

UC BERKELEY SUMMER SESSIONS REGULARIZATION PLAN

developed by the

Summer Sessions Regularization Task Force
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Contents

page

One: Rationale for Regularization.....	1
Two: The Essence of Summer Sessions.....	3
Three: Tuition and Fees.....	6
Four: Instructional Issues.....	10
Five: Student Issues.....	13
Six: Management Issues.....	17
Seven: Departmental Reimbursement.....	20
Eight: Steps to Implementation.....	24

Tables

1	Recommended Fees Beginning Summer 2003.....	8
2	Estimated Fee Assessments Beginning Summer 2003.....	9

One

Rationale for Regularization

The regularization of Summer Sessions is part of the University of California's strategy to accommodate the projected statewide enrollment growth of 60,000 students from the academic year 1998-99 through the academic year 2010-11. Converting Summer Sessions to state-supported "regular" instruction is essentially a move toward year-round instruction. Unlike its sister campuses in the University of California system, the Berkeley campus is under the semester system. In the quarter-system campuses it is perhaps easier to mount coursework similar in nature to the other quarters because the duration of all of the quarters is equal. At Berkeley, Summer Sessions courses have remained very different in intensity and duration from those in the fall and spring semesters. As a result, Berkeley has enjoyed more diversity in both course offerings and their presentation than other campuses. Further, before regularization, Summer Sessions was a self-supporting enterprise with the ability to set fees at levels different from fall and spring and share the profits from its operations with the participating departments. Although the transition to regularization formally began with Summer Sessions 2001¹, a number of issues were not resolved at that time. It is the purpose of this report to analyze these issues and to recommend the optimal strategy to accommodate regularization.

Regularization is attractive for a number of reasons. First, additional courses offered during summer will allow the campus to accommodate more students without increasing the fall and spring enrollments. It is estimated that an increase in Summer Sessions from its academic year 2000-01 enrollment can eventually accommodate about half of the budgeted 4,000 additional students. Second, students may be able to progress more rapidly toward their degrees, thereby increasing throughput and allowing more students to be served by the campus in a given time period. With increased and varied courses, Summer Sessions may also relieve some of the impaction in a number of majors which, in turn, will decrease time-to-degree for undergraduates. Lastly, because Summer Sessions is shorter and more intense than other terms at UCB, it provides an opportunity for academic innovations that serve pedagogical ends and enhance student experiences.

Notwithstanding the advantages, there are a number of issues that must be resolved to make regularization integrated within the campus structure. Regularization will require more Summer Sessions instructors (ladder-rank faculty, lecturers, GSIs), with substantial implications for faculty compensation and governance, lecturer compensation, and GSI provisions. Since fee levels will be comparable to fees in the fall and spring and not be established independently, there will no longer be profit-sharing per se, but the notion of providing incentives to units to participate in Summer Sessions is preserved in a new financial arrangement, described in Section Seven.

Impacts on students will involve various academic policies and requirements, fee structures, and the availability of financial aid. Lastly, more demands will be placed on academic departments

¹ Full regularization is not required until all ten UC campuses have received state funding for Summer Sessions. The period from 2000-01 until when Summer Sessions is fully state-supported will be deemed the transition period. Any changes in the state's plan to fund Summer Sessions would affect implementation of the program described here.

in terms of advising and office space, and on administrative departments such as those involved in enrollment and scheduling, monitoring of eligibility for graduate student appointments, health care, housing, and libraries. Making these activities year-round will eliminate the summer hiatus that permits planning for future years, closing files on the previous year, and staff vacations.

Charge to the Task Force

The Task Force was charged to develop a comprehensive plan to change from UC Berkeley's current fee-funded, market-driven Summer Sessions to a program that includes both a state-funded component and a market-driven one. The plan is intended to include the following elements:

- Financial and business plans for the years that the campus is in transition to a state-funded summer session, and for the steady state, after the transition is complete. There should be explicit arrangements to ensure that the financial support provided to departments through the current market-driven, profit-based summer session program continues.
- A process by which departments submit proposals to transition to a state-funded summer session and receive permanent resource allocations comparable to those used in the fall and spring semesters.
- Recommended guidelines for providing faculty compensation, including retirement and sabbatical credit, for overload or replacement teaching in summer.
- Recommendations on governance, including course evaluations and faculty advancement issues, faculty obligations for residence, committee work, and other service if they elect to teach in summer rather than in fall or spring.
- Recommendations for management including course approvals, staffing, scheduling of courses, and financial aid.

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The Task Force wishes to thank members of the Graduate Division for their assistance: Diane Hill, Director of Academic Affairs; Betsy Livak, Director of Graduate Admissions; and Judi Sui, Financial and Data Information Manager. Karen Warrick, Principal Budget Analyst in Budget and Finance, provided invaluable information on the many budget variables, and the Task Force thanks her for her long hours and her patience.

Two

The Essence of Summer Sessions

Summer Sessions at UC Berkeley has been fundamentally different from fall and spring semesters. The primary difference has to do with the shortened time span for the term and resultant intensity of instruction. Furthermore, summer has been the only time that enrollment in regular campus classes is open to visitors. Visiting students have come from other UC campuses, from other colleges and universities in California and the rest of the U.S., and from around the world. It has also been possible for qualified high school students to enroll in Summer Sessions after their sophomore and junior years to get a feel for the rigors and pleasures of higher education. UC Berkeley students have also taken Summer Sessions classes, especially to make up course deficiencies, qualify for acceptance into their chosen major, or to make progress toward their degree.

The visitor population has brought a rich diversity that has enriched the Summer Sessions experience for all students. All students have enjoyed no entry requirements, a simple registration process, and competitive fees. UC students have paid per-unit fees equivalent to those in fall and spring; visitors have paid somewhat higher unit fees and a one-time enrollment fee. Students from outside the U.S. have also paid an international enrollment fee to cover the costs of doing business overseas.

Students have been given a selection of six-week, eight-week or ten-week sessions, and most have taken 5 units--the equivalent of 5 semester hours--per session, although many students have taken a heavier load. The classes offered have been typically the ones for which there is steady and robust demand. Most are lower-division courses, but there are numerous upper-division and a few graduate courses. Depending largely on their level, classes have been taught primarily by lecturers as well as a modest number of ladder-rank faculty.

