Meeting Call for Regular Meeting of the Santa Cruz Division
Wednesday, November 29, 2023 at 2:30 p.m.
Stevenson Event Center | Vimeo Livestream

ORDER OF BUSINESS

1. Approval of Draft Minutes
   a. Draft Minutes of May 24, 2023 (AS/SCM/335)

2. Announcements
   a. Chair Gallagher
   b. Chancellor Larive
   c. CPEVC Kletzer

3. Report of the Representative to the Assembly (none)

4. Special Orders: Annual Reports
   CONSENT CALENDAR:

5. Reports of Special Committees (none)

6. Reports of Standing Committees

7. Report of the Student Union Assembly Chair

8. Report of the Graduate Student Association President

9. Petitions of Students (none)

10. Unfinished Business (none)

11. University and Faculty Welfare (none)

12. New Business

11/22/2023

Academic Senate
Santa Cruz Division

Dear Colleagues,

I write to invite you to the Fall Senate meeting on Wednesday, November 29 from 2:30 to 5:00pm at the Stevenson Event Center. The agenda may be viewed on the [Academic Senate website](#).

This meeting will mark the first time since 2020 that we have gathered in person. Last year we received many requests for an in-person meeting. Many of you cited Senate meetings as an opportunity to introduce new department colleagues to the wider University community. Please take this opportunity, then, to do just that. Please join us, and exhort your colleagues to do the same. In this complex period, it's all the more important that we come together as an educational community to support, to buoy, and to *hear* each other. Note: if you find yourself unable to join, we will have a live stream available (with mechanisms of participation and engagement).

In addition to the annual reports of the 2022-23 Senate committees, regular business includes:
- The Committee on Committees' updated 2023-24 Senate roster
- The Committee on Diversity, Equity, & Inclusion – Amendment to Committee Charge

The Chancellor and CP/EVC will offer remarks, followed by Q&A. We also hope that the leadership of the Student Union Assembly and the Graduate Student Assembly will be present to address the Senate.

I look forward to seeing you, my dear colleagues.

Sincerely,
Patty Gallagher, Chair

P. Gallagher

Academic Senate
Santa Cruz, Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 24, 2023 Senate Meeting

The draft minutes from the May 24, 2023 Senate meeting were distributed via email on July 18th and will be presented for approval at the Senate Meeting on November 29, 2023. After being approved, these minutes will be posted on the Senate web site (http://senate.ucsc.edu/senate-meetings/agendas-minutes/index.html).

Senators are asked to submit any proposed corrections or changes to these draft minutes to the Senate Office in advance of the next meeting, via EMAIL or in WRITING. All proposed changes will be compiled in standardized format into a single list for display at the next meeting.

This approach gives Senators an opportunity to read and review changes before being asked to vote on them, provides the Senate staff and the Secretary with time to resolve any questions or inconsistencies that may arise, and minimizes time spent on routine matters during meetings. While proposed changes may be checked for consistency, they will not be altered without the proposer's approval. This approach complements, but does not limit in any way, the right of every Senator to propose further changes from the floor of the meeting.

To assist the Senate staff, proposed changes should specify:
1. The location of the proposed change (e.g., item, page, paragraph, sentence);
2. The exact wording of existing text to be modified or deleted;
3. The exact wording of replacement or additional text to be inserted;
4. The reason for the change if not obvious (optional).

Please submit all proposed changes to arrive in the Senate Office **no later than 12:00 noon, Tuesday November 28, 2023.** They should be addressed to the Secretary, c/o Academic Senate Office, via email to senate@ucsc.edu.

Deborah Gould

Secretary, Academic Senate
Santa Cruz Division

COMMITTEE ON ACADEMIC FREEDOM
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) monitors and assesses matters that may affect academic freedom at UCSC, responding to individual faculty concerns and reporting emerging issues to the academic senate. The Chair of CAF represents the Santa Cruz division to participate in the University Committee on Academic Freedom (UCAF), which met on three occasions in Academic Year 2022-23 to conduct business concerning its duties as outlined in Senate Bylaw 130.

CAF met every three weeks across the academic year as issues arose for discussion and review. The committee also engaged in frequent consultations by email, and shared documents between meetings.

COMMITTEE ISSUES

I.   Implementation of the Presidential Policy on Abusive Conduct in the Workplace

(CAF) met to discuss the implementation of the Presidential Policy on Abusive Conduct. The committee had several concerns about the implementation of the policy on our campus.

We were particularly concerned that the reporting process is not completely clear. Is the reporting of abusive conduct similar to the submission of a formal complaint? To whom will these complaints be made? Currently the contact point for academic employees seeking to make abusive conduct complaints on our campus is listed as Danny Grey in Academic Personnel. Staff are directed to write to an email that appears connected to labor relations but no individual contact is given. Are responding individuals trained and aware of their responsibilities under the new policy?

The committee heard reports of alarming lapses in the handling of complaints made to labor relations and one committee member had a direct experience of a failure by mandatory reporters to treat reports properly. This needs to be addressed so that no campus member subject to abusive conduct is met with anything but swift support.

Further, committee members suggested that it would be helpful to make public more information about the process of handling complaints under the policy and suggested that further clarification was needed pursuant to the following questions:

- What is the reporting process? Is it similar to the formal complaint process under Title IX?
- Who or what body is going to be handling these complaints on our campus?

We believe the process must be very clear so as to avoid placing greater stress on members of the campus community already dealing with inappropriate conduct and the challenges of initiating the reporting process against a co-worker or supervisor.

The committee also reviewed an earlier version of the policy and found the changes in the language of the final version to be a significant improvement. There was some remaining concern that under

a strict interpretation of the language of the policy, any activity not directly work related could be tagged as abusive conduct. Specifically, the policy identifies "[c]irculating photos, videos, or information via e-mail, text messages, social media, or other means without a legitimate business or educational purpose" as abusive conduct. We recommended the addition of the word "harmful" between "circulating" and "photos".

We also reiterated a concern raised in the first iteration of the policy regarding complications arising from the "reasonable person" standard. On this we posed the following questions to the Administration:

- Will an emotional and heated disagreement about an academic issue count as bullying?
- Would this vary from discipline to discipline based on the culture of interactions, which can be quite confrontational in some disciplines?

II.   UCSC Graduate Student Instructor, Research Assistant and Post-doctoral Fellow Strike

During the Fall quarter, CAF also spent considerable time discussing implications of the university's communications and policies on academic freedom.

III.   UCSC ITS Mandatory Requests for Monitoring Software Installed on Faculty Computers

During the fall quarter CAF met with the new Vice Chancellor of Information Technology (VCIT), Aisha Jackson, to discuss a plan to install monitoring software on faculty computers. The committee provided a preconsultation memorandum[1] to VCIT Jackson which identified the following areas of concern:

- What is this software and what does it do?
- What policy currently supports this practice?
- What is going to be monitored?
- Who will have access to the data generated by the monitoring software? Will it circulate?
- outside the university? Will data be sold? Will the faculty be compensated for the use of their data?
- Most importantly, many faculty keep anonymous or confidential data on their computers.
- This software poses challenges for IRB compliance, HIPA and FERPA compliance.
- Practically all faculty have student grades on their computers. Many have even more sensitive information.

During the consultation VCIT Jackson provided an overview of the IT used to prevent data breaches on our campus (see Appendix A). Committee members heard about the frequency and cost of hacking attacks in the UC system. CAF members expressed their concerns about the use of software to monitor computer use and asked for a continued dialogue with IT as such software is implemented.

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[1] CAF_VCITJackson_ITSMonitoring Software_20221028

IV. Self-attestation forms

CAF was asked to consider whether the use of self-attestation forms infringed on academic freedom. Two such forms were used in the 2022-23 academic year - one related to vaccination status and a second asking for faculty, graduate students and post-doctoral fellows to self-report participation in the labor strike that took place. CAF was concerned about the use of these mandatory self-reporting forms, especially in the context of a sanctioned labor action and the University's use of these forms to gather information about workers exercising a legally protected right to strike.

V. Plagiarism Detection Tools

In response to a request from a faculty member, CAF undertook a discussion of the University's policy on the use of plagiarism detection tools that might detect AI generated content. Members of the committee were concerned about student use of tools like ChatGPT to generate written work. However, the university's policy preventing the use of detection tools is driven by guidance from the campus counsel and restrictions posed by FERPA. Committee members were not convinced that the university's current policy infringes on faculty academic freedom.

VI. Reviews of Policy and Process

Divisional
- Strategic Planning
- Plagiarism Detection Tools

Systemwide
- Draft Presidential Policy -- Abusive Conduct in the Workplace
- Proposed Presidential Policy on Sustainable Practices
- Proposed Presidential Policy on Vaccination Programs
- Proposed Presidential Policy – Anti-Discrimination
- Proposed Presidential Policy – Clery Act Policy
- Proposed Revisions to Academic Personnel Manual Section 210
- Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer

Respectfully submitted,

COMMITTEE ON ACADEMIC FREEDOM
Chris Chen
Ian Garrick-Bethel   Nolan Higdon, NSTF Representative
Susana Ruiz   Sam Hughes, GSA Representative
Hongyun Wang   Michael Hernandez, SUA Representative
Roger Schoenman, *Chair*

August 31, 2023

COMMITTEE ON ACADEMIC PERSONNEL
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Academic Personnel (CAP) is charged with providing Senate consultation on faculty personnel cases, by making recommendations on appointments, retentions, promotions, merit increases, and mid-career appraisals for Senate faculty, adjunct faculty, and professional researchers to the deciding authorities: Chancellor, Campus Provost/Executive Vice Chancellor (CP/EVC), and Divisional Deans. In no case is CAP the deciding authority.

In the year 2022-23, CAP had eleven representatives, two from Arts, two from Engineering, two from Humanities, two from Social Sciences, and three from Physical and Biological Sciences (including the Chair). The Committee laments the lack of representation of Teaching Professors, and strongly encourages the Committee on Committees to ensure in the future that at least one member of CAP be a Teaching Professor.

An addendum to this report with personnel review statistics and routine business will be submitted to the Winter 2024 Senate Meeting call.

I.   Policies, Guidelines, and Recommendations

In addition to providing recommendations and consultations that fall under the purview of CAP as outlined above, the Committee continued discussions about time-sensitive issues, including especially, this year, the framing of the new Salary Equity Review policy and the questions pertaining to policy on public-facing and digital projects in Arts, Humanities, and Social Sciences in the context of the academic personnel review.

Consultation with the Administration
CAP appreciated the CP/EVC and Chancellor's continued willingness to consult with the CAP Chair on files where there is a possibility that their final decision would differ from CAP's. Additionally, in two instances this year, the administration consulted with the full CAP committee. The outcomes of such discussions were quite uniformly (with very few exceptions) in the direction of the final authority maintaining their initial decision. Nevertheless, CAP felt that those regular consultations with the CAP Chair, reported to committee members on a weekly basis, were useful in forming a continuing understanding of the final authorities' inclination and general interpretation of policy. CAP Chair Profumo also consulted with the divisional deans on a few occasions. CAP suggests that consultations with the CP/EVC and the deans be held at the beginning of each academic year as an additional tool for working toward shared metrics and approaches to evaluation.

A. CAP Recusal Policy
Continuing existing practice, in 2022-23 both the case presenter and second reader of the file were not faculty members from the candidate's department. Department members from the file being discussed were recused from voting and did not take part in the discussion specifically leading to CAP's recommendation votes. Department members were present for the general

discussion of the case, barring any other conflict of interest or personal reason to be recused, and had access to the entirety of the file, including letters added to the file after the departmental vote. Questions addressed to the department member by CAP were confined to standards in the discipline, e.g., which publication venues have greatest visibility, which fields are high profile, changing or emerging foci in the discipline, etc. The department member was recused and excused from the meeting if the department vote contained dissenting votes, or if there were any other questions or appearances of conflict of interest, as identified by the department member, the chair, or any CAP member. Any CAP member could choose to be self-recused from any case, including those from their home department. CAP continues to consider how to handle instances in which a personnel file contains confidential letters from the candidate, after the department's letter has been submitted, if one of the candidate's departmental colleagues is on the committee.

B. Waivers of Open Recruitment
During this academic year, and similar to the previous academic year, the committee noted a significant and somewhat disproportionate use of Waivers of Open Recruitment, often without sufficient justification for such requests. This was especially a problem in connection with the requirement to provide "information explaining why an open recruitment cannot be conducted," as specified in CAPM 101.000. In several instances, the Administration granted waivers despite unanimous contrary opinions expressed by the three Senate committees that opine in such cases (CAP, the Committee on Planning and Budget, and the Committee on Affirmative Action and Diversity). We hope that in the future such requests will be more soundly justified and that final decisions adhere more clearly with policy, faculty governance, and the general principles of openness and fairness in hiring processes.

C. CP/EVC Expansion of Exceptions for Retention Actions
In response to a request from CP/EVC Kletzer of March 10, 2022,[1] CAP endorsed the general practice of allowing for nimble action in time-sensitive situations, and noted that in the past the campus has lost excellent faculty members due to our inability to respond quickly to retention issues. However, CAP continues to be concerned by the problems of working within the framework of "a serious, credible, and imminent threat of losing the faculty member," which leaves that phrase open to interpretation. The entire process is weakened by a general lack of accountability and arbitrariness. In its response[2] to the CP/EVC's plan to expand exceptions for retention actions, CAP noted several problems with defining "a serious, credible, and imminent threat." While formal offers and exact salaries would not always be necessary, a firm commitment that an offer is forthcoming, along with a salary range, would likely be sufficient to warrant a retention action. CAP interpretation of "a serious, credible, and imminent threat" goes beyond simply being short-listed in an open search, or having been invited to apply to interested departments; CAP insists that such "threats" should consist of, at least, an informal offer, or communication that an offer is definitely forthcoming.

The unintended negative outcome of a pattern of poorly justified retention cases could result

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[1] CP/EVC Kletzer to CAP Chair Profumo, 3/10/22, Re: Expansion of Exception for Retention Actions
[2] CAP Chair Profumo to CP/EVC Kletzer, 4/12/22, Re: Expansion of Exceptions for Retention Actions

in higher salaries for those individual faculty and exacerbate already existing overall faculty salary inequities across divisions and departments on campus. So, more broadly, CAP continues to encourage the Administration to take action in the direction of systematically rewarding deserving faculty members, including with a boosted version of the current Special Salary Practice (SSP) and with access for all faculty to a salary equity review mechanism in the context of, as well as outside of, regular merit reviews.

D. Campus Expectations for Assessing Community-Engaged Scholarship in Academic Personnel Reviews

CAP worked throughout the year to review, codify, and communicate to the campus our policies and practices on assessing community-engaged scholarship in personnel reviews. Building on the guidelines and framework we developed last year (see UCSC CAP Annual Report 2021-22[3]), we aimed to address all aspects of community-engaged scholarship, from advice on how faculty should incorporate their work as engaged scholars in the file, including the bio-bib and personal statement, to guidelines for departments on how to solicit external reviewers. Two of the highlights:

1) We participated in an April 19 event, Valuing Engaged Scholarship in the Tenure and Promotion Process, sponsored by the new center, Campus + Community (directed by Rebecca London, Sociology), in support of engaged scholarship across UCSC. For a recording of this event, see https://transform.ucsc.edu/work/campus-community/for-faculty-2/.

2) We partnered with CP/EVC Kletzer and VPAA Lee on a formal document, Campus Expectations for Assessing Community-Engaged Scholarship in Academic Personnel Reviews[4], released on August 11.

Among the recommendations in this document for faculty whose work involves and are committed to public-facing scholarship, we would like to highlight here the following: When a file includes community-engaged scholarship, it is helpful for the candidate and the department to discuss the methodology underpinning the work, the quality of the scholarship, its significance/impact, and dissemination. The following criteria should be considered in the evaluation of a personnel file.

1) **Methodology**
   a. Community engagement processes that are built on trust and reciprocity.
   b. Collaboration that enhances the research process through community-engaged approaches with attention to the ethics of collaborative work, promoting and being accountable for inclusive, equitable, and respectful collaboration in research environments.

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[3] Committee on Academic Personnel, Annual Report, 2021-22 https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/cap-annual-reports-folder/cap-annualreport-2021-22_scp2031.pdf

[4] CP/EVC Kletzer and CAP Chairs Callanan and Gillman to Senate Faculty, Deans, and Chairs, 8/11/23, Re: Campus Expectations for Assessing Community-Engaged Scholarship in Academic Personnel Reviews https://apo.ucsc.edu/news-events/campus_memos/08-11-23-cap-cpevc-community-engaged-scholarship.html

2) **Quality**

Because community-engaged, public-facing work frequently spans the three categories of research, teaching, and service, both the department and the reviewers should address this overlap where relevant. The **process** of being involved with the community in producing knowledge (as a parameter related to but distinct from the **output** of the collaboration) potentially brings in teaching and mentorship (undergraduate and graduate students and community roles), and service (public participation).

3) **Significance/Impact**

a. Consider the potential or actual impact for the scholarship to advance knowledge and provide beneficial outcomes in the communities in which the scholarship is conducted. Examples might include influencing or shaping policy, changing practices, outlining problems that communities identify as critical to address, enhancing the local economy, and making progress toward social equity and/or systemic change that promotes the public interest.

b. Contributions to knowledge in both the academic field and community. Such contributions might take the form of peer-reviewed academic publications, increased funding for further research, implementation of new programs, public exhibitions, reports, websites, and/or making a significant contribution to the discipline on issues relevant to external partners and the community.

c. In files, where appropriate, external reviewers should be chosen who have expertise to assess community-engaged research contributions, and this review should be formally requested in the departmental External Reviewer solicitation letter.

d. In some cases, faculty may request additional letters for their personnel files to assess the broader impacts of their community-engaged work.

e. Enhancing the ability of public communities to benefit from the research, including students, community partners, policymakers, local leaders, and the general public.

f. Impact through a focus on underserved communities, addressing disparities, or addressing the needs of California's diverse population.

4) **Dissemination**

The research must be presented in a form that can have influence beyond its immediate context, is accessible to the public and durable over time. Some examples of specific dissemination strategies include: community reports, newsletters, non-scholarly presentations, ongoing relationship building through regular communication webinars and digital training, plus other education and outreach activities—including and beyond social media (blogs, podcasts, other online forums).

In addition to community-engaged research, assessment of teaching and service shall also value community-engaged activities. Faculty should explain in their personal statement the extent of work done that may go beyond the usual effort in these activities, for example, a course based on community-engaged activity may need to be redesigned each year as the community partners change, and thus it may be a new course preparation for each offering. Development of community engagement shall be recognized in any area of research, teaching, and service.

II.   **CAP Review and Evaluation**

CAP outlined service expectations and examples in the 2021-23 Annual Report; in that report, CAP also emphasized the importance of contextualizing publications in personal statements and letters; finally, CAP continues to encourage candidates to submit COVID impact statements as appropriate.

CAP renews the <u>strong</u> suggestion that personal statements and departmental letters not exceed 5 pages in length, unless absolutely necessary. Extremely long personal statements defeat the twin purpose of summarizing the major accomplishments of the review period and justifying the reasons for the departmental recommendation, rather than repeating every aspect of the file. Departmental letters that contextualize negative votes are also very helpful to CAP and other reviewers. Moving forward, CAP may consider sending back unusually long personal statements or departmental letters for revision.

Recommendations to Facilitate the Review of Files

The [Recommendations to Facilitate the Review of Files](#)[5] is a list of CAP recommendations for file preparation, which includes information on service expectations, file composition, justification for appointment and retention salaries, expectations for external reviewers, and Teaching Professor expectations. The document may be found on the CAP page of the Academic Senate website. Additional tips and recommendations may also be found on the [CAP webpage](#)[6]:

- [Top 10 Tips for Faculty](#)
- [CAP's Tips for Department Chairs](#)
- [Best Practices for Personnel Reviews in Text-Based Disciplines (Humanities Division and Social Sciences Division)](#)

Collaboration with Other Senate Committees

This year CAP worked collaboratively with several other Senate committees on a range of issues affecting faculty personnel actions, including the Committee on Faculty Welfare (on the need to update the Special Salary Practice), the Committee on Teaching (on teaching tables), and the Committee on Planning and Budget and the Committee on Affirmative Action and Diversity (on the justification for the use of waivers of open recruitment).

Teaching Tables

CAP has worked with COT and CITL throughout the recent revisions to the Student Experiences of Teaching surveys (SETs), as well as the transition to the new SETs platform (Blue or Explorance). SETs were revised to remove the "overall teaching effectiveness" question which is known to increase bias. COT, CAP, and CITL agreed to replace teaching tables with that single question with teaching tables highlighting three different specific questions. Outgoing COT Chair Kate Jones summarized these changes in a recent memo and in an Appendix to COT's 2022-23 annual report. The plan to move toward inclusion of teaching tables for the 3 replacement SETs questions in each file was spelled out in the [2020-21 COT Annual Report](#) (pp. 2-3). Part of the

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[5] CAP Recommendations to Facilitate the Review of Files, Spring 2021 https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/cap_recstofacilitatereviewoffiles_082021.pdf

[6] Committee on Academic Personnel: https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html

reason for choosing Blue as the campus platform was the promise that it would be possible to produce teaching tables "automatically." This process has turned out to be more complex than expected, but ITS staff have been working with department staff to learn how to download teaching tables for personnel actions and make slight modifications as needed.

Acknowledgments

The academic personnel review process depends on the collective work of many hands. We acknowledge AVP Grace McClintock, Analyst Ibukun Bloom, and the extraordinary staff of the Academic Personnel Office. These knowledgeable, helpful, and hardworking staff are critical to the personnel review process, providing the information that CAP needs to get its work done. CAP acknowledges the work and skill of departmental and divisional staff in helping to prepare and process personnel review files, and is grateful for the dedicated divisional academic personnel coordinators and analysts.

In addition, we wish to note the successful collaborations with the Committees on Teaching, Faculty Welfare, Affirmative Action and Diversity, Planning and Budget, as well as with the Senate Executive Committee.

Our deepest appreciation also goes to Jaden Silva-Espinoza, our Senate Analyst, and to Senate Director Matthew Mednick and Executive Assistant Michele Chamberlin, who assisted CAP in spring 2023.

We would also like to express our appreciation for the many collaborative interactions with the divisional leaders—Dean Alinder, Dean Koch, Dean Mitchell, Acting Dean Bullock, Dean Parreñas Shimizu, and Dean Wolf—and with campus leadership—VPAA Lee and CP/EVC Kletzer, and Chancellor Larive.

We consider it a great privilege to have served on CAP during 2022-23, and are grateful to our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted,

COMMITTEE ON ACADEMIC PERSONNEL
Zsuzsanna Abrams
Maureen Callanan
Gregory Gilbert
Susan Gillman
Doug Kellogg
Roberto Manduchi
Warren Sack
Magy Seif El-Nasr
Beth Stephens
Quentin Williams
Stefano Profumo, *Chair*

August 31, 2023

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Admissions and Financial Aid (CAFA) continued its annual work evaluating the outcomes of the prior admissions cycle and adapting to changing circumstances in shaping the class entering in fall 2022 and planning ahead for new modes of application evaluation for the 2023 cohort. As always, we worked closely with Undergraduate Education (UE), Enrollment Management (EM), and Undergraduate Admissions (UA), whose energy and creativity provided us with both information and options for setting policy.

I.   WORK OF CAFA IN 2022-23

A. Changes in policy and practice

- *Lower-Division Transfers.* Before this cycle, UC Santa Cruz had not considered transfer (a.k.a. "advanced standing lower division applicants at the freshman or sophomore level") applicants with fewer than 90 units if they had not yet met the seven-course pattern or major screening requirements. This practice excluded virtually all advanced standing freshman applicants. In an effort to maximize transfer access, CAFA revisited this practice and adopted a policy of considering all transfer applicants who met one of the four UC requirements for advanced standing applicants per UC Senate Regulation 476. Applicants who met the requirements for advanced standing freshman level and demonstrated ability to be successful were considered for admission in this cycle.

- *Conforming Amendments to Senate Regulations on Admissions.* CAFA approved the proposed amendments to SR 419, 428, 440, 450, 452, 464, and 465 and new SR 467 to align the regulations to recent policy actions by the Board of Regents related to standardized testing, particularly the removal of standardized test from the Comprehensive Review admission criteria.

- *Alternate Major Consideration.* The need to further limit enrollments to the Computer Science (CS) majors this cycle required decisions about whether to consider applicants for admission to their alternate major if they did not meet the first-round selection criteria for CS. To minimize enrollment pressures in courses shared by CS majors, frosh applicants to CS were considered for alternate majors *except* for Computer Engineering and Computer Science-Game Design. All CS transfer applicants were considered for their alternate majors if they were not selected for admission to CS.

- *Holistic Review Scoring Rubric*. In response to clarifying questions that arose in reader training, CAFA made the following edits to the Holistic Review Scoring Rubric and descriptions of the non-cognitive variables (NCV's).
  - List of reasons for a score of DENY was expanded to include (i) an overall weighted capped GPA <2.0, and (ii) applications missing senior year in-progress and planned courses without a compelling explanation.
  - Criteria for scoring NCV "alignment of interests with proposed major" was expanded to include evidence of "intellectual curiosity" to allow flexibility for

proposed majors (e.g., English) for which additional coursework and activities may be limited.

o   Criteria for scoring NCV "contribution to a diverse UC Santa Cruz community" was edited to allow greater flexibility and a broader definition of diverse populations.

B. Sub-Committee Efforts

- *Appeals Subcommittee*
  The Appeals Subcommittee continued to meet occasionally throughout the year to consider cases of cancellations of admission offers from the prior cycle and provide input into the appeals policy. The appeals policy was modified this year to ensure students who have completed their matriculation term have one more level of due process. This includes a referral to Campus Conduct in the event the Cancellation Appeals Review Committee denies an appeal of such a student.

- *Data Subcommittee*
  The Data Subcommittee (DSC) met regularly with staff from Enrollment Management, Undergraduate Admissions, and Institutional Research, Assessment and Policy Studies (IRAPS) in order to design selection criteria for each stage of admission offers (early, regular, and waitlist). This was the second year that IRAPS participated regularly in the work of the DSC, and they have provided extremely valuable support as CAFA implemented new screening procedures to adapt to removal of standardized test scores.

This year, the need to further limit enrollments to the Computer Science (CS) majors necessitated the use of separate selection criteria for CS applicants. It also required decisions on how to handle applicants who met the campus-wide selection criteria but were not offered first-round admission to CS. The work of the DSC benefited greatly from the participation of a CAFA member representing CS. The DSC presented several admission scenarios – including alternative options for CS majors – to the full CAFA for selection and approval.

C. Correspondence

CAFA commented through letters to the Board on Admissions and Relations with Schools (BOARS) on two system-wide admissions issues: (i) the proposal for a new Ethnic Studies ("Area H") requirement for UC eligibility, and (ii) the approval of introductory data science courses as advanced mathematics courses that can validate the advanced algebra requirement under Mathematics (Area C). CAFA also commented on UC Santa Cruz's Computer Science and Engineering (CSE) Enrollment Management Plan, UC Santa Cruz's Strategic Planning reports, and two systemwide proposals to amend senate regulations. CAFA's correspondence is summarized here very briefly; the interested reader should consult the formal correspondence for a more nuanced and more accurate representation.

- *Area H/Ethnic Studies*. Regarding the Ethnic Studies course criteria and guidance: CAFA found that the revisions addressed the main concerns raised by last year's CAFA, and no new concerns were raised about the content or wording. Regarding implementation: several members felt they could not support an Area H requirement without seeing a more complete assessment of the costs and benefits. CAFA was particularly concerned that implementation challenges at under-resourced schools

could make it harder for students at these schools to complete A-G requirements. Concerns were also raised about the plan to allow cross-listing of Area H courses with courses in any other A-G subject.

- *Area C/Data Science*. members expressed strong concerns about revisions to the Mathematics (Area C) course policy that BOARS approved in October 2020 and the way these revisions have been implemented. The primary concern is that introductory data science courses with little algebra content have been approved by UCOP as courses that may substitute for Algebra II/Math III in fulfillment of the required third year of math. CAFA noted that students who pursue such alternative math pathways will face significant barriers should they choose to pursue a degree in STEM or other quantitative majors – including data science – and that groups who are already under-represented in these fields are most likely to be steered into the alternative pathways.

- *Computer Science and Engineering Enrollment Management Plan*. CAFA indicated support for the proposal by Computer Science and Engineering (CSE) to further limit undergraduate enrollments in the CS majors as a short-run solution to the problems posed by the tremendous growth in demand for CSE's undergraduate programs. However, CAFA believes that those problems would be better addressed in the long-run by an appropriate shift of resources to CS and other departments that serve CS majors.

- *Strategic Planning*. CAFA commented on the draft reports and recommendations of two of UC Santa Cruz's five Leading the Change strategic planning committees: "Unparalleled Undergraduate Education and Student Experience" and "Inclusive and Thriving Campus Community." A suggestion related to both reports is that their goals could be better served if resource allocation across majors and programs were more responsive to changes in applicant demand. CAFA also noted that UCSC's strategic plan could be better aligned with the UC's 2022 multi-year compact.

- S*ystemwide Senate Review of Proposed Senate Regulation 479 (Cal-GETC)*. CAFA supported the creation of the California General Education Transfer Curriculum (Cal-GETC) – a lower-division general education pathway for transfer to either a CSU or UC campus – and had no significant concerns about the proposed changes to current requirements.

- *Systemwide Senate Review of Entry Level Writing Requirement Task Force Report and Recommendations*. CAFA supported proposed revisions to Senate Regulation 636 specifying options for students to fulfill the Entry Level Writing Requirement (ELWR) in light of UC's August 2021 decision to discontinue use of the Analytical Writing Placement Exam. CAFA supported the recommendation that all campuses collect and report on ELWR placement data in the coming years. CAFA also echoed the concern that eliminating the use of standardized test scores as a way to fulfill ELWR would require significant resources.

II.   ISSUES FOR THE NEAR FUTURE

A. Holistic Review Rubric
Analysis of first-year outcomes for Fall 2022 frosh cohort should inform decisions about which non-cognitive variables should be collected going forward and how they should be used.

B. Area H/Ethnic Studies

A revised proposal is expected to be submitted by BOARS for system-wide review during the next cycle. CAFA should continue to play an active role as the discussion progresses. Depending on the nature and timing of subsequent policy changes, issues that may affect CAFA's work include the possibility that many non-resident applicants as well as some California applicants who attended private high schools or under-resourced public schools may not have had access to Are H-approved Ethnic Studies courses.

C. Area C/Data Science

BOARS will be reviewing the criteria for advanced mathematics courses to validate advanced algebra (Algebra II/Mathematics III) and may submit a proposal for system-wide review in the next cycle. CAFA should continue to play an active role as the discussion progresses. Depending on subsequent policy changes, CAFA may then need to consider the implications of a growing number of applicants who will have satisfied the Area C requirement without taking advanced algebra.

D. Supreme Court Ruling on Affirmative Action

For now, per system guidance, CAFA does not need to change any existing practices in response to the ruling. CAFA should consult Campus Counsel with any questions that arise during the next cycle. The system is expected to provide updated guidance to the 2015 published guidance to incorporate this new ruling.

E. Assembly Bill 1749/Associates Degrees for Transfer

This bill is not yet final and it has been opposed by the UC. However, if something like the current version becomes law, CAFA should begin considering and planning for the impact on transfer applications, admissions, and student success. The current draft of the bill (as of August 2023) would require the UC to guarantee admission to community college students who earn an associate degree for transfer and meet certain requirements – and also to give them priority over other transfer applicants. The requirement would apply first to UC Los Angeles beginning in 2025-26 and would then apply to UC Santa Cruz, UC Merced and UC Riverside beginning in 2027-28.

F. Compare Favorably

In the absence of standardized test scores, the requirement (per state law and Regent's policy) that admitted nonresident students "compare favorably" (CF) on average with California admits has become harder to demonstrate. High schools outside of the US attended by all types of applicants (California, out of state and international students) – often have grading systems that are not comparable with those in California or other US states. One potential solution being considered by BOARS is a measure that adjusts for GPA differences across different types of high schools. BOARS has made progress toward developing such a metric and will continue to discuss with UCOP during the next cycle. CAFA should continue to advocate for the use of an alternative CF metric.

G. Lower-Division Transfers.

This was the first cycle that UC Santa Cruz considered and admitted lower-division transfer applicants who had not yet met the seven-course pattern or majors screening requirements. CAFA and the DSC should examine student success data for lower-division transfers as it

becomes available and work with EM and UA to refine procedures for screening these applicants as appropriate.

III. ADMISSIONS FALL 2023 AND WINTER 2024 COHORTS AND FINANCIAL AID FOR AID YEAR 2022-2023

A. Admissions[1]

A brief summary of UC Santa Cruz admissions outcome data provided by the Division of Undergraduate Education's Office of Enrollment Management is outlined below. Admissions is dynamic, and data, such as residency or enrollment estimates, may change.

UC Santa Cruz received 79,991 fall 2023 applications. Frosh applications totaled 68,751 (CA = 54,821, out of state = 7,533, and international = 6,397) and transfer applications totaled 11,240 (CA = 10,236, out of state = 388, and international = 616). As with last year, the campus was open for winter transfer applications in selected majors. The campus opened again for winter 2024, transfer students only. The campus received 452 applications for winter 2024 as of August 2, 2023; last winter was 782. The campus relies heavily on this pool to maximize opportunities to achieve the state mandate to enroll one new California transfer student for every two new California first-year students, commonly referred to as 2:1. The Jack Baskin School of Engineering and in the Division of Physical and Biological Sciences continue to open many majors for winter.

UC Santa Cruz admitted 43,215 frosh for fall 2023 & winter 2024, including 33,176 California, 6,107 out of state and 3,932 international. The frosh admission rate was 62.9%. The average high school GPA of admitted frosh was 4.01 (on a 4.4 weighted scale), compared to 4.08 in fall 2022. Waitlist strategies were utilized to manage enrollment outcomes within an ever-changing environment. The established Computer Science capacity constraints were met. The aforementioned frosh admit number includes 1,086 alternate offers for winter 2024 to ensure maximum access and to address capacity constraints.

UC Santa Cruz admitted 7,248 lower division and upper division transfer students, including 6,750 California, 137 out of state and 361 international. The admission rate for all transfers was 64.5%. The total number of admits increased by 1.7% and California admits increased by 3.4% from last year. In an effort to maximize transfer access for students meeting the UC Regulation 476, all advanced standing pathways (lower and upper division) were opened. Lower division freshman level applicants who met freshman standing requirements and demonstrated ability to be successful were admitted. Lower division sophomore transfer applicants with fewer than 60 credits met freshman standing requirements and completed math, English, two breadth areas and started major preparation, if required, were admitted, unless they were proposed computer science majors. Lower division sophomore transfer applicants with more than 60 credits who met the same course requirements and (where applicable) major preparation requirements as

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[1] Data from UC Santa Cruz Data Warehouse (InfoView- AIS-Daily) and IRAPS Internal Admissions Dashboard and SIR & Melt Tracking Dashboards

upper division transfer students, but had fewer than 90 units for transfer, were admitted. All upper division transfers who met major UC requirements and major preparation, if needed, were admitted, with the exception of computer science, which is impacted. Eligible students not admitted to computer science or their screening major due to lack of major preparation, were offered their alternate major or a non-screening major.

