TO THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

1. AMENDMENT OF REGENTS POLICY 3103 – POLICY ON PROFESSIONAL DEGREE SUPPLEMENTAL TUITION AND REGENTS POLICY 3104 – PRINCIPLES UNDERLYING THE DETERMINATION OF FEES FOR STUDENTS OF PROFESSIONAL DEGREE PROGRAMS

The Committee recommends that the Regents approve:

A. Combining and amending Regents Policy 3103 and Regents Policy 3104 as Regents Policy 3103 as shown in Attachment 1.

B. Rescinding Regents Policy 3104 as shown in Attachment 1.

Committee vote: Regents Brody, Lansing, Lozano, Napolitano, Newsom, Ortiz Oakley, Pattiz, Pérez, and Ramirez, voting “aye.”

Board vote: Regents Blum, Brody, Elliott, Lansing, Lozano, Makarechian, Napolitano, Ortiz Oakley, Pérez, Ramirez, Schroeder, Sherman, and Zettel voting “aye.”

2. PROPOSED NEW PROFESSIONAL DEGREE SUPPLEMENTAL TUITION LEVELS FOR TWO PROGRAMS EFFECTIVE 2017-18

The Committee recommends that the Regents approve the establishment of Professional Degree Supplemental Tuition for two graduate professional degree programs – Civil and Environmental Engineering at UC Berkeley and Urban and Regional Planning at UC Irvine – at the levels indicated in Display 1, effective fall 2017.

DISPLAY 1: Proposed Professional Degree Supplemental Tuition Initial Levels and Total Fees Effective Fall 2017

<table>
<thead>
<tr>
<th>Civil and Environmental Engineering</th>
<th>Resident Initial PDST</th>
<th>Resident Total Fees</th>
<th>Nonresident Initial PDST</th>
<th>Nonresident Total Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berkeley</td>
<td>$6,000</td>
<td>$19,869</td>
<td>$11,700</td>
<td>$37,814</td>
</tr>
<tr>
<td>Urban and Regional Planning</td>
<td>$6,000</td>
<td>$19,400</td>
<td>$6,000</td>
<td>$31,645</td>
</tr>
</tbody>
</table>

Committee vote: Regents Brody, Lansing, Lozano, Napolitano, Newsom, Ortiz Oakley, Pattiz, Pérez, and Ramirez, voting “aye.”

Board vote: Regents Blum, Brody, Elliott, Lansing, Lozano, Makarechian, Napolitano, Ortiz Oakley, Pérez, Ramirez, Schroeder, Sherman, and Zettel voting “aye.”
3. **AMENDMENT OF REGENTS POLICY 7401 AND ACADEMIC PERSONNEL MANUAL SECTIONS 015 AND 016 – THE FACULTY CODE OF CONDUCT AND UNIVERSITY POLICY ON FACULTY CONDUCT AND THE ADMINISTRATION OF DISCIPLINE**

The Committee recommends that the Regents amend Regents Policy 7401: the Faculty Code of Conduct and the Policy on Faculty Conduct and the Administration of Discipline, as shown in Attachment 2, and Academic Personnel Manual Section 015: The Faculty Code of Conduct, as shown in Attachment 3, and Section 016, University Policy on Faculty Conduct and the Administration of Discipline, as shown in Attachment 4, effective no later than July 1, 2017, and as soon as other conforming processes can be implemented.

Committee vote: Regents Brody, Lansing, Lozano, Napolitano, Newsom, Ortiz Oakley, Pattiz, Pérez, and Ramirez voting “aye.”

Board vote: Regents Blum, Brody, Elliott, Lansing, Lozano, Makarechian, Napolitano, Ortiz Oakley, Pérez, Ramirez, Schroeder, Sherman, and Zettel voting “aye.”
REGENTS POLICY 3103
POLICY ON PROFESSIONAL DEGREE SUPPLEMENTAL TUITION*

1. Professional Degree Supplemental Tuition (PDST) shall be assessed to students enrolled in designated graduate professional degree programs, as determined by The Regents, to sustain and enhance the quality of the professional schools' academic programs and services, in order to achieve and maintain excellence in the preparation of students for professional careers and effectively advance the mission and strategic academic plan of the graduate professional degree program charging a PDST.

2. Revenue from Professional Degree Supplemental Tuition will remain with the campuses and will not be used to offset reductions in State support.