Departments from a wide cross section of the campus have offered courses that are popular and can be expected to have large enrollments. Fully enrolled courses served the campus by making efficient use of available space, and served the departments, which received a share of profits from each course offered, if indeed the income exceeded the costs. Courses with large enrollments and many units have traditionally been quite profitable. Profit-sharing funds have helped departments offset the costs of teaching Summer Sessions and have provided an important discretionary budget item. Campus service departments such as student health, libraries, recreation facilities, and custodial services have also received funds for the extra workload incurred by serving Summer Sessions students.

The Future

Although aspects of the program will change as we proceed toward regularization, Summer Sessions at UC Berkeley will always be fundamentally different from fall and spring. In particular, it is not possible for Summer Sessions to be as long as the fall and spring semesters, so the equivalent coursework must be given more intensively over a shorter period of time.

The Task Force has adopted the following goals for fully regularized Summer Sessions:

- The quality of instruction in Summer Sessions will be the same as that in fall and spring.
- Summer Sessions will remain a voluntary program available to Berkeley students.
- Summer Sessions should decrease time-to-degree.
- Open enrollment for non-UC students will be continued, with the aim of maintaining the richness and diversity of the expanded Summer Sessions community.
- The notion of providing incentives to units to participate in Summer Sessions will be preserved

To ensure the high quality of instruction in summer, the goal is to have significant ladder rank faculty involvement in instruction, comparable to that for similar courses in the fall and spring semesters. However, the shorter duration and increased intensity of the Summer Sessions course offerings may make a different presentation and pedagogy more appropriate than for similar courses given in the fall and spring semesters. In cases where increases in percentage of ladder-rank faculty teaching in summer are sought, and modification of existing courses is appropriate, approval from the Academic Senate, which has jurisdiction over these matters, should be obtained.

After regularization has been completed, a form of profit-sharing will be maintained, as was promised by both former Executive Vice Chancellor & Provost (EVCP) Christ and current EVCP Gray. Departments have historically relied on profit-sharing funds to support essential programs. The flexible funds are very important to them, and provide an incentive for departments to care about the popularity of the courses they offer if they receive no supplemental funds for participating in Summer Sessions. A new financial reimbursement process has been developed to preserve the essence of profit-sharing and to provide more autonomy to the departments. It is discussed later in this report and will be introduced beginning with Summer Sessions 2004.

As long as student participation in Summer Sessions remains voluntary, it will be difficult to establish that it will indeed shorten a student's time to degree. Each college must decide whether it wants to require student attendance in summer classes and then make the changes to course offerings necessitated by the decision. The unique nature of Summer Sessions creates an opportunity for instructional innovation by virtue of the intensity of time students and teachers spend together. For example, the Haas School of Business plans to begin requiring its majors to take two gateway courses in the summer before their junior year in order to improve their preparation as well as to relieve impaction in important Business courses.

When regularized, Summer Sessions will continue the policy of open enrollment for non-UC students because the diversity of cultures and perspectives they bring adds richness to the summer student community. Currently, UC Students may apply for enrollment in Summer Sessions classes two weeks before non-UC students, which gives priority to UC students and assures them enrollment in classes of their choice without competition from non-UC Students. Further, it ensures that priority is given to those who wish to enroll in courses restricted to majors, and that majors on wait lists are enrolled first. This strategy also allows non-UC students to enroll early enough to make adequate summer plans. Non-UC students are very important to Summer Sessions since the higher tuition and fees they pay significantly add to the revenue base of individual courses.

At the conclusion of the 2002 Summer Sessions, the effectiveness of this enrollment strategy was evaluated and found to be very successful. The strategy will be used again in Summer Sessions 2003, as well as when regularization is complete.

As we articulate the desirable and feasible attributes of a regularized Summer Sessions, we recognize a number of significant program challenges that need to be resolved during the transition period.

- Faculty Compensation: Certain policies in the *Academic Personnel Manual* regarding faculty compensation will have to be changed in order to encourage ladder faculty participation in Summer Session. Specifically, policies regarding eligible time periods for outside income must be changed.
- The Calendar: The proposed change to 140-day semesters allows for a more regular Summer Session schedule. However, until that change is put into place, students finishing or starting regular semesters elsewhere will find it difficult or impossible to attend Summer Sessions or the summer EAP program at Berkeley. In any case, Summer Session will never be as long as fall and spring semesters.
- Non-Resident Tuition: At this time, non-resident students do not pay non-resident tuition in the summer. The UC Office of the President (UCOP) expects that they will with a regularized Summer Sessions. However, since charging non-resident tuition may dissuade these students from attending Summer Sessions, and slow down their progress to degree, this should be the topic of continuing dialogue with UCOP.
- Summer Admissions: Traditionally, the UCB admissions cycle is focused on the fall term, but new students have in some cases been allowed to register for classes the summer prior to their admission. However, because the summer term begins so soon after high school graduation, it is generally inconvenient for new students to select courses the summer before their first fall term.
- Financial Aid: Current federal, state, and private endowment financial aid programs are geared to fall and spring semesters, and most treat summer as a “trailer” to the academic year, rather than a “header” (as it is for UCOP budgeting purposes). Some programs can not be modified; others may be able to make funds available for summer, but this would decrease funds available for fall and spring. The campus must continue and expand its commitment to seek scholarship funds to ensure consistent financial aid packages year-round.

These problems are examined in greater detail in subsequent sections of the report.

Three Tuition & Fees

The assessment of appropriate fees is a key element to summer becoming a “regular” term at Berkeley. It also is an important component of the business plan for making the campus financially capable of meeting the costs of a robust summer term. While regularly matriculated students are supported by the state through the marginal cost of instruction, visitors are not. Based on this distinction, the Task Force reviewed all fees currently charged to regularly admitted UC students, as well as current or anticipated fees charged to summer visitors. The Task Force recognizes that fees are charged depending on whether a student’s enrollment generates state support for the marginal cost of instruction. In that light, the Task Force recommends that non-UC students be charged certain fees to cover the costs of teaching them. Two tables below indicate whether a fee should or should not be charged to a student (Table 1), and, if so, the size of the fee (Table 2).