First-year fall 2023 Statements of Intent to Register (SIRs) total 5,405, including 4,804 California, 427 out of state and 174 international students. California SIRs from students identifying as African American reached 4.8%, increasing from 4.7% in fall 2022 but decreasing from 5.9% in fall 2021; Hispanic/ Latino reached 28.3%, decreasing from 31.4% in fall 2022 and 32.5% in fall 2021. First-year Winter 2024 SIRs (from fall 2023 alternate offers) total 162, including 148 California, 9 out of state and 5 international students.

Transfer SIRs total 1,444, including 1,388 California, 27 out of state and 29 international students. California SIRs from students identifying as African American reached 21.4%, slightly decreasing from 23.9% in fall 2022; Hispanic/ Latino reached 19.5%, decreasing from 23.3% in fall 2022; American Indian/ Alaskan Native reached 27.8%, increasing from 19.4% in fall 2022. Continued close collaboration among Admissions, EM, UE, CAFA, Committee on Educational Policy (CEP), programs and the disciplinary divisions helped to maximize transfer admission offers to qualified transfer applicants. UC Santa Cruz expects to fall short of 2:1 again this year as a result of increasing the California first-year target in support of UC's increased annualized FTE enrollment goals, currently estimated at 3.33:1. Had the California frosh target not been increased, it would have been 2.8:1.

B. **Financial Aid and Scholarships**
    In 2022-23, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 13,537undergraduate students (77% of undergraduate population) and 1,968 graduate students (99.6% of graduate population). The types of aid provided included grants, scholarships, fellowships, loans and/or work-study assistance.

    Award Program Updates
    At a federal level, the primary impact to students remains with the Federal Higher Education Emergency Relief Fund (HEERF) funding. After 3 separate rounds of funding since March 2020: Coronavirus Aid, Relief, and Economic Security Act (CARES), Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA), and the American Rescue Plan (ARP), the campus has received a total of $44,692,560 for direct distribution to students as grant aid. As of June 2023, the campus has disbursed $44,692,560 (100%) of the funds to a total population of 13,506 undergraduate and graduate students. At a state and institutional level, there have been many new programs introduced or implemented over the past calendar year or in the coming year.

    Federal Policy Updates
    FAFSA Simplification: The 2024-25 federal financial aid application and need analysis will experience the most significant changes in at least twenty-five years, largely as a result of the FAFSA Simplification Act. The application itself is changing, which introduces outreach and administrative challenges for colleges and universities, including a shortened

filing period in its first year from January 1st. to March 2nd. Removal of the number of family members in college from the eligibility calculation. The possibility for an SAI (Student Aid Index formerly known as Expected Family contribution (EFC)) to be a negative number, with a minimum SAI of -$1,500 instead of zero.

University Policy Updates
o   Tuition Stability Plan: In July of 2021, the Board of Regents approved a multi-year tuition plan that includes different tuition levels by cohort. The entering cohort for Fall 2023 will be the third cohort with this tuition plan.

o   Debt Free UC: UC rolled out a model providing a debt free path for a subset of students in 2022-23 as a first step toward the Governor's goal of every undergraduate debt free by 2030, both through UC and State financial aid programs. (See MCS 2.0 below.) In 2023-24 phase two of this program will provide a debt free path to all new California students with a $0 Expected family Contribution (EFC) and continuing students who were debt free in the prior year. The estimated investment of $38M is expected to benefit nearly 15,000 UC students who will have a loan and/or work expectation (self-help) of $7,900.

o   Native American Opportunity Plan: Starting in fall 2022, the University of California provided $2.3M in financial aid to 211 students to ensure that in-state-systemwide mandatory tuition and fees are fully covered for California residents who are members of federally recognized Native American, American Indian and Alaska native Tribes.

o   Residence Determination Process Improvement: UCOP is continuing to work with campuses to implement an earlier residence determination process, letting students know before they need to accept an offer of admission if they are residents for tuition purposes.

State Policy Updates
The State of California has many expanded and new programs:
o   Middle Class Scholarship (MCS) 2.0: The Middle-Class Scholarship Program is being expanded significantly. MCS funding for the 2021-222 academic year was $38M program serving 11,700 UC students.

The California Student Aid Commission (CSAC) estimated the program funding will grow to a $248M program serving 94,374 UC students in 2023-24.

As of June 2023, UC Santa Cruz had paid $12,914,760 in MCS awards for the 22-23 academic year to 6,635 students. Final figures are pending reconciliation in Sep 2023. Each award requires file exchanges with CSAC. Provides awards without regard to EFC, which significantly complicates coordination with federal student aid rules.

o   *Other New or Expanded State Financial Aid Programs:*
    NEW: Community College Cal Grant Entitlement Program
    NEW: One-time $15M in State emergency grants
    NEW: Dreamer Service Incentive Grant
    NEW: Augmented Cal Grants for student parents and former foster youth
    EXPANDED: Augmented MCS for former foster youth
    EXPANDED: Golden State Teachers Grant Program

Current Financial Aid Funding Model and Data
The UC Education Finance Model (EFM), which uses approximately 33% return-to-aid (RTA) from tuition and fees to support low income students, continues to be closely reviewed by the system-wide EFM committee. This model will be changing with cohort tuition, with subsequent increases to tuition levels having a 45% RTA. The UCOP EFM committee meets quarterly regarding issues that affect the determination of the Cost-of-Attendance and the cross-campus allocation of aid funds.

When tuition and campus fees are combined with other elements of the student budget, such as housing/dining and health care, the average cost for new UC Santa Cruz CA resident students living on campus in 2023-24 will be $41,283, the 4th highest in the system. Non-residents will have an additional $32,574 tuition charges, bringing the non-resident on-campus budget to $73,857. Under EFM, 2023-24 UC Santa Cruz undergraduates who qualify for need-based assistance must pay approximately the first $12,450 of their need from loan and/or work resources. Debt Free UC eligible students will have to pay approximately $7,900 from loan and/or work resources. After subtracting the loan/work expectation and the family contribution (from FAFSA/DREAM App data), grant aid can help pay the remainder of the total estimated total cost.

The Blue and Gold Opportunity Plan guarantees that students from families with incomes under $80,000 will receive enough gift aid (from all sources) to pay UC tuition and fees. Virtually all students in this category already receive enough gift aid to meet this commitment. However, under the Plan some students who would not normally receive gift aid (due to high asset equity) receive gift aid.

In 2022-23 the Financial Aid and Scholarship Office administered $298 million in financial assistance to about 77% of our undergraduates, as compared to $295 million / 77% in 2021-22. *(See table.)*

2022-23 Source of Aid	Percent of Undergraduates	Aid Distributed	Average Award
Gift Aid (all sources)	63%	$ 222,573,237	$ 20,308
UCSC Scholarships*	14%	$10,096,464	$ 3,999
Federal Pell Grants*	34%	$ 32,934,876	$ 5,614
Student/Parent Loans	33%	$64,463,921	$11,096
Federal Work-Study	4%	$ 1,517,557	$ 2,156
MCS	37%	$12,914,760	$2,003
Cal Grant	35%	74,575,621	$12,357
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor's degrees in 2021-22, 43% of those who originally enrolled as first-year students borrowed student loans while attending. Those students have an average debt of $20,895. However, the debt can be as high as $57,500 on an individual basis, which is the federal cumulative maximum amount an undergraduate student may borrow. Nationally, 62% of seniors graduating in 2019 had student loan debt, with an average of $20,191 per borrower (https://ticas.org/our-work/student-debt/). National Data for students graduating in 2020-2021 and 2021-22 is not yet available.

Each year, the U.S. Department of Education calculates cohort default rates for loans by campus. The national 3-Year average was 2.3% for 2019 (per Dept. of Ed.). The rate for the campus has been exceptionally low in recent years.

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2017	2.9%	2.9%
2018	2.9%	2.9%
2019	1.3%	1.3%

Campus undergraduate scholarship programs are administered by various campus departments as well as by the Financial Aid and Scholarship Office. Listed below are data for major scholarship programs administered by the Financial Aid and Scholarship Office:

2022-23 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	176	$ 836,714	$4,754
Campus Merit Scholarships	167	$ 315,381	$1,889
Pister Leadership Opportunity Awards	25	$ 174,890	$6,996

While issues relating to financial aid are also in CAFA's purview, most issues are governed by state and federal law and Regental policy, so there is seldom any issue that comes before the committee, and there was none in this cycle. The Office of the President maintains numerous reports regarding student financial support on the following website:
https://www.universityofcalifornia.edu/infocenter

Respectfully submitted,

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
George Bulman
Manel Camps   Eva Chen, SUA Representative
Luca de Alfaro   Ace Meyer, SUA Representative
Marcella Gomez
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August 31, 2023

COMMITTEE ON CAREER ADVISING
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

INTRODUCTION

The Committee on Career Advising (CCA) met every other week throughout the academic year to conduct business regarding their charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention. The committee consisted of four members. Unfortunately, CCA did not have a member from the Social Science division this year, but despite this CCA had a productive year. A brief overview of the committee's notable work in 2022-23 is provided below, followed by suggestions for the new committee.

I.   New Faculty Welcome Day

Herbie Lee, Vice Provost for Academic Affairs (VPAA) and CCA Chair Steven Ritz hosted the New Faculty Welcome Day (NFWD) on Friday, September 16, 2022 at the University of California, Santa Cruz Arboretum, Horticulture II.

Agenda items for the event included: Land Acknowledgement, Welcome and Introductions from VPAA Lee, CCA Chair Ritz, and Lori Kletzer, Campus Provost and Executive Vice Chancellor (CP/EVC); Introduction to the University; Santa Cruz Faculty Association (SCFA) - Executive Board Members; Welcome by Chancellor; Faculty Equity Advocates; Introduction to ISSS/Global Education; Getting Started with Your Research Roundtables (one for each Division in parallel). Optional: Happy Hour Reception co-hosted by the Office of the CP/EVC. The NFWD was very well attended and the informal feedback received from the attendees was very positive. The event included an Arboretum Tour.

The New Faculty Welcome Day event was preceded by the Teaching Academy workshop sponsored by the Teaching and Learning Center (TLC), formerly Center for Innovation in Teaching and Learning (CITL) in which new faculty spend two days being introduced to the instructional landscape at UC Santa Cruz. Topics include research- and evidence-based approaches to:

- Equity-minded teaching practices
- Active learning strategies for lectures and seminars
- Assignment and assessment design
- Supporting student academic integrity
- Teaching with technology for in-person and online courses
- Working with TAs and other members of the teaching team
- Mentoring graduate students
- Resources for supporting students facing academic and personal challenges

II.   Faculty Mentorship Program

CCA oversees the Faculty Mentorship Program (FMP), in which new faculty are matched with volunteer faculty mentors. CCA reached out to potential mentors in June of 2022 to confirm

interest in participating and gather information about mentors that was shared with prospective mentees. CCA found this more effective than soliciting mentors in early fall. CCA gathered information on mentor research and teaching interests, self-identified mentorship strengths, campus service experience, and participation in networking groups. Mentees were invited to submit up to three mentor choices, and CCA used them to facilitate the matching process. Most mentees who filled out the form were matched with one of their top two choices. CCA continued the practice, initiated two years ago, of not assigning a mentor to new faculty who did not express interest in participating in the FMP. Also, mentor/mentee assignments were sent to mentors and mentees before they were finalized to allow the mentors to weigh in on decisions. New mentees were matched with a mentor outside their home department, but within their division or, if outside their division, with closely related research interests and work, based on mentee preference. CCA informally reached out to some mentors letting them know if mentees were looking for a certain kind of mentorship (*e.g.*, Diversity, Equity, and Inclusion related issues in addition to general career & campus advice), and strongly suggested making this a part of the official process for next year. During the matching process and throughout the year, CCA received increasing requests for mentors with a specific experience or background, which proved challenging to accommodate. Additionally, mentees that requested a mentor after fall quarter were left with fewer mentor options. In fall 2022, UCSC had 38 incoming faculty, 25 of which elected to be matched with a mentor. Thirteen did not reply to the FMP call but several attended FMP workshops and socials regardless. CCA matched eight returning mentees with a new mentor in 2023. In total, the 2022-23 program had 172 FMP pairs (new and returning).
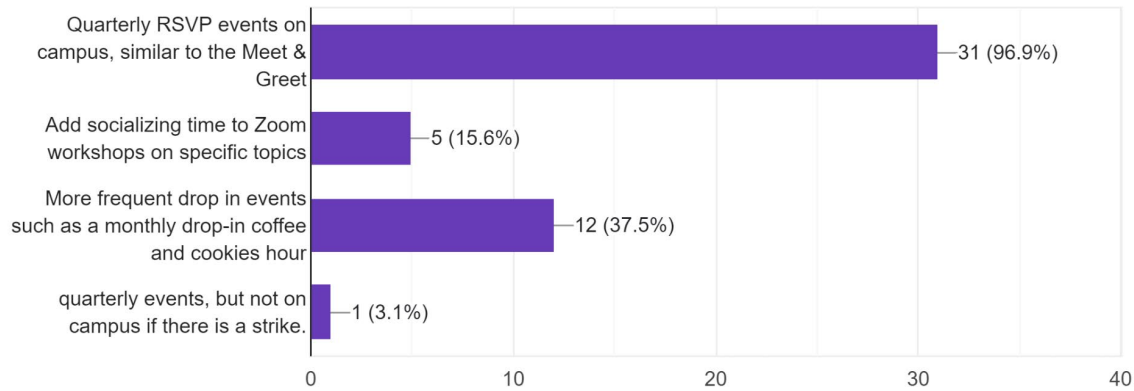
CCA communicated with mentors and mentees at least once each quarter offering support. In the fall CCA contacted mentors and mentees about their initial meeting. The committee endeavored to make the relationship and expectations clear for both parties. Mentors and mentees were encouraged to meet once per quarter to discuss research, teaching, and service. CCA also recommended FMP matches attend one FMP social or workshop together.

On November 2, 2022, CCA held an in-person Meet & Greet at the University Center Rotunda and Levin Lanai. The event was attended by new faculty, experienced mentors, and all members of CCA. The event was primarily social with a brief welcome from the CCA Chair. Appetizers and beverages were provided. CCA encouraged participants to attend even if their mentor/mentee could not. This allowed new faculty to engage with other mentors and other new faculty members. Some newly matched mentors that could not attend reached out to the CCA Analyst to in advance, most had alternative plans to meet their mentee in person. CCA received feedback that in future, the meet & greet might best be held in the morning or early afternoon to better accommodate faculty with small children. CCA Chair responded that this will be considered in planning future events and CCA will consider offering socials at various times. Approximately 25 people attended the event, including CCA members.

In late fall CCA members surveyed FMP participants regarding social event preferences in order to determine the preferred event type and time. 32 responded with strong preference for quarterly RSVP events on campus similar to the Meet & Greet. The most requested time was 4 -6 pm. See below for results.
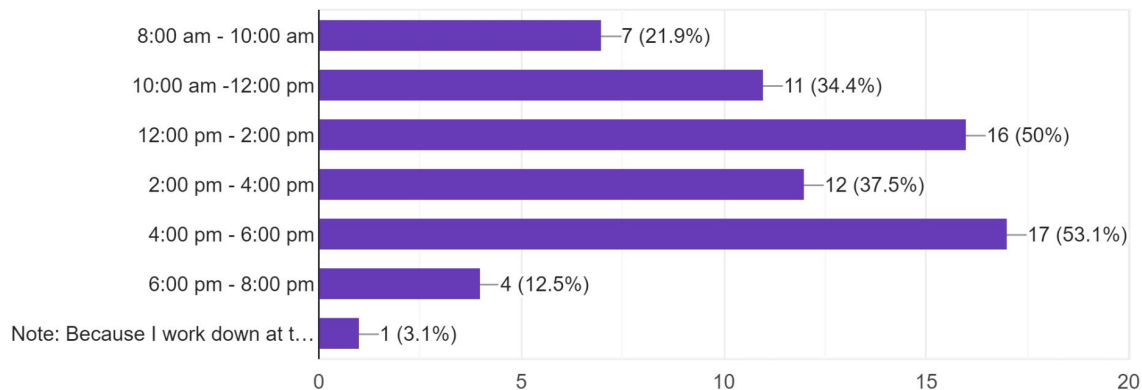
Select which event type you prefer

32 responses

Event type	Responses
Quarterly RSVP events on campus, similar to the Meet & Greet	31 (96.9%)
Add socializing time to Zoom workshops on specific topics	5 (15.6%)
More frequent drop in events such as a monthly drop-in coffee and cookies hour	12 (37.5%)
quarterly events, but not on campus if there is a strike.	1 (3.1%)

Time Preference

32 responses

Time	Responses
8:00 am - 10:00 am	7 (21.9%)
10:00 am -12:00 pm	11 (34.4%)
12:00 pm - 2:00 pm	16 (50%)
2:00 pm - 4:00 pm	12 (37.5%)
4:00 pm - 6:00 pm	17 (53.1%)
6:00 pm - 8:00 pm	4 (12.5%)
Note: Because I work down at t…	1 (3.1%)

In the winter quarter, CCA provided topics[1] for FMP participants to discuss along with Faculty Career Resources[2] which also provides important information for new faculty.

In the spring, CCA communication focused on upcoming events for mentees and mentors. CCA sent a brief survey to mentees inquiring about their experience with the program this year. Mentees identified interacting one-on-one with the mentor, socializing with other new hires, and a person outside their department to get a broader perspective were listed as valuable aspects of the FMP. Some mentees stated that they had been unable to meet with their mentor or unable to attend the social events due to scheduling. CCA recommends a well-designed experience survey be considered by next year's committee for winter 2024 with this feedback in mind.

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[1]https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-mentorship-program/potential-discussion-topics.html
[2]https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/index.html

III.   Social Events

FMP Winter Social
In winter quarter, on Wednesday, March 1, 2023 from 12:00 - 1:30 pm CCA and the Library co-hosted an in-person winter social held at the Science and Engineering Library (see Section VII, below). This event included information about research support, author services, teaching support, course material support for faculty, and a Digital Scholarship Innovation Studio (DSI) open house. CCA provided a light lunch. There was significant time for FMP participants to socialize and connect successfully. Approximately 20 FMP members attended as well as library staff, new faculty not in FMP, FMP supporters such as VPAA Lee. CCA recommends this become an annual event. Some future iteration of this event with the Library staff would be helpful. CCA recommends the presentations to the full group be shorter, allowing for more Q&A time on specific topics in smaller groups.

Spring Teaching Professor Social
CCA and the Library Co-hosted the Teaching Professors Social/Breakfast held Wednesday, May 3, 2023 from 10:40 am - 12:10 pm at McHenry Library's Digital Commons Lab. Though participation was limited with seven out of 35 invitees attending, CCA recommend that similarly targeted events continue. This social included a presentation on available resources for digital pedagogical work, including the Digital Fellows Program, class support for digital projects, year-long programming, and resources available for checkout. CCA hopes this social will serve as an opportunity for Teaching Professors to make connections across and within divisions. A follow-up survey indicated strong interest in library resources, continued future Teaching Professor socials, and a call for a discussion regarding Teaching Professor research expectations. Overall, the Teaching Professors Social was a successful event as participants were highly engaged. A light breakfast was served. As above, some iteration of this event with the Library staff would be beneficial.

Spring FMP Social
Wednesday, May 31, 2023 CCA held the FMP Spring Social at the Cowell Provost House from 4:00 - 6:00 PM. Light refreshments were provided and CCA advised that those with childcare obligations at that time were welcome to have their children attend with them. Attendance was positive with approximately 15 mentees, 9 mentors, one new faculty member not in the FMP and most CCA members.

IV.   Quarterly Workshops

In order to accommodate presenters CCA hosted two workshops in winter and one workshop in spring quarter. The committee recommends returning to one workshop per quarter in future. CCA co-hosted the *Research Workshop* with the Office of Research Tuesday, January 17th, 2023. The purpose of the event was to invite new faculty and their CCA Faculty Mentor Program (FMP) mentors to learn more about research development at UC Santa Cruz. Presenters from the Office of Research included: John B. MacMillan, Interim Vice Chancellor for Research; Heather Bell, Director Research Development; Laverne Estanol, Director of Research Compliance Administration; Lisa Coscarelli, Director of Research Integrity and Export Control; and Deirdre Beach, Director, Sponsored Projects.

Topics covered included: grant submission processes, new research development support, SEED funding initiatives, tools for finding grant opportunities, cross-disciplinary research, timelines and tools for submitting and managing funding requests, and information about grant management. The workshop was intended to be driven by participant needs, and, to facilitate this, CCA shared a google form survey for submitting questions in advance. This was particularly successful as it allowed presenters to shape their presentations and engage prior to the event. CCA also invited a Faculty Panel to discuss their divisional research experience. The panel consisted of Professor Greg O'Malley from the History Department, representing the Humanities and Professor Christina Ravelo from Ocean Sciences Department, representing Physical and Biological Sciences (PBSci). CCA appreciates their participation. Also present for the Q&A were divisional research support staff: Art – Holly E. Unruh, Executive Director, Arts Research Institute; Karen Ruhleder, Research Development Specialist for Baskin Engineering; and Irena Polic, Research Development Director for Humanities. Their inclusion was greatly appreciated. Slides and a recording of the workshop were posted for those unable to attend to view asynchronously. Questions from attendees included: What kind of administrative resources exist for submitting large program grants, such as an NIH P01? This was addressed in the workshop.

Debriefing after the event, CCA members suggested that the first speaker from the Office of Research provide a greater overview or orientation of the research landscape, explaining grant types and processes more generally. This then could set the scene for the following speakers who could then speak to the details of those specific grant types and processes.

CCA partnered with the Associate Vice Provost for Teaching and Learning (AVPTL) Jody Greene, acting in their capacity as Special Advisor to the Provost for Educational Equity and Academic Success to host a *Path to Tenure Workshop* on Tuesday, March 7th from 12:00 - 1:30pm. After a brief introduction and welcome, AVPTL Jody Greene gave an overview of the tenure process and who reviews personnel files. CCA noted this presentation is rich in up-to-date information that is highly valuable and in future additional time should be allotted for this segment of the workshop. Stefano Profumo, chair of the Committee on Academic Personnel (CAP), explained the process used by CAP, and provided recommendations on effectively presenting research and service work in personal statements. Senior Analyst Ibukun Bloom briefly introduced the role of the Academic Personnel Office (APO) in the tenure review process. Faculty panelists from Humanities, PBSci, and Arts discussed their experience with the tenure process and gave advice. The panelists who graciously volunteered their time were: Ingrid Parker, Professor, Ecology & Evolutionary Biology; Bryan Donaldson, Associate Professor, French Applied Linguistics, Chair of Languages and Applied Linguistics; and Patty Gallagher, Performance, Play and Design. Questions from attendees included:

- *I am an assistant professor in education working on a first book manuscript with journal articles in tow. I'm wondering how book publications work towards tenure. If a book is published before tenure, should the faculty member have a second book proposal in the works? I'm wondering how much weight a book holds (I'm an anthropologist of education) I'm the tenure process and how many journal articles are expected to be published alongside the book?*
- *Teaching across curriculum - upper lower and grad course - this was new to some members*
- *Looking at campus goals and tying them into narrative? Explicit connection*

Academic Senate Chair (ASC) Gallagher challenged attendees to make connections during these workshops and meetings to help generate connections across campus and to find possible writing partners.

CCA and Jody Green, Special Advisor to the Provost for Educational Equity and Academic Success co-hosted the *Preparing for your first personnel review Workshop* Tuesday May 23rd 9:50 AM - 11:20 AM. As with all workshops this year, it was conducted virtually via Zoom. Moderator CCA Member Owen Arden provided a brief introduction & welcome. Jody also introduced the stages of the personnel process, how to use the personal statement to represent relevant activities, and strategies for documenting teaching. Incoming CAP Co-Chairs Maureen Callanan and Susan Gillman weighed in on what is expected in the first review in multiple disciplines. There was an extensive Q&A. Senior Analyst Academic Personnel Office Ibukun Bloom was also available to answer questions. The discussion was interactive and there were many questions. CCA received one question in advance of the event: How do we handle something like a leave because of health issues to contextualize our productivity but also not sound like we're "making excuses." This was addressed during the workshop.

V.   CCA outreach to department chairs and managers

CCA reached out to department chairs and managers to advise them that CCA had released a call for mentors for the 2022-23 academic year in Spring. CCA is hopeful that department chairs and managers will encourage tenured faculty and lecturers with security of employment to participate and to share the Faculty Career Resources page, which provides additional support related to various areas of faculty career development and advancement.

VI.   FMP Mentorship Documentation

Following last year's update to documentation practices established in consultation with CAP, CCA advised mentors to document mentorship for their personnel files. In previous practice mentors were to request a formal letter from CCA which required input from mentees. Letters were infrequently requested, and CCA members were concerned that this important service work was not sufficiently acknowledged. CCA now recommends that mentors include information about FMP service in two places in merit review materials: in the biobibliography and in the personal statement.

Additionally, although many senior faculty may not need them, service letters can be solicited for personnel files. If mentors would like CCA to provide a formal service letter, they are welcome to contact the CCA analyst.

At the end of fall quarter, CCA members may wish to contact mentors in their division to confirm they have reached out to their mentees. A similar outreach to mentors could be made in winter quarter.

VII.   COLASC Library Orientation Request

CCA received correspondence from the Committee on Library and Scholarly Communications (COLASC) regarding Library Inclusion in the New Faculty Orientation/Welcome Day. CCA

replied that there were two related issues to address: (1) how to share the information this year and (2) what to do next year. For (1), CCA proposed holding one of our FMP social events at a library, including at that time a brief summary of Library resources and opportunities for faculty, followed by informal Q&A. See Winter Quarter social event in section III, above.

For (2), given the success of the Library social (see item III above), CCA recommends the same approach in future years, either later in the Fall quarter or again in Winter quarter, rather than taking time in the New Faculty Welcome Day, which already has a packed agenda. The primary goal for the NFWD is a high-level introduction to campus, with details coming later. New faculty would likely retain more from the Library social than from one more brief presentation at the NFWD.

VIII.   Senate Reviews (non-routine work)

Systemwide
- Second Systemwide Review of Draft Presidential Policy -- Abusive Conduct in the Workplace October 14, 2022

Divisional
- Proposed Revisions to APM - 210, Review and Appraisal Committees, June 14, 2023
- Leading the Change: UCSC Strategic Planning draft, June 16, 2023

IX.   Other Correspondence

- CCA to COLASC Re: Library Inclusion in the New Faculty Orientation/Welcome Day, November 29, 2022
- CCA to Library Re: New Faculty introduction to Library Resources, December 9, 2022
- CCA to CSAs re: UCSC Faculty Mentorship Program, June 16, 2023

X.   Overall lessons from 2022-23

- As in the prior year, soliciting questions from participants in advance of each event helped to tailor the agenda, make speakers and panelists aware of the needs of the audience, and encouraged FMP participants to come to the event with their goals more carefully considered. The solicitation also sends a message that CCA exists to support faculty. In addition, brief post-event surveys should be the norm.
- The value of online and in-person events needs constant attention as conditions evolve. Attendance at zoom workshops was as good or better than pre-pandemic in-person workshops.
- The perspectives of teaching professors should be considered for every event and CCA function.
- Engagement always needs attention.
- Drafting sections of the final report soon after each event makes the end-of-year report writing less of a challenge.
- Each CCA event was hosted by a different CCA member, which helped to bring the full breadth of experience and style into CCA functions. In addition, the rotation helped with

committee engagement and sense of co-ownership, and it also enabled the participants to interact with each of the committee members over the year.

XI.   Proposed CCA Priorities for 2022-23

- As the diversity of the faculty continues to improve with new hires, there is outsized demand for mentors from groups currently underrepresented on our campus. This places an unfair burden on their time. Options for course release or other compensation should be considered. CCA supports the pursuit of recognition and compensation for mentors from underrepresented groups. Chair Ritz reached out to ASC Patty Gallagher, who agreed to raise the issue with the newly formed Faculty Equity Advocates. CCA recommends pursuing this topic in 2023-24. CCA held one in-person meeting in Fall. As committee members are encouraged to attend the in-person socials sponsored by CCA, the committee recommends meetings remain on zoom for 23-24.
- UC Santa Cruz has been hiring tenured faculty, particularly from minoritized groups, at a higher rate over the past few years, and this seems to be a continuing trend. The current Faculty Mentorship Program is primarily geared towards early-career untenured faculty. Newly hired tenured faculty have expressed interest in developing strategies for including them in the mentorship / onboarding process.
- It might be useful to develop a small handbook for the FMP process for future years.
- If the "First personnel review" workshop will continue to be offered in the spring quarter, mentors should be informed about it early on so that they can encourage their mentees to attend. The mentors should probably consider attending the workshop themselves so that they can better help mentees with their personal statement.
- CCA advocated for a more explicit inclusion of teaching professors in personnel workshops, and we encourage a continued focus on this moving forward.
- CCA should look into ways of introducing mentors to mentees before the mentor-mentee assignment process begins, for example, CCA could invite mentors to a portion of the new faculty orientation so that they can meet their potential mentees. Alternatively, the fall workshop on Research could be shortened and immediately followed by a social event to which both mentors and mentees could be strongly encouraged to attend.
- CCA suggests introducing an explicit option in the FMP process for returning mentees to consider reselecting their mentors after one year, as different mentors could provide additional benefits, both in terms of alternative perspectives and in terms of an expanded social network on campus.
- Connect FMP mentees with Faculty Community Network Program[3].
- In response to a query from an incoming department Chair, CCA may wish to discuss development of a Path to Tenure Preparation Checklist, in close consultation with APO.
- A robust feedback survey could be launched in late winter 2024 to assess if activities and functions are useful to FMP participants.

CCA wishes to thank AVPTL Jody Greene, CAP Chair Stefano Profumo, and APO Senior Analyst Ibukun Bloom for contributing to multiple workshops to support new faculty.

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[3] https://academicaffairs.ucsc.edu/faculty-community-networking-program/index.html

Respectfully submitted,

COMMITTEE ON CAREER ADVISING
Owen Arden
Melissa Gwyn *(F, S)*
Kim Helmer
Steven Ritz, *Chair*

August 31, 2023

Appendix I.

<p style="text-align: center;">**CCA: Research Workshop Agenda**
Location: Zoom
Date: Tuesday, January 17th, 2023
Time: 9:00 -10:30 am</p>

PURPOSE:
The Committee on Career Advising and the Office of Research invite new faculty and their CCA Faculty Mentor Program (FMP) mentors to attend this informative event to learn more about research resources. Learn, and give feedback, about the grant submission process at UCSC, with a focus on common pitfalls, new research development support, SEED funding initiatives, tools for finding grant opportunities, timelines and tools for submitting and managing funding requests, information about grant management and grant regulations. This will also be an opportunity to discuss interdisciplinary research interests.

FYI: Attendees will receive a Google form to submit questions in advance

	Open Zoom early	MG
2 minutes	Welcome new faculty and mentors. Summarize agenda: presentation from OR. Faculty Panel, Q&A Invite CCA members to introduce themselves. *Invite OR to begin their presentation.*	CCA Member - Kim Helmer
10+5 minutes	Overview of Research at UCSC + briefly talk about industry alliance + ORUs	John B. MacMillan, Interim Vice Chancellor for Research
5+5 minutes	Research Development	Heather Bell, Director
10+5 minutes	Research Compliance, IRB processes and contacts	Laverne Estanol, Director of Research Compliance Administration and Lisa Coscarelli, Director of Research Integrity and Export Control
5+5 minutes	Office of Sponsored Projects	Deirdre Beach, Director
1 minute	*CCA Moderator to transition to Faculty Panel.* *Invite the panel to introduce themselves and answer pick 2 questions.*	CCA Moderator
15+5 minutes	Faculty Panel and Q&A	Faculty Panel:

	Panelists will each start with a brief introduction, then pick two of these: ● The most useful research advice you've received ● The most surprising thing you learned about doing research at UCSC ● The thing you wished you had been told as a new researcher at UCSC ● How to balance research, teaching, service? *CCA Moderator Invite divisional research staff to introduce themselves and advise they may be able to answer division specific questions for Q&A.* Questions from google	● (HUM) Greg O'Malley, History Department Professor ● (PB Sci) Christina Ravelo, Ocean Sciences Department, Professor Divisional Research Support: ● Art- Holly E. Unruh, Executive Director, Arts Research Institute ● BSOE - Karen Ruhleder, Research Development Specialist for Engineering ● Hum - Irena Polic, Research Development Director for Humanities
5 minutes	Closing *thanks all for attending*	CCA Moderator

*To be recorded unless attendees object

22-23 CCA Workshop: Path to Tenure
Tuesday, 3/7 from 12:00 - 1:30pm
Conducted virtually via Zoom

Event Description:
Representatives from the Center for Innovations in Teaching and Learning, the Committee on Academic Personnel, and the Academic Personnel Office, as well as faculty will share their insights and advice on the path to tenure and the review process. Submit questions in advance here. Presentations will address questions and issues from the perspective of TP's.

Advance questions from the audience can be found here.

Duration	Presenter	Notes	Target start time
2 minutes	CCA Moderator - Steve	Brief introduction & Welcome Ask if it is ok to record for those unable to attend?	12:00
15+5 minutes	AVPTL Jody Greene of Center for Innovations in Teaching and Learning (CITL)	Overview of the tenure process and who reviews personnel files. Discuss ways in which Senate Faculty can provide evidence of excellence in teaching in their personnel files and share advice for planning a successful path to tenure.	12:02
10+5 minutes	CAP Chair Stefano Profumo	Recommendations on effectively presenting your work in personal statements. ● Expectations for Teaching Professors and Ladder-rank Professors ● Research and Service in path to tenure ● Audience awareness for submitted materials organization and presentation	12:22
3 minutes	Senior Analyst Ibukun Bloom from the Academic Personnel Office (APO)	The role of the Academic Personnel Office (APO) in the tenure review process for Senate Faculty	12:37

15 minutes (5 minutes each)	Faculty Panel (HUM) **Bryan Donaldson**,Professor, French Applied Linguistics, Chair of Languages and Applied Linguistics (PBSci) **Ingrid Parker,** Professor, Ecology & Evolutionary Biology Department (ARTS) **Patty Gallagher**, Performance, Play and Design	Panelists will introduce themselves and share their response to the following questions: *What was something you learned in your path to tenure you considered essential to the process that wasn't particularly obvious?* *Is there any advice you would give regarding reaching tenure specific to your division?* *Top two things to consider*	12:40
30 minutes	Open Q&A session for attendees	Moderated by CCA Member. Questions can be directed to any presenter or faculty panelist. Mention post-event evaluation form MG to share link in chat.	1:00

CCA Workshop:
Preparing for your first personnel review
Agenda

Tuesday May 23rd 9:50 AM -11:20
Zoom
Conducted virtually via Zoom

Workshop Agenda:

	Duration	**Presenter**	**Notes**
9:50	2 minutes	CCA Member - Owen Arden	Brief introduction & Welcome ● Brief look at the questions asked in advance
9:52	40 minutes	Jody Greene - Special Advisor to the Provost for Educational Equity and Academic Success Slides	○ introduction to the stages of the personnel process and why it takes 9 or more months to get an answer back ○ how to use your personal statement to represent your activities ○ documenting your teaching for the academic personnel process ○ how to present research progress. ○ Timing of work in progress – strategies for when to have it "count", and the rules about using each work only once. ○ How to interact with your department ○ Documenting research ○ Addressing negative SETS ○ Importance of showing growth over time ○ Including items strategically, before publication or after? ○ How to include DEI issues? ○ The personal statement genre - examples from different disciplines

10:30	45 minutes	Extensive Q&A and Open Conversation (23-24 CAP Co-Chairs Maureen Callanan and Susan Gillman and Senior Analyst Academic Personnel Office Ibukun Bloom)	○ Allow participants to ask detailed, specific questions ○ Senior Analyst Academic Personnel Office Ibukun Bloom and 23-24 CAP co-chairs additional insights. Ask Chairs to comment on CAP preferences regarding folders. Audience awareness - speak to how CAP reviews. Where to include items in DivData ○ Post event survey
11:15	5 minute	CCA Member - Owen Arden	Reminder of Spring Social. Thank presenters and attendees.