2. Access and inclusion are among the University’s core commitments, and affordability is a vitally important component of a public education system. Any initiation of, or increase in, PDST shall be justified by the programmatic and financial needs of the graduate professional degree program and must be considered in the context of the University’s commitment to excellence, access, inclusion, and affordability.

   a) The University is committed to ensuring the inclusion of diverse populations in its programs, including its graduate professional degree programs. In keeping with this commitment, each program proposing to charge PDST shall describe comprehensive strategies for the inclusion of diverse populations, consistent with Regents Policy 4400: Policy on University of California Diversity Statement.

   b) Financial aid targeted for students enrolled in graduate professional degree programs is necessary to ensure access to the degree programs, to minimize financial barriers to the pursuit of lower-paying public interest careers, and to reduce restrictions on students’ career options due to student debt. Each program proposing to charge PDST shall complement its proposed PDST plans with financial aid measures, such as scholarships, grants, and loan repayment assistance programs, to meet these goals adequately. Financial aid sources for students in the specified professional degree program should be supplemented by an amount equivalent to at least 33 percent of new Professional Degree Supplemental Tuition revenue or by an amount necessary to ensure that financial aid sources are equivalent to at least 33 percent of all Professional Degree Supplemental Tuition revenue.

3. The President, in consultation with the Provost, shall submit for the Regents' approval Professional Degree Supplemental Tuition levels from the campuses, within the context of such multi-year plans as the Provost requires for each program. or his/her designee is responsible for ensuring that graduate professional degree programs engage in appropriate multi-year planning of PDST levels within the context of principles and goals expressed in this policy and do so in consultation with their graduate students, faculty,
and program and administrative leadership. The Provost will require a new multi-year plan for each program at least every five years.

4. The Provost is responsible for ensuring that the leadership of each campus engages in appropriate multi-year planning of Professional Degree Supplemental Tuition increases for each professional degree program in a manner that effectively advances the program’s mission and strategic academic plan.

4. Each multi-year plan for charging a PDST shall be prepared by the campus, endorsed by the Chancellor, reviewed by the University Provost, and recommended to the Regents by the President. Each multi-year plan requires approval by the Regents in order to be implemented.

a. The Provost shall establish the format for the submittal of a multi-year plan that effectively addresses the requirements of this policy. At a minimum, the multi-year plan shall address the following topics:

i. nature and purpose of the graduate professional degree program charging the PDST,
ii. proposed PDST level for each year of the plan,
iii. uses of PDST funds, particularly their contributions to ensuring excellence, access, inclusion, and affordability for the graduate professional degree program,
iv. identification of the program’s set of public and private comparators, and analysis of the graduate professional degree program in relation to its comparators,
v. assessment of the graduate professional degree program’s uses of PDST funds and performance during the current multi-year plan with respect to excellence, access, inclusion, and affordability, and
vi. substantive consultation with students and faculty about the plan, which may be obtained in a variety of ways.

b. The proposed PDST level for each year of the plan shall be well-justified by demonstrated programmatic needs of the program charging PDST during the period of the multi-year plan and consistent with the University’s commitments to excellence, access, inclusion, and affordability.

c. The actual annual PDST levels in the approved multi-year plan shall be considered to have been approved at the time the multi-year plan was approved. A PDST level less than that approved in the multi-year plan shall also be considered to have been approved at the time the multi-year plan was approved. In order to charge a PDST greater than that in the approved plan, a new multi-year plan with the desired PDST in the first year shall be prepared and approved.
5. Each professional degree program shall submit a Professional Degree Supplemental Tuition plan to the Provost, pursuant to a submission schedule communicated to the program by the Provost. At a minimum, the Provost will require a multi-year plan (i) for each program for which Professional Degree Supplemental Tuition is proposed to be newly assessed; (ii) for each program that proposes Professional Degree Supplemental Tuition that exceeds the amount proposed in its most recent multi-year plan; and (iii) for each program, at least every three years. In developing a program's multi-year plan, the following factors are among those to be taken into consideration: the amount of resources required to sustain academic quality at, and enrollments in, the particular professional degree program; the ability of the program to remain competitive with other institutions of similar quality; the cost of education for each specific degree program; the resident and nonresident tuition and fees charged by comparable public and private institutions for each specific program; and other market-based factors (such as scholarship and grant support) that permit the degree program to compete successfully for students. Within this context, different Professional Degree Supplemental Tuition levels may be set for professional programs in the same discipline at different campuses.

5. Multi-year plans shall be approved within a time frame that supports adequate planning and preparation for both students and their graduate professional degree program.