Non-Resident Tuition

During the current transition period, the campus is not charging non-resident tuition to any Summer Sessions students. The logic of regularization would suggest that it should be charged to non-resident UCB students and students attending from other UC campuses who have been identified as non-residents by their home institutions. If we do charge it, non-residents who previously attended Summer Sessions may not enroll because of the added expense. If Summer Sessions is not attractive to this cohort, enrollment in Summer Sessions may not grow as the campus would like it to, and the progress of these students toward their degree may be slowed. The Task Force therefore recommends the campus request that UCOP not require the campus to charge non-resident tuition to UCB and other UC students until such time as all UC campuses have state-supported summer terms.

In the event that UCOP requires the campus to charge non-resident tuition, non-resident UC students who choose to use summer coursework as part of their degree program will have to pay non-resident tuition to get UC credit for this coursework, while visitors not pursuing a UCB degree will not be required to pay it. Given that visitors are not supported by the state, it is not anticipated that their residency will be considered as far as fees are concerned. However, it is expected that the current practice of charging visitors an enrollment fee and lab fees that may be different from those charged to UC students will continue for certain courses. (See the discussion of the Summer Enrollment Fee below.)

Educational/Registration Fees

Consistent with state support for regularly matriculating students, the Educational and University Registration Fees will be charged to UC students on a per-unit basis during the summer. In accordance with UCOP policy, summer fees will not exceed the per-unit fee level charged during the regular academic year.

Full Educational and Registration Fees, regardless of unit load, will continue to be assessed to all UC students in the fall and spring terms.

Professional Degree Fees

UC professional schools (Law, Business, Optometry, and Health Sciences) charge flat annual professional degree fees (PDF), by discipline, that are assessed half in the fall and half in the spring. The campus will not charge the PDF fee to UC students enrolling in Summer Sessions who paid the fees the previous fall and spring. For students who did not pay the PDF in both the previous fall and spring, a PDF equal to half of the annual fee will be charged in Summer Sessions.

Self-Supporting Program Fees

Currently, the Haas School of Business offers a number of self-supporting/high fee programs to students (EMBA, MFE, and Haas/Columbia Executive MBA Program). Students wishing to apply units earned during Summer Sessions to either of these programs will have to pay these additional fees.

Students may be charged fees (in particular the Course Materials Fees or the Campus-Based fees) based on the courses they take or the services individual programs offer them as a condition of matriculation.

Campus-Based Fees

With the regularization of Summer Sessions, UC students will be assessed campus-based fees in accordance with the student referenda that first established each fee. For Summer Sessions 2003, the Student Fee Referendum Committee (SFRC) has approved a \$6 campus fee for all UC students that covers ASUC, student services and reserve for replacement. In Spring 2003, the SFRC will begin a review of all mandatory fees to determine which should apply to summer and whether new referenda will be required. Final recommendations should be made in time to appear in Summer Sessions 2004 publications.

Summer Enrollment Fee

Enrollment fees for visitors should reflect the costs of health services, Class Pass and other benefits, as appropriate. The Summer Sessions Office should conduct a study in order to arrive at the appropriate fees to charge.

Course Materials Fees

If additional resources are needed to support the full cost of any course, a Course Materials Fee may be proposed by the department using normal campus procedures through the Course Materials Fee Committee, as is the case for courses offered in the fall and spring. Approved Course Materials Fees will be assessed in Summer Sessions as well as in regular sessions.

New Fees Considered (not all adopted)

The Task Force recommends that a Campus Services Support Fee be charged to students in Self-Supporting Programs to cover the administrative costs associated with running highly specialized programs in the summer that do not fit neatly into the standard calendar or course scheduling schemas.

When Summer Sessions is fully regularized at all campuses, the Task Force recommends charging an inter-institutional enrollment fee to students from other UC campuses to cover costs associated with their advising, records transfer, and follow-up on student records.

Table 1.
Recommended Fees for Students (Beginning Summer 2003)

	UCB Students	Other UC Students	Self-Supp. Programs²	Visitors
Current Fees				
Non-Resident Tuition	TBD ³	TBD ²	no	no
Ed/Reg Fees (per unit charge)	yes	yes	no	no
Mandatory Campus-Based Fees	yes	yes	yes	yes
Course Materials Fees	yes	yes	yes	yes
Professional Degree Fee	see note 4	see note 4	no	no
Professional School Self-Support Fee	no	no	yes	no
Summer Enrollment Fee	yes	yes	no	yes
International Student Fee	no	no	no	yes
Summer Session Lab Fees	no	no	no	yes
Proposed Fees				
Campus Services Support Fee⁵	no	no	yes	no ⁶
Inter-institutional Fee	no	yes	no	no

² Self-Supporting Programs: EMBA/MFE/Haas-Columbia Programs

³ As soon as all campuses are regularized

⁴ If the UC student is matriculated in Law/Business/Optomety/Health Sciences majors and has not paid the Professional Degree Fees in both the previous fall and spring semester, then this student must pay one-half of the annual PDF in Summer Sessions.

⁵ Fee to be assessed after Summer Sessions 2003

⁶ Costs for Class Pass, health services, etc. will be subsumed in the final Summer Enrollment Fee for visitors—after Summer Sessions 2003

**Table 2. Estimated Fee Assessments
(Beginning Summer 2003)**

	UCB Students	Other UC Students	Self-Supp. Programs	Visitors
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Current Fee

Nonresident Tuition* (UG and Grad)	TBD ⁷	TBD ⁷	\$0	\$0
Ed/Reg Fees⁸	\$114/unit (UG classes) \$142/unit (G classes)	\$114/unit (UG classes) \$142/unit (G classes)	\$0	\$125/unit (UG classes) \$153/unit (G classes)
Campus-Based Fees	\$253 UG / \$278 Grad Health Insurance Fee \$98.75 (Campus Fee)	\$253 UG / \$278 Grad Health Insurance Fee \$98.75 (Campus Fee)	\$278 (Health Insurance) \$98.75 (Campus Fee)	\$253 UG / \$278 Grad (Health Insurance) \$98.75 (Campus Fee)
Course Materials Fees	\$15-\$165 / course	\$15-\$165 / course	\$15-\$165 / course	\$15-\$165 / course
Professional Degree Fee	\$1500-\$3000	\$1500-\$3000	\$0	\$0
Professional School Self-Supporting Fee	\$0	\$0	\$8500-\$21000	\$0
Summer Enrollment Fee	\$6(ASUC, stud. svcs)	\$6 (ASUC, stud. svcs.)	\$0	\$360
Foreign Student Fee	-	-	-	\$350
Summer Lab Fees	-	-	-	depends on course