COMMITTEE ON COURSES OF INSTRUCTION
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) met bi-weekly throughout the academic year to review campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consult with other committees and administrative units, approve graduate student instructors and undergraduate teaching assistants, and consider student petitions and student grade grievances. Due to increased workload, CCI added an additional orientation meeting in the fall quarter. Holding an orientation prior to tasks being assigned allowed new members to become acquainted with resources and responsibilities. An Ad hoc meeting was also added in winter quarter to address remaining course reviews. CCI continued the practice established last year of having the CCI Analyst attend Committee on Educational Policy (CEP) meetings with the CCI Chair in an effort to strengthen communication between committees.

I.   Course Approval Deadlines

As in 2021, CCI began fall quarter by communicating to Course Sponsoring Agencies (CSAs) regarding the *CCI Deadlines for 2022-23 Academic Year (September 13, 2022).* This memo announced that beginning this academic year, Course Approval Deadlines[1] will remain the same calendar dates for all future academic years. This decision was made in consultation with the Office of the Registrar. It also listed the Graduate Student Instructor (GSI) request deadlines as the end of the 4th week of the quarter prior to the quarter in which the course is to be taught (with the exception of summer, which is January 15th). Calendar dates were provided to simplify deadline compliance.

In response to a request from Administrative Management Professionals (AMP) Executive Board sent to the Chancellor, Campus Provost and Executive Vice Chancellor (CPEVC), and Academic Senate Chair (ASC) on December 16, 2022, CCI extended the course approval deadline for summer 2023 to January 31st (the original deadline was January 15th). This was to accommodate courses in the process of being modified for online modalities, and in light of severe winter storms. CCI noted that courses or revisions submitted after the original deadline may not necessarily be approved in time for early scheduling actions.

II.   Attempted Delegation of Authority to Course Sponsoring Agencies in 2023 and Emergency Remote Modality

Online or hybrid course modality course requests for winter 2023, spring 2023, and fall 2023 courses were routed to CCI as outlined in Committee on Educational Policy (CEP) and Graduate Council (GC) Policy on UC Santa Cruz Undergraduate and Graduate Online and Hybrid Courses[2].

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[1] https://registrar.ucsc.edu/calendar/other/course-approval.html
[2] https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/final-revised-cep,-gc-online-course-policy-051221.pdf

Individual instructors were also able to request remote accommodations from the Academic Personnel Office (APO). CEP attempted to delegate course modality approval for summer 2023 to Course Sponsoring Agencies (CSAs); however, on November 7, 2022, the Committee on Rules, Jurisdiction, and Elections (CRJE) upheld a challenge to CEP's delegation. CEP advised CSAs of this decision and rescinded the delegation for course modality approval. This shift impacted CCI course review workload and generated urgent need for clarification of online approval criteria. See Appendix II for a breakdown of modalities offered per quarter.

III.   Course Approvals

Between September 1, 2022 and August 1, 2023, the committee reviewed 389 courses (approved and returned). Of those, 323 were approved by CCI. Of the approved courses, 177 were proposals for new courses and 146 for course revisions. As of August 1,2023, 66 courses had been returned by CCI without updates from CSAs. Unfortunately, a breakdown in expectations for online courses led to many courses being reviewed multiple times, and some unsuccessfully.

IV.   Online Course Review

The transition from emergency remote teaching and learning, to a majority of courses being offered in person with some asynchronous, synchronous, and hybrid courses, has been challenging. Following the Online Course Policy revision of May 12, 2021, significant questions regarding implementation and online course evaluation remain. In particular, CCI questioned how to evaluate equivalent learning outcomes across modalities. Some specific topics discussed by CCI include:

- equivalence of learning outcomes
- teaching differences between modalities
- concerns regarding high enrollment
- classroom capacity
- course type (seminar, lecture, labs, studio courses)
- the desire to incorporate technology into in-person instruction
- equity in online courses

In the future, CCI may ask CSAs to explicitly address these, and also discipline-specific online course issues, in their internal Department Online Course Policies.

Over the course of 2022-23 CCI received feedback from some department and program chairs that online course standards were unclear and shifting. Without guidance from the Systemwide Senate regarding the vision and objectives for online courses, CCI endeavored to address the concerns of campus colleagues. CCI took several steps to improve the review process and communicate expectations to CSAs.

At the request of CCI, on August 16, 2022, CEP and GC approved the option for CCI to provisionally (for a short term) approve hybrid and synchronous online course proposals for the 2022-23 academic year when appropriate. This practice was initiated in March 2022 and has been renewed each year. In late March 2023, CCI confirmed with CEP and GC that in person courses could also be provisionally approved for as little as one quarter.

In order to support instructors that wished to offer their summer courses online, on November 14, 2023, CCI shared a brief and actionable criteria for one quarter provisional approval for summer 2023 courses, *Interim Guidance on Applications for Online Modalities - Summer 2023*[3]. Additionally, CCI Chair Harrison gave an oral report at the November 30, 2022 Senate Meeting reviewing these basic criteria which required applicants to provide a syllabi for both the requested online modality and an in-person version of the course. CCI asked that applicants address: how the requested online modality supports course learning outcomes, differences in teaching strategies between modalities, and consistency of evaluation methodology across modalities. This guidance was delivered in response to the summer 2023 course modality approval delegation being rescinded, with the understanding that a more developed revision of the CCI Online Course Guidelines Living Document would be updated in winter quarter.

The CCI Online Course Guidelines Living Document was developed in the 2020-21 academic year. This was a living document posted on the CCI webpage. The document was available on the CCI Course Toolbox for Faculty & Staff page. A subcommittee of two CCI members met several times with Analysts from Online Education to revise the CCI Online Course Guidelines Living Document and create the first online course rubric. The draft rubric and revised guide was then presented to the full committee for edits, and then shared with CEP and GC for final comments. Following feedback from both, CCI published the final version of the guide on March 3, 2023. Changes to the guide included renaming of the guide to *Online Course Request Guidelines*[4]. The revised guide includes:

- **A brief discussion of CCI's remit** when assessing course requests.
- **When to apply to CCI for online modalities** versus when to apply to the Committee on Educational Policy (CEP) or Graduate Council (GC) for special measures such as emergency remote instruction.
- **How to choose an online modality.**
- **Materials to be submitted** with online course requests.
- **The rubric CCI uses** to assess pedagogical justifications for online modalities.
- Answers to frequently asked questions (FAQ).

CCI advised that non-pedagogical justifications for a remote modality, such as limited availability of Santa Cruz-based instructors, enrollments larger than available teaching spaces, and strategic growth of enrollments for a CSA's curricular goal, would be directed to CEP or GC for individual course emergency remote consideration.

CCI received later correspondence from CEP and GC on the specific issue of exams and a required in person syllabus. CCI responded on May 25,2023 that without an alternative evaluation method, they must continue to employ the strategy described in their online guide for 2022-23. Courses received for summer 2023 that were not approved by CCI for provisional or permanent online and

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[3] https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/correspondence/cci-guidance-on-applications-for-online-and-hybrid-modalities---summer-2023_111422-6.pdf
[4] https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/guidance-applications-online-modalities.html

hybrid modalities, were able to apply to CEP for individual emergency remote approval if they provided sufficient justification.

At the time of this report, 3.76% of UCSC courses are approved for online or hybrid modalities. As a matter of policy, any course approved for an online mode is also approved to be offered in person without additional CCI review. Some courses are approved for more than one online modality. Some courses received provisional approval and will be asked to reapply to CCI for reconsideration in the future. A breakdown of the current online mode approvals is listed below:

Table 1

Type of Mode(s)	Number of Approved Courses
Asynchronous Only	170
Synchronous Only	55
Hybrid Only	49
Asynchronous + Synchronous	6
Synchronous + Hybrid	6
Asynchronous + Hybrid	2
Asynchronous + Synchronous + Hybrid	3
TOTAL	291

There are many limitations of the Curriculum Approval and Tracking Support (CAT) system in regards to reporting. CCI is working with the Registrar's Office to request updates to the CAT system and strongly recommends that a new platform is considered.

V.   Ongoing Syllabus Requirement Issues

Throughout the course approval process, CCI routinely requested that instructors update course syllabi in accordance with the list of syllabus requirements noted on the course approval forms in the Curriculum Management System (CAT) to promote the inclusion of important elements in each course syllabi particularly:

- **Breakdown of Student Hours**. Intended to allow students to develop a time management plan for their studies—for example, this would enable students who read relatively slowly to know that a course may be extra demanding for them.
- **Closed Week Policy reminder**. No examinations, tests, assignments, papers, final projects, or final performances that result in more than 12.5% of the final grade (other than

individual make-up exams) may be given during the last week of instruction. This restriction does not apply to summer, which does not have a closed week.

- **Policies on collaborations, citation, and Academic Integrity should be course-specific**. CCI noted that clarification regarding Academic Integrity policies are especially important in courses where collaborative work and outside resources are used.

When a course was returned to the CSA, CCI asked that instructors use track changes in the revised syllabus to expedite review. This, matched with a summary note in the comment field, allowed CCI to respond more quickly to course requests requiring additional information. There may be exceptions, but generally for every new course or for any request to substantially change an existing course, **a syllabus is required**. Examples of substantial change: change in content, credits, General Education (GE) addition or removal, Disciplinary Communication (DC) change, reactivation, and modality. A syllabus is not needed for cancel/suspension, enrollment restrictions, independent study, or simple changes to title or description that do not change the content.

VI.   Other General Course Review Issues CCI Observed

CCI reviewed many well-designed courses; however, CCI did note confusion related to the following, and hopes to provide clarification:

- For classes that are identical at the course catalog level, but offered as two or more separate classes with shared room and enrollment, both sides must always be scheduled.
  Only one department (the primary department) should submit a proposal. The other cross-listed versions should be listed on that same proposal, as cross-listed courses.
- A course revision to change enrollment restrictions should include evidence of stakeholder consultation with all departments that are affected.
- Courses taught in conjunction/mezzanine: undergraduate and graduate courses taught together with shared room and enrollment. Both classes should be submitted as separate proposals, though the related questions are on the graduate course form. Undergraduate and graduate components need to have the same number of units and distinct learning objectives or outcomes. In general, there is a higher expectation for graduate students.
- Topics courses should include multiple sample syllabi.
- Thoughtful consideration should be given when determining whether to submit a new course as opposed to submitting a course revision.
- CCI noted that new GSI taught course submissions should be designed in conjunction with the faculty mentor.
- Summer session course proposals should meet the requirements equivalent to a 10-week course in terms of content, instructional hours, and requirements.

VII.   UNEX Courses

Over the course of the year, UCSC Silicon Valley Extension (UNEX) submitted 12 courses to CCI for review. Only 1 was approved. The courses received were all classified as XSC as they met the following criteria:

- Equivalent to regular session courses at UCSC.
- Carry a credit value.

- Have the same role in UCSC academic programs as any articulated course (Program statements may restrict the use of articulated courses in fulfilling degree requirements).
- Can be incorporated in UNEX certificate programs.

XSC courses require approval by the Dean of University Extension or authorized representative, then the relevant department at the UCSC main campus, and then the CCI. This task has typically been completed by the CCI Chair. Complete approval of the course must be obtained before any public announcement of such course is made. CCI clarified that each XSC course can only be offered in the modalities approved for the equivalent regular session courses at main campus. XSC courses must also meet the <u>CCI Course Syllabus requirements</u>[5]. Unfortunately, most of the requests received in 2023-23 did not include all required syllabus items, and were returned for revision. UNEX instructors endeavored to provide updated syllabi; however, due to the limited spring CCI schedule, these were not received before the CCI agenda deadline.

For other UNEX courses, changes to instructional modality must go through the formal approval process with CCI. Changes to the mode of instruction must be thoroughly detailed and will only be considered for compelling pedagogical reasons.

VIII. Student Petitions

Deferred Student Petition Review from Summer 2021- 22
In 2021- 22, CCI deferred making decisions on non-urgent student petitions received after the last day of the quarter (June 9, 2022) to allow for broader review when the committee reconvened. Urgent petitions were reviewed by the CCI Chair over the summer. The decisions on student petitions reviewed during summer 2022 are as follows: 46 student petitions were received over summer. Of these 32 (70%) were approved and 14 (30%) were denied.

The largest number of deferred petitions were Withdrawal Grade (23, 50%), followed by Add a Course/Drop a Course (10, 22%), Grade Option Change: Graded to Pass/No Pass (7, 15%), Substitution of GE Requirements (3, 7%), Grade Change (2, 4%). Grade Option Change: Pass/No Pass to Graded (1, 2%). During summer 2022, CCI did not review any petitions for Waiver of Senior Residency Requirements (0), Writing Requirement Extensions (0), Catalog Year Rights (0), DC Substitutions (0), or Transfer/Duplicate Credit Exception (0).

Student Petition Review 2022-23
The committee made decisions on 323 student petitions received during the 2022-23 Academic Year. Of these (249, 77%) were approved and (74, 23%) were denied.

The largest number of petitions reviewed were for Grade Option Change: Graded to Pass/No Pass (109, 34%), followed by Withdrawal Grade (76, 24%), Substitution of GE Requirements (66, 20%), Add a Course/Drop a Course (53, 16%), DC Substitutions (7, 2%), Grade option changes: Pass/No Pass to Graded (4, 1%), Grade Change request (4, 1%), Transfer/Duplicate Credit Exception (3, 1%), Waivers of Senior Residency requirements (1, <1%), Writing Requirement Extensions (0), and Catalog year change requests (0).

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[5]https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/index-tool-box.html#syllabus

CCI encountered several student petitions in which the student had not investigated the financial aid impacts of their proposed petitions. To address this, the CCI Chair and Analyst met with staff from the Financial Aid Office to discuss each petition individually prior to finalizing. CCI may wish to add a statement to the petition form noting that students should consider these impacts before submitting their petition. CCI may also revise the petitions form to caution that "W" or Withdrawal grades or late Course Drop, in which the student did not attend class could result in the student needing to repay financial aid for that quarter. See additional guidance on the Financial Aid webpage[6].

Grade Grievances
CCI reviewed four grade grievances during 2022-23. Of the four grade grievances, two were approved and two were denied. Academic Integrity issues and the Graduate Student Strike were factors in three of the four cases made to CCI. It is important to note that CCI actions in response to a grade grievance are limited. CCI may choose: 1) no change, 2) removal of course from transcript, 3) removal of evaluation from transcript, or 4) change of grade to Pass, No Pass, or Withdraw.

CCI has continued to remind students that they must first attempt to resolve the grade grievance with the instructor. If the matter is not resolved, the student should submit the grievance and documentation in writing to the executive officer of the academic sponsoring unit (department chair or college provost). The CCI Analyst reviewed the Grade Grievance process and Appendix C. (Undergraduate Academic Assessment Grievance Procedure[7]) with a Respondent Support Services Coordinator from the Division of Student Affairs and Success, as they are frequently the first place of contact for students considering filing a grievance. CCI may wish to build on this practice and share information regarding the grievance procedure with college advisors as well in future.

IX.   CARS (Community Application and Review System)

CARS was launched in Summer 2020 to review student grade grievances, student petitions, Graduate Student Instructor requests, and Undergraduate Teaching Assistant requests. Email notifications of CCI's decisions were sent on the Tuesday following each CCI meeting. The notifications were sent to the student, college advisors, CCI Chair, CCI Analyst, and the Registrar. CCI decisions were logged by petition type on the CCI Student Petition Decision Log and shared with the Registrar Advising Systems Team, Registrar ERT, preceptors, and the UCSC Summer Session Office. This log, and the notification emails, served as a useful communication tool for CCI and others to process updates to student records. Many non-UCSC students (typically enrolled through UC Online) have been unable to use, or struggled to use the CARS system. To resolve this issue, a separate Non-UCSC Student Petition intake form was created by the CCI Analyst. The CCI Analyst attended a focus group on September 29, 2022 hosted by the UCOP Cross-Campus Enrollment System Evaluation team where informal feedback regarding these challenges was shared.

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[6] https://financialaid.ucsc.edu/financial-aid-policies/consequences-all-fs-ws.html
[7] https://senate.ucsc.edu/manual/santacruz-division-manual/part-three-appendices/appendix-c/index.html

X.   Delegated Authority to Approve Catalog Year Changes for General Education (GE)

CCI responded to the Council of Academic Preceptors' request in their October 7, 2022 memo to indefinitely delegate authority for Catalog Year Changes for General Education (GE) Requirements. CCI was appreciative of the request and determined that, in the future, delegation of authority to approve Catalog Year Changes for General Education Requirements to Academic Preceptors should be incorporated into CCI's annual delegations, which are reviewed routinely by CCI members at their first meeting each year. Annual renewal of delegation is consistent with overall Senate practice and does not require a formal request each year. This delegation was approved with the condition that a list of all decisions made be maintained, and that CCI may access and review it at any time.

In the past, CCI members have relied heavily on the support of college advisors when reviewing these requests, and observed that delegation of this authority last year proved efficient and beneficial to students. CCI will again consider delegating the authority to authorize catalog year changes to the Academic Preceptors until fall 2023. Related GE Substitutions petitions will continue to be reviewed by CCI.

XI.   Writing Requirement

CCI was advised by the Writing Program that the Entry Level Writing Requirement (ELWR) deadline would be enforced for fall 2023; however, the committee did not receive any student petitions requesting an extension by August 1, 2023. CEP had previously extended the ELWR deadline for 2022-23 on April 28, 2022, which included summer session; as a result, CCI may see urgent student petitions for Writing Requirement Extension in the coming fall quarter.

XII.   Approval for all student petitions for Grade Option Change: Graded to Pass/No Pass for fall 2022

In response to the graduate student labor strike beginning on November 14, 2022, the President of the Student Union Assembly (SUA) made remarks at the November 30, 2022 Senate Meeting requesting action from the Senate to address undergraduate academic stresses resulting from strike activity. The SUA requested: the Academic Senate extend the deadline to finish incomplete grades until the end of the spring quarter 2023, extend the pass/no pass deadline to the end of week ten (not to be counted towards the current 25% threshold), and consider making an exception to the requirement that undergraduate courses must have final examinations this quarter. There were additional requests related to housing and online course policy as well.

Due to technical and timeline restrictions, CEP was unable to extend the pass/no pass deadline. To facilitate a workaround, CCI agreed to approve all Student Petitions for Grade Option Change: Graded to Pass/No Pass for fall 2022 that were submitted by March 24, 2023. This was communicated to advisors on December 8, and clarified on December 19, 2022 so that this information could be shared with students. CCI members noted that while petitions were the only available option at the time, should similar events occur in the future, CEP may wish to extend the grade change option deadline proactively.

Due to [Systemwide Senate Regulation 772](#)[8], CEP and CCI are unable to waive the final examination requirement for undergraduate courses. CEP advised instructors, and responded to students, noting possible modifications they could make to final exams given the strike impacts on December 1, 2023 in correspondence titled *CEP Response to SUA Remarks at the 11/30/2022 Academic Senate Meeting*.

XIII.   Teaching Appointments & GSI Form Updates

Between September 1, 2022 and August 1, 2023, the committee considered 230 requests for Graduate Student Instructor (GSI) teaching appointments, and 23 for Undergraduate Teaching Assistant (UTA) appointments.

Unfortunately, CCI observed that occasionally GSI requests were incomplete, or included competency sections drafted by the graduate students themselves. CCI has advised CSAs that incomplete or improperly drafted requests lead to slower review times and may lead to a request being denied. In 2022-23 waivers of criteria for GSIs were also often insufficient. CCI grants approval for waivers only when a clear mitigation plan is also provided by the CSA head and/or faculty mentor. The plan should address the specific criteria in question and what additional steps can be taken to support the GSI in this area.

The Committee on Courses of Instruction [Faculty Oversight and Mentoring Agreement](#)[9] was revised on August 27, 2020. CCI continues to remind CSAs that mentors overseeing more than two GSIs should be compensated, or have their service recognized. It is helpful when departments include an explanation of how they are addressing circumstances in which more than two GSI mentees are assigned in their requests. For Summer Session, this policy is modified to allow for the department chair to oversee, or appoint and compensate a faculty member to oversee GSIs. CCI notes that subject matter expertise is essential for the faculty mentor.

Following a formal request from The Committee on Teaching (COT) on February 21, 2023 and a consultation on March 6, 2023 with COT Chair Jones, CCI revised the GSI request form to align with updates to the Student Experience of Teaching Surveys (SETS) revised in July 2021. CCI unanimously approved these changes, and they were implemented on all GSI Request CARS forms beginning in spring 2023. Changes were:

- Previous language: Percentage of "Very Good or Excellent" Teaching Evaluations
  *Please indicate the percentage of teaching evaluations in which students rated the instructor's teaching effectiveness as Very Good or Excellent based on evaluations from the three most recent teaching quarters.

- Revised language: Please provide the percentage of evaluations in which students rated the TA as "very frequently" or "frequently" in response to these three questions from the teaching assistant's SET surveys:
    - #6 The TA explained concepts in ways that supported my learning.
    - #7 The TA organized sections/lab meetings well.

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[8] https://senate.universityofcalifornia.edu/bylaws-regulations/regulations/rpart3.html
[9] https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/cci-faculty-oversight-and-mentoring-agreement-revised-1217202.pdf

      ○ #15 Activities during sections were well structured and had clear goals.

XIV.   Consultations

In addition to the above-mentioned consultation, CCI invited Aaron Zachmeier, Associate Director for Instructional Design & Development, Online Education to present a general overview of Online Education course support on November 7, 2022. CCI noted that it may be helpful to develop an "Online Course Blueprint" to make the overall online course structure clearer to CCI. On December 5, 2022, CCI Chair Harrison invited Associate Director Zachmeier to return to CCI for a presentation, in which he summarized CCI's online course evaluation criteria. While these conversations were fruitful, CCI was unable to continue frequent consultation due to limited agenda time.

XV.   Correspondence

- CCI to CSAs Re: CCI Deadlines for 2022-23 Academic Year, September 13, 2022
- CCI to Council of Academic Preceptors Re: Catalog Year Changes for General Education Requirements for 2022 -23 Academic Year, October 19, 2022
- CCI to CSAs Re: Interim Guidance on Applications for Online Modalities - Summer 2023, November 14, 2022
- CCI to UNEX Re: New X Course Proposal: Foundations of Video Game Design, November 15, 2022
- CCI to Council of Provosts and AVPUA Sketo-Rosener, Re: Fall 22 Student Petitions for Grade Option Change: Graded to Pass/No Pass, December 8, 2022
- CCI and CEP to Council of Provosts and AVPUA Re: Clarification on Fall 22 Student Petitions for Grade Option Change: Graded to Pass/No Pass, December 19, 2022
- CCI to CSAs Re: Summer 2023 Course Approval Deadline Extended, January 6, 2023
- CCI, CEP, GC to VPDUE Hughey Re: Summer 2023 Curricular Planning Request, January 13, 2023
- CCI to UNEX Re: CMPM 80K Extension Course Proposal Submission, February 22, 2023
- CCI to CSAs Re: CCI Updated Online Course Request Guidelines, March 3, 2023
- CCI to COT Re: Proposed Revisions to Graduate Student Instructor (GSI) CARS Agreement Forms, April 5, 2023
- CCI to Mathematics Re: Synchronous Online Course Revisions for Summer Session 2023, April 13, 2023
- CCI to UNEX Re: BIOL courses to be offered via XSC at UNEX, May 10, 2023
- CCI to UNEX Re: UNEX request for approval of ECON1, ECON2, MATH19A, MATH19B, MATH23A, MATH23B as XSC Courses, May 10, 2023
- CCI to CEP, GC Re: Clarification of Syllabus and Proctoring Guidelines, May 25, 2023
- CCI to Mathematics Re: MATH 16A, 16B, June 15, 2023
- CCI to PB Sci Re: PBS 1A, 1B, 1C Science Excellence First Year Seminars, June 15, 2023

XVI.   XVI.   Recommendations for 2023-24 CCI

- Continue to send early fall correspondence regarding course and GSI deadlines to CSAs. Consider expanding this correspondence to include reminders of courses to be included in the program statement deadline.
- Continue to engage with possible changes to the Student Academic Conduct Policy.
- Consider having faculty commit to a 3-year term on CCI, because continuity in membership will better ensure policy decision uniformity over time. Terms should be staggered so that only a third of the committee is new each year. A succession plan, such as one year as Vice Chair before serving as Chair, would also be valuable.
- Discuss adding a new requirement for syllabi: contingency planning for campus disruptions. With fires likely to be frequent in fall quarters and campus-wide strikes also quite likely any quarter, every faculty member should be thinking about how their course will continue in the face of disruption. CCI needs to decide whether to require contingency plans in the syllabi and, if required, what standards to apply to evaluating them.
- Train new members on accessing records of previous decisions, so they can use this information to guide and regularize future decisions on student petitions. Consider documenting discussions and generating a best-practices document.
- Allow the committee flexibility to make decisions quarter-by-quarter due to the very unusual circumstances around remote instruction.
- Collaborate with CEP, GC, the Teaching Learning Center (formerly Center for Innovations in Teaching and Learning, CITL), and the administration to develop online course principles.
- Revise Syllabi Requirements to include linked campus policies and student resources such as policies on Academic Integrity, Disability Resource Center, Title XI, CAPS, etc. Consider making an online course "blueprint" requirement.
- Meet with the Office of Admissions to review the process for GE approval for courses taken abroad. This could be done by the incoming CCI Chair in early fall.
- Discuss Writing Requirement Petitions challenges.
- Consider revising course approval deadlines, possibly moving dates earlier.
- Consider "fast track" course approval dependent on CSA certification.
- Continue making course materials available to serve as examples of approvable online and hybrid courses.
- Regular consultation with TLC.
- Consider possible CAT Form revisions.
- Advocate for a new curriculum management system to replace CAT.

CCI notes that in the 2023-24 academic year, it will be necessary to begin addressing the impacts of Generative Artificial Intelligence ("GenAI") on courses. Support from the Governor's Office for increasing the number of online courses at UCs[10] will require a thoughtful Academic Senate response to ensure UC Quality is maintained as new educational opportunities related to these

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[10]Multi-Year Compact Between the Newsom Administration and the University of California, May 2022
https://dof.ca.gov/wp-content/uploads/sites/352/Programs/Education/UC-Compact-May-2022.pdf

technologies arise. This includes the potential for many courses to be redeveloped to deal with the impact of Generative AI on assessment. [11]

The committee thanks the Office of the Registrar team for their work to support students. Their work to ensure curriculum and student records updates are essential to student success. CCI would like to especially thank University Registrar, Tchad Sanger, Associate Registrar, Kalin McGraw , and Marie Yoo, Academic Preceptor, for their work advising CCI.

Respectfully submitted,

COMMITTEE ON COURSES OF INSTRUCTION
Lily Balloffet
David Bernick
Robert Johnson
Amanda Rysling
Vanita Seth *(F, W)*
Kalin McGraw, Associate Registrar, *ex officio*
Marie Yoo, Academic Preceptor, *Standing Guest*
David Harrison, *Chair*

August 31, 2023

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[11] https://www.gov.ca.gov/2023/09/06/governor-newsom-signs-executive-order-to-prepare-california-for-the-progress-of-artificial-intelligence/

Appendix   **I.**

ACADEMIC SENATE

Online Course Request Guidelines

Updated February 2023

In accordance with the Committee on Educational Policy (CEP) and Graduate Council (GC) Policy on UC Santa Cruz Undergraduate and Graduate Online and Hybrid Courses, CCI can permanently approve online course requests. In addition, CCI may provisionally approve course requests in situations where a permanent approval is not currently warranted but evidence suggests it may be granted after modifications to the course are made and/or more evidence is captured of the requested modality's efficacy.

This page contains:

- **A brief discussion of CCI's remit** when assessing course requests.
- **When to apply to CCI for online modalities** versus when to apply to the Committee on Educational Policy (CEP) or Graduate Council for special measures such as emergency remote instruction.
- **How to choose an online modality**.
- **Materials to be submitted** with online course requests.
- **The rubric CCI uses** to assess pedagogical justifications for online modalities.
- Answers to frequently asked questions (FAQ).

CCI's remit

In assessing course requests for any modality, online or in person, CCI are only concerned with primary instruction, the three hours and ten minutes a week (for a five credit class) when students and instructors have traditionally been face-to-face in the classroom. No assessment of secondary instruction is undertaken other than to confirm it matches the requested modality.

Applications for online modalities should be based solely on pedagogical merit: applicants should explain how the course is designed in the chosen online modality in order to effectively meet its learning goals.

Where to apply

Requests can be submitted directly in CAT (Curriculum and Tracking) system. If you need to request access, or have other issues entering the system, email cmphelp@ucsc.edu. Applications for online modalities made purely on non-pedagogical grounds including, but not limited to, the availability of Santa Cruz-based instructors, enrollments larger than available teaching spaces, and strategic growth of enrollments for a Course Sponsoring Agency's (CSA's) curricular goals, should be directed to CEP for exceptional approval.

When CSAs have both pedagogical and non-pedagogical rationales for applying for online modes of instruction, they are encouraged to apply to CCI first on the basis of their pedagogical rationales. CCI may then direct them to CEP if necessary.

Choosing an online modality

Instructors are encouraged to consult Online Education as early in the process of their course development as possible, especially for help in identifying the online modality that the instructor will find most effective for their course's needs.

CCI encourages instructors to begin by considering the learning goals of their course and the programs that their course serves. Based on the nature of the material that is covered and any specific challenges that this material presents to students, instructors should identify the activities and assessments that they find most effective for teaching this material, and then propose an online modality that the instructor judges will most effectively support those activities and assessments.

Materials to be submitted with online course requests

All online course requests submitted via the CAT System must include the following documents:

- A syllabus for the in person version of the course.
- A syllabus for each online modality requested.
- Pedagogical justification for the requested online modality or modalities (optional)
  - Provides additional and/or consolidated material from the requested modality's supplemental questions.

Rubric for Online and Hybrid Course proposals

Below are the criteria on which CCI will evaluate course proposals for online and hybrid courses. These criteria should be discussed within the instructor's Pedagogical justification document or in responses to the supplemental questions for the modality they are proposing.

Note all syllabi must also meet all CCI non-modality specific CCI Course Syllabus requirements.

More detailed explanations and examples follow these tables.

Basic Criteria:

Criterion	Address in…
Lists learning outcomes for the course	Syllabus and Supplemental Online Question 1
Demonstrates that learning outcomes are identical for offerings of the course in different modalities	One syllabus for each modality (e.g., in person, online synchronous) and Supplemental Online Question 1
Demonstrates differences in teaching strategies for offerings of the course in different modalities	One syllabus for each modality (e.g., in person, online synchronous) and Supplemental Online Question 1
Uses identical final assessments across all modalities	One syllabus for each modality, and Supplemental Online Question pertaining to final exams (6 or 7)

Note the Basic Criteria are assessed solely on a reading of the supplied syllabi.

All applications will receive feedback on the above Basic Criteria. Only applications that satisfy the Basic Criteria are guaranteed to be assessed against the following Detailed Criteria.

Satisfying the Basic Criteria may be sufficient to warrant **provisional approval** but this is not guaranteed.

Detailed Criteria:

Criterion	Address in...
Connects learning outcomes for the course to PLOs	Supplemental Online Question 2
Includes a clear rationale for course design decisions in selecting the online format. (May list factors driving course design or course components that students need particular emphasis on.)	Multiple possible answers - in some or all of Supplemental Online Questions 1, 2, 4, or 5
Includes an explanation of how the modality will be leveraged to support the activities, assignments, and assessments in the course	Supplement Online Questions 3 or 4
Includes discipline-appropriate methods to safeguard academic integrity	Supplemental Online Question pertaining to final exams (6 or 7)
Major-required courses only: Course is required and offered in person also during AY or an exception is justified.	Supplemental Online Question 2

Rubric Explanations and Examples

The following sections provide explanations and examples for the criterion in the rubric above.

Lists learning outcomes for the course

Learning outcomes should describe what your students will be able to do at the end of the course that they couldn't do at the beginning. Learning outcomes tell students what they will gain from taking the course and what they will be assessed on. They also serve as a guide to the instructor in course design: All activities, assignments, and assessments should connect to learning outcomes.

Because they are the basis for assessment, learning outcomes should specify *observable* skills, knowledge, and attitudinal orientations you expect students to develop. Because they are focused on student performance, they should specify what *students* will do. These are examples of appropriate learning outcomes:

- Students will be able to select and apply appropriate statistical tests to compare samples.
- Students will be able to explain the potential effects environmental policies will have on economic growth.
- Students will be able to compose a literature review using the conventions of sociology research.

Connects learning outcomes for the course to learning outcomes for the CSA

In answers to the Supplemental Questions, an articulation of the learning goals of the course and their relationship to the Program Learning Outcomes's (PLO's) broader goals should include explanations as to:

- Which skills this course develops;
- Which knowledge and perspectives this course conveys;
- Where in the degree program this course sits;
- Which courses it assumes as prerequisites; and/or,

- Which courses it serves as a prerequisite for.

Includes a clear rationale for course design decisions in selecting the online format. (May list factors driving course design or course components for which students need particular emphasis.)

Examples of a clear rationale for course design decisions (including which factors drove course design or need greater emphasis) in answer to the Supplemental Questions may include examples such as the following:

- A course may have a heavy memorization load of novel terms or concepts, which students must learn as their basic foundations, in preparation to apply those terms/concepts in reasoning or problem solving. Instructors may need to repeatedly reinforce basic novel terms and concepts, while also engaging students in real-time problem solving exercises with these ideas. This combination of heavy memorization and real-time problem solving might prompt the selection of either a hybrid (of asynchronous and synchronous online) or a "flipped classroom" with synchronous online meetings, because the need to refine problem solving requires in vivo discussion, but the need for memorization requires solitary engagement.

- A course may require students to repeatedly write or create and refine in response to feedback or discussions, in addition to providing feedback to other students or engaging with other students' work products. Instructors may need to teach students how to communicate effectively for these purposes, while also engaging students about the content of their work. This need to write/create and refine effective communication on an ongoing basis might prompt the selection of a synchronous meeting, so that instructors can model effective communication and make adjustments to course discussions in real time.