6. Financial aid targeted for students enrolled in professional degree programs is necessary to ensure access to the degree program, and to minimize financial barriers to the pursuit of careers in public service. The Provost is responsible for ensuring that each campus complements its proposed multi-year plans for professional degree programs with financial aid measures, including scholarships, grants and loan repayment assistance programs, to adequately meet these goals. Financial aid sources should be supplemented by an amount equivalent to at least 33 percent of new Professional Degree Supplemental Tuition revenue or by an amount necessary to ensure that financial aid sources are equivalent to at least 33 percent of all Professional Degree Supplemental Tuition revenue. Campuses will regularly evaluate and report on the effectiveness of these financial aid measures.

6. All proposals to charge PDST for the first time in 2018-19 or later shall be considered under this policy. The President is authorized to develop a transition plan for all other graduate professional degree programs that assess PDST, such that by 2020-21, all proposals to either establish or adjust PDST charges shall be considered under this policy.

7. The following conditions are adopted for future Professional Degree Supplemental Tuition increases:
   a. Access and inclusion are among the University’s core commitments, and student affordability is a vitally important component to a public education system. Any increases in Professional Degree Supplemental Tuition must be justified by programmatic and financial needs, but also must not adversely affect the University’s commitment to access, inclusion, and keeping the door open for students interested in pursuing low-paying public-interest careers.
b. With this sentiment in mind, if a professional school unit wishes to propose a Professional Degree Supplemental Tuition increase greater than 6 percent or in excess of the percentage increase in Tuition for a given year, it must submit a plan, endorsed by its chancellor, describing academic and/or programmatic reasons for the requested increase and describing policies to ensure or enhance access and inclusion in the face of the rising charges.

e. Each plan should consider the following (including expenditure projections, design parameters, and performance metrics) components:

i. Front-end financial aid such that needy students are able to pursue their academic and summer interests without regard to financial considerations.

ii. Loan-forgiveness programs (or some equivalent alternative program) for, among others, students interested in pursuing low-paying public service jobs such that their debt from professional school does not unduly restrict their career decision.

iii. A strategy for inclusion of underrepresented groups.

iv. A detailed marketing and outreach plan to explain financial-aid and loan forgiveness.

d. Each unit's Professional Degree Supplemental Tuition plan shall also include:

i. Assurances that in any program directly supported by State 19900 funds, the total in-state tuition and fees charged will be at or below the total tuition and/or fees charged by comparable degree programs at other comparable public institutions.

ii. Information as to the views of the unit's student body and faculty on the proposed increase. This information may be obtained in a variety of ways ranging from consultations with elected student leaders and faculty executive committees to referenda. The information would be treated as advisory, but The Regents would view more favorably Professional Degree Supplemental Tuition proposals that enjoy the support of a unit's faculty and student body.

e. The Provost will provide further guidance and coordination as needed to the campuses and to elements of the Office of the President, and coordinate submission of the Professional Degree Supplemental Tuition proposals to The Regents for annual action. Chancellors will carefully review Professional Degree Supplemental Tuition proposals and the supporting plans concerning financial aid, loan forgiveness, outreach, evaluation, and implementation of corrective measures if needed (such as a Professional Degree Supplemental Tuition rollback, freeze, limit on future increases, or other financial and/or non-financial measures), and forward the Professional Degree Supplemental Tuition proposals as revised to the Office of the President.

f. Upon request of a professional program, with the concurrence of the Chancellor, the President, in consultation with the Provost, may consider and is authorized
to reduce Professional Degree Supplemental Tuition for specific programs as the President deems appropriate and shall report those actions to the Regents.

*Nothing in this policy constitutes a contract, an offer of a contract, or a promise that any tuition or fees ultimately authorized by The Regents will be limited by any term or provision of this policy. The Regents expressly reserve the right and option, in its absolute discretion, to establish tuition or fees at any level it deems appropriate based on a full consideration of the circumstances, and nothing in this policy shall be a basis for any party to rely on tuition or fees of a specified level or based on a specified formula.

REGENTS POLICY 3104

PRINCIPLES UNDERLYING THE DETERMINATION OF FEES FOR STUDENTS OF PROFESSIONAL DEGREE PROGRAMS *

1. The Regents approve professional school fees according to such multi-year plans as the Provost requires for each program.

2. The Regents adopt the principle that different professional programs in the same discipline at different campuses may have fees set at different levels; and that in doing so, the Regents confirm the commitment to maintaining a single fee level for in-state undergraduate students for all campuses across the system, a single fee level for out-of-state undergraduate students for all campuses across the system, a single fee level for in-state graduate academic students for all campuses across the system, and a single fee level for out-of-state graduate academic students for all campuses across the system.

3. It is the policy of The Regents that State support for professional schools should not decline, in the event that professional differential fees increase.