Proposed Fees

Campus Services Support Fee	\$0	\$0	\$ to be determined	\$0
Inter-Institutional Fee	\$0	\$ to be determined	\$0	\$0

⁷ To be determined when all campuses are regularized

⁸ Subject to change corresponding to any change in fall /spring registration fee

Four Instructional Issues

To transition UC Berkeley's current Summer Sessions into a state-funded academic program, the campus must adopt a plan that addresses complicated instructional issues including faculty compensation and related governance matters to develop a plan. The Task Force recognizes that no one approach will suit every instructor or department, so two options are presented.

Because the Task Force is charged to ensure that the quality of summer courses is as high as that in fall and spring, we propose the following general principles to govern Summer Session teaching:

- Departments will generally maintain the same percentage of ladder rank faculty involvement in instruction as currently exists for similar courses in the fall and spring semesters. However, the shorter duration and increased intensity of the course offerings in Summer Sessions may make a different presentation and pedagogy more appropriate for summer courses. In cases where an increase in the percentage of ladder-rank faculty teaching is sought, and modification of existing courses is appropriate, approval of the Academic Senate, which has jurisdiction over these matters, should be obtained.
- Course evaluations should be performed for all courses taught by ladder rank faculty and lecturers, whether they are taught as an overload or part of regularized teaching load. These evaluations will have the same rigor and weight in the faculty review process as those in fall and spring.

Faculty

The plan outlined below gives faculty members teaching in Summer Session a choice of overload teaching or regularized teaching with course relief⁹. Also proposed are solutions to governance issues associated with each choice. The two options may not be equally practical across departments. In general, the size of a department will dictate the feasibility of each option. Department chairs will weigh the benefits to the department in considering a faculty member's request to participate in Summer Sessions under either of the options presented below.

Option 1: Overload Teaching

Regular faculty who teach a Summer Sessions course that meets the minimum requirements¹⁰ as an overload should receive a stipend of 1/6 of their normal nine-month academic salary. A second summer course may be taught at the rate of 1/9 of normal nine-month academic salary.

- The department chair must approve the faculty member's participation in Summer Sessions overload teaching.

⁹ The sequence for the academic year will be summer, fall, spring.

¹⁰ Eligible courses will be existing courses that have at least three units, involve at least six weeks of instruction, and meet the Berkeley standards for minimum enrollment; or proposed new courses, under the same restrictions, that have been approved by the department chair, recommended to the dean, and approved by the Academic Senate Committee on Courses of Instruction.

- Participating faculty members will be allowed to earn up to a total of 3/9 of their normal nine-month academic salary from the overload stipend and other sources for the summer in question.
- The obligation to teach in the fall and spring is not relieved by overload teaching.
- Participants earn no relief from governance responsibilities (committee service, advising, graduate student supervision, etc.).
- No change in benefits will result from overload teaching; in particular, no extra retirement service credits or sabbatical credits will accrue from overload teaching.
- Profit-sharing arrangements with departments will be maintained until an alternate profit-sharing mechanism is established. For the purposes of computing the profit share, instructional costs for courses taught by ladder rank faculty will be assessed as the cost of a lecturer.
- The workload in Student Credit Hours (SCH) accrued through overload teaching will not be included as part of the annual workload of the department.

Option 2: Regularized Teaching

Each year, faculty members will negotiate their teaching load with their department chair. The teaching of Summer Sessions courses will be considered part of the load.

- The department chair must approve a faculty member's participation in Summer Sessions teaching.
- The participating faculty member's normal nine-month academic salary will not change.
- During the period that the participating faculty member is not teaching¹¹, he or she may earn up to 3/9 of his or her normal nine-month academic salary from outside sources. Thus, Section IV, Subsection 660, of the *Academic Personnel Manual* must be altered to allow a period of eligibility--not summer--comprising three contiguous months during the academic year.
- During the three months the faculty member is not teaching, his or her responsibilities will be no different from those of any faculty member during the summer who has fulfilled teaching responsibilities in the fall and spring. In particular, residence requirements and governance responsibilities will be the same.
- No change in benefits will result since faculty members will be teaching a regular load in a regularized schedule. Specifically, sabbatical accrual or retirement credit for the year will be the same as for teaching courses in the fall and spring only.
- For faculty with Fiscal Year Appointments, regularization will result in no changes to the current procedure for negotiating course load and schedule.
- Faculty costs are taken into consideration within the financial support formula for departmental reimbursement.

¹¹ The faculty member must specify in writing which three months are involved and the department chair must concur.

- The SCH workload accrued by regularized summer teaching will be included in the annual workload for the department, and will be used to determine workload statistics for the department. For instance, this workload will be incorporated in the FTE student/FTE faculty ratio.

Lecturers and GSIs

Lecturers and Graduate Student Instructors will continue to be utilized as they have been in Summer Sessions, pending outcomes of current labor negotiations. (See Graduate Students, Section 5, for more detail.)

Five Student Issues

Undergraduates

1. Summer Admissions. The Task Force believes that the Berkeley campus should not create a summer admission cycle. Currently, students apply to Berkeley for admission only for the fall term. The Admissions, Enrollment, and Preparatory Education Committee (AEPE) oversees a selection process that admits a fall class (approximately 5,600 total enrollments) and a smaller spring class (approximately 1,200 total enrollments). Current policy does not allow for admission of a summer class and there is no reason to believe that AEPE would support such a change. There would be concerns about absence of full orientation and transition resources, such as CalSO, Summer Bridge, and UC Extension Fall Program for freshmen.

The above notwithstanding, the Task Force supports enrollment in UC Berkeley Summer Sessions as an option for any student admitted for fall or spring.

2. Enrollment, Grades and Transcripts. All students will enroll and receive grades, transcripts and related student services through the campus Office of the Registrar, as in the past.