Demonstrates that learning outcomes are equivalent for offerings of the course in other modalities (if the course is offered in more than one modality)

Equivalent learning outcomes are not necessarily the result of equivalent activities or assessments throughout the course, although courses are required to have the same final assessment method across all modalities. This concern is applicable only for courses that will be offered in multiple modalities.

This equivalency is intended to ensure that students who take a course in one modality will be just as able to acquire the skills and knowledge from that course, and just as able to continue in any subsequent courses that build on that course, as students who take the course of the same catalog number and name in another modality. That is, learning outcomes cannot differ based on modality, but assessments and activities should vary as appropriate. Addressing this part of the application should take place in both the Supplemental Questions and the submitted syllabus, as follows:

1. In responses to the Supplemental Questions, CCI encourages instructors to write comparatively, explaining how offering the course with different modalities will result in identical outcomes, although interim assessments or activities may be different.
2. CCI requires the submission of two syllabi (one for online, one for in person), which have different activities and assessments, but serve the same learning goals, so that the equivalency can be illustrated by comparison between the two modes.

Includes an explanation as to how the modality will be leveraged to support the activities, assignments, and assessments in the course

For example, a course might use a synchronous online modality with a "flipped classroom" design, because the novel terms and concepts are easier learned if students learn initially via reading and comparing with their own intuitions. In such a course, the homework material used by students for their independent learning would be designed to both reinforce the novel terms and concepts with which students need to be familiar, and guide them through their first attempts at new problem solving. The synchronous meeting portion of the course would still allow the instructor to explain different approaches that were taken to solving homework problems, lead the class in practice real-time problem solving, and/or assign groups of students to breakout sessions for more heavily discussion-based

collaborative reasoning. The explanation in the application would include specific mention of planned activities and assignments that serve the learning outcomes, and explain how those are addressed effectively with the selected modality.

Includes discipline-appropriate methods to safeguard academic integrity

CCI recognizes that the appropriateness of a final assessment, both as an evaluation of student progress and as a successful safeguard of academic integrity, will depend on various factors, such as the material of the course, the discipline-specific conventions of communication and work evaluation recognized by CSAs, and the evolving challenges of mitigating new strategies or technologies. CCI welcomes discussion of the factors that lead to the selection of a particular final assessment, including but not limited to how it addresses academic integrity concerns, how it compares to other courses taught by the same CSA, and how it compares to the practices that are currently standard in a given field.

Assuring academic integrity as part of online teaching is both a challenge and a frontier, with methods and tools changing and being added year by year. Proposals for online teaching should include a requirement that students taking online classes agree to follow the same academic integrity standards as students in in-person classes. In addition, instructors should be clear what parts of the course are intended for collaboration and direct sharing of ideas and information, and what parts (specific assignments, quizzes, tests) are intended to provide information on learning outcomes for individual students. In addition, the use of specific methods and tools for safeguard academic integrity should be listed. For example, online quizzes and tests can use systems that shuffle questions and answers. It may be appropriate to allow open-book quizzes or tests if the time for which they are available is limited (subject to modification is appropriate for an accommodation). CCI welcomes discussion of the factors that lead to the selection of a particular final assessment, including but not limited to how it addresses academic integrity concerns, how it compares to other courses taught by the same CSA, and how it compares to the practices that are currently standard in a given field.

Answers to Frequently Asked Questions (FAQ):

Q: Does an online version of a course have to be "better" than the in person version?

 A. No. Neither the in person or any online versions of a course should be demonstrably better, worse, easier, or harder than any of the others. Students who take a course in a particular modality should neither be penalized nor rewarded for doing so.

Q: If I simply move lectures from the classroom to Zoom will I be granted Synchronous Online modality?

 A. No. This is remote instruction which can not be granted by CCI.

Q: If I simply record lectures and have the students watch them at their own pace will I be granted Asynchronous Online modality?

 A. No. Whilst inverting the class so students watch your recorded lectures ahead of primary instruction is perfectly acceptable in all modalities, the form the primary instruction takes must be well articulated in your proposal.

Q: I want to have online closed book examinations but am concerned about academic integrity, are ProctorU and or Zoom Proctoring recommended?

 A. CCI does not recommend the use of ProctorU or related remote proctoring. Instead of requiring online closed book examinations, CCI recommends examinations be re-worked so they are not susceptible to the potential for cheating inherent in online versions.

Q: Can I hold an in person, timed final for my Synchronous or Asynchronous Online course?

 A. No. In person examinations are only supported for in person and hybrid courses.

Q: Can I hold mandatory in person secondary instruction (discussion sections, labs, office hours) for my online course?

A. No. If you need in person secondary instruction, apply for hybrid modality.

Q: Can courses that are approved for online or hybrid instruction also be taught in person as needed?

A. Yes. All courses that are reviewed (or have already been approved) for online or hybrid instruction of any type are also approved to be taught in-person as needed. No additional course forms are required for the in-person offering.

Q: Do I need to submit a revision for each format? Can courses seek approval for multiple online formats in a single revision / proposal?

A. Courses approved for one format of online or hybrid instruction will not be assumed approved for the other formats. If your department is considering alternating online formats in the future, we recommend this to avoid possible future revisions. Multiple online modalities can be selected in the same course form; you'll be required to answer the associated questions and attach a syllabus for each proposed format.

Q: If the course has asynchronous lectures but mandatory synchronous sections, does that count as asynchronous or synchronous?

A. This is still Asynchronous, and an approval form for Asynchronous instruction should be completed. CCI asks that the department clearly state in the class schedule (using the section for Class Notes) that the course has required synchronous sections.

Q: If the course has been denied, am I allowed to resubmit for a different quarter?

A. Yes, please update the quarter if needed and revise response questions in CAT.

Q: If I work with Online Education or CITL, am I guaranteed course approval?

A. This does not guarantee approval but provides excellent support.

Q: Can I consult with Online Education or CITL on the design of my course prior to proposing it to CCI?

A. Yes. Online Education and CITL are available to work with you.

Q: I occasionally use multimedia in my classroom to engage students (this might be through the playing of games, use of virtual or augmented reality, or viewing films). Is this a sufficient justification for an online or hybrid classification?

A. If the sole pedagogical justification for using an online or hybrid format is the inclusion of multimedia, this is likely to be insufficient for CCI approval. The pedagogical explanation should focus on how the inclusion of multimedia in online or hybrid courses can lead to equivalent learning outcomes.

Q: If an existing course is approved for an online or hybrid, does it mean that all subsequent offerings have to be taught in the online format?

A. No, Course Sponsoring Agencies can choose to offer the class in an in-person format after earning online or hybrid approval.

Q: Can I see examples of applications that were granted online modality?

A. Yes. Contact the CCI Analyst (mgardea@ucsc.edu) for details.

Q: Can I see a list of courses with online approval?

A. Yes. Contact the CCI Analyst (mgardea@ucsc.edu) for details.

Appendix II.

Modality Report (Provided by the Office of the Registrar)		
Fall 2022		
Instruction Mode	COUNTUNIQUE of Primary Offerings	**Percent of Total**
Asynchronous Online	53	4%
Hybrid	16	1%
In Person	1324	93%
Remote / Asynchronous Online	5	0%
Remote / Synchronous Online	14	1%
Synchronous Online	11	**1%**
Grand Total	**1423**	
Winter 2023		
Instruction Mode	COUNTUNIQUE of Primary Offerings	
Asynchronous Online	61	4%
Hybrid	29	2%
In Person	1310	92%
Remote / Asynchronous Online	1	0%
Remote / Synchronous Online	12	1%
Synchronous Online	8	1%
Grand Total	**1421**	
Spring 2023		

Instruction Mode	COUNTUNIQUE of Primary Offerings	
Asynchronous Online	57	4%
Hybrid	19	1%
In Person	1299	93%
Remote / Synchronous Online	10	1%
Synchronous Online	13	1%
Grand Total	**1398**	
Summer 2023		
Instruction Mode	COUNTUNIQUE of Primary Offerings	
Asynchronous Online	119	26%
In Person	222	49%
Remote / Asynchronous Online	9	2%
Remote / Synchronous Online	56	12%
Synchronous Online	46	10%
Grand Total	**452**	
* Note that Remote Instruction includes both CEP/GC emergency remote, and APO accommodations		

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Development and Fundraising (CDF) serves as a point of interface between the Academic Senate and the Administration to promote faculty engagement in campus fundraising and development as well as to collaborate with University Relations in those efforts.

I.   Summary of 2022-23

CDF worked this year to: (1) provide advice on various fundraising initiatives, (2) make Development Staff aware of a broad suite of faculty research, and (3) provide opportunities for faculty to learn about the fundraising support that University Relations (UR) can provide, as well as how faculty can work more effectively with UR staff.

II.   Key Consultations and Points of Impact

We started the year by coordinating the highly successful Interdisciplinary Research Symposium which featured 12 short talks from interdisciplinary research groups across campus. It was well received by the campus leaders, Foundation Board Trustees, and faculty members who attended. Although we received requests to organize another similar symposium, after discussion amongst our committee and with University Relations leaders, we decided to postpone any planning for a subsequent symposium until campus research themes for the Comprehensive Campaign have been established, which could provide a framing for subsequent sessions of the symposium.

Associate Vice Chancellor for Development (AVCD) Priya Mehta and/or Vice Chancellor of University Relations Mark Davis attended most CDF meetings, during which we discussed a number of topics, such as feedback on Giving Day and on the new Center for Reimagining Leadership led by CDF committee member Enrico Ramirez-Ruiz. We had a lengthy and productive discussion, which also included Adrienne Harrell (Executive Director of the UCSC Foundation & Senior Diversity Officer, University Relations) and Esther Vasquez (Senior Director of Human Resources and Talent Development), about ways to improve faculty and Development staff collaboration. This yielded a list of a number of suggestions to improve communications, faculty orientations about UR, diversity training for and communications from UR staff, and broader access to Foundation fundraising.

Linda Peterson, who is the incoming chair of the UCSC Foundation Board, attended a CDF meeting, and CDF Chair Holl attended a Foundation Development Committee meeting to improve awareness of and communication between the two committees.

We worked with VCUR Davis and AVCD Mehta on various strategies to better inform faculty how they can engage with University Relations.

- We completed a [Tips for Departmental Fundraising](#) document which is available on the UR website.

- With our encouragement, UR staff offered a "Partnering with UR on Fundraising" online webinar (attended by 40-50 faculty) and a follow up Q&A session; recordings for both are available on the UR website.
- At our request, AVCR Mehta has asked all the Divisional Officers to attend at least one faculty meeting in each department in their division each year.

III.   Potential Issues for 2022-23

We provided feedback on the Strategic Academic plan and anticipate that those discussions will continue into the 2022-2023 academic year as there is follow up to identify specific actions from the plan, as well as priority research areas on campus. This will run in parallel with planning for the next Comprehensive Campaign on which we anticipate CDF will be consulted. We also hope that some of the recommendations that stemmed from our discussion on facilitating faculty-UR relations will be implemented.

Respectfully submitted,

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Shiva Abbaszadeh
Vilashini Cooppan
Mayanthi Fernando
Enrico Ramirez-Ruiz
Jennifer Maytorena Taylor
Mark Davis, Vice Chancellor for University Relations, *sits with*
Karen Holl, *Chair*

August 31, 2023

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) undertakes studies of policies and practices regarding equity, fair hiring, and diversity; makes recommendations to appropriate campus bodies; and regularly confers with other administrative units and Senate committees about a broad range of issues related to diversity, equity, and inclusion. CAAD also reviews waivers of open recruitment requests for Target of Excellence and partner/spousal requests. This report provides an overview of the issues the committee addressed this academic year and highlights recommendations for next year's CAAD.

COMMITTEE ISSUES AND ACTIVITIES

This year, CAAD focused on how to work with and assess the effectiveness of recently implemented structures for improving diversity, equity, inclusion, and access on campus. These include the appointment of Associate Deans for Diversity, Equity, and Inclusion (DEI) in each division; the second year of a fully implemented Faculty Equity Advocates (FEA) program, with two faculty serving in this role in each division; and the arrivals on campus of three new staff: Vice Chancellor for Equity, Diversity, and Inclusion, Anju Reejhsinghani; DRC director, Karen Nielson; and the Ombuds, De Acker.

In response to concerns raised on various sectors of campus about first-round job candidate screening based on diversity statements, CAAD reviewed the existing Starting Rubric to Assess Contributions to Diversity, and drafted an updated version of this rubric. The CAAD chair met with Vice Provost for Academic Affairs (VPAA) Herbie Lee to review the revisions in spring and submitted for formal feedback on May 31, 2023. The revised rubric will go through further review in the AY 2023-24 by other appropriate units and CAAD should be kept updated on the extent that revisions will be formally adopted by campus administration. CAAD also formally submitted revisions to the existing definitions of Diversity, Equity, and Inclusion on the Academic Personnel Office (APO) website to VPAA Lee on May 31, 2023.

CAAD members participated in the Inclusive and Thriving Campus Community subcommittee of the Strategic Plan initiative. CAAD remains particularly interested in the opportunity to partner with the administration in its stated goal of creating a future faculty that will reflect the diversity of the population of California. Finally, CAAD notes the ongoing access challenges faced by disabled faculty on campus and the lack of a Senate Faculty Equity Advisor this year, though we are pleased to hear Kim Lau will be the incoming Senate Faculty Equity Advocate for AY 2023-24.

In its final Senate meeting on May 19, 2023, CAAD presented a resolution to update its name to CODEI (Committee on Diversity, Equity, and Inclusion). This resolution overwhelmingly passed the Academic Senate.

I.   **Highlights and Campus Climate Context**

Although the disruptions in teaching modalities of 2020-2022 have calmed significantly, weather- and health-related emergencies continued to impact the campus, and CAAD remains concerned with noting any disproportionate impacts of remote and hybrid instruction as well as interrupted research. The strike action undertaken by four units of academic student employees associated with the UAW also impacted regular campus activities while resulting in some relief for graduate students. The committee consulted with other Senate bodies to offer an equity-minded approach to the broader issues that arose this year, including the rollout of a new budget model for graduate programs, and what our committee views as the inappropriate use of the TOE waiver of recruitment.

II.   CAAD Consultations with Campus Units

- **Anju Reejhsinghani, Vice Chancellor of Diversity, Equity, and Inclusion (VCDEI)**
  The committee met with the newly established VCDEI Reejhsinghani on December 5, 2022 to discuss her position and her vision for the Office for Diversity, Equity, and Inclusion (ODEI). The committee was particularly interested in the Vice Chancellor's vision for the unit as well as for campus. VCDEI Reejhsinghani noted that the current organizational chart had gaps in how to best serve staff, faculty, and students and she will be looking to further develop ODEI pending resources. She ended the consultation by discussing her role as the co-chair of the Inclusive & Thriving Campus Community Committee, a subcommittee of Leading the Change: The UC Santa Cruz Strategic Plan.

  The discussion stayed fairly high-level, and CAAD looks forward to future meetings focused on specific issues the committee is concerned about. As VCDEI Reejhsinghani continues to orient to campus, CAAD will continue to follow up with her regarding her role as Chief Diversity Office (CDO) for faculty and staff and her collaborations with the FEAs and the divisional Associate Deans of DEI.

III.   Participation on University Committee on Affirmative Action, Diversity, and Equity (UCAADE)

The CAAD chair participated in four full-day meetings during the academic year with UCAADE, which gathers representatives from the comparable committees (many with different names) at each UC campus, under the direction this year of UCAADE chair Louis DiSipio (UC Irvine). Our local reports from Santa Cruz focused on the implementation of the Faculty Equity Advisors program and on the especially severe impact at UCSC of the statewide housing crisis. These meetings provided important insights into system-wide equity, inclusion, and access challenges that were in turn shared with CAAD. Information was shared about differential campus impacts of the fall UAW strike (including faculty concerns about attestations) and the state-wide crisis of low enrollments in community colleges, which are vital to meeting UC's transfer commitments. Further, staff numbers are down significantly since COVID-19 due to pay and housing issues.

UCAADE consulted with Doug Haynes, Vice Provost for Academic Personnel and Programs, to review the UC's stepped-up investments in programs like the Faculty Diversity Awards and the Advancing Faculty Diversity Initiative. Program effectiveness evaluations are underway. In addition to regular reports from Academic Council Chair Susan Cochran, UCAADE met with Director of the President's Postdoctoral Fellowship Program Mark Lawson and received updated

data about the successes of the program: not only did the vast majority of Fellows move on to tenure-track jobs, but considerably more UCPPD hires have been retained after tenure than is the average for faculty from underrepresented groups. UC Santa Cruz had hired the highest number of President's Postdoctoral Fellows when ranked by campus size, although UC Irvine had hired the highest total number.

Other major issues discussed at UCAADE were the following: (1) updates on the ongoing implementation of proposals for instituting ethnic studies requirements for UC admission from high school and via community college transfer; (2) continuing to monitor for differential research and teaching impacts of Covid among different faculty constituencies; (3) noting that the Advancing Faculty Diversity initiatives were not widely publicized across the UC system, including at UC Santa Cruz; and (4) requesting a change in the committee charge so that it meets more frequently, but for shorter periods of time.

IV.   Contributions to Diversity Rubric and Recommending Updates to the APO website

In response to concerns raised on various sectors of campus about first-round job candidate screenings based on diversity statements, the CAAD chair (began with Chair Gruesz and continued with Chair Falcón) took the initiative to review the existing Starting Rubric to Assess Contributions to Diversity, which was initially proposed by a previous year's CAAD. It is currently posted on the APO website for applicants to access, and its use by search committees and departments is optional, according to VPAA Herbie Lee. CAAD solely focused on the content of the Starting Rubric itself to submit for formal review.

Members felt that publicly posting a rubric with numerical scores, while also noting that the rubric is optional, sends mixed messages and does not necessarily advance faculty awareness or buy-in. Many committee members felt that the examples given for scoring statements on a 1-5 scale posed a challenge for readers across disciplines to understand the rubric and apply it fairly. Although the Starting Rubric does offer some valuable concrete illustrations of how candidate contributions to equity and inclusion might be documented, CAAD noted inconsistencies in the way categories are described, illustrated, and scored. Some levels of the 1-2, 3-4, or 5 scale contained illustrations while others did not.

The CAAD Chair first polled representatives from other campuses via the UCAADE mailing list to see whether other campuses use such a rubric widely. Those representatives who responded reported that the UC Berkeley rubric (from which the UCSC rubric was originally designed) appears to be in circulation, but they were all uncertain about how many departments employed or promoted the use of a scoring rubric when assessing diversity statements. Training in fair hiring practices does not necessarily reach all faculty, although UCLA makes a comprehensive booklet available to all faculty about how to recognize and reward contributions to diversity.

Working from best practices for assessment in the teaching context as described by the Center for Innovative Teaching and Learning (CITL), and following CAAD's 2018 memo "Contributions to Diversity Statement Guidelines" and UC's "Evaluating Contributions to Diversity for Faculty Appointment and Promotion Under APM – 210," CAAD drafted this new rubric according to the following principles:

- Assessment language should correspond as closely as possible to [the instructions given to candidates on the Academic Personnel Office (APO) page](). In pedagogical terms: the rubric should closely reflect the prompt.
- Numerical "scoring" of contributions may give a false sense of quantitative certainty. Expectations-based categories (e.g. exceeds/meets/marginally meets/does not meet expectations) are more useful in that they invite pre-search discussion among search committees and departments about what expectations are for a particular discipline at a particular career stage.
- The logic of requiring diversity statements at the application stage is to foster equity-mindedness in *all* faculty over the course of their careers at UC. Thus, the rubric used to assess diversity statements from job candidates should have ongoing usefulness in the merit review and promotion process. In this way, the rubric would move from being a summative assessment (a way of scoring achievement) to a formative assessment (a way of giving feedback to increase knowledge and skills). CAAD suggests that administrative and Senate partners, particularly CAP and CAAD, work on building an assessment rubric for diversity statements that can be used longer-term in the personnel context since equity and justice is everyone's responsibility.

As mentioned above, the revised rubric has been formally submitted to VPAA Lee for review on May 31st and the work will continue into the next academic year. An unresolved issue is whether the rubric applies to only the DEI statement or to representations of DEI across the file. The committee also raised concerns about international applicants who may not have had opportunities to work in diverse environments and/or who are less familiar with the genre of the diversity statement.

Lastly, VPAA Lee requested CAAD provide brief input on content on the APO website (https://apo.ucsc.edu/diversity.html). CAAD submitted their recommendations for updating and improving the existing definitions about DEI to VPAA Lee on June 22, 2023 for review. We expect to hear in the fall if the proposed text is adopted in full or partially and to then determine appropriate updates to the existing CAAD guidelines.

V.   Consultations with Associate Deans for Equity, Diversity, and Inclusion and Faculty Equity Advocates

Historically, CAAD has met at least once a year with key members of the administration with purview over equity, inclusion, and access. It also met with the Advancing Faculty Diversity cohort during the planning phase of the FEA program. Now that each Division has appointed an Associate Dean for DEI (with a portfolio including but not limited to faculty-related issues), it is no longer possible for CAAD to have individual consults with each administrator. Instead, CAAD deputized its members to meet individually with their corresponding Associate Deans.

CAAD Committee members met with the following Associate Deans of DEI: Gina Dent in Humanities, Marcella Gomez in the Baskin School of Engineering (BSOE), Karlton Hester in the Arts Division, and Ana Christina Ravelo in the Physical and Biological Sciences Division (PBSci). Judit Moschkovich (Social Sciences) was on leave during our Spring meetings and, thus, her views are not reflected in this report. Most Associate Deans related the beginning of the first year as a period of assessment, visiting with the various departments in their divisions to learn about

concerns and initiating and engaging in programs that support the campus community and improve the DEI climate.

Associate Deans listed their priorities and current activities. BSOE DEI Associate Dean Gomez focused on promoting equity for undergraduate students, faculty, and graduate students, as well as addressing recruitment and retention issues. In addition to the core concerns of DEI work, Associate Dean Dent in Humanities was interested in critiques of DEI and worked on animating programs and departments to think in complex ways about how they construct searches, including advertising and other issues. Associate Dean Dent also noted that while she felt prepared for her position, she would not have been prepared for the role if she did not already have significant experience in DEI.

Associate Dean Ravelo in PBSci has sought to analyze the climate by surveying STEM faculty and by organizing regular summits to bring faculty together to discuss DEI issues. Associate Dean Ravelo also initiated a Work-Study Research Initiative to create more opportunities for undergraduate students to get paid for conducting scientific research while being supported through the cooperation of the STEM-Diversity Center at UCSC. Associate Dean Ravelo also wrote her division's guidelines for fair hiring, which contrasts with the majority of Associate Deans who responded that hiring work isn't structured into their position so far.

Associate DEI Dean Hester partnered with Arts Dean Shimizu to establish significant programs, including securing 3-years of funding for all divisional departments to receive $10,000 of support to fund DEI initiatives that are identified by faculty and staff within each department. Associate Dean Hester also prioritized the work to help strategize and enact the Dean's vision for a broad new mentoring plan that pays special attention to concerns of mentoring BIPOC and women faculty.

The Associate Deans generally reported strong partnerships with the Deans of their respective divisions, sometimes attending weekly meetings with these Deans, and, overall, also reported positive communications about the larger and ongoing DEI enterprise in the Division. One Associate Dean pointed out that, while the divisional dean did not provide a budget to the Associate Dean, the divisional Dean generally provided funding and resources to initiate and run projects. Another Associate Dean noted that, beyond the support of the divisional Dean, there was significantly less support for this work arriving from the Vice Chancellor for DEI and other campus entities. We recommend improved communication across these various units in the new academic year.

Regarding relationships with divisional FEAs, Associate Dean Hester mentioned his partnership with FEA John Jota Leaños, working together at the Chancellor's request to address problems of policing in the UCSC community through an associated art projects. However, most Associate Deans had limited interaction with FEAs and desired more clarity on their roles compared to the Associate Deans. CAAD concurs that more clarity about the various equity positions on campus is necessary. **Therefore, we strongly recommend the administration create an equity flowchart and contact email list so that faculty know where to direct their queries about DEI issues.**

During the meetings, the Associate Deans noted a variety of concerns, including the need for designated staff support to help carry out plans, and the need to train Department Program Managers as equity partners in DEI activities and reporting. One Associate Dean reported that her work was overwhelmingly focused on conflict resolution to the detriment of other plans. Some of these grievance concerns might be met through regular meetings with the Vice Chancellor for Diversity, Equity, and Inclusion, and by building relationships with the Office of the Ombuds. Similarly, Associate Deans should receive guidelines on which grievances they do not need to engage with when they fall outside of their responsibilities.

VI.   Subcommittee Work

- *Inclusive and Thriving Campus Community Committee of the Strategic Planning Committee*
  CAAD participated in the Inclusive and Thriving Campus Community (ITCC) Committee, one of five committees that formed the Strategic Planning Committee. ITCC was led by Co-Chairs Celine Parreñas Shimizu, Dean of Arts and Distinguished Professor of Film and Digital Media, and Anju Reejhsinghani, Vice Chancellor for Diversity, Equity, and Inclusion and Chief Diversity Officer. The ITCC committee was charged with investigating DEI principles and related issues across the campus community. The committee performed investigations, developed findings, and made recommendations based on stakeholder conversations, internal deliberations, survey data, and documentation.

  The committee broke into four working groups. CAAD participated in working group C, which was assigned two specific charges:

  o Inventory the emerging campus ecosystem of units and leaders for equity, belonging, and inclusion, including the Office for Diversity, Equity and Inclusion; Equity and Equal Protection Office; Academic Personnel Office; Hate/Bias Response Team; and the newly established Ombuds Office, and propose recommendations to address real and perceived institutional, programmatic, and other equity-related gaps as well as cultures of exclusion.
  o Take stock of the DEI committees, positions, leaders, and other initiatives (including grant-funded) that have developed outside of central campus offices. Evaluate effectiveness and make recommendations about how to leverage, amplify, and support this work.

  The ITCC committee performed investigations, developed findings, and made recommendations based on stakeholder conversations, internal deliberations, survey data, and documentation. In addition to planning meetings and full committee stakeholder sessions with the Associate Deans of DEI, Faculty Equity Advocates, Special Advisor to the Chancellor on Indigenous Relations, and the Vice Chancellor and Assistant Vice Chancellor of Diversity, Equity, and Inclusion, Group C also held stakeholder meetings. On March 8, members of the group met with several Resource Center Directors. These Resource Centers serve undergraduate and graduate students and are housed under the Division of Student Affairs and Success. On April 12, Group C met with Dr. Rebecca Ropers, the Vice Provost for Faculty and Academic Affairs at the University of Minnesota.

Dr. Ropers is serving as a 2023 Academic Excellence Program (ACE) Fellow in the UC Santa Cruz Office of Campus Provost & Executive Vice Chancellor. Dr. Ropers shared her perspective on the best DEI practices, including integrating DEI as a priority for student success, tailoring the structure for supporting DEI based on the institution's context and the players involved, and rewarding DEI work and making it a part of regular conversations to encourage and promote it. On April 19, Group C met with graduate student stakeholders. Students expressed the need to have regular gatherings to allow students to come together and promote the culture of inclusion.

Group C held planning meetings to assist VCDEI Reejhsinghani in revising the CAAD document inventorying DEI-centered programs, centers, units, scholarships, and other resources on campus created at least three years ago. VC Reejhsinghani also used the revised CAAD document to respond to a survey coordinated by UCOP.

- *MLK Convocation*
  CAAD participated in the organizing committee for the 39th Annual MLK Convocation on February 21, 2023, led by DEI Vice Chancellor Reejhsinghani. The committee chose to highlight three main themes in its speaker selection: Black excellence, Black joy, and Black contributions to STEM, extending a speaker invitation to Dr. Talithia Williams, an Associate Professor of Mathematics at Harvey Mudd College. Dr. Williams is also an expert in big data, host of the PBS docuseries *NOVA Wonders*, and author of *Power in Numbers: The Rebel Women of Mathematics,* about female trailblazers in STEM fields. In her lecture, Dr. Williams outlined her own life path and expounded on her aim to help more women and people of color to pursue careers in science, technology, engineering, and mathematics. She recalled microaggressions and barriers on the way to an early career at the NASA Jet Propulsion Lab in Pasadena and the National Security Agency. In her talk, Williams also drew an example from the work of Kizzmekia Corbett, an African American immunologist known for her contributions to the COVID-19 vaccine. Williams closed her address by further encouraging those with a passion for STEM to proceed with perseverance on their own paths. David H. Anthony III, a professor emeritus of African History at UC Santa Cruz, was the master of ceremonies, and Xavier Livermon, UC Santa Cruz Associate Professor in Critical Race and Ethnic Studies, moderated discussion after the talk. Earlier in the day, Dr. Williams met UCSC students over Zoom.

- *Office of the Ombuds*
  CAAD Chair Gruesz was part of the Senate Executive Committee (SEC subcommittee that interviewed finalists for the newly re-established Office of the Ombuds, a search that resulted in the successful hire of De Acker. CAAD looks forward to future engagement with Ombuds Acker.

VII.   Correspondence

This academic year, CAAD issued correspondence on 16 requests. Below is a summary recap of that correspondence.

Systemwide
- Systemwide 2nd Review Presidential Policy Abusive Conduct (October 2022)

- Systemwide Proposed Senate Regulation 479 (CAL-GETC) (November 2022)
- Systemwide Proposed Amendment SR 630 (November 2022)
- Systemwide Senate Review of Proposed Conforming Amendments to Senate Regulations on Admission (February 2023)
- Systemwide Proposed Presidential Policy - Anti Discrimination (April 2023)

Divisional

- CP/EVC's Contributions to Diversity Statement Requirements (November 2022)
- Transfer of CHES from FOA to DSAS (November 2022)
- Senate Consultation on Web Improvement Program and Universal Prompt (January 2023)
- Development of a Faculty Salary Equity Review Policy Letter (January 2023)
- Revisions for Hiring of Presidential and Similar Postdocs Letter (February 2023)
- WASC Theme Proposal Draft (March 2023)
- FEA's and VPAA Recommendation for Inclusive Faculty Hiring (April 2023)
- Proposed Equity Based Modifications for Faculty Review Process (May 2023)
- Space Management Policy (May 2023)
- Formal Review of Proposed Revisions to CAPM 412.000—Career Equity Review (May 2023)
- CAAD to VCDEI VCDEI Reejhsinghani re Requesting Campus Equity Map (June 2023)

In addition, CAAD reviewed six waivers of open recruitment proposals (Target of Excellence and Spousal/Domestic Partner proposals), including one that arrived in summer 2023.[1]

We note with some concern the administration's decisions to approve waivers of recruitment that did not align with CAAD's careful assessments this academic year. CAAD received a total of six waiver requests during AY 2022-23 and endorsed one of them. Our assessments follow the criteria stated in the CAPM 100.000. We understand our role is that of advisory, but wish to note our concerns in this annual report about this discrepancy of approving waivers, especially since CAAD had explicit concerns about the waivers being mis-used.

VIII.   Proposal to Update the CAAD Name to CODEI

As a follow up to last year's discussion, the committee considered whether or not to propose to change the name from CAAD to the Committee on Diversity, Equity, and Inclusion (CODEI). This new committee name would better align with the principles on our campus and those systemwide. UC Santa Cruz and UC Davis are the only committees with "Affirmative Action" in the title and others have adopted the terms of "equity" and "inclusion" in their names, which are terms that this current CAAD agrees better reflect the committee's ongoing work.

Recalling that the Chair and Analyst undertook a census last academic year of what comparable UC campuses call their committees, the composition of those committees, and the frequency of their meetings, they found that UC Santa Cruz's CAAD meets more frequently than those at other campuses, and does not currently include a non-Senate faculty representative as two other campus bodies do.

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[1] 2020-21 (6), 2019-20 (5), 2018-19 (3) proposals were reviewed by CAAD.

Noting that the comparable committees at other UC campuses have shifted toward the language of equity and inclusion (e.g. "Committee on Diversity, Equity, and Inclusion"), this year's committee opted to formally submit a request to the Senate to change its name to CODEI. CAAD submitted a letter to the Committee on Committees (COC) on April 25, 2023. COC supported the request. CAAD then submitted a second letter to the Committee on Rules, Jurisdiction, and Elections (CRJE) on May 4, 2023. CRJE also supported the request and pointed out that CAAD should also update some existing language in its charge. The proposal went before the Senate on May 24, 2024. Following the Senate meeting, an electronic ballot circulated to Senate members and the Senate overwhelmingly voted in favor of the proposed name change. Effective July 1, 2023, CAAD will be known as CODEI and its charge will be updated in the next academic year.

IX.   Considerations for 2023-24 CAAD

- Update the CAAD charge to align with its new name of CODEI and work with the analyst and Senate to get the language approved.
- Noting that CAAD had representation in the past on the DEI office's committee for considering funding requests and that CAAD has not been involved for the past two years as the VCDEI office completes its restructuring, the chair should monitor that CAAD has representation on appropriate committees.
- Consider working with CAP to develop a rubric for department use to assess Contributions to Diversity sections in faculty personnel cases, drawing from proposed changes by CAAD to the Starting Rubric.
- Review and update as deemed appropriate the existing CAAD guidelines for applicants that appears on the APO website (https://senate.ucsc.edu/committees/codei-committee-on-diversity-equity-and-inclusion/DivStateGuidelines.pdf).
- Meet with Judit Moschkovich, Associate Dean of Equity for the Social Sciences Division, since she was on sabbatical in the Spring, asking the same questions CAAD members asked of Associate Deans of DEI in spring 2023.
- Invite the chair of the Faculty Equity Advisors (FEAs) to a CAAD meeting to determine ways to collaborate. Learn about what they are doing and about the effectiveness of the program. Review the training materials for FEAs (sent by VPAA Lee in spring 2023) and obtain a better understanding of the two-year rotation and recruitment for FEAs.
- Follow-up with the VCDEI office on CAAD's request on June 29, 2023 to produce an equity flowchart and/or organizational chart in collaboration with other entities as the current infrastructure is disjointed. These new documents should also include a contact list of faculty and staff and be widely circulated through a campus-wide communication.
- Continue to monitor the campus strategic plan as it moves towards implementation.
- Assess the needs of disabled faculty and their access to equitable accommodations to determine an appropriate plan of action in collaboration with appropriate campus units.

CAAD wishes to especially thank the undergraduate and graduate student representatives who consulted with and informed their respective member-representatives, as well as our incomparable Committee Analyst Rebecca Hurdis.

Respectfully submitted,

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Juhee Lee

Yat Li   Nathan McGregor, GSA Representative (*W, S*)

Adriana Manago   Akira Swan SUA Representative *(F, W)*

Matthew Schumaker   Ciara Davis, SUA Representative *(F, W)*

Amy Vidali

Kirsten Silva Gruesz, *Chair (F, W)*

Sylvanna Falcón, *Chair (S)*

August 31, 2023

COMMITTEE ON EDUCATIONAL POLICY
Annual Report 2022-23

To the Academic Senate, Santa Cruz Division

The Committee on Educational Policy's (CEP) responsibilities include the review of the undergraduate programs and their program statements, and consultation with other Academic Senate Committees and administrative units on a broad range of issues concerning undergraduate education. In addition to these routine activities, the committee also spent time reviewing issues related to the transition out of COVID-19 and laying the groundwork to incorporate a variety of course modalities as we move online education forward. We also undertook significant additional workload by reaffirming the Pass/Fail option rules for periods where outside factors impact faculties ability to enter grades in a timely manner.