4. The Regents endorse the critical importance of campus plans for targeted financial aid for students in professional degree programs to assure access and to minimize financial barriers to the pursuit of careers in public service; The Regents charge the Provost with ensuring that each campus complements its proposed professional degree fee policies with such financial aid measures, including scholarships and loan forgiveness; and that the effectiveness of such programs be evaluated regularly.

5. The Regents charge the Provost with ensuring that the leadership of each campus designs its proposed professional degree fees in a manner that effectively advances the mission and strategic academic plan of each program.

*Nothing in this policy constitutes a contract, an offer of a contract, or a promise that any fees ultimately authorized by The Regents will be limited by any term or provision of this policy. The Regents expressly reserves the right and option, in its absolute discretion, to establish fees at any level it deems appropriate based on a full consideration of the circumstances, and nothing in this policy shall be a basis for any party to rely on fees of a specified level or based on a specified formula.
REGENTS POLICY 7401: THE FACULTY CODE OF CONDUCT AND THE UNIVERSITY POLICY ON FACULTY CONDUCT AND THE ADMINISTRATION OF DISCIPLINE

This policy is the Faculty Code of Conduct and University Policy on Faculty Conduct and the Administration of Discipline as set forth in Academic Personnel Manual Sections 015 (APM - 015) and 016 (APM - 016). It is the intent of the Faculty Code of Conduct to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning.

The Faculty Code of Conduct (1) sets forth the responsibility of the University to maintain conditions and rights supportive of the faculty’s pursuit of the University’s central functions, (2) defines normative conditions for faculty conduct and sets forth types of unacceptable faculty conduct subject to University discipline, and (3) makes recommendations and proposes principles and guidelines to ensure the development of fair procedures for enforcing the Code.

University Policy on Faculty Conduct and the Administration of Discipline defines the conditions under which specific types of disciplinary sanctions may be imposed and the procedures for imposition of disciplinary sanctions.


Additional policies regarding the scope and application of the Faculty Code of Conduct and the University’s policies on faculty conduct and the administration of discipline are set forth in APM –015, The Faculty Code of Conduct, and APM—016, the University Policy on Faculty Conduct and the Administration of Discipline.
II.A. Teaching and Students

Types of unacceptable conduct:

1. Failure to meet the responsibilities of instruction, including:
   
   (a) arbitrary denial of access to instruction;
   
   (b) significant intrusion of material unrelated to the course;
   
   (c) significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
   
   (d) evaluation of student work by criteria not directly reflective of course performance;
   
   (e) undue and unexcused delay in evaluating student work.

2. Discrimination, including harassment, against a student on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.

3. Sexual violence and sexual harassment, as defined by University policy, of a student.

4. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against students on the basis of disability.
45. Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student for arbitrary or personal reasons.

56. Participating in or deliberately abetting disruption, interference, or intimidation in the classroom.

67. Entering into a romantic or sexual relationship with any student for whom a faculty member has, or should reasonably expect to have in the future, academic responsibility (instructional, evaluative, or supervisory).

78. Exercising academic responsibility (instructional, evaluative, or supervisory) for any student with whom a faculty member has a romantic or sexual relationship.

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C. The University

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Types of unacceptable conduct:

1. Intentional disruption of functions or activities sponsored or authorized by the University.

2. Incitement of others to disobey University rules when such incitement constitutes a clear and present danger that violence or abuse against persons or property will occur or that the University’s central functions will be significantly impaired.

3. Unauthorized use of University resources or facilities on a significant scale for personal, commercial, political, or religious purposes.

4. Forcible detention, threats of physical harm to, or harassment of another member of the University community, that interferes with that person’s performance of University activities.

5. Discrimination, including harassment, against University employees or individuals seeking employment; providing services pursuant to a contract; or applying for or engaged in an unpaid internship, volunteer capacity, or training program leading to employment on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military

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1 A faculty member should reasonably expect to have in the future academic responsibility (instructional, evaluative, or supervisory) for (1) students whose academic program will require them to enroll in a course taught by the faculty member, (2) students known to the faculty member to have an interest in an academic area within the faculty member’s academic expertise, or (3) any student for whom a faculty member must have academic responsibility (instructional, evaluative, or supervisory) in the pursuit of a degree.
Types of unacceptable conduct:

1. Making evaluations of the professional competence of faculty members by criteria not directly reflective of professional performance.

2. Discrimination, including harassment, against faculty on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.

3. Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.

4. Violation of University policy, including the pertinent guidelines, applying to nondiscrimination against faculty on the basis of disability.