3. Other Academic Regulations

Senior Residence Requirement: Currently, summer courses taken at UCB can count toward the Senior Residence Requirement, but those taken at other UC campuses cannot. Students may request permission to count courses taken at other UC campuses, on a case-by-case basis, by seeking a variance from the Academic Senate Committee on Courses of Instruction (COCI). However, in order to decrease time to degree, it is desirable to allow all UCB students to attend another UC campus' summer session without difficulty or adverse effects on the Senior Residence Requirement. A change in regulations will be sought from the UCB Academic Senate.

Probation/Dismissal: With a regularized Summer Sessions, students will be subject to the same probation/dismissal regulations in the summer as they are in the fall and spring. UC students on probation will be treated as regular UC students and will be registered and charged accordingly. Since the decision on dismissal of students for their performance during spring semester is generally not known before July 1, students dismissed in spring should be charged the UC fee for the immediately subsequent Summer Sessions.

Financial Aid: On the Berkeley campus, Summer Sessions is treated as a trailer for consideration of need-based financial aid. This means that students can be awarded federal and state aid based on remaining annual eligibility from the academic year, with summer as the “trailing” term. When summer is treated as a trailer, the campus already knows what federal, state, and institutional funds remain for the student, as well as the fund source. Some institutions treat summer as a header, which means it is the first term of eligibility for financial aid and remaining eligibility for the annual maximums depends on what was spent in the summer.

Most universities treat summer as a trailer because of the complexity of calculating how much aid will be available for aid in the summer when it is treated as a header. Three critical problems arise when financial aid is treated as a header:

- Any changes to the summer package for a student would require changing the academic year need-based package as well.
- It is more difficult to know what resources are truly available to award in the fall and spring since students may decide to attend Summer Sessions well after the next academic year packages have become available.
- Experience has shown that there are many changes to summer aid because of revisions to student course schedules, and revisions are likely all summer.

Need-based financial aid at Berkeley should always be treated as a trailer. There is really no problem for the campus although, administratively, summer will look like a header in the academic year calendar and in the annual allocations of the campus and financial aid budgets from UCOP.

At this time, a student's Summer Sessions financial aid comes from federal and state aid remaining after the fall and spring, as well as from institutional funds, in the form of grants funded from summer fees income. In a regularized Summer Sessions, these funding sources will remain; it is hoped that they will grow. Unfortunately, unless special grant, scholarship and loan funds from federal, state and institutional sources are made available to students enrolling in Summer Sessions, aid to students will be compromised and students will be disadvantaged.

One-third of the summer fees paid by UC students is returned as grants through the University Student Aid Program (USAP). Until summer sessions at all UC campuses are state-funded, there will be a simple transfer of fee revenues to student financial aid on each campus. When all campuses are state-funded, the Office of the President will take the appropriate fee revenues and disburse the funds among the campuses by the pre-determined USAP formula. Summer USAP funds must be used for summer support, but academic year USAP may be also used for summer. Therefore, a campus could reserve some of its academic year allocation for summer, but this would dilute grant packages during the academic year and increase self-help (work and loan) for all students.

The amount of grant/scholarship aid needed to provide equivalent packages in Summer Sessions is substantially more than that available through the UCOP distribution of USAP. There are five major reasons for this shortfall of grant aid:

- The summer budgets are high because they include a living expense component of approximately \$1,300 a month regardless of the number of units enrolled.
- There is no Parent Contribution (PC) for the summer since it is fully accounted for in the academic year. In the academic year, need is determined by subtracting PC from the budget; with no summer PC, each student will have an unusually high need for financial aid in the summer.
- Pell Grant awards are not available for most students in the summer since they are awarded the annual maximum during the academic year.

- Cal Grant awards are not available for most students in the summer since they are awarded the annual maximum during the academic year. (A summer Cal Grant award would reduce the terms of eligibility overall so the student would not have a Cal Grant for his or her senior year.
- Beyond those funded by the one-third return of summer aid, institutional grants/scholarships are not available because they have been fully utilized in the academic year.

Currently, federal and state financial programs, which together provide about two-thirds of financial aid to Berkeley students each year, are awarded equally for the fall and spring terms. Splitting the current annual maximums for these awards among three terms instead of two would dilute the awards for all recipients each term. Currently, students enrolled at Berkeley for either the fall or spring term and then the summer term have sufficient aid in the summer because they have not used their annual maximum in the academic year. Given this, students admitted for the spring semester should be encouraged to attend Summer Sessions since they have sufficient summer funding to cover the summer costs.

The Office of the President is working closely with the federal government to extend additional Pell Grant eligibility for students who attend school year-round. There is some progress, but no guarantees at this time. UCOP is also working with the California Student Aid Commission to allow additional eligibility for Cal Grants. Currently, Berkeley is awarding a small number of Cal Grants to seniors who will graduate next year with remaining eligibility. There is a great need for endowed fellowships and scholarships for the academic year. Without similarly robust financial aid, many regular students will be unable to attend Summer Sessions.

The Task Force recommends that each UC student’s home campus be responsible for financial aid. Efficient administrative structures should be put in place at UCOP to manage this.

Full-time Status: In December, 2002 the Registrar adopted a standard for full-time summer enrollment (see matrix below), adapted from the federal financial aid standard.

SESSION	FULL-TIME UNITS
A. Six-week session	5
B. Ten-week session	8
C. Eight-week session	6
D. Six-week session	5
E. Three-week session	3

Other academic policy modifications may be called for, following consultation with the Academic Senate.

Graduate Students

There are similar areas of concern with graduate students; for example, summer admissions, normative time, and GSI eligibility

1. Summer Admissions. As with undergraduate students, there should be no summer admissions cycle for graduate students. However, graduate students admitted for the fall should be allowed to attend Summer Sessions.

2. Enrollment, Grades and Transcripts. All students will enroll, receive grades, and obtain transcripts and other related student services through the campus Office of the Registrar, as in the past.

3. Other Academic Regulations

Normative Time: At this time, only fall and spring count toward graduate students' normative time. A decision is needed from UCOP regarding how to count summer terms in calculating the maximum six semesters for state support.

In most departments, students have twelve terms from start to finish. The state funds only six semesters of enrolled study in the fall/spring semesters for students at the advanced-to-candidacy stage. Currently, dissertation units taken in summer are not funded by the state. If and when the state funds summer dissertation units, it is likely that the summer will be counted towards the number of allowed semesters that the state funds for students who have advanced to candidacy.