The committee has dealt with the following issues this year:

I. Summer Session Delegation

At the beginning of the fall quarter, the committee reviewed the data and report from the Vice Provost and Dean of Undergraduate Education (VPDUE) to determine if future delegation to course sponsoring agencies (CSA's) for mode of instruction continues to be appropriate. CEP granted the VPDUE's request on October 21. On October 27, 14 faculty members submitted to the Committee on Rules, Jurisdiction and Elections (CRJE), a SB 206.B challenge to CEP's decision as a violation of Santa Cruz Division Bylaws 13.18.9. The premise of this challenge was that the use of remote courses persisting beyond the COVID-19 pandemic lacked curricular oversight that is ensured by the review of the Committee on Courses of Instruction (CCI). On November 4, CRJE found that CEP "lacks the authority to delegate to course sponsoring agencies the decision to offer any part of their course in summer 2023 through remote instruction without prior CCI approval." On November 14, CEP sent communication to campus rescinding the delegation with a note that CCI will transmit guidance regarding the review of summer online courses promptly.[1]

In spring 2023, CEP and GC developed an Emergency Remote Authorization pathway for CSA's. The Google form stated:

> The Committee on Educational Policy (CEP) and Graduate Council (GC) will consider applications for online modalities made on non-pedagogical grounds including, but not limited to, the availability of Santa Cruz-based instructors, enrollments larger than available teaching spaces, and strategic growth of enrollments for a Course Sponsoring Agencies (CSA's) curricular goals. **Emergency Remote approval is not intended to be a repeated path and should not be considered ongoing.** This form is for one-time approval for up to one year.

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[1] https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/course-information/cci-guidance-on-applications-for-online-and-hybrid-modalities---summer-2023_111422-6.pdf

When CSAs have both pedagogical and non-pedagogical rationales for applying for online modes of instruction, they are encouraged to apply to CCI first on the basis of their pedagogical rationales. CCI may then direct them to CEP if necessary.

Requests should provide general course information and a detailed explanation of the emergency circumstances that warrant authorization of emergency remote modalities.
If an instructor requires a reasonable accommodation under <u>APM 711, Reasonable Accommodation for Academic Appointees with Disabilities</u>, *including any need to teach an in-person class remotely due to a medical condition, that instructor should write to one of the campus Disability Management Coordinators, Kelly Roberts roberts@ucsc.edu or David Ritz dritz@ucsc.edu.*

The committees received 57 undergraduate and 1 graduate course requests for summer session offerings. A large portion of these requests had submitted proposals to CCI but had been returned for further revisions.

II.   United Auto Workers (UAW) Strike

On November 14, 2022, several groups of graduate students represented by the United Auto Workers (UAW) began an authorized strike that lasted until mid-December, after the fall quarter had ended. Throughout the strike, the committee engaged in multiple conversations regarding how to proceed with offering guidance to instructors and the impacts of instruction and assessment without the support and labor of graduate students.

At the fall Senate meeting on November 30, the Student Union Assembly (SUA) put forth recommendations to the Academic Senate, in particular to CEP, for how best to support undergraduate students. The committee responded on December 1 to the SUA providing options for extending for the completion of Incompletes and changing the grade options to P/NP without impacting the 25% threshold. On December 2, 2022, CEP and CCI sent joint correspondence to help provide clarification for how best to support undergraduate students. This communication provided alternatives for final examinations, workload issues for lecturers and issues around struck labor, and the timing of grade submission and the submission of partial grades.

Throughout campus, there were multiple discussions on a previous CEP correspondence during the Wildcat Strike extended to the UAW strike regarding the replacement of missing grades with a P. On January 26, 2023, CEP sent correspondence to campus. Ultimately, the committee determined to uphold the [Default P Policy from April 2020](#).There was active discussion by all members before the committee voted and agreed, and the conversations covered many issues and contingencies. Given [CEP's charge and purview](#), the primary concerns were the disruptions caused to undergraduates in terms of financial aid, progressing through their majors and time to graduation, which the lack of grades was directly impacting. The majority of CEP members were very sensitive and sympathetic to the Academic Student Employees' situation, and while our final vote on the matter was done in a brief Executive session, all of our committee members including staff from the Office of the Registrar, Undergraduate Advising and our undergraduate representatives were present and participating in our many hours of focus on the matter.

While the committee agreed it is a less than perfect solution, it ultimately seemed to be the path that led to the least impact on undergraduate students, and allowed them to continue to progress. While most other UC campuses were reporting grading completion of 94%-96% at the time of our vote, UC Santa Cruz was only reporting 85%, and many of those courses did not have TAs assigned.

The committee sought to provide clarification regarding the recent decision for fall 2022 missing grades to be replaced with Default P grades per CEP policy. The committee reminded instructors that the default P grade is required to be changed to a final letter grade using the Change Grade link on the MyUCSC Grade Roster by December 2, 2023, one year after the last day of instruction for fall 2022.

Additionally, CEP was assured by Campus Provost and Executive Vice Chancellor (CP/EVC) Kletzer that the administration would provide appropriate resources if additional grading work (e.g. readers and graders) has to be done to complete fall 2022 final grades for courses that had fall quarter TA(s) (please see enclosed for detailed information).

For students who need a letter grade to declare a major and/or to qualify for a major, CEP has previously stated:[2]

> Mirroring the process when the Academic Senate awards a student a P grade as a result of a grade grievance, any P grades that replace missing grades will not affect the student's ability to progress in their major or graduate under letter grade requirements.

CEP was informed that there was confusion amongst students about the impact of the default P in regards to major declaration, major qualification, time to degree, and impacts on graduation. Therefore, the committee recommended instructors to communicate directly with their proposed and declared students about the process you are following to complete outstanding grading and provide letter grades to students based on their submitted work.

III.   Online Course Policy

Over the 2022 summer, the Senate received correspondence from a collection of departments seeking clarification regarding CEP and Graduate Council's (GC) online course policy and the review of course proposals by the Committees on Courses of Instruction. Given the significant increase of course proposals following COVID-19 and remote teaching and learning, there remain inconsistencies in the review and communication process from CCI. CEP, GC and CCI have continued to work through issues and feedback from campus regarding the policy and review of online courses. In a September 2022 correspondence to the Senate Chair, Chancellor and Campus Provost and Executive Vice Chancellor (CP/EVC), the Administrative Management Professionals (AMP) also communicated concerns regarding the status of online teaching and learning and clarity from CCI guidance regarding what makes an online course proposal successful.

In the beginning of the winter quarter, CCI distributed to CEP and GC draft guidelines rubric for review before posting to their website. The committee had minimal comments and supported CCI

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[2] Please also refer to the Undergraduate FAQ's for Fall 2022 Grading from Undergraduate Advising

in providing clarity regarding the submission review process. However, throughout the academic year, there were challenges regarding how CCI's guidelines were not aligned with the intention of CEP's policy in regards to final examinations, the use of proctoring and the requirement of an in-person syllabus for a proposed online course. CEP, GCI and CCI will continue to work through these pending issues in the next academic year to provide better transparency to campus regarding the policy and process.

IV.   UNDERGRADUATE EDUCATION RESOURCES

A. *Computer Science and Engineering Enrollment Management Request*

In spring 2022, CEP sent correspondence to the VPAA noting that the Computer Science and Engineering (CSE) department had not submitted the required response by the expected date of January 19, 2021 for the previously approved enrollment management plan that was granted June 2020. The Academic Senate received the updated enrollment management plan proposal in December 2022.

The CSE Enrollment Management Plan reviewed by CEP suggested that the above mechanisms merely stabilized CSE enrollments at an unacceptably high level. The majority of classes - including upper-division classes - continued to have enrollments in excess of one-hundred students. The number of degrees awarded per faculty are the highest in the UC system and among the highest in the country. As noted by the CSE faculty, impaction disproportionately affects underrepresented students and contributes to the high percentage of non-passing grades and large equity gaps in CSE courses. This situation is likely to get much worse due to the higher than expected yield of frosh admitted as proposed Computer Science BA and BS majors in the fall of 2022. If the BSOE DEI plan is successful, the size of the CSE undergraduate programs will grow even larger, making it even more difficult for the faculty to deliver a high-quality educational experience to its students.

CEP therefore strongly support CSE's request for a maximum enrollment management target of 500 total frosh and 120 total transfer students for the Computer Science B.A. and B.S. and Computer Engineering B.S. programs. We do not believe it would be appropriate to continue to limit admission to only the Computer Science major since the same faculty and advisors serve both CS and CE students and the requirements of the two programs significantly overlap. The proposed 4 to 1 ratio of CS to CE admits seemed appropriate given the relative popularity of the two programs.

The committee was concerned that the *proposed enrollment targets do not adhere to the 2:1 ratio of native:transfer students* guideline required for all UC campuses. Increasing the number of transfer students admitted to the program might help deal with the unexpected increase in enrollments in the fall of 2022, since transfer students do not take as many foundational courses as frosh admits. CEP encouraged the department to collaborate with the administration to fine tune the ratio of students admitted to the program as frosh vs transfer students to maximize the capacity of the CS and CE programs.

The committee hoped that the reduction in CSE's enrollment targets will not be permanent and the increased hiring of faculty coupled with the implementation of strategies for

curricular and pedagogical re-structuring suggested in the VPAA's Guidelines for Enrollment Management[3] will help increase the capacity of these popular programs. Dean Wolf's proposal to require a further justification only if there is a significant change in the CSE's enrollments or faculty size seems quite reasonable.

The committee encouraged the department to work closely with the Committee on Admissions and Financial Aid (CAFA) and the Office of Admissions to ensure that the size and diversity of the entering classes of proposed CSE majors continues to be appropriate. CEP will continue to monitor.

B. *CSE Emergency Remote Section Request*
For the second year, the committee reviewed and approved a request from the Computer Science and Engineering department to continue the use of remote sections for CSE 12, CSE 13S, CSE 20 and CSE 30 to continue for the 2023-24 academic year.[4]

CEP members acknowledged the impact of over-admitting proposed CSE majors for 2022-23 on classroom capacity for CSE 12, CSE 13S, CSE 20, and CSE 30. The compensatory reduction in admissions of prospective majors for 2023-24 ought to alleviate some of the need for remote instruction due to classroom capacity. CEP allowed the department to offer remote sections of these four courses in 2023-24 with conditions.

The major planners indicated that students in the entering class of 2022-23 should have taken CSE 12, CSE 20 (if needed), and CSE 30 by fall 2023, and CSE 13S will be affected by the enrollment surge in 2023-24. Members were concerned that many students may end up taking a high proportion of these required courses in remote instruction, diminishing their academic experience. The department will need to allocate the modality of instruction over these courses and across quarters to ensure that students have adequate and equitable opportunities to minimize the number of these courses taken remotely.

CSE course offerings for 2022-23 may provide some insight: 40% of seats in CSE 20, 20% of seats in CSE 30, 45% of seats in CSE 12, and 80% of seats in CSE 13S were offered in person (using actual enrollments for fall and winter; capacity for spring). Although most places in CSE 30 were offered remotely, an entering student with programming experience could take CSE 30 in person in fall 2022. Every frosh student required to take CSE 20 first had to take CSE 30 remotely and most likely took CSE 20 remotely.

The planners for four-year completion of the major place CSE 13S in the second year. One way to ensure that these students are able to avoid a third, or fourth, class in remote mode would be to repeat the large percentage of in-person seats for CSE 13S. However, CEP members wanted to see sufficient in-person capacity across CSE 20, CSE 30, and CSE 12 so that students have a reasonable possibility to take most or all of these courses in person.

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[3] Last revised on May 20, 2021

[4] The 2022 approved request from the CSE department granted authorization to teach some of the offerings of CSE 20, CSE 30, CSE 12, and CSE 13S remotely for 2022-23 due to the excess yield from frosh admission offers to CSE.

CEP observed that the allocation of seats across these courses for 2022-23 suggests that the department took this into account and urges it to do so again.

Authorization for remote instruction for some, but not all, sections of the CSE 12, CSE 13S, CSE 20, and CSE 30 is given for a single academic year, 2023-24. Emergency remote instruction authorization is for one year only and not renewable. To be clear, emergency remote instruction cannot be a route to an ongoing online curriculum for students starting out in the CSE majors. CEP concurs that students should always have the opportunity to take the foundational courses in CSE in person.

C. *Classroom Capacity Issues*

CEP continued to discuss the serious negative impacts of dwindling classroom space with the return to in-person teaching and learning. In the Spring, we met with CPB Chair Dard Neuman to discuss increasing problems and concerns. In reviewing new programs and changes to existing programs, CEP (along with CPB) have been requesting further information about the impact to general assignment classroom space. We have urged that proposals should aim to use divisional space if available but this is also increasingly a finite resource.

- **Office of the Registrar May 15, 2023 Email**
  The campus situation continues to become more extreme as noted in the May 15, 2023 email from the Office of the Registrar stating the following:

  An important announcement regarding the class schedule for fall 2023. At this time, general assignment classroom spaces for 25–50 seats are essentially fully scheduled in all time blocks.

  As such, late schedule changes and additions will be unlikely or impossible to accommodate, absent within-program solutions such as using space that is not designated for general assignment scheduling, having a mixture of in-person, remote, and hybrid secondary sections, and identifying scheduling swaps.

  At this time, we have filled all Tuesday/Thursday time blocks, and are near capacity for Monday, Wednesday, and Friday secondary meetings. Broadly this means that our team needed to schedule secondary sections in medium and large lecture rooms (often in classrooms with fixed seating or at undesirable locations), and at undesirable times (late evening) in order to fit the schedule. In other cases we were not able to provide the requested features or teaching times for courses and sections, and departments will need to understand that there are no other options for general assignment space. We recognize that none of these circumstances are desirable, and may result in impacts to both students and instructors.

  Fall is our most impacted quarter: fall enrollments are consistently higher than winter and spring, with an increase in the small college and other foundational classes that are required for new incoming students. For fall 2023, we now experience three additional factors:

  1. The change in Kresge college classrooms: though the construction has opened up a beautiful 600-seat lecture hall, it has also reduced the number of available general assignment classrooms by two, and eliminated Kresge's college-scheduled

teaching space. Thus, there are three fewer classrooms in comparison to fall 2022, and a loss of 32 schedulable primary time blocks.

2. A broad increase in the size/capacity of secondary discussion sections (to 30 students or higher) in several departments. Given that 25 of our 90 general assignment classrooms are below 25 seats, this means that our smallest rooms are underutilized, while mid- sized rooms are more heavily impacted for all class types.

3. An increase in faculty and departments requesting Tuesday/Thursday (or two-day a week) teaching times due to transportation, availability, or other needs.

The committee considers the classroom space issue a top priority for CEP in 23-24, and will continue to work on issues related to classroom space and curricula with consultations with CPB and CCI. In particular, CEP sees the need to act with utmost urgency on several issues it has been identifying since at least its 2019 Memo to the CPEVC:

- undertake a new space audit, preferably and urge reconsideration and adaptation of "space ownership" and use;
- explore the possibility of combining very small classrooms (<20 seats) into larger, more usable classrooms of 30+ seats, and reconfiguring existing classrooms to make them more usable;
- evaluate the number of undergraduates that our existing classroom space can reasonably support with our current curriculum, and make that a point of reference in discussions regarding campus growth.

D. *Math for Life and Environmental Sciences: Math 16 Sequence*
In fall 2022, the Math department consulted with CEP regarding the launch of a new math series for life and environmental sciences majors (Math 16 series). The course proposals came to CCI in early January which missed the December deadline for CEP's annual program statement review. Since this new series will require changes for other dependent CSA's in cross-listing program statements, this series was unable to launch for the 2023-24 academic year. The committee views this as a promising new math sequence and wants to ensure that the transition is clearly outlined for departments, advisors and students.

V.   Annual Program Statement Review

This year, the CAT team continued to make minor changes to the system including a form preview option. Additionally for undergraduate program statements, a summer session column was added, as well as the addition of the required orientation, college and writing sequence courses to planners. There were also guidelines for having program statements align better for the work for the [Degree Audit Initiative](#).. Establishing these guidelines will allow much of the manual work of assessing degree completion to be automated and inform students of all of the possible paths to graduation.

The review of program statements this year was immense and took significantly longer with multiple rounds of necessary revisions. This was largely due to the impact of the Chemistry and Biochemistry department's redesign to help ensure that the other program statements were in alignment with the previous sequence and the new one. The committee typically finishes their

complete review in early spring quarter but this year, the review was not complete until mid-June. Several members of the committee also indicated that using the current CAT system is not very easy or efficient. The Committee also discussed the importance of requiring course-sponsoring agencies to submit a cover letter that indicates a detailed list of all changes made, together with brief rationale for any significant substantive changes.

This year's review had a few course sponsoring agencies proposing new program learning outcomes (PLO's). The committee provided lengthy feedback to help CSA's think about how their PLO's are accessible and "assess-able". The committee developed a template response to be used for future program statement reviews when CSA's are proposing changes.

CEP and GC also requested CSA's to provide information regarding online course policies and online courses to the Senate as an additional but required part of the program statement review process. There were 18 responses providing a response for an online course policy and only 11 responses regarding undergraduate current and future online courses. The committee along with GC and CCI will continue to discuss issues related to online courses next year.

VI.   LEGISLATION AND POLICIES

The following issues were discussed by CEP. Legislation was approved by the Academic Senate or a policy was approved by the committee. The general objective was to simplify and provide better clarity regulations and policies.

A. *Policy for Enrollment in Greater than 19 Units*
   VPDUE Hughey submitted a request for CEP to consider updating the unit policy to permit all students with a cumulative GPA of 2.0 or higher to have the ability to enroll in up to 22 units starting the first day of instruction and without special process of permission. The committee determined to expand student opportunity and responsibility by significantly automating the process of enrolling in greater than 19 credits. These students should be provided the freedom to craft their own challenging courses of study in pursuit of their academic goals. This proposed amendment to Santa Cruz Regulation (SCR) 6.1.2 is in conjunction with updating CEP's existing Policy for Enrollment in Greater Than 19 Units. CEP permits all students with a cumulative GPA of 2.5 or greater to enroll in up to 22 units starting the first day of instruction without special process or permission, and the proposed legislation requested the GPA be changed to 2.5 (instead of to the 2.0 originally proposed by VPDUE Hughey). Additionally, the committee updated the language of the SR 6.1.2 and removed language regarding "superior students." This was presented at the fall Academic Senate meeting.

B. *Replacement of Missing Grades with a P*
   In response to the UAW strike, the committee took the April 2020 CEP correspondence and codified it with a direct policy stating:
   > *Any missing grades will be converted to P grades 30 days after the grade submission deadline, after the instructor, course sponsoring agency, and the supervising dean have been informed in a timely manner.*

> *Mirroring the process when the Academic Senate awards a student a P grade as a result of a grade grievance, any P grades that replace missing grades will not affect the student's ability to progress in their major or graduate under letter grade requirements. Also, to mirror the grade grievance process, an instructor may ask that their name be removed from a student transcript if a P grade has been inserted by CEP and the Office of the Registrar.*

C. *[Policy on Catalog Information](#)*
To support departments and programs during the annual catalog program statement review, the committee has created a policy that includes the information the committee requires for their review.

VI.   Preparatory Education and Placement

A. *University of California Committee on Preparatory Education (UCOPE)*
Member Tamkun served as the CEP representative to UCOPE for the academic year. CEP provided informal feedback to UCOPE on several topics, including the report and recommendations of the Entry Level Writing Requirement Task force; the potential revision of Senate Bylaw 192 (which describes UCOPE's charge); and the proposed structure and charge of a new ELWR-Coordinating Council that would provide guidance regarding this requirement.

VII.   Academic Program Establishment, Modification, Suspension and Discontinuance

- Education and Latino & Latin American Studies combined major was approved for fall 2024.
- The Middle Eastern and North African Studies (MENA) minor proposal was approved for fall 2023.
- The Humanities Division submitted a proposal for a Humanizing Technology certificate. This was approved for fall 2023.
- Arts, Games and Playable Media major's redesign was approved for 2023-24.
- Following 2021-22 CEP's approval of creating the VAST course code, the Humanities Division submitted a proposal for Visualizing Abolition Studies certificate. This was approved for fall 2023.
- The Microbiology B.S. from the Microbiology and Environmental Toxicology department was approved for fall 2023.
- The Physics department put forth a Quantum Information Science (QIS) Concentration for the Physics B.S. This was approved for fall 2024.
- The Italian Studies B.A. was discontinued.
- Languages and Applied Linguistics creation of FIL course code for lower-division course in Filipino (Tagalog).

VIII.   Reviews

This academic year, CEP reviewed and responded to the following:

Systemwide

- Systemwide Proposed Amendment SR 630 (October 2022)
- Systemwide Proposed Senate Regulation 479 (CAL-GETC) (November 2022)
- Systemwide ELWR Taskforce Report and Recommendations (November 2022)
- Systemwide Senate Review of Proposed Conforming Amendments to Senate Regulations on Admission (February 2023)

Divisional
- Global Engagement's Bi-lateral Exchange University Approval Request (October 2022)
- VPAA's Technology and Information Management Interim Report (October 2022)
- VPAA's Revision to the APU (December 2022)
- Transfer of CHES from FOA to DSAS (November 2022)
- WASC Theme Proposal Draft (March 2023)
- VPAA's Five-Year Perspectives 2023-2027-28 (May 2023)
- Leading the Change: The UC Santa Cruz Strategic Plan: Draft (April 2023)
- FEA's and VPAA's Recommendations for Inclusive Faculty Hiring (April 2023)
- Space Management Policy (May 2023)
- Leading the Change: Strategic Planning Committee Reports (June 2023)

Additionally, CEP participated in the external review process for the following departments and programs: Latin and Latino Studies, Science Communication, Ecology and Evolutionary Biology, Literature, Education, Music, Digital Arts and New Media, Feminist Studies, Arts, Games and Playable Media, Mathematics, History of Consciousness, History of Art and Visual Culture, Statistics, Microbiology and Environmental Toxicology, Computer Science and Engineering, Colleges, and Physics. The committee would like to note that many departments on campus are not meeting the submission deadlines for materials established by the VPAA's office. This creates an additional burden for CEP and the Senate in shifting and impacting the committees' schedules.

The committee also received four posthumous degree requests. This year, the committee delegated to the University Registrar approval for posthumous degree and certificates when the criteria has been met.

Additionally, it received two individual major proposal petitions. CEP notes that in the past couple of years, there have been multiple revisions to the major proposals since courses intended are not always available. These requests from students and their committees come to CEP late and the committee has no other viable option other than to approve. There needs to be better communication between the student, faculty and colleges to ensure that the committee has the appropriate time to review any proposed changes.

CEP also reviewed 6 FTE personnel requests.

IX.   **OTHER ITEMS**

- ***Canvas and Waitlists***
  CEP consulted with AVPTL Greene and OE Director Tassio to discuss if students on a course waitlist should have access to the instructor's Canvas page and the potential benefits and challenges this access might present.

- ***VPDUE's Request: Extension of Dean's List to Part Time Students***
  VPDUE Hughey proposed for the committee to consider revising SR 11.6 by extending the Deans's Honors to include students with part-time status. The committee sought to extend Dean's Honors recognition to students who have succeeded in a given term within the personal, familial, economic or other constraints they face, regardless of their unit load. When the proposed changes were reviewed by CRJE, they had several comments for the committee to consider. Thus, CEP was unable to put forth this change at the spring Academic Senate meeting. Committee discussions will continue during the next academic year.

- ***IRAPS***
  CEP consulted with IRAPS in spring 2023 to review the public facing dashboards as well as the internal dashboards. The committee additionally consulted with AVPTL Greene regarding concerns for how the information from the public and internal IRAPS dashboards are being used on campus. Moving forward, the committee will consult early with IRAPS to receive an overview and training for the internal dashboards.

- ***New Budget Model and Impacts on TA Allocations***
  CEP consulted with Associate Campus Provost Adrian Brasoveanu on the subject of the new budget model and how it might impact undergraduates in terms of space. ACP Brasoveanu was very helpful in giving us the broad view of how the now model may impact students, and referenced and shared relevant information including the recent CP/EVC announcement of an initiative to pilot increased TA funding to critical major pathways, high-impact GE, and known barrier undergraduate courses across the five disciplinary divisions and the Colleges. This plan provided particular focus on critical and high-impact courses.

- ***Retroactive Course Lists in Degree Audit***

- ***Divisional and Course Codes***
  In the past, CEP has not permitted divisional codes to be used to offer courses because courses need faculty and not administrative oversight. However, the recently approved Humanizing Technology certificate program is now housed under a divisional code. Additionally, the Office of the Registrar has informed the committee that all of the divisions have a code except for the Arts within the CAT system. The committee still maintains that any use of a divisional course code still needs specific approval from CEP and GC respectively in coordination with CCI. If the proposal does not explicitly reference new subject coding, a formal clarification and authorization from the plenary Senate committee should be sought and the VPAA should be cc'd.

- ***UCEP***
  Much of UCEP's work over the course of the year involved the UC-wide approach to possible online degrees. Because UC Santa Cruz has the only proposed online undergraduate degree, this will have a disproportionate impact on UC Santa Cruz. The year finished with UCEP reviewing and approving the Creative Technology B.A. program with some minor stipulations.

  Online degrees were not the only topic, but they were the only unusual topic. UCEP also discussed many issues related to the COVID-19 pandemic and the normal renaming,

establishment, and up keeping of the various undergraduate degrees across the system. UCEP finished the year by publishing initial guidelines for approved Modalities, which will be a topic of discussion for CEP this coming year.

X.   Subcommittee

- *Degree Audit Steering Committee:* A CEP representative was selected but the committee never met.

- *Academic Advising Council:* The Academic Advising Council considers all aspects of undergraduate academic advising at UC Santa Cruz the council met monthly throughout 2022-23 and produced a substantial annual report on initiatives and actions taken to improve student academic experience and success. For 2022-23, the council focused on four areas: staffing/human resources for advising, measuring advising effectiveness, tools and resources for students and advisors, and initiatives to support student success.

- *WASC Reaccreditation:* The primary goal of this committee was to choose two themes for our upcoming reaccreditation. The themes chosen were widely felt to be the most concise representation of campus needs, those being student success and an inclusive and thriving campus climate.

- *Student Success:* While a number of meetings were canceled due to storms or strikes, this committee was able to achieve a primary goal of getting the divisional leadership to lay out plans to increase student success. These included their successes, challenges and goals.

- *Technology Enhanced Teaching and Learning Advisory Committee.* This is a newly convened committee. It brings together staff and faculty "to review and consider instructional technologies explicitly in the context of working towards campus priorities, making recommendations to the executive sponsors, while guiding the campus in making strategic and sustainable investments in instructional technologies." The representative from CEP participated in the initial meetings, considering potential educational tools for 2023-24, mapping educational technologies, and beginning to discuss principles for evaluating requests for new educational technologies. TETL will continue its work in 2023-24, with CEP representation.

XI.   Carryforward 2023-24

The carryforward for the next academic year continues to have persistent themes and issues from previous CEP's.

- **Classroom Capacity**
  Continue working with CPB, additional Senate committees, and campus stakeholders to develop guiding principles for classroom capacity issues.
- Assessment of Online Course Policy
  CEP, GC and CCI to continue discussions to determine if and how the policy and/or supplemental questions should be modified.
- Assessment of Directed Self Placement (DSP) and Mathematics Placement Exam
- Revisions to the Senior Residency Policy
- Creation of an Online Final Examinations Policy
- Revise and updates to the Major Qualification Policy and Guidelines

- Academic Integrity and generative AI use policies

The committee would like to extend their gratitude to the many students, faculty, and staff who helped CEP fulfill its obligations. CEP members feel a particular need to thank our student representatives, the Associate Vice Chancellor for Teaching and Learning Greene, and the Director of Online Education Tassio for the tireless work of keeping CEP members—and everyone else on campus—informed during a trying time.

Throughout the year, CEP was provided with valuable input from Associate Registrar Kalin McGraw, and Assistant Vice Provost Stacey Sketo-Rosener from the Office of Campus Advising Coordination as well as our student representatives Dora Rasch and Jamie Hindery and Oakes Provost Marcia Ochoa. We also thank analysts Rebecca Hurdis and Morgan Gardea for the enormous amount of work they did in supporting the work of the committee and serving as a repository of knowledge about CEP activity in previous years.

Respectfully submitted,

COMMITTEE ON EDUCATIONAL POLICY
Elizabeth Beaumont
Cormac Flanagan *(W, S)*   Jamie Hindery, GSA Representative
Alma Heckman   Dora Rasch, GSA Representative
Dianne Hendricks   Marcia Ochoa, Provost Representative
Kenneth Kletzer
Kyle Parry
Victoria Auerbuch Stone
John Tamkun *(W, S)*
David Harrison, CCI Chair, *ex officio*
Tchad Sanger, University Registrar, *ex officio*
David Lee Cuthbert, *Chair*

August 31, 2023

COMMITTEE ON EMERITI RELATIONS
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met three times during the 2022-23 academic year. This year, CER's pro-active agenda included continued collaboration with the Emeriti Association and the CP/EVC on the Edward A. Dickson Emeriti Professorship Award, consultation with Pathways to Retirement Faculty Liaison, Don Brenneis, and a request to VPAA Herbie Lee for annual reports on numbers and contents of Pathway agreements by division. We also continued to monitor improvements at the UC Retirement Administration Service Center (RASC) through second hand reports from the Council of University of California Retiree Associations (CUCRA), the Council of University of California Emeriti Associations (CUCEA), and the campus Retirement and Emeriti Center (REC).

The Chair of CER is an *ex-officio* member of the Committee on Faculty Welfare (CFW) and attended committee meetings throughout the year. The Chair also represented CER on the Retiree and Emeriti Center (REC) Steering Committee and attended the fall and spring CUCRA/CUCEA meetings in October 2022 and April 2023.

I.   The Edward A. Dickson Emeriti Professorship Award

The Edward A. Dickson Emeriti Professorship is an endowed award distributed to the ten UC campuses under the authority of the EVC of each campus to recognize the teaching, service, and research of UC emeriti. In 2015-16, by request of former CP/EVC Alison Galloway, CER assumed management of the award and collaborated with the UCSC Emeriti Association to re-envision the award and create a new process and guidelines for the award on our campus.

2023-2024 Dickson Professorship Award Process
The call for 2023-24 proposals went out to Senate faculty, divisional deans, and department chairs on October 24, 2022 with a deadline for submissions of January 16, 2023. The call resulted in four proposals; two from the Arts Division, one from Humanities, and one from PBSci. The proposals were forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which passed its recommendation to CER. CER in turn sent a final recommendation to the CP/EVC for approval. CER is pleased to continue its collaboration with the Emeriti Association in this endeavor.

[2023-24 Dickson Professorships](https://senate.ucsc.edu/committees/cer-committee-on-emeriti-relations/dicksonprofessorship/index.html)[1] were awarded to:

- **Kathy Foley, Department of Performance, Play, and Design**
  Project Title: *Globalizing the Arts: The Center for World Music and its Impacts*

  Professor Emerita Foley will use her Dickson Professorship Award to initiate a new research project to study the history and influence of the Center for World Music. ASEA

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[1] CER Dickson Emeritus Professorship Award Webpage: https://senate.ucsc.edu/committees/cer-committee-on-emeriti-relations/dicksonprofessorship/index.html

(American Society for Eastern Arts, 1963-1973), later called the Center for World Music (CWM, 1974-1979), was a summer program that for two decades allowed many Americans to study Asian performance genres with master artists (primarily of Indonesian and Indian, but also Japanese, Korean, and African music/dance/theatre traditions). The program resulted in significant globalization of artistic resources tapped by contemporary American artists, dancers, and musicians in creative work and university teaching. Research will result in better documentation of its history and result in multiple articles or monographs, lecture demonstrations, and the development of exhibit materials. Prof. Foley proposes to study the archives of the Center currently split between San Diego and the University of Illinois, spending two weeks in each of these sites. An additional two weeks will be in San Francisco interviewing and visiting studios of the many alumni of the Center for World Music who still live there, and another two weeks at Wesleyan University where Scripps support helped develop robust Indian and Indonesian dance/music programs. She plans additional zoom interviews to study the CWM links to area studies programs at University of Washington, University of Wisconsin-Madison, Cornell University, Eastman School of Music, Colorado College, New York University, Indiana University, and Cal Arts.

- **Edward F. Houghton, Music Department**
Project Title: *Critical Edition of the Chigi Codex: Publication, Dissemination, Musical Performance*

Professor Emeritus Houghton, after decades of work, has completed the transcription of forty works into modern musical notation from the Chigi Codex, a rare illuminated manuscript containing musical masterworks from the late fifteenth century. His Dickson Professorship Award will support publication in the Monuments of Renaissance Music series by the University of Chicago Press, of this transcription, along with critical commentary on each work, collation of more than a hundred concordant sources, and a historical study of the manuscript and its art. In addition, his award will provide support for a concert of works from the Codex at the international Herrenchiemsee Festival in Bavaria, Germany on July 19, 2023, conducted by Martin Steidler (director of ensemble LauschWerk), Houghton, and Kent Nagano (UCSC alum). He will also present on this work at the international Medieval and Renaissance Music Conference in Munich, Germany, July 24-28, 2023.

- **Susan Strome, Department of Molecular, Cell, and Developmental Biology**
Project Title: *Supporting and Empowering Women Leaders in STEM*

Distinguished Professor Emerita Strome's Dickson Professorship Award will partially fund two CoRE workshops aimed at supporting and empowering 20 STEM women in positions of leadership in academia. The goal is that these women will in turn improve the recruitment, retention, and success of many more women faculty in their circle of influence. The Community of Replenishment & Empowerment (CoRE) is a group of women supporting women. Their mission is to support, revitalize, empower, and promote networking of women in academia through structured multi-day workshops. CoRE workshops are typically 3 days with 10 participants and 2 facilitators. They consist of structured intensive work sessions during which each participant discusses a dilemma of personal importance and strategizes with the rest of the group on approaches and solutions;

unstructured time to relax, enjoy each other's company, share communal meals, and importantly continue discussions; and a closing ceremony for participants to share final thoughts and feelings. The retreats are held in homes or AirBNBs, where all participants live, work, and eat together.

II.   UCSC Pathways to Retirement Program

CER met with Pathways to Retirement Faculty Liaison, Don Brenneis on May 20, 2023. Prof. Brenneis reported that informal feedback on the program has been generally positive. But he also confirmed CER's earlier analysis that showed that there remains a great deal of variation among departments and divisions in what resources are routinely offered to prospective retirees and retired faculty. CER continues to be concerned about a lack of transparency and equity in terms of the resources and services provided to emeriti across divisions and departments. Prof. Brenneis indicated that he thought that these differences may be due, in part, to the fact that there are no centralized funds or resources available to support the Pathway agreements. But also, in part, these differences may be due to a lack of shared knowledge among departments and divisions about what each is doing and what is institutionally possible.

