conform to legal requirements and administrative policies, and are recorded in accordance with generally accepted accounting principles for colleges and universities; and to provide reports that present a complete picture of the university's funds and their use; and

3) to provide financial information to all levels of university administration for use in planning, budgeting, evaluating the uses of funds, making comparative studies, and other administrative purposes.

The UC (systemwide) Planning and Budget Manual, Business and Finance Bulletins, and Accounting Manual deal with financial management and services. Some of the topics covered include: business contracts; departmental financial administrative controls and segregation of duties (BFB 1A-001); departmental check distribution (AM C-173); documentation required in support of financial transactions (AM A-000-7); budget administration responsibilities; disbursement procedures (AM D-371); official university bank accounts (AM C-173); sales of
university supplies and services; cashiering services (BFB BUS-49) and billing and collecting of accounts receivable (AM R-212-2). In that the campus's local policy and procedure manuals have not been updated in some years, the Vice Chancellor for Business and Administrative Services has appointed a team to revise, update, and evaluate the campus's documentation.

9.C.2 All expenditures and income, from whatever source, and the administration of scholarships, grants-in-aid, loans, and student employment, are fully controlled by the institution and included in its regular planning, budgeting, accounting, and auditing procedures.


9.C.3 Financial reports and related documents are accurate and appropriately represent the total operations of the institution, including fundraising activities.

All financial transactions are governed by the University of California Business and Finance Bulletins and the Accounting Manual. Criteria for financial reports relating to fundraising are established by the Office of the President using generally accepted accounting principles.108

9.C.4 Independent colleges have an annual audit of institutional accounts with recommendations by an independent certified public accountant. The audit employs as a guide "Audits of Colleges and Universities," published by the American Institute of Public Accountants. When public institutions are, by law, audited by a state agency, an institutional independent audit is not required except for any funds not subject to governmental audit. Additional documentation is required for proprietary institutions in the supporting documentation section in #11 on page 85.

Not applicable.

9.C.5 The institution demonstrates that recommendations in the auditor's management letter have been adequately considered.

The campus prepares a written response to each recommendation made by its external auditors. These responses are reviewed by campus and systemwide management and are presented to the Board of Regents in summary form. Copies of sample responses are available upon request from the Office of Internal Audit.

9.C.6 The institution has clearly defined and implemented policies with regard to cash management and investments. These policies have been approved by the governing board.

University of California Business and Finance Bulletin 49 (BUS-49) is the systemwide policy regarding cashiering activities. In addition to outlining the responsibilities of those involved in the cashiering process, BUS-49 also states that the "campus Audit Manager or Director of Internal Audit shall periodically audit or cause to be audited campus cashiering operations and shall establish the audit intervals to be observed."

9.C.7 Financial personnel have appropriate training and experience, and are committed to the educational purposes of the institution.

A review of personnel records for financial personnel shows that the campus is in compliance with 9.C.7. Records are available for review upon request. As the campus embarks on its business process redesign (see 9.A.2), however, additional training will be required. Such training has been afforded a high priority in the redesign effort, and initial funding for staff training and development has been committed for this purpose.

108Copies of recent financial statements and related documents are available in Standard Nine reference 5 (including the UC Office of the President Annual Report on Giving).

Appendix C C-95 Standard Nine
9.C.8 Institutional policies and a code of ethics have been developed and disseminated for employees involved in buying, bidding, or providing purchase orders to vendors.

*University of California Business and Finance Bulletin 43* (BUS-43) states that the purchasing policies of UC are based upon Chapter 2.1, Section 10500.5 of Article 1, and Article 2, Part 2 of the State of California Public Contract Code; upon the Bylaws and Standing Orders of the Regents of the University of California; upon specific Regents policies; and upon administrative policies issued by the President of the University. In addition, since federal contracts and grants, and other similar extramural arrangements, are major sources of funds for university purchases, purchasing policies provide for appropriate implementation of the requirements of the many funding agencies, as consistent with basic Material Management policies. The university, and hence the campus, adheres to the Code of Ethics developed by the National Association of Educational Buyers and posts a copy of this code in the office of each buyer.