Probation and Dismissal: With a regularized Summer Sessions, students will be subject to the same probation/dismissal regulations in the summer as they are in the fall and spring. UC graduate students on probation will be subject to regular registration and fee requirements. Since the decision on dismissal of students for their performance during spring semester is generally not known before July 1, students dismissed in spring should be charged the UC fee for the immediately subsequent Summer Sessions.

Academic Residency Requirement: Doctoral students must meet a two-year residency requirement. The Graduate Division recommends no more than one summer term count toward this requirement. This policy needs to be further defined by the Graduate Division and approved by the Graduate Council.

4. GSI Eligibility. GSIs currently have eight semesters of eligibility. The Task Force recommends that teaching a Summer Sessions course not be treated the same as teaching a fall or spring semester course, and not count against eligibility.

All GSI recommendations are subject to contract negotiations, Graduate Council approval, and guidance from the Office of the President since these issues have system-wide impact.

5. Financial Aid. Graduate students will be required to register in summer in order to receive financial aid or fellowship support in summer. Financial aid at Berkeley is generally treated as a trailer, although the Graduate Division treats some graduate fellowships as headers.

Six Management Issues

Course Approvals

The course approval process will remain unchanged for regularized Summer Sessions, in keeping with the goal of consistent instruction quality across terms.

Departments can propose the length and number of summer courses. All Summer Sessions courses must be approved by the appropriate Academic Senate committees before being offered. In late August, the Director of Summer Sessions will advise the departments on the types of courses that appear desirable for the subsequent summer, and will be available to assist departments in estimating the potential demand for classes and making informed decisions on which classes to mount. The departments will reach agreement with the Director by October 1.

For classes that require central campus classroom space, the Director of Summer Sessions will select the mix of courses, and the Registrar will schedule them and coordinate issues of space and articulation with other summer activities. Summer Sessions will continue to have first priority in assigning classrooms in the general assignment inventory. Should scheduling challenges arise, they will be referred to the chair of the Campus Committee on Classroom Policy and Management (CCCPM) for final adjudication.

The Task Force proposes the establishment of a Summer Sessions Course Appeals Board to review appeals from departments whose proposed course offerings are not accepted by the Director of Summer Sessions. The members of the Board should include the Vice Provost-Academic Planning & Facilities, the Registrar, Chair of the Academic Senate, Chair of the Academic Senate Committee on Educational Policy, and representatives of other Academic Senate committees, as appropriate.

Staffing

Due to increased enrollments resulting from regularization, academic and administrative departments may require more staff. Requests for increased funding for these staff should be included as part of the normal EVCP budget process.

Many departments use the summer break to implement planning efforts and for fiscal closing. Advisors provide important orientation programs for thousands of entering new students during the summer, conduct degree checks on graduating seniors, and plan for the coming year. Summer has also been an optimal time for staff in academic departments to take vacation. A regularized Summer Sessions will make accomplishing all these activities more difficult.

Reporting

The main purpose of regularizing Summer Sessions is to increase the student credit hours (SCH) taken by UCB students in summer and to decrease time to degree. The spring 2002 population of UCB undergraduates is 22,964 (headcount). Assuming that 80% of the spring undergraduate population takes summer courses, each student would need to take 4.9 units to achieve a goal of 3000 FTE enrollments in the summer. To achieve a goal of 4000 FTE, each student would have

to take 6.5 units. This and the historical Berkeley average course load make it unlikely that Summer Sessions will produce 4000 FTE in the near future.

Contingent upon final review and approval by individual schools and colleges, credits earned during any Summer Sessions will be subject to college rules and regulations, such as the 120% unit rule for students in the College of Letters and Science.

In general, there will be no minimum course loads for Summer Sessions: under-enrollment will be evaluated in fall and spring only. However, it is possible that low-enrollment summer classes will not be approved for the following summer. An exception will be made for low-enrollment courses taught by ladder-rank faculty as regular teaching and not as an overload.

The Task Force recommends that the campus ask the Office of the President to allow thesis and Independent Studies credit hours taken in summer to count toward summer enrollment statistics reported to UCOP, since they do count for graduation requirements. This is consistent with the philosophy that summer be treated like the fall and spring semesters.

Campus Services

Regularization will increase demand on campus departments that serve students, especially health services, libraries, and recreational sports. Currently, University Health Services cuts back staffing during the summer, but those cutbacks (and savings) may not be possible with the increased headcount anticipated in a regularized Summer Sessions. It is questionable whether the same level of services should be offered in summer since sources of increased funding for student services have not been identified at this time. Some departments may require more space in order to increase the services they provide.

Calendar

The proposed change to 140-day semesters would make Summer Sessions more convenient for students from other institutions to attend. However, until that change is made, attending Summer Sessions or the summer EAP program will be difficult or impossible for students finishing or starting regular semesters elsewhere.

Instructional Space Matters

A recent study by the Office of the Registrar to assess the viability of increasing the utilization of general assignment space in the summer concluded that 4,000 FTE could be accommodated. However, this depended on a number of conditions being perfectly met. Because that is not possible, the Office of the Registrar expects that, while there is sufficient space in the short-term to accommodate increased Summer Sessions enrollments, a total of 4000 FTE will probably not be possible. Thus, the Task Force recommends that the campus pay particular attention to the utilization of general assignment classrooms each summer, and recalibrate its assessment of what is pedagogically advisable and physically possible to accommodate.

Systems

The current Student Information System (SIS) is a legacy mainframe database of hundreds of programs. Program logic does not recognize Summer Sessions data. The database will need to be rewritten and reconfigured to accommodate data on UCB students attending Summer Session

as a recognized term of study. The updating may take years to complete. Regularization can be used as an incentive to fast-track such modifications, but re-programming will not begin prior to June 2004. The Undergraduate Admissions and Financial Aid offices also utilize legacy databases that may need modifications as well. Reporting requirements from the state and UCOP, combined with the new BFS and HRMS systems, may require departments to input additional data into the SIS.