CER proposed setting up a meeting in fall 2023 that would include the Pathways to Retirement Faculty Liaison (Brenneis), the incoming Chair of CER (Prof. Kathy Foley), a representative from the campus Academic Personnel Office (APO), and the assistant deans in charge of academic personnel in each division.[2] The goal of such a meeting would be to share information among divisional representatives, to promote best practices across units, and to discuss ways that CER, the Pathways program, and the divisions might collaborate in advocating for the support of prospective retirees and emeriti. Some examples of potentially helpful shared knowledge are how different divisions deal with leftover funds in emeriti research accounts and how they handle emeriti requests for research/lab space. An example of a "best practice" that might be emulated across campus was the Molecular, Cell, and Developmental Biology Department's deliberative process for creating shared research/lab space for emeriti faculty.

CER also suggested that we might collaborate with the Pathways program by issuing a joint memo each fall to Senate faculty informing them of the program and how to initiate the consultation process. CER thought that including some short testimonials from faculty that had participated successfully in the Pathways program might encourage other prospective retirees to participate.

CER is concerned that the sample Pathways agreement on the Academic Personnel Office (APO) website is too vague.[3] We understand that for privacy reasons these agreements are kept confidential. However, CER would very much like to see more realistic sample or model agreements on the Pathways website, perhaps an example from each division. These might be constructed by getting private feedback from participants in the program who are willing to discuss the sorts of provisions that were included in their agreements. CER contends that greater transparency about what "normal" agreements might look like would alleviate dissatisfaction

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[2] CER Chair Habicht Mauche to Pathways to Retirement Liaison Brenneis, 6/08/23, Re: Post Consultation, May 20, 2023

[3] https://apo.ucsc.edu/retirement/pathway-agreement.html

among prospective retirees and emeriti who either do not know what resources are potentially available to them and under what conditions, or who have unrealistic expectations about what is possible, especially within different divisions.

CER members were surprised to learn that Prof. Brenneis is not receiving an official report of the number of successful Pathways agreements that are being negotiated annually. Therefore, CER sent a request to VPAA Herbie Lee[4] that a formal report be provided annually to both the Pathways Faculty Liaison and the Academic Senate enumerating how many requests for Pathways agreements are initiated, how many have been negotiated, what general categories of provisions they include, and indicating how many of those agreements were facilitated through consultation with the Pathways Faculty Liaison. Enumerating these by division would be very helpful to assessing the usefulness and equity of the program across campus. While we respect the confidentiality of individual agreements, CER strongly contends that there needs to be some assessment of, and accountability for, the effectiveness of this relatively new program.

CER looks forward to following up on these issues with both Prof. Brenneis and VPAA Lee in 2023-24.

III.   UC Retirement Administration Service Center (RASC)

CER continues to be concerned about the generally poor service provided to UCSC emeriti faculty, retired staff, and their survivors by the UC Retirement Administration Services Center (RASC). Based on their own self-reporting, RASC seems to be doing better with processing times for "normal" retirements, but many complicated cases are still not being resolved prior to employee retirement dates. Since RASC is unwilling to provide retirees and emeriti in this situation a conservatively estimated pension while they work out final calculations, some people still go months with no pension payments. Outside contractors are helping with answering phones, but often do not have the needed information to answer anything but simple queries, such as how to reset passwords. Long wait times for a response from a knowledgeable RASC employee, either by phone or secure email, continue to be unacceptable. Huge backlogs remain for processing survivor benefits. Promised improvements in survivor processing with the new dedicated phone line and use of Benet software have not been fully realized. The promised counselor program is still not up and running. While some counselors have been hired, there is still no director for the program, and no clear vision for what support will or will not be provided by counselors. There appears to be some tension between expectations for "advice vs. counseling," with retirees and emeriti demanding that counselors provide "advice" (i.e., specific help with individual problems), while RASC indicates that the program will focus on providing "counseling" (i.e., generalized educational information and programming). Anecdotal information suggests that there are still problems with survivors and new retirees being dropped from their entitled health care benefits. Overall the organization seems too risk averse and unwilling to institute more "band aid" solutions (similar to the No Lapse in Pay Program) to improve services while they work to truly fix some of these complex issues. As a result, services continue to not improve or improve unacceptably slowly. Much of the information reported here has been gleaned secondhand from reports received by the Chair of CER at monthly meetings of the campus Retiree and Emeriti Center, CFW

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[4] CER Chair Habicht Mauche to VPAA Lee, 6/08/23, Re: Request for Pathways to Retirement Program Annual Report

meetings (UCFW reports by the Chair), or at the semi-annual CUCRA/CUCEA meetings. In 2023-24, CER should consider working with our sister Senate committees on other campuses to request regular consultations and updates directly from RASC administrators.

The CER Chair collaborated this year with the other members of the campus REC Steering Committee to develop a survey instrument to be administered to UCSC retirees and emeriti to evaluate their experiences with RASC over the last three years. This survey instrument is complete and should be ready to be distributed over the summer. Next year's committee will likely want to evaluate and report on the results of this survey, in consultation with the UCSC Emeriti and Retiree associations.

IV.   Health Care Benefits for Out-of-State Emeriti and Retirees

The 2022-23 CUCRA/CUCEA Joint Benefits Report[5] raised concern about the apparent lack of equity between Medicare supplement plans offered to in-state emeriti and retirees and those that can be purchased on the open market through VIA Benefits by out-of-state retirees and emeriti. The report requested that the UC administration conduct a formal comparative analysis. CER should continue to monitor this issue.

V.   Post Mortem Email Access

In winter 2020, CER contacted the Committee on Informational Technology (CIT) about the feasibility of creating a campus policy that would allow a faculty member to authorize one or more individuals to access their UCSC email account after death. CIT took up this issue, consulted with former Vice Chancellor for Information Technology (VCIT) Van Williams, and wrote to Chancellor Larive and CP/EVC Kletzer to raise the issue and offer a list of possible policy/procedure solutions.[6] In summer 2021, Chancellor Larive met with Senate, IT leadership, and Campus Counsel to discuss, and charged a working group to address the issue. Unfortunately, no policy proposal has been submitted to the Senate for review, now two years later. CIT has been informed that the working group has met, but they have yet to finalize draft recommendations. CER looks forward to seeing a draft policy and a formal request for Senate review in 2023-24.

Acknowledgements
CER would like to acknowledge the wonderful support that it receives from its analyst, Jaden Silva-Espinoza, and would also like to thank Matthew Mednick and Michele Chamberlin for their excellent backup support in spring 2023.

Respectfully submitted,

COMMITTEE ON EMERITI RELATIONS
Linda Burman-Hall
Diane Gifford-Gonzalez
Lisbeth Haas
Ingrid Parker

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[5] Academic Council Chair Cochran to HR Vice President Lloyd, 5/10/23, Re: Joint Benefits Committee Report on RASC Performance
[6] CIT Chair Takayama to Chancellor Larive and CP/EVC Kletzer, 6/14/21, Re: UCSC Email Access Post Mortem

Alexander Sher, *ex officio*
Judith Habicht Mauche, *Chair*

August 31, 2023

COMMITTEE ON FACULTY WELFARE
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Faculty Welfare (CFW) met bi-weekly throughout the academic year; members also represented CFW on several other Senate and campus committees—the Advisory Committee on Campus Transportation and Parking (ACCTP), Employee Housing Advisory Workgroup (EHAWG), the Committee on Emeriti Relations (CER), the Senate Executive Committee (SEC), and the systemwide University Committee on Faculty Welfare (UCFW).

CFW's work in 2022-23 focused on developments both on campus and systemwide with regard to issues affecting faculty welfare and faculty quality of life detailed below.

I.   Salary Analysis

With the written 2022-23 CFW Faculty Salary Report pending, Chair Sher provided an oral report on the following salary analysis findings at the spring Academic Senate Meeting on May 24, 2023.

A. Background:
Over the last year CFW continued its faculty salary analysis. As in previous years, the focus of the analysis remained on understanding the dynamics of University of California, Santa Cruz (UCSC) faculty salaries in relation to those of other campuses. A significant lag of UCSC salaries in 2007/2008 engendered the Special Salary Program (SSP). The program's purpose was to bring the UCSC faculty salaries up to the median of other UC campuses (all campuses except for UC San Francisco). The program was successful at reducing, but not eliminating the gap and was curtailed in 2017. Following repeated argument by CFW, the Academic Senate resolved in 2019-20 that the annual Faculty Salary Competitiveness Reports created by the Academic Personnel Office (APO), must include a cost of living component. Unfortunately, APO has not followed this resolution and is yet to include cost of living analysis in any of its reports. CFW will continue to monitor the situation with regards to faculty salaries and hopes to see movement on inclusion of cost of living adjustment in these administrative reports.

B. Key Findings:
This year CFW analyzed a UC-wide salary dataset from 2021 (the latest available data). The dataset included both Regular (REG) and Business/Economics/Engineering (BEE) Faculty Ladder Rank series. No medical, business, or law school faculty were included. Our analysis showed that for both REG (Assistant and Full Professor rank) and BEE (Full Professor rank) faculty, the goal set when SSP was created has not been met. Furthermore, the analysis shows that the gap between UCSC and other campuses for some of these categories increased since the curtailment of SSP in 2017-18, and that the annual rate with which we were gaining on other campuses during the period of 2012-2017 fell down almost to zero, or we started falling behind since the SSP curtailment. Adjusting for the cost of living in the areas where UC campuses are located led to UCSC faculty salary being behind every other UC campus for all three professor ranks in both REG and BEE series. CFW

members believe that reinstatement of the more progressive SSP is a straightforward and easy to implement solution that will address the inequitable compensation of UCSC faculty relative to other UC campuses. CFW expects to work with CAP next year on a joint recommendation for SSP reinstatement.

II. Salary Equity Review Program

CFW opined on the first and second iterations of the newly proposed Salary Equity Review (SER) Program.[1] The program goal is to address historical inequities in salaries of UCSC faculty. Members were supportive of the program's goal and were encouraged to see that the second proposal explicitly stated that being considered for SER action will not require additional work from faculty beyond the standard preparation of documents for a personnel action. Members agreed that it is extremely important to make SER available at every action, including merit increases. Members concluded that the choice of a comparator group and the exact criteria for the SER are crucial for the success of the program, and should be carefully considered. CFW is looking forward to working with the administration and the Academic Senate on these important issues next year.

III. Academic Salary Program

CFW advocated in the past for the increases within the Academic Salary Program to be applied to the full salary of UCSC faculty, not just the on-scale portion. This is an important component of not falling further behind other campuses. It was encouraging to see the increase applied to the full salary in 2022, and to hear that the upcoming October 2023 increase will be applied to the full salary as well. CFW will continue to monitor the situation.

IV. Other Faculty Salary Issues

CFW opined on the proposed modifications to the Career Equity Review (CER) Program (inclusion of Teaching Professors and other changes) and to the Special Salary Program (changes to the acceleration at promotion step).[2] Members were supportive of both proposals, while raising a number of issues. CFW believes that CER should be available at all promotions and at tenure review. It also should be available at the first promotion for those who transferred from other UC campuses. In regards to the changes of SSP, members were concerned how a distinction will be made between acceleration at promotion step and the proposed one step on- scale plus one step off-scale.

V. Housing

Housing was a central item on CFW's agenda throughout the year. Members had a consultation with Campus Provost and Executive Vice Chancellor (CP/EVC) Lori Kletzer in January 2023, and with CP/EVC Kletzer and Vice Chancellor for Finance Operation Administration Ed Reiskin in

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[1] CFW Chair Sher to Senate Chair Gallagher, 1/13/23, Re: Development of a Faculty Salary Equity Review Policy
CFW Chair Sher to Senate Chair Gallagher, 5/22/23, Re: Divisional Review - Proposed Equity-Based Modifications for Faculty Review Process
[2] CFW Chair Sher to Senate Chair Gallagher, 5/22/23, Re: Divisional Review - Proposed Equity-Based Modifications

April 2023. Our focus at these meetings was to seek clarity on how the campus administration was conceiving of short, mid, and long term plans to address the paucity of affordable houses for faculty and staff. The administration had noted at the end of the 2021-22 academic year that a three-pronged approach that considered short, mid and long term plans for housing faculty and staff would be pursued. This year, CFW was eager to receive updates on the development of these three-pronged plans through consultation.

Short Term Solutions:
The only short term plan that was defined by the administration during these consultations was the 0% interest (ZIP) loan. Members agreed that this was a good resource, but only available to new faculty and retention cases. We learned that a ZIP loan is better than an FRA for housing purchases, because it is forgivable in 10 years, has zero interest and the taxation rates are better. The ZIP loan enables home buyers to have a greater purchasing power than the FRA of the same amount. Members felt that given the severe housing crisis, which affects current faculty as well as new recruits, it seemed critical to make this option available to all faculty, or at least to those who have not used their FRA yet. CP/EVC Kletzer informed us however, that at present there were no plans to make the ZIP loan available to the faculty more generally.

At the January meeting, we also discussed the current unavailability of the Landed shared equity program. CFW was told that the administration could possibly explore a way for UC Santa Cruz to provide shared equity in off-campus housing, but we have not been informed of any specific movement by the administration in this direction.

We spoke of plans for new downtown construction, and the opportunity for campus/developer partnerships. The housing crisis affects all who live in Santa Cruz and surrounding areas as much as it does UCSC employees and students. Members agreed that we need to avoid a perception that the campus is acquiring housing and making it unavailable for non-UCSC employees. However, given that numerous students and UCSC employees already rent in the city, moving them to the campus-owned housing would merely shift, but not decrease off-campus housing inventory. We hope that this perspective will be taken on as an important talking point as the campus continues to explore and secure off-campus housing.

Mid-term Solutions:
CP/EVC Kletzer offered RVT2 (building the long delayed second phase of Ranch View Terrace) as a mid-term plan for faculty housing. A new RVT2 Implementation Committee was established this academic year and a representative of CFW served on the committee. The administration has insisted that RVT2, initially focused on a 39 unit footprint, would be able to break ground in a couple of years. CFW is uncertain that this is viable. The Implementation Committee (RVT2IC) has only met three times since it was constituted in January, 2023 and has not included a representative from the Committee on Planning and Budget (CPB), despite many budgetary concerns being raised about the plans for RVT2. As such, CFW requested the administration include a CPB representative on the committee and provide CFW with an updated copy of the final RVT2IC charge.[3] We have yet to receive a final charge, and the Implementation Committee has not met since we made the request to include a CPB representative.

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[3] CFW Chair Sher to CP/EVC Kletzer, 3/09/23, Re: RVT2 Implementation Committee

In our meeting with Vice Chancellor of Finance, Operations, and Administration (VCFOA) Ed Reiskin, the VCFOA confirmed our representative's report from the last Implementation Committee meeting that the campus aims to lease the land marked for RVT2 to a developer - following a model used by UC Santa Barbara - to build homes that would then be sold to faculty because the university does not have the capital to undertake the construction of this project itself. The Implementation Committee has noted that a request for proposal (RFP) would have to be developed before proposals from developers can be solicited and discussed. While the administration has continued to insist that RVT2 is viable as a midterm solution, we remain concerned that there is need for a lot more planning and that therefore, this is, in fact, a long term plan.

We have also noted that given the urgency of the housing crisis, that the RVT2IC must be provided with all of the staff support, resources, historical context, and information needed to effectively fulfill its critical mission. CFW should continue to press for alternative mid-term housing solutions in 2023-24.

An additional note: During our January consultation with the CP/EVC, we discussed the $10 million debt that was incurred during the building of RVT1. While CP/EVC Kletzer has mentioned a few times in separate consultations that the administration will cover this debt so that it is not placed on future homebuyers, we do not have a copy of this commitment in writing. The CP/EVC reiterated that the administration will absorb this debt during our April consultation and maintained that a written memo to this effect was not necessary.

Long Term Solutions:
During the January meeting, CP/EVC Kletzer recommended looking at the other on-campus housing building sites identified in the Long Range Development Plan (LRDP). She mentioned one site in particular, at the intersection of Western and Empire Grade, a big piece of property that could possibly hold a small neighborhood of 30-75 units. While she noted that she would have staff look at the LRDP and provide CFW with information about this site, and that she would like to consult and brainstorm about how to approach this site moving forward, there was no movement on this possible plan.

CFW would like to hear more about the administration's plans for additional substantive short, mid, and long-term solutions next year as we continue to have quarterly meetings with the administration and receive updates on housing.

VI.   Employee Housing Repricing Program

CFW reviewed proposed revisions to the Employee Housing Re-Pricing Program Recommendation (for 2023-24) in April and opined against the proposal to increase pricing by 5.01%. The increase in pricing by 5.01% will result in an increase to $398 per square foot. This will mean that entry level units (2BD Cardiff, etc.) will be priced at 38.6% of 2022 Santa Cruz market sales. We have been informed that the administration has approved the 5.01% increase, but that they are interested in having a conversation with CFW to determine how the program can be re-envisioned moving forward.

CFW is looking forward to the conversation with administration about reconceptualization of the program. The committee outlined a detailed critique of the current Re-Pricing Program that we hope will be useful for such a discussion.[4] We noted that underpinning the model that the program uses to calculate affordable housing prices is an assumption that housing costs should be less than or equal to 48% of an individual's income. According to the U.S. Department of Housing and Urban Development's (HUD) definition however, housing burden is defined as spending more than 30% of your income on rent/mortgage and associated housing costs. This is a large discrepancy and has created an impasse. CFW would like to see HUD's definition of housing burden (30%) used in the Re-pricing Program's calculations.

A second impasse centers on the program's stated goal to price campus housing within 60%-75% of market prices in Santa Cruz county's most expensive zip code (the upper West Side, 95060). CFW has repeatedly argued that this goal is flawed if the aim of the program is to provide affordable housing for faculty. An argument for why housing prices in the most expensive zip code of the county are used in the program's calculations needs to be made. These are not minor issues as they get at the heart of how the campus chooses to conceive of affordability and housing equity. CFW has noted that a newly hired Assistant Professor with an annual salary of $87,000 (median salary of most recently hired Assistant Professors, excluding those hired in Economics and Engineering) will continue to face a housing burden (paying an excess of 30% of their salaries towards housing costs) and this burden is only exacerbated if we add on childcare and dependent care expenses, not to mention previous student loan debt. This is a Diversity, Equity, and Inclusion (DEI) issue as faculty of color and first-generation PhDs are disproportionately financially burdened. CFW believes that the Re-Pricing proposal does not address the difficulty of attracting new and diverse faculty hires to the campus.

This program was designed in 2007 to achieve certain commendable goals, including renovating aging units, generating revenue and seed capital for new housing, equalizing pricing, and increasing unit turnover. Unfortunately, we have found no evidence that the program is, in fact, meeting all of these goals. Considering the present state of the housing market in Santa Cruz county, keeping faculty and staff housing at affordable rates and equalizing prices (the most significant goal of the program, as we see it) is incommensurable with raising revenue and seed capital for new housing (another goal of the program). In other words, if the program is aiming to generate revenue and seed capital through a price increase, it cannot and will not keep units affordable for faculty and staff, and a 5.01% price increase will not raise sufficient seed capital to build new housing units. In sum, the program cannot meet two of its most significant goals, at present. Moreover, it is not clear to CFW how this program incentivizes turnover of current housing stock.

While the price increase has been approved despite our objection, CFW is glad to hear that there is interest in reconceptualizing the program. We hope that the critique that we have outlined will be used towards this effort.

VII.   Healthcare

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[4] CFW Chair Sher to Senate Chair Gallagher, 4/27/23, Re: Divisional Review - Employee Housing Re-Pricing Program Recommendation (for 2023-24)

CFW has continued to monitor healthcare and dental care at UC Santa Cruz and we continue to identify access and affordability of care as two serious issues.

Starting in 2023, for all UC non-Medicare plans, infertility coverage will be enhanced. Vitro fertilization (IVF), zygote intrafallopian transfer (ZIFT) and gamete intrafallopian transfer (GIFT), are covered with 50% coinsurance, up to a combined lifetime limit of two treatment cycles per eligible member. This is an improvement from the previous coverage: only for the diagnosis of the cause of infertility (covered at 20% coinsurance for in-network and UC Select).

SB 245 prohibits a health plan or an individual or group policy, that is issued, amended, renewed, or delivered on or after January 1, 2023, from imposing a deductible, coinsurance, copayment, or any other cost-sharing requirement on coverage for all abortion and abortion-related services. Health Maintenance Organization (HMO) plans are compliant to SB 245. The Preferred Provider Organization (PPO) plans will follow SB 245 where the plans are able to. Deductible still applies to the UC Health Savings Plan (HSP) and CORE. Abortion is fully covered by UC Blue & Gold HMO and Kaiser HMO.

In 2023, for UC Health Savings Plan with Health Savings Account (HSA), the HSA contribution limit was increased from $3,650 to $3,850 for self-only coverage and from $7,300 to $7,750 for family coverage. The in-network deductible has increased from $1,400 to $1,500 for self-only coverage and from $2,800 to $3,000 for family coverage.

CFW has been informed that Kaiser Permanente opened a new downtown Santa Cruz office at 110 Cooper St. in June 2022.

CFW additionally learned of a UC San Francisco Benioff Children's Physicians plan to open a clinic in Santa Cruz. CFW has been informed that its office space has been remodeled and the recruitment is underway.

Watsonville Community Hospital remains open and is now under public ownership by Pajaro Valley Health Care District.

CFW closely followed the negotiations on a continuing contract between Anthem Blue Cross and Stanford Health, which failed to result in an agreement in 2022. Stanford Health has been terminated from Anthem Blue Cross's network effective September 1, 2022. CFW advocated through UCFW and the UC Health Care Task Force to have Stanford services continue to be covered at in-network rates until at least the end of the enrollment period. As a result, through December 31, 2022, covered services received from Stanford Health providers were paid at the in-network level of benefits. Member's copayment or coinsurance out-of-pocket costs stayed the same as if Stanford Health is an in-network provider for Anthem's non-Medicare network. Later in 2022, Stanford Health and Anthem Blue Cross reached an agreement that preserved the access to Stanford Health for UCSC employees.

CFW continues to be concerned about the potential inequities between in-state and out-of-state retiree health care options as discussed in the Joint Benefits Reports issued by the Council of

University of California Retirees Association (CUCRA) and the Council of University of California Emeriti Associations (CUCEA), and endorsed by UCFW and Academic Council.

CFW continues to receive alarming reports that more and more local dentists are dropping Delta Dental insurance and/or are not accepting new Delta patients. Since Delta Dental is the only plan available to UC faculty and staff, CFW urges UC to offer an alternative to Delta.

Availability of health providers in the Santa Cruz area is of large concern. This affects both major providers in the Santa Cruz area: Sutter Health (Palo Alto Medical Foundation) and Dignity Health/Physician Medical Group of Santa Cruz. For example, regular appointments within Sutter Health take months and the network relies more and more on patients seeking help through urgent care. As a result, the urgent care centers are overwhelmed and patients are further redirected to emergency rooms. This process degrades quality of medical care because it is extremely inconvenient, it breaks the established connection between a patient and their Primary Care Provider (PCP), and it raises the cost of care significantly (emergency room copay is close to $300 compared to $20 copay for a regular doctor's visit).

In summary, CFW identifies two critical health care issues unique to Santa Cruz: the lack of adequate providers (not enough physicians in the area and no UC medical School or hospital on campus), and affordability (prices continue to grow, with 2023 Open Enrollment expected to bring up the cost of medical plans even more). During the next year, CFW expects to continue monitoring the situation. It is not clear what can be done to increase access, but a separate (from UC Care) plan that includes the Palo Alto Medical Foundation (PAMF) and Sutter Health might bring down the costs. An establishment of a UC Santa Cruz Task Force might help to work through the unique health care problems faced by our campus. We will also continue working on setting up a framework that will protect enrollees from sudden benefit changes due to middle of the year negotiations between insurers and providers.

VIII.   Childcare

CFW continues to monitor childcare on our campus as childcare needs continue to be acute, especially for caretakers of children 5 years old and younger. CFW had productive meetings with CP/EVC Lori Kletzer in January 2023 and with CP/EVC Kletzer and Vice Chancellor for Finance Operation Administration Reiskin in April 2023, which focused on short-term solutions to the lack of availability and affordability of childcare provision. The decision to focus the conversation on short-term solutions responds to the urgency of the topic, and the fact that it particularly affects new hires, Assistant Professors, and women-identified faculty.

There were two short-term solutions proposed by CP/EVC Kletzer that seemed very promising and that echoed some of the recommendations made by previous campus task forces:[5]

1. **Subsidies for childcare costs.** CP/EVC Kletzer mentioned in our meeting of January 12, 2023 that she and Chancellor Larive had discussed financial support possibilities such as

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[5] For example, UCSC Child Care Task Force, Supplemental: Interim Solutions, February 28, 2011. The 2011 Child Care Task Force (CCTF) submitted a supplemental report with more than 10 interim solutions, which included a Fund Dependent Care Assistance Program (Solution #5, which a 2015 staff committee also researched as part of their charge), Vouchers/Reimbursements (Solution #6), and Resource and Referral Services (Solution #7).

reimbursements for childcare like those recently provided to graduate students and researchers. We were excited to hear that this could be done right away, as this would show a commitment to both current employees and new recruits, especially women-identified candidates. The CP/EVC mentioned having brought this idea to labor relations and legal counsel in the past, and that the time was right to further explore this remedy. We understand that since this would be a change in terms of conditions of employment, there is a need to consult with the Santa Cruz Faculty Association (SCFA). We look forward to hearing about the plans to move forward on this front and hopefully implement reimbursements for childcare in Fall 2023. In our April follow-up meeting, CP/EVC Kletzer mentioned the possibility that these reimbursements may need to be reevaluated after childcare on campus is inaugurated.

2. **Reserving spaces in local child care centers for UCSC employees**. We were encouraged and excited by our discussion on January 12, 2023 of possible campus collaborations with local childcare providers to reserve open spots for UCSC employees. This was something that CFW had suggested in the past,[6] and we are happy to see that the idea may become a reality in the near future. Together with the reimbursements mentioned above, this appears to be another tangible action plan that may be put into place immediately. CFW worked with the UCSC Resource Group for Academic Mothers to compile a list of local providers, which we provided to the CP/EVC. We note that the centers on the list have not all been vetted by faculty or staff and that some of these services may only be available to enrolled students at specific schools, etc. However, CFW has reviewed the list, and believes it to be a fairly comprehensive list of local providers to which an invitation to submit a Request for Proposal (RFP) could be sent. CP/EVC Kletzer mentioned that she would work with her staff and Campus Counsel to design the RFP and send it out to some or all of these providers, but a project timeline was not provided. For the medium term, CFW was pleased to hear about the Regents' actions to advance Student Housing West, which would include a campus-run childcare facility for up to 140 children.[7] We were particularly heartened by the news that construction will begin in 2024.[8] While both announcements are good news, CFW members raised questions about the affordability of childcare when it is established on campus. It seems that the campus childcare is set to be at market rate for employees, which is not affordable for some. CFW would like to be involved in the childcare center implementation process, including discussions on issues such as cost –and potential subsidies—and the way that wait lists will be managed.

As mentioned in the 2021-2022 CFW Report, CFW is pleased that due to the work of countless stakeholders and campus workgroups, the program, curriculum, and access policy for the center are ready to go. Prior work by the 2017 Child Care Work Group -- which serves as the guiding principle for the campus child care program -- was carried out independently from any third-party vendor. CFW members hope that this new development will help to expedite the delivery of campus childcare.

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[6] CFW Chair Orlandi to CP/EVC Kletzer, 3/31/22, Re: UCSC Back-up Care Program
[7] https://shr.ucsc.edu/news-events/news/memo_23_03_16.html
[8] Chancellor Larive to UCSC Campus Community, 3/16/23, Re: Regent Action Advances Student Housing West

CFW sees the construction of on-campus childcare as a positive development. However, childcare needs have intensified since the COVID-19 pandemic and caretakers need immediate solutions. We urge the administration to implement the two short-term solutions described above, which can provide immediate –and much needed—relief to faculty.

IX.   Back-up Care

The child/elderly Back-Up Care program through Bright Horizons is an important initiative from UCSC's Administration that has supported families in moments when regular care fails. The Back-Up Care program was expanded in winter 2022 to include out-of-network services beyond Bright Horizons, and increase the number of hours provided to faculty. In response to CFW's recommendation in 2021-2022, the Back-Up Care website was updated with step-by-step instructions. Following a suggestion from CFW,[9] the Institutional Research, Assessment, and Policy Studies unit (IRAPS) conducted a survey in fall 2022 to poll employees on their dependent care needs and their experience with the Back-Up Care program to gauge the usage, understand the barriers that kept people from using the program despite a need, and seek general feedback on the program.

After reviewing the results and IRAPS's report of the Back-Up Family Care Experience Survey, CFW identified five main areas for improvement: lack of availability, unfamiliar providers, poor affordability, complexity of the process, and lack of information. Qualitative and quantitative responses showed that many caretakers experienced alack of sufficient providers in Santa Cruz. Responses also highlighted how challenging it is to rely on providers they (and their dependents) do not know. These two concerns make the out-of-network provider option especially attractive. Unfortunately, respondents called attention to the process required to receive reimbursement for out-of-network providers. Having to wait too long for a response from Bright Horizons was identified as one of the main barriers since out-of-network providers can only be reimbursed if in-network providers are not available. This made using the program less feasible, which leads to another major concern: the cost of care when not covered by the program. Finally, many respondents did not know how to use the benefit, including how to get reimbursement, and this deterred their use in the first place.

CFW proposed one specific change to address some of the most pressing issues raised in the survey:[10]

1. **Bright Horizons should remove the requirement that out-of-network providers can only be contracted after the in-network option is unavailable**. This would mean that care takers are able to directly reach out to their trusted providers when they need back-up care. This will solve the issue of having to leave dependents with unfamiliar care providers, it will streamline the process and make it faster, and it will help with the availability by increasing the amount of providers, and affordability (through reimbursements) of back-up care. This one action could greatly improve the overall process and program.

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[9] CFW Chair Sher to CHES Director Keller, 11/15,22, Re: Request for Feedback - 2022 UCSC Backup Care Survey Project
[10] CFW Chair Sher to CP/EVC Lori Kletzer, 6/01/23, Re: Back-Up Family Care Experience Survey - Survey Results by IRAPS, April 2023

In June 2023, CP/EVC Kletzer responded that this suggestion "will be considered within an overall analysis of the program and its costs." CFW will follow-up on this topic next year.[11]

We would like to note that, from the qualitative responses in the survey, one can infer that those most affected by the failings of the program are junior faculty/staff and new hires with lower salaries, those without family members in town, and families whose dependents have special needs. We believe that childcare and child and elderly back up care programs are crucial for hiring and retaining faculty and staff. CFW may want to explore the need for expanding elderly care in 2023-24.

CFW notes that the idea that childcare is an individual's problem and thereby solutions around an individual's available resources are sufficient, is long standing and inaccurate. CFW strongly urges the administration to address childcare issues and solutions (including the Back-Up Care program) with an institution-based, not an individual-based, approach. CFW acknowledges that not all faculty and staff with childcare needs have family members or friends nearby who have the time or flexibility in work schedule to provide childcare support. CFW continues to urge the campus administration to include reimbursements for childcare costs, and support the formation of a coalition with local care providers to strengthen the support system UCSC can provide to its employees.

X.   Transportation and Parking

The Advisory Committee on Campus Transportation and Parking (ACCTP) met 8 times in 2022-23. Representatives from CFW, the Committee on Planning and Budget (CPB), and a faculty member at large, were included in the committee membership.

The ACCTP received reports that the Transportation and Parking Services (TAPS) projected operational balance is well sustained. Long term planning included continued research on zero emissions transportation systems and associated costs.

This year, the ACCTP was informed that the campus was successfully able to negotiate an agreement with eBikes to roll out a bike share program starting June, 2023.[12]

There was no discussion of increasing parking rates this year, but this is something that was brought up in the past. CFW should monitor this situation.

Parking Bail Increase Proposal - UCSC parking citation bail amounts have not increased in 13 years. Taps reported that current bail amounts are no longer in alignment with their counterparts at other UC campuses and the City of Santa Cruz. To that end, their effectiveness as deterrents to illegal parking has decreased substantially over the years. This year, there has been a significant increase in reported scofflaw behavior. As such, parking violation fees will be increased starting

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[11] CP/EVC Kletzer to CFW Chair Sher and Committee, 6/05/23, Re: Back-Up Family Care Experience Survey - Survey Results by IRAPS, April 2023

[12] UCSC is part of a regional partnership bringing bike share to Santa Cruz County: https://news.ucsc.edu/2023/05/campus-bikeshare.html

in September 2023.

CMS Board Deployment / Use Fee - One of ACCTP's roles is to act as the designated review body for proposed TAPS fees related to parking operations, which include parking permit rates, event parking signage, and the deployment and use of Changeable Message Sign (CMS) boards. The CMS boards were purchased and provided to TAPS to use for campus events, instead of renting (as was being done for commencement, move in, etc.). The CMS boards allow for essential messaging to be conveyed along campus roadways and at entrances. The proposed fee of $200 is intended to cover the costs for two employees with a truck deploying, setting up & breaking down the CMS boards for campus events and other notifications, and the $75 per day cost is intended to cover depreciation / wear and tear. Additionally, the proposed fee represents a significant savings compared to renting from an outside vendor; for example, a CMS rental in 2019 was approximately $400 / day, or $700 / week or $1800 / month, in addition to $300 in pickup and delivery costs. For a three-day event, the TAPS CMS board would be $425, and a rental would be at least $1000 (and likely more, as prices may have increased since 2019). TAPS will now own and maintain its own CMS boards instead of renting/leasing them, which should result in overall saving.

Bus and Transit Shelter Reimagining / Interior Ad Space - each UCSC transit stop includes a bulletin board, which is open to the public for posting events, advertising, and other public service announcements. The boards are usually completely filled with unmoderated content, and regrettably has been a popular landing spot for hate-based postings. Each week, TAPS staff remove outdated and non-UCSC affiliated content on the bulletin boards, and the costs for their labor, benefits, vehicles, and fuel is paid by TAPS out of the transit budget (which is funded primarily through the student transit fee). TAPS also cleans up the posters/fliers that have blown away, causing litter. The boards are often tagged with graffiti that requires additional maintenance time for clean up. Additionally, UCSC transit buses have dedicated space for advertising inside the bus, which is a fee-based service that is managed by City on a Hill Press (CHP). The relationship is codified through a Memorandum of Understanding (MOU) between TAPS and City on a Hill Press that expires on June 30, 2023. City on a Hill acts as an intermediary between those who wish to do bus advertising and TAPS, however the process is less than efficient, and could better be used to help fund Campus Transit operations. TAPS has requested an approved miscellaneous fee for advertising in a framed, defined area on the sides of buses (i.e., limited area, no bus wraps), which is under review. The MOU with City on a Hill will expire this summer and TAPS is anticipating to begin offering advertising on the exterior of the buses. To that end, it is an appropriate opportunity to reimagine and optimize the advertising process. Based on the above, the ACCTP decided to remove the aging bulletin boards and replace them with new boards that have a plexiglass cover.

In summary, during the last year, a number of measures were taken to decrease TAPS operational expenses, broaden transportation choices (new e-bike program), and increase deterrent for unpermitted parking. CFW hopes that these measures will result in better parking availability and affordability on campus. The committee expects to continue monitoring the situation.