5. Breach of established rules governing confidentiality in personnel procedures.
Part III – Enforcement and Sanctions

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A. In the development of disciplinary procedures, each Division must adhere to the following principles:

1. No disciplinary sanction for professional misconduct shall be imposed by the administration except in accordance with specified campus procedures adopted after appropriate consultation with agencies of the Academic Senate, as prescribed in the introduction to this part of the Code. Systemwide procedures for the conduct of disciplinary hearings are set forth in Academic Senate Bylaw 336.

2. No disciplinary sanction shall be imposed until after the faculty member has had an opportunity for a hearing before the Divisional Committee on Privilege and Tenure, subsequent to a filing of a charge by the appropriate administrative officer, as described in Academic senate Bylaw 336.

3. The Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when it is reported to any academic administrator at the level of department chair or above. Additionally, for an allegation of sexual violence or sexual harassment, the Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when the allegation is first reported to any academic administrator at the level of department chair or above or the campus Title IX Officer. The Chancellor must initiate related disciplinary action by delivering notice of proposed action to the respondent no later than three years after the Chancellor is deemed to know or should have known about the alleged violation of the Faculty Code of Conduct and the delivery of the notice of proposed disciplinary action. There is no limit on the time within which a complainant may report an alleged violation.

4. The Chancellor may not initiate notice of proposed disciplinary action unless there has been a finding of probable cause. The probable cause standard means that the facts as alleged in the complaint, if true, justify the imposition of discipline for a violation of the Faculty Code of Conduct and that the Chancellor is satisfied that the University can produce credible evidence to support the claim. In cases where the Chancellor wants a disciplinary action to proceed, the Divisional hearing committee must hold a hearing and make findings on the evidence presented unless the accused faculty member settles the matter with the Chancellor prior to the hearing or explicitly waives his or her right to a hearing.

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B. In the development of disciplinary procedures, it is recommended that each Division adhere to the following principles:

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4. There should be provision for early resolution or informal disposition of allegations of faculty misconduct before formal disciplinary proceedings are instituted. Procedures should be developed for mediation of cases where mediation is viewed as acceptable by the Chancellor and the faculty member accused of misconduct. Mediators should be trained in mediation, be regarded as neutral third parties and have experience in the University environment. In cases where a settlement resolving disciplinary charges is entered into after a matter has been referred to an Academic Senate committee, the Chancellor is encouraged to consult with the Chair of the Divisional Committee on Privilege and Tenure prior to finalizing the settlement.

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Section II – Types of Disciplinary Sanctions

6. Dismissal from the Employ of the University

A Chancellor is authorized to initiate involuntary leave with pay prior to, or at any time following, the initiation of a disciplinary action if it is found that there is a strong risk that the accused faculty member’s continued assignment to regular duties or presence on campus will cause immediate and serious harm to the University community or impede the investigation of his or her wrongdoing, or in situations where the faculty member’s conduct represents a serious crime or felony that is the subject of investigation by a law enforcement agency. When such action is necessary, it must be possible to impose the involuntary leave swiftly, without resorting to normal disciplinary procedures. In rare and egregious cases, a Chancellor may be authorized by special action of The Regents to suspend the pay of a faculty member on involuntary leave pending a disciplinary action. This is in addition to the Chancellor’s power to suspend the pay of a faculty member who is absent without authorization and fails to perform his or her duties for an extended period of time, pending the resolution of the faculty member’s employment status with the University. Thereafter, the faculty member may grieve the decision to place him or her on involuntary leave pursuant to applicable faculty grievance procedures. The Divisional Committee on Privilege and Tenure shall handle such grievances on an expedited basis if so requested by the faculty member; the Committee may recommend reinstatement of pay and back pay in cases where pay status was suspended. However, within 5 (five) working days after the imposition of involuntary leave, the Chancellor must explain to the faculty member in writing the reasons for the involuntary leave including the allegations being investigated and the anticipated date when charges will be brought, if substantiated.

Every such document must include the following statements: (1) the Chancellor has the discretion to end the leave at any time if circumstances merit; (2) the involuntary leave will end either when the allegations are resolved by investigation or when disciplinary proceedings are concluded and a decision has been made whether to impose disciplinary sanctions; and (3) the faculty member has the right to contest the involuntary leave in a grievance proceeding that will be handled on an expedited basis, if so requested by the faculty member, and initiate disciplinary procedures by bringing charges against the faculty member on leave. Thereafter, the faculty member may grieve the decision to place him or her on involuntary leave pursuant to applicable faculty grievance procedures. The Divisional Committee on Privilege and Tenure shall handle such grievances on an expedited basis and may recommend reinstatement of pay and back pay in cases where pay status was suspended.