Seven Departmental Reimbursement

The Summer Sessions Office currently administers two different kinds of instruction programs: courses that are offered on the Berkeley campus, and courses that are offered abroad through a special Travel Study International Program. Under the proposed plan, Travel Study will transition to a completely self-supporting activity and will continue to report to the Director of Summer Sessions. Profit sharing will remain for Travel Study, but the costs for administering the program, including profit sharing, will need to be balanced by the fees charged to the students who participate. Because Travel Study is so different in nature from the campus-based summer program, the details of this transition will be the subject of a separate report.

In the proposed plan for full regularization of Summer Sessions, there will no longer be profit sharing per se. However, the EVCP will provide support to departments in the form of a reimbursement for each course taught that will cover departmental expenses and provide incentives for participation in Summer Sessions.

Background

In the past, Summer Sessions managed all the costs for each course a department offered. Summer Sessions paid instructors, reimbursed departments for additional expenses, and in the following spring shared profits by disbursing 60% to departments and 40% to the EVC&P.

This arrangement provided valuable discretionary funds that were an important incentive for departments to participate in Summer Sessions. However, this arrangement was complicated and included cumbersome paperwork for both the Summer Sessions office and the departments, which had to request reimbursement item by item and deal with both the Summer Sessions office and Human Resources in the hiring of instructors.

Analysis of previous years has shown that the sum of the expenses paid plus the profits distributed was roughly proportional to student credit hours (SCH) taught by departments. Of course, not all departments were the same: some had high expenses and low profits, while others had low expenses and high profits. However, on a per SCH basis, the sum had very little variability from department to department. This suggested a more streamlined way of dealing with reimbursement for Summer Sessions.

New Formula

A department will receive a reimbursement of \$900 for each Summer Sessions course¹² taught, plus \$90 per each UC student credit hour, plus \$110 per each visiting student credit hour. This matches fairly closely the current total disbursement to departments. The reimbursement will be

¹² An eligible course is defined as an Academic Senate-approved course or section thereof, with a separate instructor assigned, a room scheduled with definite meeting times, and with at least one unit of credit. For example, in the case of a large lecture course with several sections, each of the sections counts separately as an individual course as long as it has at least one unit of credit, one instructor assigned, and a room scheduled with definite meeting times unique to that section.

¹³ An analysis of Summer Sessions from previous years indicated that each visitor yielded about 50% more

reduced by \$42,000 for each new faculty FTE allocated to the department to provide ladder rank faculty teaching in the Summer Sessions.

Under this approach, departments will no longer be required to provide detailed lists of expenses for reimbursement and wait for distribution of profit share until the following spring. They will have more flexibility and greater autonomy than is now the case. On their own, departments will select and appoint instructors (ladder faculty, lecturers, GSIs) appropriate to each course. The Academic Senate will be responsible for oversight of the quality of regularized Summer Sessions courses, just as it is for the quality of those offered in fall and spring.

Incentives

The new arrangement includes several incentives chosen carefully to stimulate the growth of Summer Sessions while preserving financial soundness and important academic principles, and providing for campus needs. The following paragraphs explain the reasoning behind the selection of the proposed approach to reimbursement. After a few years of experience with this new approach, the campus should analyze the outcomes from these incentives and refine the reimbursement formula, if necessary.

- ***Ladder-rank faculty***

Currently, most Summer Sessions courses are taught by lecturers and GSIs. It was the sense of the Task Force that participation by ladder rank faculty in the teaching of Summer Sessions courses in roughly the same proportion as in the fall and spring is an essential ingredient for assuring that the quality of Summer Sessions offerings would approximate that of fall and spring courses. At the same time, it was also understood that the shorter duration and increased intensity of the course offerings in Summer Sessions may make a different presentation from that in the fall and spring pedagogically attractive. Thus, some variation from the proportion of ladder rank faculty in the fall and spring may be appropriate. The potential effect of such variations on quality is a matter between the departments offering the courses and the Academic Senate.

In order to encourage departments to assign ladder faculty to teach Summer Sessions courses as part of their normal annual workload, the reimbursement formula allows for permanent faculty appointments to be made in conjunction with a commitment by the department to mount summer courses with ladder faculty. In general, a ladder faculty appointment brings with it a commitment to teach three or four courses per academic year, depending on the faculty workload standard for that department. An appointment of one FTE faculty for teaching in Summer Sessions commits the department to teach a corresponding three or four courses in summer with ladder faculty (but not necessarily the individual faculty appointed with this FTE allocation).

The reduction of the reimbursement by \$42,000 per year for each new faculty FTE allocated for Summer Sessions teaching is far less than the cost to the university of hiring the faculty member. The faculty member teaching the Summer Sessions courses will relieve the department from the significant expense of hiring lecturers to teach these courses. In addition, when a faculty position is requested for teaching in Summer Sessions, the department can request and justify

additional permanent resources for GSIs, administrative staff and S&E, as is typical for other new faculty positions.

The \$42,000 reduction in departmental reimbursement was chosen to make acceptance of FTE allocated for Summer Sessions teaching approximately cost-neutral to the department compared to the previous arrangement for Summer Sessions. Of course, the addition of a new faculty member by itself will be attractive to most departments since the faculty member will increase the department's strength and breadth.

- ***Overload Teaching***

In the last two years, an incentive program was introduced that offered faculty a stipend of 1/6 of their annual salary for teaching a course in Summer Sessions on an overload basis. It was the sense of the Task Force that in a fully regularized Summer Sessions, teaching by ladder-rank faculty as part of their annual teaching obligation is much more desirable than teaching as an overload. As a result, the formula does not provide any special funding for teaching by ladder rank faculty as an overload, although the formula does not prohibit it either. If the department does decide to mount a course using ladder faculty teaching as an overload, then the 1/6 of the annual salary (see Section 4 above) is to be funded by the department using either its reimbursement under the new Summer Sessions formula described above or other departmental sources.

- ***Visitors***

The campus has set visitor fees high in order to yield more revenue. That is, visitors pay more fees than UC students (see Tables 1 and 2)¹³. In recent years the visitor population was not well distributed over the departments participating in Summer Sessions since not all departments can offer courses that are attractive to visitors. Although visitors add an important element of diversity to the Summer Sessions, the central thrust of regularization is to encourage UC students to participate. Thus, a balance must be struck between attracting visitors in order to increase diversity and financial resources and offering courses important for UCB students, independent of whether the courses will attract visitors. The proposed reimbursement formula aims to give an advantage to departmental offerings that attract visitors by having a 20% higher reimbursement for visitor SCHs than for UC SCHs. This reimbursement is less than the current revenue advantage for visitor SCHs and represents a sharing of the visitor profits among departments that offer classes attractive to visitors and those that do not.