XI.   Retirement

CFW is encouraged by improved processing times for "normal" retirement cases, improved call center performance, and the development of a dedicated call center for survivor benefit intake.

However, CFW was contacted this year by several new emeriti faculty who were dropped from their health and dental coverage without notice, even though they are eligible for continued coverage. Anecdotal evidence suggests that this lapse in health coverage is also a problem for survivors. We support the findings of the CUCRA/CUCEA Joint Benefit Committee (JBC) Report[13] that there is still an unacceptable backlog for processing survivor benefits and unreasonable delays in processing retirements for more complicated cases. The promised re-establishment of retirement counselors has yet to be implemented. We agree with the JBC assessment that the Retirement Administration Service Center (RASC) appears to be unnecessarily risk averse and unwilling to institute "band aid" solutions, similar to the successful "No Lapse in Pay Program," to improve service issues while more permanent solutions to these problems are developed. CFW should continue to work with the Committee on Emeriti Relations (CER) to monitor RASC performance and to exert pressure for continuing improvement through UCFW and Academic Council.

XII. Additional Issues

A number of individual faculty issues were brought before CFW. Each was considered from a policy point of view. CFW believes that the two issues discussed below require possible policy review.

Abusive behavior towards faculty

Abusive behavior by students in class towards faculty is currently covered by the Code of Student Conduct. CFW believes that a reporting procedure of such behavior should be made more clear to the faculty. It also might be worth considering the creation of clear guidelines for how such reporting and behavior should be addressed. There are clear campus guidelines for reporting and addressing student academic misconduct. Similarly, there should be clear guidelines and procedures for reporting and addressing abusive behavior by students towards instructors. Specifically, the committee was concerned about abusive behavior that was not covered by the Title IX Office.

Clarity of Housing Access policy for married couples and domestic partners

The UCSC Faculty and Staff Housing Access policy regulates access to the campus for-sale housing. At the moment, it does not explain or even mention how the access works for married couples or domestic partners. This creates ambiguity and potential for unfair treatment, for example in cases when both partners are eligible to participate in the program and separate while they are waiting in queue for the housing or after they acquired it. The committee communicated its thoughts to the CP/EVC Kletzer[14] and expects to engage with the administration on this topic next year.

XIII. Acknowledgments

The committee would like to thank those who consulted with and/or provided information to the

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[13] Joint Benefits Committee Report, CUCRA/CUCEA Virtual Joint Meeting at UC Santa Barbara, April 26-17, 2023: https://www.cucea.org/uploads/1/3/9/6/139695957/joint-benefits-committee-report-spring-2023.pdf
[14] CFW Chair Sher to CP/EVC Kletzer, 6/15/23, Re: Housing Access Policy Application to Married Couples and Domestic Partners

committee this year: CP/EVC Lori Kletzer, VPAA Herbert Lee, VCFOA Ed Reiskin, UCSC Health Care Facilitator Marianne McIvor, and Colleges, Housing, and Educational Services (CHES) Executive Director David Keller.

Respectfully submitted,

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August 31, 2023

COMMITTEE ON INFORMATION TECHNOLOGY
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Information Technology (CIT) is charged with advising on acquisition, implementation, utilization, and impact of instructional technology, information systems, software, and electronic communication facilities, including wireless service. The 2022-23 academic year was largely focused on providing guidance to the administration and the UC Santa Cruz (UCSC) community regarding university and systemwide IT issues, including several new Information Technology Services (ITS) strategies rolled out under the guidance of UCSC's new Vice Chancellor of Information Technology. Summaries of major work may be found below. Representatives from CIT additionally served on the University Committee on Academic Computing and Communications (UCACC), and the UCSC Canvas Steering Committee.

I.   VCIT Standing Guest Consultations

This year, CIT continued its tradition of inviting the Vice Chancellor of Information Technology (VCIT) as a standing guest at a segment of each of our bi-weekly meetings. VCIT Aisha Jackson joined UCSC in August 2022. In 2022-23, VCIT Jackson updated the committee on many Information Technology Services (ITS) activities, including proposed IT governance committee charters and workflows, plans for moving computer hardware to the offsite colocation facility, the UCSC website redesign project, and policies for post-mortem access to faculty email.

This year in particular, CIT found these consultations to be an invaluable part of shared governance. CIT appreciates the opportunity that these standing guest consultations provide for both the committee and the VCIT to discuss pressing issues, brainstorm solutions, and provide informal feedback on proposed plans and projects. We look forward to further collaborations with VCIT Jackson in 2023-24.

II.   Website Redesign Project

At the beginning of the academic year, one of the first topics Vice Chancellor for Information Technology (VCIT) Aisha Jackson brought to CIT was a comprehensive assessment of the current state of the campus website redevelopment project. In November 2022, VCIT Jackson invited Vice Chancellor for University Relations (VCUR) Mark Delos Reyes Davis, and Associate Vice Chancellor of Experience Strategy and Design (AVC) Phyllis Treige, key members of the teams working on the redesign. They shared details on a major change in direction of the project adopting WordPress as the content management platform. While CIT recognizes our limited contribution to this and previous project decisions, we very much welcome the renewed engagement on this important topic and we broadly concur with the rationale presented for the decision to use WordPress. In these meetings the website development team also shared details on the institutional goals with regard to undergraduate recruitment, and considerations as to how to produce a quality experience for different groups of visitors to our campus main website. As part of these efforts CIT reviewed the design and implementation plan for a website visitor survey, and provided encouraging feedback with the caveat that there may be biases in participation rates that should

preclude quantitative analysis of the resulting data unless these biases are statistically controlled for. CIT continues to encourage shared governance and requests for stakeholder feedback during future phases of the project's implementation and roll-out.

As part of our consultation on the campus main "landing page", CIT raised a number of questions about implications for divisional, departmental, and other unit's websites. These issues relate to two primary areas: (1) What support will campus units have in the development, administration, and maintenance of unit websites? (2) What steps are taken to ensure cybersecurity and data integrity on unit websites? We were briefed on plans for a staff development project, as appropriate when adopting a new technology for mission-critical functions in education, research and internal communication–with many stakeholder groups involved. CIT encourages that lessons learned from the development, administration, and maintenance of the campus main website be collected in a best practices document for units to follow in their website development plans. Such a document could include streamlined channels for units to access campus IT resources as well as a basic set of website governance rules and standards.

III.   Data Center Strategy

A transition to a colocation facility (colo) is underway to meet existing and projected demand for high performance computing (HPC) research on campus. The first phase of the transition included primarily ITS and administrative systems. The next phase of the transition will more directly impact faculty and PIs with HPC equipment currently hosted on campus. In 2021-22, CIT recommended the formation of an ad hoc committee to overview the transition and set guidelines for, among others, which equipment should be hosted at the colo facility, how long the equipment can stay at the facility, and the costs of services for equipment hosted at the facility. In response to this request, incoming VCIT Jackson has formed the Research Computing and Data Infrastructure (RCDI) Committee. CIT has reviewed the proposed membership roster for the committee and deemed that academic/research and Senate representation was adequate. Membership of the RCDI Committee includes a representative from CIT, which will guarantee that CIT stays informed about the relocation processes, and has the opportunity to provide feedback and guidance through its regularly scheduled consultations with VCIT Jackson.

IV.   VPN Security Restrictions

UCSC introduced a new virtual private network (VPN) policy in 2021 that requires VPN login for utilizing virtually all servers and UCSC IT services. The goal of this approach is to improve campus ITS security. However, several Computer Science and Engineering (CSE) faculty have raised concerns[1] that it also introduces a significant burden while rendering certain operations impossible.[2] The following concerns were raised:

- The VPN does not necessarily improve security. A compromised system within the VPN can access all systems.
- The VPN uses closed source software, which from a security perspective is questionable.

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[1] Alvaro, Arden, et al., 6/06/22, Re: Network Security Policy Changes at UCSC

[2] Arden, Beamer, et al., to Interim VCIT Walker, 6/06/22, Re: Recent Policy Changes Regarding Network Security at UCSC

- The VPN is slow and burdensome, and alternative techniques such as secure socket shell (SSH) passwordless login or multi-factor authentication (MFA) provide the same security while delivering higher performance.
- The current VPN system is inefficient, slow, and introduces a potential security issue as it routes all user traffic through the UCSC VPN. Services unrelated to UCSC, such as web browsing, should not need to go through the VPN.
- The VPN eliminates the option to expose servers to the internet which precludes many collaborations where an outside party needs to receive access a server hosted within the UCSC network.
- Services such as Canvas can still be accessed from outside of the VPN (and hence are apparently fully trusted) which is critical as those host sensitive student records. It is unclear which services are defined as trust-worthy and which ones are not by ITS.

VCIT Jackson provided a response to the letter of concern,[3] which was discussed by CIT, stating that the security benefits outweigh the negative impacts. It is CIT's view that more direct dialogue is needed between the stakeholders in CSE and ITS. We appreciate, on the one hand, ITS' desire for a uniform security policy across all computing resources managed by UCSC, while on the other, we recognize the concerns raised by members of the CSE department that research computing resources are different than those dedicated to instructional or administrative concerns, and that blanket policies can be restrictive on research computing. Clearer articulation of policies regarding approval of exceptions including private Virtual Local Area Networks (VLANs) and research Demilitarized Zones (DMZs) will be essential for informed buy-in from faculty. In the spirit of open dialogue, CIT has recommended that this begin with a meeting between stakeholders in CSE and representatives of ITS.[4]

V.   Postmortem Email Access

In winter 2020, CIT received a request from the Committee on Emeriti Relations (CER) inquiring about the feasibility of creating a campus policy that would allow a faculty member to authorize one or more individuals to access their UCSC email account after death, akin to the legal status of an executor with respect to the UCSC email account.

After several consultations in 2021-22, CIT was advised that campus leadership had charged a working group with addressing the issue, and that a policy proposal would be forthcoming for Senate review. The membership of this working group, which was convened before VCIT Jackson joined UCSC, included Gennevie Herbranson, Hudson Smith, Leslie Geary, Brian Hall, and Troy Wright. CIT had expected to see a formal request for review in fall 2022, but no such request materialized, nor did the working group produce a final report.

CIT regularly asked for updates on the draft policy during our consultations with VCIT Jackson over the course of 2022-23, and the VCIT is aware of the importance of the issue. In April 2023, the VCIT informed the committee that the CPEVC had denied a resource request from legal counsel to implement automated Ediscovery for documents and correspondence, and ITS does not currently have the resources to do so themselves. As the principle challenges (academic freedom,

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[3] VCIT Jackson to Members of CSE Faculty, 3/23/23, Re: CSE Letter Regarding ITS Security Requirements
[4] CIT Chair Alvaro to VCIT Jackson, 7/05/23, Re: Concerns Regarding Security Restrictions on VPN

privacy considerations, university IP concerns, Ediscovery) are beyond the scope of IT procedures, CIT believes the issue should be redirected to the Senate Executive Committee.

Acknowledgements
The CIT acknowledges and thanks VCIT Jackson for her collaboration this past year. CIT would especially like to thank Senate Analyst Jaden Silva-Espinoza for providing essential support and valuable context for CIT's mission.

Respectfully submitted,

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August 31, 2023

COMMITTEE ON INTERNATIONAL EDUCATION
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on International Education (CIE) advises the Senate and campus administration on matters related to international education on the UC Santa Cruz campus, initiates studies and reviews, and assists in the formulation of policies regarding international education at UC Santa Cruz. This year, CIE reinstituted its policy of reviewing Global Seminars from the previous summer (2022), worked with Global Engagement (GE) to introduce changes in approval process for new Global Seminars, helped GE strategize on priorities for the implementation of the American Council on Education (ACE) internationalization report, advocated for the interests of international students vis-a-vis a variety of documents (the Leading the Change reports, the design of the new graduate funding model, and the WASC re-accreditation process), and continued to lobby for the establishment of a campus international student center. One considerable challenge was that, with the exception of fall quarter, CIE only had four (rather than the normal six) faculty members and occasionally had trouble maintaining the necessary quorum to conduct its business. As in the previous academic year, no undergraduate student representative was appointed to this committee.

I.   Review of Global Seminars and of the Seminar Proposal and Review Process

CIE was pleased to see evidence of several very successful Global Seminars in summer 2022, especially considering the ongoing complications of COVID. Based on faculty and student assessments, the global seminars in Guatemala, France, Korea, Spain, and Ireland clearly succeeded in leveraging their specific international locations and providing UC Santa Cruz students with novel opportunities to meet learning objectives that are not available on campus. With respect to the two global seminars that were less successful, our review of the report provided by GE, alongside correspondence from GE over summer 2022 about the food study seminar in Berlin, suggest that the problems that emerged in this seminar (including the need for the sign off of the relevant department chair should there be any last minute changes in the instructor for Global Seminars) have largely been addressed, and that future offerings of the course, in this or another location, should run more smoothly given the changes implemented by GE. With respect to the least successful global seminar, CIE concurred with GE's decision to temporarily suspend this seminar until such time as its planned activities are better aligned with course objectives.

In addition to providing feedback on these seminars, CIE also proposed to GE a series of changes for future reviews. First, although we understand that we cannot review Student Experience of Teaching Surveys (SETS) directly (and that low student responses are a major limitation), our sense is that we would really benefit from having access to some quantitative data culled from student responses. This would enable us to more easily compare seminar offerings in a given summer, but also to detect changes across time in the relative effectiveness of any one seminar. Second, because our mandate is to focus on whether global seminars meet academic objectives and leverage their international locations, it would be helpful if we could review Global Engagement's report alongside the syllabi and course learning objectives that we reviewed when we approved the seminars. Given the small numbers of global seminars per summer and our sense

that this is unlikely to change anytime soon due to GE staff constraints (which prevents this from being an onerous exercise for CIE), members of the committee also decided that we would like to review all seminars each fall (rather than only reviewing them every three years).

With respect to the approval process for new global seminars, CIE proposed and GE accepted the idea of shifting the schedule that we have followed in the past. Rather than issue the call for new seminar proposals every fall quarter with faculty asked to submit proposals in winter quarter, the decision was made to issue the call in spring quarter in order to give faculty the summer to work on their proposals, with a new deadline of early fall quarter. This shift from a "fall-winter" to a "spring-fall" sequence was also appealing because it bought GE some breathing room as it has been difficult to run the current global seminars at existing staff levels (without taking on the planning of lots of new seminars). As a result of this change, CIE had no new global seminar proposals to review in winter 2023, which led to a much lighter workload in this quarter. In spring 2023, CIE was asked to conduct an off-cycle review of a new seminar at the University of Padua on biochemistry and the nutrition of sport, which it viewed very favorably as a welcome addition to the roster of global seminars.

Before issuing the call for new global seminar proposals in spring 2023, which unfortunately did not go out until the very end of spring quarter, CIE also approved further suggested changes from GE to clarify that faculty do not have to nail down all logistical aspects of their intended seminar in order to submit a proposal (out of concerns that this often introduced rigidities and perhaps dissuaded faculty from proposing seminars). CIE also agreed with GE's request to change the language in the call for proposals that governs eligibility requirements to stipulate that continuing lecturers are eligible to propose global seminars so long as they have the approval of their sponsoring department. Very few faculty attended the workshops that GE held over the summer of 2023 for professors considering proposing a new Global Seminar: only one professor attended each of the workshops held on July 13 and July 17.

II.   Campus International Student Center

CIE continued to advocate for the establishment of a campus international student center, again without success. In the Fall quarter we learned that our request to receive space in the resource call over the summer was not successful. In the winter quarter, CIE unsuccessfully lobbied the committee that has been working to re-design the building on Quarry Plaza that has housed the Bay Tree Bookstore in the hope that some space might be set aside for the international student center. In spring quarter, CIE supported the proposal for the creation of student lounges that emerged from the undergraduate-focused working group in the Leading the Change strategic academic planning exercise, and proposed that at least one of these lounges should be devoted to international students.

III.   International Enrollment and Recruitment

CIE annually consults with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. This year, the committee was interested in learning more about efforts to further diversity the international students who are enrolling at UC Santa Cruz, with diversity understood to refer not just to the range of countries sending students, but also socio-economic and other forms of

diversity. Given the tremendous cost of attending UC Santa Cruz as a foreign student (approximately 73.5k), CIE learned that boosting the diversity of sending countries might be easier to achieve than socioeconomic diversity, and brainstormed with the AVCEM about ways to conduct outreach beyond Asia (the United Arab Emirates (UAE) is the only non-Asian country of the top ten countries that send students to UC Santa Cruz). AVC Whittingham shared information on international undergraduate enrollments and targets, recruitment/yield plans, and collaboration with Global Engagement on recruitment efforts. AVC Whittingham also shared some demographic data by gender and division, provided after the consultation and in response to questions during the consultation. With the AVCEM, CIE also discussed ways of boosting international student enrollment more generally, which has been significantly hampered by the elimination of standardized tests from the admission process at the University of California.

IV.   International Student Welfare and Success

The committee's interest in international student welfare and success imbues many aspects of CIE's work, as is evident in other sections of the report. In January, the committee consulted with Vice Provost and Dean of Graduate Studies (VPDGS) Peter Biehl in a focused conversation on international graduate student education and success. While oversight of aspects of student success are shared by different divisions on campus, consultation with the VPDGS provides a critically important view into international graduate student experiences. CIE focused its questions to VPDGS Biehl on his plans and vision for international graduate education, including the question of how to address the issues raised by 25 department chairs who are seeking changes that would allow international students to access their relocation stipends in the fall in a more timely fashion (to help them secure rental properties in Santa Cruz prior to the beginning of Fall quarter). VPDGS Biehl also took some time to discuss the ongoing work of the Implementation Task Force for Inclusive Excellence in Graduate Education. CIE expressed its strong concern that the new funding model being developed by the task force must continue to include funding for the waivers of Non-Resident Tuition for international students, which have done so much in the past decade to enable many departments at UC Santa Cruz to diversify their programs beyond domestic students.

V.   CIE Representation

Chair Eaton served on the systemwide Senate UCIE committee.

VI.   CIE Consultations

In addition to the consultations discussed above with VPDGS Biehl (2/7/23) and AVCEM Whittingham (5/30/2023), CIE also consulted with—Vice Chancellor for the Division of Student Success (VCSAS) Akirah Bradley-Armstrong (3/7/23) to discuss productive ways to collaborate and promote the success and welfare of our international students, including how to move forward with plans for an international student center. Additionally, CIE met quarterly with VPGE Hughey and AVP George (11/1/22, 1/10/2, 5/16/23) on various topics related to international education. In April 2023, Chair Eaton accompanied AVP George on a visit to three universities in the U.K. (Queen's University Belfast, Bristol and Leeds) with whom UC Santa Cruz hopes to partner in the future, both through increased student mobility and sustained research interactions between faculty and graduate students working on similar topics (which was identified as a campus priority in the ACE internationalization lab report).

VII.   Local and System-wide Issue Review

In addition to the issues identified in earlier sections of the report, the committee reviewed and commented on the following issues and/or policies:

- Proposed Revisions to Systemwide Senate Regulation 630 (October 31, 2022)
- WASC Themes Proposal Draft (March 8, 2023)
- Leading the Change (Strategic Plan) Draft Reports (April 12, 2023)
- Review of ITF Report (May 15, 2023)
- Leading the Change (Strategic Plan) Final Report (June 6, 2023)

VIII.   Continuing Issues for CIE in 2023-24

- Continue to engage with Global Engagement on a model of collaboration that enhances communication and shared governance on issues related to international education
- Continue to engage in conversations about strategic planning process outcomes and implementation planning, including investment in internationalization initiatives within campus budget constraints;
- Continue monitoring and collaborating with GE on efforts for an international student lounge/resource center
- Continue collaboration with administration (and CCI as needed) in review of global seminars
- Monitor campus efforts (Graduate Division, Student Success, Undergraduate Education) to address issues of international graduate and undergraduate student welfare and success

Respectfully submitted,

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August 31, 2023

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) is charged with advising the campus administration on local and systemwide library and scholarly communication policies. Scholarly communication refers to the multi-faceted modalities by which research and creative work are made public and encompasses issues related to publishing, technology, archiving, and copyright. The committee also advises on the administration of campus libraries and on matters concerning acquisition and management policies for collections. The committee meets biweekly to support this charge and to better understand and learn about the challenges and opportunities facing our libraries. Below we summarize our actions for the 2022-23 academic year.

I.   Library Budget, Collections and Space Orientations

Based on the precedent established in 2019, the first meetings in the fall were orientations. Associate University Librarian for Planning and Resource Management (AUL) John Bono provided an overview of the library budget. This helped the committee to gain a basic understanding of the library budget, including funding levels, spending and how the budget is organized. The library budget is divided into two categories: collections and non-collections funds. As in past years, COLASC Members expressed interest in understanding the differences in library budgets across the UC system. AUL Bono advised that currently the Campus Provost/Executive Vice Chancellor (CPEVC) allocates funds to the library based on the prior year. AUL Bono discussed how additional funding sources such as gifts and cafe revenue contribute to the library budget. Endowment funding was also discussed. COLASC Members noted that Administrative commitments to hire a large number of new faculty may increase demands on the library. It was noted that the Library is the second largest employer of students on campus. The library is currently recruiting for several librarian positions. Associate University Librarian for Collections and Services, Kerry Scott also spoke to the committee and provided an overview of the library's acquisitions (what the library buys or licenses) and access (how the library makes what we have not bought or licensed accessible to the campus community) strategies. She discussed three considerations when thinking about issues of acquisition and access in relation to budget (constraints stewardship), collective collection, and scholarly production & communication, including open access (OA). She also discussed the manner in which the library manages demand-based acquisitions, including detailing the process through which both students and faculty can request the library to acquire materials. Members were interested in how demand driven acquisition works, and in digital book access policies. Members inquired if there was a policy regarding acquisition of print vs. digital materials. AUL Scott advised that not all digital books have the same access options including allowing multiple users and download options. The policy is need based and takes into account options available through Interlibrary Loan (ILL). Access to materials for students with disabilities was also discussed. Members were also interested in Open Educational Resources (OER) options for courses.

II.   Open Access and Open Educational Resources

Building on the "How I Learned to Stop Worrying and Love Open Access," 90-minute workshop hosted by COLASC May 6, 2022, which gave a general overview of UC open-access policy and opportunities open to University of California, Santa Cruz (UC Santa Cruz) researchers, COLASC provided the following guidance to Senate Faculty on February 8, 2023:

UC Libraries and the Office of Scholarly Communication have been working hard to procure OA agreements and discounts with publishers to support the goal of OA publishing, which the University and the Senate view as an important part of democratizing access to knowledge. Even before these agreements, UC faculty were able (and, in most cases, required) to make *pre*-publication versions of their articles available open access; this is easily done through eScholarship. The new agreements are in support of the yet more desirable goal of making the official published version open to all readers. These agreements work by diverting existing subscription payments to publishers, so that they now go towards paying OA publication fees. Thus, they place no new burden on the Library. UCOLASC (the systemwide counterpart of our committee) strongly urges all faculty to make use of them.

COLASC also asked faculty to respond to a survey to better understand faculty views of open access issues. Survey questions included:

- *What challenges have you faced to publishing open access?*
- *How have the transformative agreements changed things in this respect?*
- *Are there any issues involving open access publishing that are specific to your field?*
- *What further concerns do you have about publishing open access?*
- *Any remaining questions related to open access publication?*

Unfortunately, COLASC received very few survey responses. Future surveys may provide more information regarding Senate views on open access issues. Responses received did highlight the following issues:

- Fees for faculty when publication does not fall under transformative agreements
- Awareness of discipline specific open access options such as arXiv
- Journals not covered by transformative agreements
- a desire to publish open access when cost is not an issue

III.   Consultations

On November 17, 2023 UC OER Taskforce Member Katharin Peter, UC Santa Cruz Library Head of Learning, Research & Engagement gave a brief presentation on the UC OER task force. The presentation included an introduction to OER, OER value to faculty and students, impact of textbook costs on students, and an update on OER Task force activities. COLASC members responded to a survey from the UC OER Taskforce. COLASC suggested that faculty incentives to adopt or create OER materials might include course release, short term grants or recognition in the personnel review process. COLASC noted that training, a sufficient platform, staff, and financial support would be essential infrastructure for OER creation and adoption. COLASC members also made discipline specific observations regarding opportunities and obstacles to using OER.

December 8, 2022 Baytree Campus Store Update from Doug Lang, Director Bay Tree Campus Store and Dionne Latta, Course Material Strategist. Topic discussed included:

- Faculty and student feedback on functionality and usability. Course materials cost to students.
- How are local bookstores incorporated into the list of sellers and how are they ranked (i.e. by price, geographically, etc.)?
- Are library resources linked? Open educational resources (OER)? How prominently? Does the system allow for API integration with the library catalog holdings? Is more work needed to improve integration?

January 12, Committee on Research (COR) Chair Michael Hance and Analyst Chad Silva attended COLASC to discuss allowable expenses under the COR Faculty Allowance Program (CFA). COLASC was pleased to hear that CFA funds could be used for publication fees including, open access fees not covered by transformative agreements. COLASC recommends these options be listed on the CFA webpage.

April 27, 2023 Sheila García Mazari - Online Learning Librarian (OLL) attended COLASC to discuss Current and future online learning opportunities and issues and Open Educational Resources provided by the library. OLL Garcia Mazari has met with various campus partners and students to gather information about what asynchronous content could be created to support student information literacy instruction.

IV.   Bay Tree Campus Store Course Material Faculty Advisory Committee

A COLASC member served on the Bay Tree Campus Store (BTCS) Faculty Advisory Committee which met quarterly to discuss the transition to the fully online campus book and course material store partnered with Akademos which launched to students in March, 2022. The committee discussed the following topics:

- The calculated reduction in costs for students purchasing course materials through the new platform, and the mechanisms for making those calculations.
- Adoption percentages by instructors, as shown through the platform.
- The need to make library materials visible to students and faculty using the online bookstore amid the platform's inability to interface with UCSC Libraries' collections. Dionne Latta (the course materials strategist) reported that she has been sharing ISBNs for required course materials with UC Santa Cruz Libraries, who have been able to verify whether the library holds the material in a digital format. If the library holds materials with unlimited access, Dionne has manually added a note in the course page to notify students.
- The implementation of Inclusive Access and the sustainability of this program at a larger scale. This included strategies for working with Financial Aid to ensure that they pay for these materials rather than the student directly and that they can immediately reimburse students if they withdraw.
- Communication channels for engaging faculty and students, in order to best adapt the online course material platform. This included a preview of surveys that will be administered in Fall 2023.

COLASC members noted that two items will require clarification during AY 2023-2024:

- Whether the reported cost savings by this new platform is due to subsidies (i.e. whether it reflects the true costs of labor).
- Whether Inclusive Access automatically purchases course materials for students when they enroll in a course.

V.   New Faculty Library Orientation

On November 21, 2022, COLASC Members drafted correspondence to the Committee on Career Advising (CCA) regarding connecting new faculty with library resources. COLASC noted that the library offers many services which can support new faculty in their teaching and research including:

- **Library Spaces**: Renovations on the Science & Engineering Library's lower level are now complete. This includes the opening of the new [Digital Scholarship Innovation Studio (DSI).](#)[1] The DSI provides student access to technology and experiential learning in a low-barrier environment. Resources in the DSI primarily support the creation of physical objects from digital data (including 3D printing, 3D scanning, laser cutting, 2D plotting, and holographic displays).
- **Library Workshops**: The Library offers workshops designed to support graduate students, including Zotero for organizing research literature, copyright basics, and scholarly publishing topics.
- **Research Support**: Library staff are available to faculty and students via chat, email, or online consultation.
- **Author Services**: UC Santa Cruz offers open access publishing agreements and discounts with specific publishers to help with article processing charges for both faculty and students. New agreements are regularly being negotiated, so authors should feel free to check with the Library about which journals have support for the OA fees. The Library can also help with questions on copyright and author agreements.
- **Teaching Support**: Librarians and archivists are available to consult with faculty developing research and assignments. They can advise, for example, about incorporating online resources and digitized collections, information literacy learning outcomes, digital methods (see [Digital Scholarship's Digital Instruction Project Call](#)),[2] and early printed books, manuscripts, or archives. There is also an [online introduction to archives and archival research](#)[3] that faculty may want to add to their course site.

CCA agreed that this information was worthwhile to highlight for new faculty and arranged a presentation of library resources for new faculty in winter quarter.

VI.   Reviews

This academic year, COLASC reviewed and responded to the following:

Divisional:
- WASC Theme Proposal Draft, March 17, 2023

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[1] Digital Scholarship Innovation Studio, https://guides.library.ucsc.edu/DS/DSI/Home

[2] Digital Scholarship's Digital Instruction Project Call, https://guides.library.ucsc.edu/DS/FellowshipsOpportunities/DIP

[3] archives, https://sites.google.com/ucsc.edu/archivalresearch

- Proposed Revisions to Space Management Policy, May 17, 2023
- Leading the Change: UCSC Strategic Planning draft, June 16, 2023

Systemwide
- (Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees, June 8, 2023

VII.   Other Correspondence

- COLASC to Senate Faculty: Open Access Publication Resources, February 8, 2023
- COLASC to CCA: Library Inclusion in the New Faculty Orientation/Welcome Day, November 21, 2022

VIII. Recommendations to COLASC 2023-24

- *On OA:*
  - How do we compare with other campuses — e.g. what funds do they have? How funded? Do they have them for monographs? Is there data about whether these funds have been sufficient etc.?
  - "OA ambassadors" (maybe get details about how this has worked at Merced?)
  - Consider Library presentation on OA again? (Or show recording, then have a follow-up discussion.)
- Consider other ways faculty can further OA publications?
- Invite Bay Tree Campus Store leaders to consult and provide a progress check regarding the online course materials platform.
- Communicate broadly library resources to faculty and students and share with other COLASCs.
- Library events calendar promotion.
- Consider follow up consultation with Online Learning Librarian regarding library instructional/information literacy work and collaboration with the Writing Program.
- Tour completed renovations of Science & Engineering Library
- Consultations: OER Librarian; any other new Library hires; possibly another update from the Bay Tree Campus Store, Kerry Scott re: library acquisitions process.

Respectfully submitted,

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
Martin Devecka
Jeffrey Erbig   Edward Pashkov, GSA Representative
Abhishek Halder
Cynthia Ling Lee
Elizabeth Cowell, University Librarian, *ex officio*
Annette Marines, LAUC Representative, *sits with*
Martha Stuit, LAUC Representative, *sits with*
Abe Stone, Philosophy, *Chair*

August 31, 2023

COMMITTEE ON PLANNING AND BUDGET
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

I.   Overview

This report is organized by the following sections:

- Shared Governance and Consultation Process
- Faculty FTE Review
- 'Fresh AIR': Divisional Resource Modeling
- Space and Capital Planning
- Highlighted 2022-23 Reviews
- Regular Committee Business
- Local and Systemwide Issue Review
- Continuing Issues for CPB in 2023-24

II.   Shared Governance and Consultation Process

The UC structure of shared governance clearly delineates CPB as an advisory committee. Our committee's robust consultation schedule, however, creates an active process of engagement and accountability between the faculty and administration. Our conversations allow CPB to address our differences in vision and strategy, while also affirming our many shared values and goals. Our consultation process involves both structured and unstructured contexts. Unstructured conversations provide both CPB members and administrators opportunities to share their concerns and to clarify their priorities.

The committee typically has a standing consultation with the CP/EVC at its weekly meetings, and this year consulted with CP/EVC Kletzer during fifteen of these meetings. CPB also schedules formal consultations with the Associate Vice Chancellor for Budget and Planning (AVCBAP) annually for overviews of the campus budget and budget outlook, and other topics as needed (this year, an overview of the planned campus Academic Resource Model [now Fresh AIR] and campus carryforward and deficit balances). Over the summer, the CPB Chair and Analyst will plan to work with AVC Register to make any necessary changes to the consultation calendar for 2023-24 in order to support CPB engagement in key issues of budget and planning, and to efficiently support areas of collaboration between CPB and Office of Budget and Planning (BAP). AVC Register also regularly attended the CP/EVC standing consultations.

CPB consults with the academic deans every fall informally, then again in winter on their division's faculty FTE requests to the CP/EVC. Graduate Council (GC) and Committee on Educational Policy (CEP) Chairs are also annually consulted in winter on the faculty FTE requests.

In 2022-23 CPB continued to examine consultation processes to ensure transparency and collaboration. We discussed creating clearer guidelines about consultation materials needed for timely and effective decision-making. We often found, when reviewing requests, that we simply didn't have enough information (either from a division or a department) to make an informed

recommendation. CPB has emphasized that attention to its guidelines for information required prior to personnel consultations will prevent delays in these time-sensitive processes. CPB members were also involved with two newly established groups. The Implementation Task Force for Inclusive Excellence in Graduate Education (ITF) was convened in the fall of 2021 to implement the recommendations of the Joint Senate-Administration Working Group on Graduate Education (JWG). Chair Neuman served as co-Chair of the Steering Committee and Budget Committee; Analyst Bañuelos and member Angelo served on the Student Success and Welfare Subcommittee; and Members Monroe, and Venturi served on the funding sub-committee. The campus also established the University Space Committee, on which CPB member Venturi serves ex officio.

III.   Faculty FTE Review

The Committee on Planning and Budget (CPB) has reviewed the divisional faculty recruitment requests for 2023-24. In preparing its recommendations, CPB reviewed the faculty recruitment call to the academic divisions, the requests for faculty recruitment submitted by the divisions, and in addition, consulted with each of the divisional deans, all of whom received a set of questions in advance. CPB invited the Chairs of Graduate Council (GC) and the Committee on Educational Policy (CEP) to attend each of the dean consultations. CPB also consulted with the GC and CEP chairs on their perspectives, related to the implications of divisional recruitment plans for graduate and undergraduate education respectively.

A. *Principles for Review*

CPB's approach to the FTE call was to first examine and then rate (not rank) the positions within a division. CPB's deliberations about the FTE requests were guided by the campus goals, priorities, and academic indicators outlined in the FTE call letter, chief among them was the aim behind the "Faculty 100" goal of reducing UCSC's undergraduate student FTE to Senate faculty FTE workload ratio (31.2) to be in line with UC averages (27.8). Behind this aim is the fundamental principle that the University of California's educational mission as a research university is to provide a UC quality education, defined broadly as the opportunity for students to work with world class researchers and to therefore gain "closely mentored" research experience in an intellectual and campus environment committed to diversity, equity, and inclusion.[1] High student to faculty ratios compromise this mission, and while these ratios are increasing system wide, UCSC's ratios are highest. CPB also established its priorities for assessing positions: namely, how the proposed FTE positions would: a) stabilize and strengthen existing undergraduate and graduate programs; and b) support established campus initiatives. With the principles of a UC quality education in mind, as well as the principles of stabilizing and strengthening existing programs and initiatives, the specific factors CPB prioritized when evaluating each FTE request were (in unranked order): a) increasing disciplinary and demographic diversity; b) improving undergraduate and graduate success and experience by reducing impaction and high student-to-faculty ratios; c) strengthening graduate education; and d) supporting programs that are challenged to mount their undergraduate and/or graduate curriculum.