9.C.9 The institution and any subsidiary entities or auxiliaries have policies on risk management, adopted by governing boards. These policies address loss by fire, burglary and defalcation; liability of the governing board and administration; and liability for personal injury and property damage.

*University of California Business and Finance Bulletin 28* (BUS-28) establishes a self-insurance funding program to assist in the management of university resources. It outlines procedures for restoring direct property losses resulting from named perils, and, to the extent of applicable coverage and deductibles, describes a mechanism to minimize effects of such losses upon the teaching, research, and public service functions of the university. The program also seeks to minimize adverse effects of property losses upon the university through risk analysis, control, and prevention of repeated loss. BUS G-29 prescribes procedures and designates individual responsibilities governing known or suspected losses resulting from an employee's misappropriation of university assets. BUS-39 sets forth the university's responsibility for loss of or damage to property of individuals including employees, faculty, and students.

9.C.10 When auxiliary organizations, such as foundations, have been established using the name and/or reputation of the institution, they support institutional aspirations, conform with institutional principles of operations, are carefully supervised by the institution, and are regularly audited by public or independent agencies.

Administration of the UC Santa Cruz Foundation is governed by the UC Regents Policy on Support Groups. The UC Santa Cruz Foundation is a charitable non-profit organization supporting the educational, research, and public service mission of UCSC. Its administrative officers are employees of the campus. The UC Santa Cruz Foundation is annually audited by an external accounting firm, and is periodically audited by the campus internal auditor.

Please see the following documents which expand upon the institutional policies concerning foundations and support groups:

- UC Regents Policy & Guidelines on Support Groups
- UC Santa Cruz Draft Policy on Friends/Support Groups
- UCSC Foundation Bylaws

The following *Policy and Procedure Manual* sections govern behavior of auxiliary organizations:

- Gift Reporting Procedures
- UCSC Support Groups
- Use of Campus Earnings for the Short-Term Investment Pool
- Agency Account Services
The following sections of the UC Development Policy and Administration Manual also apply to 9.C.10:

- External Audit Programs for Campus Foundations
- Policy on Campus Foundations
- Administrative Guidelines for Campus Foundations
- Policy on University Support Groups
- Administrative Guidelines for University Support Groups.

STANDARD 9.D
FUNDRAISING AND DEVELOPMENT

Any organized development program to seek financial support from outside sources is closely coordinated with academic planning and reflects the educational objectives of the institution.


9.D.1 All fundraising activities are governed by institutional policies, and comply with sound ethical accounting and financial principles.

All fundraising activities are overseen by the Chancellor. He, in turn, has established an Academic Advisory Board for Development which advises him on fundraising policy and direction. The board consists of the Executive Vice Chancellor, Assistant Chancellor for Advancement, the Vice Chancellor for Student Services, the Associate Chancellor for Planning and Budget, each academic divisional dean, the University Librarian, the Dean of Graduate Studies and Research, the Associate Vice Chancellor for Undergraduate Education, a representative from the Council of College Provosts, and the chair of the Academic Senate Committee on Planning and Budget. This group meets at least twice a year and is on call for other meetings as necessary.

The Chancellor has also augmented the UC Santa Cruz Foundation with honorary members; i.e., the Executive Vice Chancellor, the Associate Vice Chancellor for Undergraduate Education, the academic divisional deans, the Dean of Graduate Studies and Research, the Vice Chancellor for Student Services, the University Librarian, and the Chair of the Santa Cruz Division of the Academic Senate.

All accounting of fundraising which results in gifts to either the UC Regents or the UC Santa Cruz Foundation is governed by accounting policies and procedures of the campus, the University, and the Regents. Expenditures for all fundraising activities are made under campus accounting procedures and are subject to review by internal audit.