- ***Class Size***

Classroom space during Summer Sessions is at a premium, indeed more so than in the fall or spring. Due to the short duration of Summer Sessions, the classes require about twice as many contact hours per week as the classes do in the fall or spring. In addition, classrooms are used for many other important purposes during the summer: there is new student orientation and summer outreach

programs for K-12 students. Finally, summer is also used to repair and refurbish classrooms. Tying the reimbursement primarily to SCHs encourages departments to offer classes that will be well attended and large. Spreading the same SCHs over several classes instead of one large class increases the instructional cost and may increase other costs as well. In some circumstances small sections in conjunction with a large class will be advantageous pedagogically. In these cases, the \$900 per course reimbursement provides a partial offset of the costs, but does not encourage a balkanization of courses. In sum, the fewer courses it takes to handle the same SCH, the greater the net income to the department and the fewer the general assignment classrooms needed.

Reimbursement Schedule

Under the current operation, the Summer Sessions office pays for all expenses associated with mounting the courses in the summer. Requests for reimbursement of these costs are submitted by the departments to the Summer Sessions office for approval and payment. These costs begin to accrue in the winter and spring before the Summer Sessions courses are mounted and continue well into the fall following Summer Sessions. The accounts are closed late in the fall and the profit is computed. Typically, profits are distributed in the spring following the summer in question.

Under the proposed regularization plan, the paperwork for requesting payment of expenses will be eliminated. Departments will make these expenditures directly. To do so, departments will need funding for payment of the “up front” expenses for hiring instructors and GSIs, and for purchasing course materials before the summer courses are mounted. In order to accommodate this, the schedule for reimbursement proposed above is to be split in two parts. The Summer Sessions office will estimate the total reimbursement for each course based on recent experience with the course. Sixty percent of the estimated reimbursement will be distributed to the departments in the spring before the Summer Sessions to cover “up front” costs.

After the Summer Sessions are completed, class enrollments will be known and the exact reimbursements will be computed according to the formula above. The difference between the amount already allocated and that due will be distributed to the departments in the fall after Summer Sessions (i.e., sooner than the distribution of profits occurs in the current scheme). In the very unlikely event that the accumulation of one department’s Summer Sessions courses shows a deficit, that is, the computed reimbursement for all of the courses mounted by the department is less than the advance reimbursement to cover “up front” costs, the department will be responsible for reimbursing the campus for the difference.

Implementation

Full implementation of the new financial plan will not take place until Summer Sessions 2004. For the information of each department, profit-sharing distributions for Summer Sessions 2002 will show both the total payment according to the old arrangement, and what it would be under the new formula. Profit-sharing distributions for Summer Sessions 2003 will do the same.

Eight Steps to Implementation

Issues for Affected Groups

1. Faculty

So that faculty teaching in summer can continue to earn outside income during their time off, UCOP should revise Section IV, Subsection 660 of *Academic Personnel Manual* to allow three contiguous months during the year to *count as summer* for the purposes of calculating allowable income.

2. Undergraduates

Academic Policies

The UCB Academic Senate should be asked to evaluate all academic policies at undergraduate and graduate levels that may be affected by regularization.

Student Aid

Changes are needed to make Financial Aid available to students taking summer courses (see Section V). The campus must continue and expand its commitment to seek scholarship funds to ensure similar financial aid packages year-round.

Non-resident Tuition

Since charging non-resident tuition may keep students from attending Summer Sessions and actually slow their progress to degree, this must be extensively discussed with UCOP. At the very least, the Task Force urges that non-resident tuition not be assessed to UCB and other UC students until such time as all UC campuses have state-supported summer terms.

Senior Residency Requirement

The senior residency requirement should be changed by the Academic Senate to make it easier for UCB students to take summer courses at other UC schools. This could decrease time to degree.

Campus-based Fees

Every campus-based fee should be reviewed by appropriate committees to determine which ones should continue to be charged, to whom, and whether changes are necessary to do so (see Section III). For Summer Sessions 2003, the Student Fee Referendum Committee (SFRC) has approved a \$6 campus fee for UC students which covers ASUC and two other small fees. In Spring 2003, the SFRC will begin a review of all mandatory fees and, in time for inclusion in materials for Summer Sessions 2004, make its final recommendations to the Chancellor on which should apply to summer.

Summer Enrollment:

- i) Fee--Enrollment fees for visitors should reflect the costs of health services, Class Pass and other benefits, as appropriate. The Summer Sessions office should conduct a study in order to arrive at the appropriate fees to charge.

- ii) Priority for UC students--The effectiveness of phased enrollment was evaluated at the conclusion of the 2002 Summer Sessions, and it was recommended to the Student Systems Policy Committee that the strategy be continued after complete regularization.
- iii) Entering Students--The Academic Senate should continue the policy of allowing some entering students to enroll in Summer Sessions and to count those credits.

Course Materials Fees: All summer offerings need to be evaluated to determine whether fees are sufficient to offset extraordinary costs. Individual departments will need to make these determinations, in concert with the Summer Sessions Office. If additional resources are needed, a Course Materials Fee should be sought by the department using normal campus procedures through the Course Materials Fee Committee.

Calendar: Changing the academic calendar for fall and spring would allow more students to attend UCB Summer Sessions.

Space Management: SMCP should monitor the utilization of classrooms in summer and refine targets annually.

3. Graduate Students

All the issues mentioned in subsection #2 above are matters of concern for graduate students.

In addition, a decision is needed from UCOP regarding how to count summer terms in calculating the maximum six semesters graduate students are entitled to state support.

4. Student Information Systems

Given the conversion to DB2, summer regularization changes need to be carefully coordinated with SIS.

Schedule

Summer Sessions will be regularized by Summer 2004. The Director of Summer Sessions is developing an implementation schedule that accomplishes that as smoothly and efficiently as possible.