B. *Review Process*

CPB reviewed the submissions over most of the winter quarter. CPB established teams to review and facilitate discussion of each division's submissions. Each team had two members,

a lead from outside the division, and a second member from within the division. CPB also received and restructured datasets to look at faculty and student growth over a eighteen year period (from 2003-04 to 2021-22) as well as student to faculty ratios from a variety of angles: looking at faculty FTE as budgeted, payroll and senate FTE; and looking at students as total student FTE, undergraduate, majors, masters and doctoral. We examined each variable and the different combinations of workload ratios by department and division, comparing departments to their division and then to the campus average. This data was provided by the Office of Budget and Planning (BAP) and was restructured to present comparative longitudinal analysis.

C. *Challenges & Opportunities*

CPB would like to note some unique challenges faced by UCSC in conducting the FTE review process this year. Namely, the campus is in the midst of a fundamental restructuring of how core funds get distributed to the disciplinary divisions. One of the proposed changes concerns the flow of open unallocated faculty provisions: Currently, these provisions sit with disciplinary divisions; in the proposed model both the provisions and the dollars associated with them will move to the center, until the next successful hire. CPB understands that this proposed structure is intended to facilitate the hiring of Senate faculty towards and beyond the "Faculty 100" goal by: 1) having the center assume financial responsibility for start-up costs and; 2) removing the incentive for deans to hold onto open faculty provisions for other funding needs. CPB also understands from its consultations with disciplinary deans that many unallocated open provisions are used for a range of critical functions: some are encumbered for Presidential Postdoctoral or Spousal/Partner hires; others are used for operational, staffing, or instructional needs (to name just a few). Deans have expressed concern and uncertainty about if and how those expenses will be covered after the provisions are swept.

While the details of this proposed shift are still being developed, the implications of this change to the FTE process are substantial. In most FTE requests over the years, disciplinary deans have been asked to provide how many open unallocated faculty divisional provisions they would commit towards their overall request. The divisional plus central positions marked a budgetary envelope into which fit a ranking exercise for deans and CPB. Put differently, rankings did not represent the quality of a position relative to others per se (the quality of a position was indicated by whether or not CPB supported the position), but rather the critical urgency of a position relative to a determined, communicated, and therefore a fixed funding envelope. This year, in anticipation of the new Fresh AIR model, the FTE call was explicit in not asking deans to identify divisional provisions with their submissions. Some deans nevertheless committed divisional lines while others did not and, when asked, stated they had none to offer that weren't already encumbered or committed to other critical needs. Because CPB did not want the variability of the Dean's responses to serve as a decision-factor or bias in a ranking process, and because a clear funding envelope could not be established, CPB did not rank but instead rated the positions. Specifically, CPB took the following two step approach:

1. CPB assessed the justification of a position relative to the goals and priorities described in the "principles for review" section above. For this first step, CPB gave a binary recommendation: either CPB recommended or did not recommend allocation/authorization[2];

2. If CPB recommended allocation/authorization, CPB rated the position as either a "high", "medium" or "low" priority. A high rating represents a critical and urgent need for a search to be conducted in the upcoming academic year (2023/24). A medium rating represents a critical need but for a search that could be conducted a year out (2024/25). A low rating represents a needed position in a department or program, but with a specific description that might benefit from revision in a near-future context: such as with new hires and/or an external review informing the description.

In some instances, CPB provided a conditional rating dependent on the outcomes of ongoing off-cycle recruitments.

D. *Historical Trends: Central FTE Positions and Asymmetrical Student and Faculty Growth*

In another departure from past practices, CPB is not recommending how many central positions should go to each division. Instead, CPB presents the case for each division to receive some central positions. Central positions have tended to be linked to growth: specifically, undergraduate growth, graduate growth, extramural growth, and interdisciplinary growth. As is well known, student and faculty growth at UCSC have been asymmetric. BSOE has driven the most undergraduate and doctoral student growth at UCSC (Figures 1 & 2), and has received the most central lines: since 2008, BSOE has received 62.5 central lines, followed by PBSci (44.5), SocSci (26.5), Arts (23), and Hum (13). Yet, faculty growth has not kept pace with student growth: where BSOE UG and doctoral student FTE have grown 288% and 67% since 2003/4 respectively, BSOE Senate Faculty FTE has only grown 103% in that same time frame (Table 3).

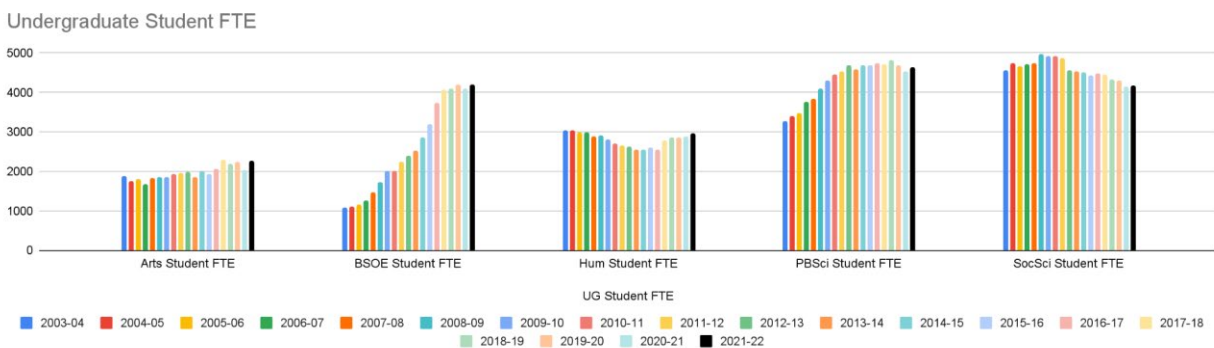*Figure 1: Undergraduate Student FTE from 2003/4 to 2021/22 by Division*

*Table 1: Undergraduate FTE Growth from 2003/4-2021/22.*

UG Student FTE	2003-04	2012-13	2021-22	% Growth from 2003/4	% Growth from 2012/13
Arts Student FTE	1877.4	1986.8	2263.4	21%	14%
BSOE Student FTE	1085.3	2394.9	4211.7	288%	76%
Hum Student FTE	3046.8	2624.8	2973.2	-2%	13%
PBSci Student FTE	3268.6	4693.5	4628.5	42%	-1%
SocSci Student FTE	4552.6	4563	4182.4	-8%	-8%
UCSC UG Student FTE	13830.7	16263.0	18259.2	32%	12%

Senate Faculty FTE	2003-04	2012-13	2021-22	% Growth from 2003/4	% Growth from 2012/13
Arts Student FTE	55.5	64.6	74.6	34%	15%
BSOE Student FTE	58	75.5	117.5	103%	56%
Hum Student FTE	100.1	93	101.5	1%	9%
PBSci Student FTE	131.6	144.9	171.8	31%	19%
SocSci Student FTE	141.4	136.5	156.5	11%	15%
UCSC UG Student FTE	486.6	514.4	621.9	28%	21%

And yet, the last ten years have also seen a change in overall trends. With regard to UG FTE, the Arts and Hum have grown, and PBSci has stabilized (Table 1). With regard to doctoral and MFA FTE, four of the five divisions have shown substantial growth. The net effect is that all five divisions have robust doctoral and/or MFA student FTE numbers. Perhaps most significantly, all five divisions have at least two departments or programs that are substantially above the UC average of UG student: faculty ratios. Since campus practices no longer attach proposed positions to growth vs replacement "lines," a case can be made that all divisions should receive at least some central positions so as to address the Faculty 100 goal of reducing undergraduate student to faculty ratios. In this way, Divisions can address critical curricular

needs, disciplinary growth, and undergraduate and graduate student growth, without having to structurally pit one department (or division) against the other.

Figure 2: Departments with a student:faculty ratio at least 1.1x larger than the UC average of 27.8.

Student: Faculty Ratio
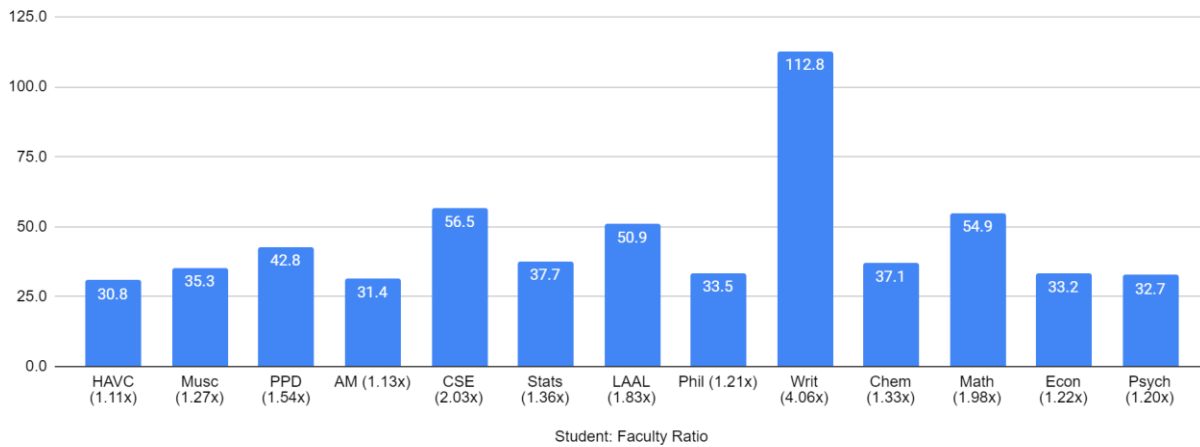
E. *Summary of Recommendations*

In summary, CPB gave high ratings to 36 positions (42 including those targeted for off-cycle hires). While there is a clear envelope of 10-12 central positions, it is not clear how many divisional provisions will ultimately be committed towards this recruitment cycle. CPB does not believe divisions should be either rewarded or punished for the number of divisional provisions they offer: If the Fresh AIR process leads to the center asking the divisions to put forward more divisional positions to bridge the gap, the process should be done equitably, and with due attention to what might go unfunded in the divisions, and the implications of those decisions.

The table below summarizes CPB's recommendations.

Rating Count	High	Medium	Low	Conditional	CPB Does not support
Arts Division	9	3	0	0	0
BSOE	6	7	0	0	2
Hum	8	2	0	0	2
PBSci	8 (+2 conditional)	2	2	2	1
SocSci	5 (+ 4 conditional)	1	0	4	0
Campus Total	36-42	15	2	6	5

IV.   'Fresh AIR': Divisional Resource Modeling

The Committee on Planning and Budget (CPB) reviewed the draft Academic Instructional Resources (AIR) proposal for Instructional Support (IS; formerly Temporary Academic Support) and TA allocations on January 12, 2023. This included the proposals and rationale for TA and IS allocations, and example spreadsheets.

CPB notes that the overarching goal as stated is that "[h]aving a comprehensive, value-driven and metric-based academic resource allocation model that provides predictability, transparency and accountability is the main goal of the AIR initiative." CPB commends the considerable time and effort leading up to these draft models. CPB noted that the models have met the goal of being metric-based and transparent, and that the proposed models make it clear how funds are allocated and subsequently spent by the divisions. CPB also agrees that the models can adjust relatively quickly since resources are allocated based on annual projections of student enrollment, and spending is also reviewed annually. An overarching concern raised by CPB, however, is the lack of direct connection between the AIR models and campus values. Specifically, it would be beneficial if the documents contextualized the AIR model as implementation of the goals and values that are being articulated as part of the current Strategic Plan themes.

Developing a Forward-Looking Model
CPB is concerned that the Senate faculty undergraduate teaching expectations (17.5 and 15.5 UG FTE for the Professor Series and 55 and 75 for the Teaching Professor series) are based on recent (~5 year) averages, rather than articulating campus goals. These are crucial numbers which represent both Senate faculty instructional workload AND articulate values regarding appropriate class sizes and the quality of faculty/undergraduate relationships. Therefore, these numbers should be actively discussed rather than simply calculated based on recent practices.

Given recent studies on the declining numbers of Senate faculty, CPB is concerned that the proposed IS model will solidify and make permanent an unquestioned but non-ideal ratio between Senate FTE and UG FTE. While we can agree that Senate faculty should be teaching approximately 70% of UG FTE, hitting this target while also enabling the small class sizes and high-quality faculty/undergraduate relationships that are proven to support student success will likely require additional numbers of Senate faculty. Rather than using the current numbers as the set point around which all future budgets will be made, CPB recommends a robust discussion of what the ideal Senate faculty undergraduate teaching expectation numbers should be so that campus planning can simultaneously address the shortfall in Senate faculty needed to achieve those numbers while still teaching 70% of UG FTE as well as the appropriate amount of IS funding required for each division to fill its instructional gap.

There are several other examples where the model is based on ratios largely tuned to the last few years of data (e.g. Tables 1-4).

Lack of Curriculum
As presented the AIR models do not align with any specific curriculum; resources are allocated based on UG enrollment, making the assumption that all classes are equal. The expectation is that there is enough flexibility at the divisional and departmental level to adjust as needed. CPB is concerned that this could lead to unintentional consequences, such as favoring large lower-division courses with high student:TA ratios to generate more resources, such as asynchronous on-line

classes. This is contrary to the general trend of more experiential and hands-on learning with lower student:TA ratios that many divisions are working towards. The lack of explicit connection to a curricular model and pedagogical goals also results in rational decisions, such as moving GSI funds to IS rather than TA funds, could impact programs that use TA/GSI funds as training opportunity for graduate students.

Flexibility in Programming
The proposed models centralize funding such as FTE course release that is currently allocated by divisions and departments. While the model makes a rational argument that sabbatical releases are embedded in the calculations and that some unforeseen course releases are expected, divisions and departments use course release for a variety of reasons, including retention, incentivizing (for example) proposals for large training grant programs, service that is not directly compensated by existing academic senate policy, etc. Current TAS funds are also used for curricular reasons to hire more TAs than the existing model allocates, rather than (as in AIR) purely as a measure to close the gap between faculty availability and instructional need. Allocating funds from a central pool may have the unintended consequence of limiting new or trial initiatives and reducing flexibility at the divisional and departmental level. Given the lack of a corresponding model for how those funds are allocated is also contrary to the goal of developing a predictable and transparent model, leading to the potential for a "first come first serve" attitude.

Related to this general concern we note that there may be unintended incentives to be less fiscally prudent. The annual updates to the model include carryforward of unspent funds implemented as reductions in the following year. At the same time, it is stated that negative balances would be trued up at the end of each year. This could encourage spending regardless of need in order to avoid following-year reductions as a mechanism for providing some stability and predictability at the division and department levels.

Adjustments to the Models
We understand that there are "glide paths" built into the models so that adjustments can be made in the initial stages of implementation. There are also several instances in the document where it is noted that aspects are "pilot programs" or will be adjusted as necessary. It is unclear who, how often, and with what goals these changes would be made. AIR is a response to our current model which is flawed or broken, but it was presumably effective when rolled out. The AIR model will also certainly drift over time, and CPB recommends that there be clear articulation of how and when the model would be updated moving forward. This could, for example, be a mechanism to roll out AIR with existing historical data while incorporating a broader discussion and plan towards achieving a more optimal model that reflects UCSC values and aspirations.

Summary
CPB again commends the effort to develop a fair, transparent, and metric-driven model for resource allocation tied to centralization of FTE provisions. The focus on metrics has separated this model from our core goals and values, and adjustments now will enhance the potential for successful implementation.

V.   Space and Capital Planning

Space has been a critical resource at UCSC. This is particularly true as the State of California continues to limit financial resources for capital improvements. In 1995 the CP/EVC established, at the recommendation of the Advisory Committee for Facilities (ACF), a list of space management principles and processes to provide a comprehensive framework for the assignment of space in order to facilitate effective management of space resources. The ACF recommended amendments of such principles in 2002, and Chancellor Blumenthal implemented the final policy, which is current, in November 2011. The key takeaways from this policy (written in 2011) are:

- "The campus does not have sufficient space (both in terms of quantity and programmatic sustainability) to meet the needs for all academic programs, student services, and administrative services.''
- "With the planning process, space is considered as much a campus resource as faculty, staff, or support dollars. Accordingly, campus space resources should be used in the best possible manner, keeping in mind that the campus, in approving a campus program, pledges itself to commit resources to sustaining that campus program.''

Since 2011, no broadly effective action has been undertaken on space and capital planning, mostly because of lack of financial resources and litigation. This, together with a Systemwide mandate to increase undergraduate enrollment, and therefore faculty FTEs and staff, has led to a significant worsening of the space situation, igniting a chain reaction of undesirable consequences. For instance:

- Regular lecture time was reduced to accommodate one extra teaching slot each day, thus impacting the syllabus and total instructional hours.
- The campus is challenged to approve or support innovative new programs and sometimes even new courses due to classroom space constraints.
- Faculty FTE recruitment is now constrained by space shortage, including laboratory space and, more recently, office space. This shortage, in conjunction with increasing undergraduate enrollment, is causing significant strain on faculty and students.

To address some of these issues, in the spring of 2022, CP/EVC Kletzer established the University Space Committee (USC). The committee is charged to provide strategic advice to the Chancellor on the allocation of campus space resources and capital planning. CPB has one representative sitting on the USC as ex-officio with voting rights, and looks forward to engaging with the USC to address the space issues on campus.

VI.   Proposed Faculty Salary Equity Program

Designing a *fair* salary equity program is not an easy task. For instance, there are different positions depending on whether we consider greater-than-normal career advancement purely a consequence of merit, or also a consequence of other, non-merit, factors. On the one hand, Senate faculty who were awarded greater-than-normal career advancements for their outstanding performance in research, teaching, and service may not be benefiting from a salary equity program. From this perspective, a salary equity program might seem inequitable towards faculty who were rewarded because of their merit, therefore undercutting the salary practices we have been using on our campus. On the other hand, faculty hired in different divisions are sometimes hired at salaries that reflect factors other than merit, strictly speaking. These factors include market pressures, stronger

advocacy by home departments/deans, etc. From this perspective, a salary equity program seems equitable towards faculty who had a disproportionately lower starting salary.

Further, the salary program that was proposed in May 2022 had six salary bands (three for regular scale faculty and three for BEE faculty) instead of just three, which seems to go against the principle of an equity mandate. It raises the more fundamental question of what "equity" means in the context of varying salary scales and suggests other possible routes to achieving it than disbursement of one-time funds. CPB hopes that such questions can be considered in the future, and hopes to be part of such discussions.

VII.   Systemwide Senate Regulation 630

The Committee on Planning and Budget (CPB) has reviewed the proposed amendment to Senate Regulation 630. CPB viewed this proposed amendment from two vantage points. One, as a policy to close a loophole whereby an in-residence program might develop, incrementally and without Senate oversight, into a de facto online degree program. Two, as a stop gap measure for the UC system to gain time to properly think through the place or non-place of online undergraduate degrees at UC.

Regarding the first, CPB strongly agrees that the Senate needs to find a way to close the stated loophole. However, CPB finds the proposed amendment to be flawed and insufficiently thought through. To take one example, the UCSC Registrar would have difficulty implementing (and UCSC students would have difficulties verifying) the new regulation: UCSC does not normally track the mode of delivery on student transcripts. We expect the Committee on Educational Policy (CEP) will address other difficulties with policy implementations as well as problematic policy implications.

CPB argues the proposed amendment measures are flawed because they are, in fact, designed to solve a separate problem: how to slow down the emergence of online undergraduate degree programs at UC. CPB won't rehash the arguments for or against online undergraduate degree programs. CPB does recommend, however, that systemwide Senate directly address one of the implied concerns regarding undergraduate online degrees: namely, that if one undergraduate degree program is approved, then others might no longer need to come before systemwide Senate review.

In summary, CPB finds that the proposed revisions to Systemwide Senate Regulation 630 to be urgently needed but, as presently written, flawed: the proposed revisions offer a solution to a problem (a premature opening of the UC's to undergraduate online degree programs) that is related to, but separate from the explicit problem of closing the loophole.

VIII.   Special Salary Practice (SSP)

The SSP proposed changes seek to disentangle advancement towards promotion from salary increases: whereas the former occurs with the latter, the latter is not limited to the former. All CPB members appreciate the complexity of the problem. Some agreed that the proposed changes help clarify that an increase in step should mark advancement towards promotion, whereas the proposed off-scale increases are adequate pathways to recognize excellence during a review period. Others

members expressed concern that amplifying the off-scale variance only complicates another problem: measuring potential equity imbalances (see next).

IX.   Salary Equity Review (SER)

CPB members are supportive of a formal SER policy that is formed with the primary goals of what the SER is meant to address (redress) in mind. Members hope for a policy that addresses inequities, implicit and explicit biases, the loyalty tax, and timing-based institutional policies. With those lofty goals in mind, members found that they had more framing questions than they had suggestions for answers to the questions—with one exception: **SER should not be tied to a personnel action—nor should it require outside letters**. What members were unsure about was the administrative burden of the SER, the scope of allowed input, eligibility for SER, appropriate comparison sets, and whether or not salary inequity could be detected programmatically or generalized to apply to more than one person after one finding.

Administrative burden. Having the committee that has the widest understanding of possible salary inequities involved (the Committee on Academic Personnel, or CAP) seems ideal, but would SER push CAP beyond their service capacity? Will implementing SER be a burden on beleaguered department managers—or just on the requesting faculty? Limiting the number of times, or the frequency—of any faculty member's right to ask for SER—perhaps once per major review period or once per half-decade of service—seems necessary, but if SER does not turn out to be a burden, perhaps no such limitation is needed. Perhaps there might be an initial special committee— something on the order of shadow-CAP—that could do preliminary work on requests before they are passed to CAP.

SER Scope. Another topic of discussion was making sure faculty could point to personnel policies and practices during their career. For example, did the faculty member get promoted during a period when faculty experienced a salary cut? Did they move up the ranks before the special salary practice? Did they miss more than one of the more generous special salary periods? Were they at UCSC when off-scale salaries were leveled?

Exclusion from consideration. Some members felt that some faculty members should be excluded from consideration, and others felt that was a dangerous pathway. For example, the exclusion of someone receiving retention offers or, conversely, excluding faculty who have not received merit raises in their departments could lead to some sticky cases. Members did feel strongly that consideration should be given apart from research and publication record: teaching and service are important factors in appropriate compensation.

Comparison sets. Faculty members requesting an SER would likely have a comparison set in mind, though members thought that certain comparators would be much more convincing (UC salaries) than others (private institution salaries). The question of whether comparators should be in similar or different fields was divisive. Some members felt that market forces make it important to pay members of some fields more, but others felt that was unfair in the face of our similar duties. Many members found the very idea of comparing specific faculty members (or at least their salaries) problematic. Would it be possible to do any of this programmatically? That is, for statistical analysis of faculty salaries to identify outliers? This would address the oft-cited problem of certain classes of faculty being less likely to avail themselves of practices (in the way that some faculty

would never go through the trouble of getting an outside offer that would allow them to ask for a lucrative retention offer). If the SER must be initiated by individual faculty members, the guidelines will need to be clear and well-advertised.

CPB members find that limiting SER to major actions comes far too late for many faculty (such as Associate Professors) who are stuck at rank. CPB suggests that the SER be triggered by a time frame (e.g., every five years) instead of major actions. CPB strongly agrees that the SER should not be governed by a competitive process: The setting of budgetary targets at the school/division (and the subsequent nomination process that would follow) would reproduce the very inequity the program is trying to address. CPB finds the comparators to be vague and overly complicated. The campus already has information about departments, divisions, norms, and standard deviations from norms. APO and CFW regularly conduct the analysis necessary for these equity assessments, in theory relieving the administrative burden on others. CPB also questioned if comparators should be discipline specific. If there are long standing inequities between divisions and disciplines (excluding Engineering and Economics), such a policy would reproduce such inequities. CPB recommends that department chairs also be authorized to initiate SERs, as they are often more knowledgeable than Deans about the details of each faculty member.

X.   Leading the Change

CPB reviewed the five Leading the Change (Strategic Plan) Reports: 1) Unparalleled Undergraduate Education and Student Experience; 2) Envisioning Graduate Education for the Future; 3) Distinction in Research, Scholarly, and Creative Activities; 4) Inclusive and Thriving Campus Community; and 5) Climate Change, Sustainability, and Resilience. CPB also reviewed the Mission and Vision Statements forwarded with the reports.

While CPB's comments might be construed as critical, CPB wants to recognize the extraordinary effort and breadth of engagement by the five subcommittees. The challenges we face as a campus are immense. The subcommittee charges were correspondingly broad.

CPB observes that in both the interim and final report, there were references to a lack of campus engagement. This is unsurprising. The UCSC community has faced nearly two decades of financial, environmental, and now epidemiological crises of global historical proportions. As a campus, we have grown accustomed to a scarcity mindset, and are growing accustomed to a crisis-as-norm mindset. It is difficult to envisage ambitious strategies and corresponding investments when budgetary support for basic needs (affordable housing for all), curricular and research necessities (classroom and lab space), as well as staff and senate faculty lines have been consistently cut and compromised in some areas, or inadequately restored or grown in other areas. If there is a lack of engagement, that does not mean we as a community are unengaged. Indeed, CPB considers the campus to have been deeply committed, against unrelenting challenges, to our students and our overall mission.

In its FTE recommendations and end of year reports, CPB has argued for a broad strategy of stabilizing and strengthening existing programs and units, followed by focused investment. CPB's assessment from the many self-studies, external reviews, FTE and resource call requests it has reviewed, is that far too many faculty, staff, academic student employees, and administrators are overworked, stretched thin, and deal with multiple challenges in getting everyday UC mission-

oriented work done, let alone responding to new initiatives and crises. Turnover is high, staff and faculty levels are insufficient, and infrastructure from buildings to equipment is dated and deteriorating. Even efforts towards the hard decisions of making cuts often happen incrementally, over many years, and outside the context of explicit strategies, goals, rationales, and campus consultation. Students suffer, while staff and faculty are often on the front lines bearing the burden. We speculate that the many instances of interpersonal conflicts between faculty, staff, administration, and students are not unrelated to the constant state of pressure faced by all to do more with less, under circumstances of precarity for many and existential threat by all.

CPB views the recent efforts at growing faculty lines (the Faculty 100 goal), as well as staff and faculty equity adjustments as moving in the right direction towards stabilization. If administration deems it is time for strategic investment (and the campus has the resources), CPB welcomes further consultation on specific strategic plans.

An overarching discovery phase would have (and would still) help in bringing all the committees up to date on the latest work and existing policies. For example, the committee on Unparalleled Undergraduate Education and Student Experience was tasked with exploring the strengths and future potentials of the college system, but did not (or were not able to) engage the just completed (and first ever) external review of the college system. The Distinction in Research, Scholarly and Creative Activities referred to space challenges, but seemed unaware (or did not reference) the University Space Committee. Similarly, the committee on Climate Change, Sustainability, and Resilience provided goals to reduce campus carbon footprints, but did not seem to know (or did not reference) the UC Carbon Neutrality Initiative. A comprehensive discovery phase would allow for the assessment of what work has already been done campus and systemwide, as well as where there is insufficient information or inadequate analysis. Campus leaders could then assess existing areas of strengths, weaknesses, opportunities, and threats in the service of strategic areas of investment over a determined time frame.

CPB's feedback on the five LTC topical committee reports can be found in a June 30, 2023 memo.

XI.   Computer Science & Engineering Enrollment Management Plan

The proposal aims at addressing a persistent critical situation in CSE by setting an enrollment target cap (not an enrollment cap) for undergraduate admissions in CSE in fall 2023, and continuing indefinitely beyond.

In CPB's opinion, the proposed enrollment management plan may not be sufficient to fully address impaction in CSE and in other over-enrolled majors on campus. CPB recalls that CSE was officially in an "impacted status" during 2018-2022, with an enrollment target cap set at 600 for CS majors, when higher-than-predicted yield (25% versus 15%) on 2022 offers ignited an unprecedented spike in CS BA and BS admissions, with consequent serious concerns on CSE's ability to deliver instruction. Indeed, CSE had to request an emergency authorization to CEP in May 2022 for remote offering of lower-division courses right after the 2022 undergraduate admission data became available.

Given the conditions in which the campus is currently operating, in particular the level of undergraduate enrollment and the shortage of office, lab and classroom space, the admission

process in impacted undergraduate programs, such as the CS BA and BS programs, requires a fundamental restructuring. It may well happen again that even with the proposed new enrollment target cap the number of students admitted in CSE is beyond the capacity of the department. In other words, there needs to be a discussion about how enrollment is managed in impacted undergraduate programs on campus, including CSE and other programs. Such discussion should consider how other impacted programs and departments across the UC system (in particular CS departments) are managing their enrollment systems. Rather than trying to predict admission yields based on mathematical models (which may result in dire situations), it may be beneficial to proceed with a first round of offers not exceeding the target enrollment cap, followed up by a second round of offers in which the yield is adjusted based on the first round, e.g., using a slightly higher yield for students in the waiting list. This iterative process based on waiting lists may increase the workload of the undergraduate admission office and CAFA (or a subcommittee of CAFA) for a few months. At the same time, it will mitigate the risks of over-enrolling students in severely impacted majors, which could overwhelm CSE faculty, affect students, and campus for many years to come.

There should be a point at which, given current campus conditions, capping impacted majors at a legitimate/appropriate size is about **rebalancing the campus at large**, which in turn may have beneficial effects on UCSC faculty welfare and student experiences/satisfaction. On the other hand, accommodating growing student demands without consideration of the holistic impact that such growth can have on campus may yield serious imbalances. Capping enrollment of heavily impacted majors, such as the CSE majors, can also open opportunities for student admissions in other (under-enrolled) majors. It can also be used as an opportunity to create **new X+CS majors**, where X is any discipline other than CS, to divert enrollment from the impacted CSE programs to other departments. This, in turn, can improve retention rates of students in Baskin Engineering and catch students who fall out of pathways, e.g., students who were not able to complete all requirements for the CS major.

CSE has really done an admirable job in sustaining impaction of its undergraduate programs for so many years. The undergraduate instructional workload per payroll CSE faculty during 2018-2022 was the highest on campus, with a relatively flat trend that is consistently above twice the campus average. Such a persistent critical situation in CSE has been slowly eroding the department's educational strengths, the CSE faculty research output, student success and retention rates, and equity gaps in CSE classes.

CPB supports the CSE enrollment management plan until proper balance in CSE is restored. CPB recommends BE and CSE continue to work with the administration and the Senate to assess the effectiveness of target enrollment caps in restoring balance. CPB also recommends that, over the longer term, the administration initiates a broader discussion on how undergraduate enrollment is managed in impacted programs across campus.

XII.   Employee Housing Re-Pricing Program

The Employee Housing Staff recommended that the repricing value for 2023-24 be placed at $398/square foot, which is a 5.01% pricing increase from last year, and would place all Entry Level Units at 38.6% of 2021 market sales. CPB recommends beginning a process of reevaluating the Re-Pricing Program in the context of the current housing crisis at UCSC. A new paradigm is

needed. It appears that the Re-Pricing Program is dated, responsive more to the great recession and less to current market conditions. As a consequence, the four goals of the program have lost their equilibrium, such that solving one seems to undermine another. For example, the recommended 5% pricing increase is more than double the percentage increase in the past. Yet, the % of market rate for entry level units has gone down steadily over the last few years, from 56% in 2020-21 to a proposed 38.6% in 2022-23. The fact that the resale price is well below the recommended range (60-75%) presents a core conundrum: if the theory of the Re-Pricing program is correct, this pricing recommendation would keep employees in units, decreasing "supply" and increasing wait lists. Yet, addressing this goal (to increase supply) would require a solution (substantial increases in resale rates) that could subvert another goal (making available affordable housing for new hires).

Perhaps what is required is a completely different approach. For example, how might the campus develop programs that help faculty move out of the campus housing system and into the Santa Cruz housing market? Other public institutions provide ways to increase purchasing power, like equity shares.

XIII.   Regular Committee Business

External Reviews
CPB annually participates in department and program external reviews. During 2022-23, CPB reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming reviews for Computer Science and Engineering, Digital Arts New Media, Education, Ecology and Evolutionary Biology, Microbiology & Environmental Toxicology, Music, Statistics. CPB also prepared responses to department/program external review reports in preparation for closure meetings for Art & Design: Games and Playable Media, Colleges, Feminist Studies, LALS, LIT, Physics (closure meeting delayed to 2023-24). The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for HAVC, History of Conciousness, and Mathematics.

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests
CPB has developed guidelines for committee review of Target of Excellence (TOE) waiver of open recruitment proposals and Spousal/Partner waiver of open recruitment proposals, as well as for second hire requests. The guidelines are designed to encourage the development and submission of consistent, informative, and complete proposals from the divisions, as well as to clarify and make transparent the committee's review process. CPB's guidelines were last updated in 2018, with administrative consultation and endorsement, and they are available on our website. The guidelines are consistent with campus policy, where it exists.

CPB reviewed and made recommendations on nine additional hire requests (second hires and second/third hires) from the following divisions: BSOE (one), Humanities (two), PBSci (three), Social Sciences (three). CPB also reviewed five requests for authorization for other off-cycle recruitments from BE (two) and Social Sciences (one). CPB reviewed requests for seven Presidential Postdoctoral Fellows and Chancellor's Fellows Program Hire requests (two in Arts, one in BSOE, three in Social Sciences and one in PBSci), three Target of Excellence (TOE) waiver of open recruitment requests (one in Arts, two in PBSci), and one Spousal/Partner waiver of open recruitment requests (BE).

As in recent years, CPB noted the need to update policies on salary upgrades, and noted the number of exceptions to policy for start-up expenses. CPB looks forward to continued campus review of allocation policies and the broader AIR model, begun last year as the Academic Resource Model, with CPB participation and input.

XIV.   Local and Systemwide Issue Review

In addition to the issues discussed in earlier sections of the report, CPB reviewed and commented on the following issues and/or policies:

Divisional
- Formal Review of Proposed Revisions to CAPM 516.000 - Unit 18 Titles (November 4, 2022)
- Contributions to Diversity Statement Requirement in Senate Faculty Searches (October 24, 2022)
- Revised Academic Programs and Units (APU): Policy and Procedures Governing Establishment, Disestablishment, and Change (December 13, 2022)
- Development of a Faculty Salary Equity Review Policy (January 17, 2023)
- CSE EM Plan (January 25, 2023) - postponed
- Request for Senate Consultation on ITS Annual Survey (February 21, 2023)
- UC Santa Cruz Employee Housing Re-Pricing Program Recommendation (for 2023-24)
- Space Management Policy (May 15, 2023)
- Proposed Equity-Based Modifications for Faculty Review Processes (January 17, 2023)
- Leading the Change Strategic Plan Reports (June 30, 2023)
- 2023-24 Employee Housing Re-Pricing Program Recommendations Review (April 26, 2023)

Systemwide
- Proposed Revisions to Systemwide Presidential Policy on Developing and Maintaining Presidential Policies (February 8, 2023)
- Proposed Amendment to Senate Regulation 630 (November 7, 2022)
- Proposed Revisions to Presidential Policy on Sustainable Practices (October 31, 2022)

XV.   Continuing Issues for CPB in 2023-24

As indicated above, there are several matters of continuing and emerging importance that will require CPB engagement and attention.

CPB will continue to collaborate with:

- the Office of Budget and Planning, including on enhancing CPB review of budgetary frameworks and budgetary data;
- the CPEVC and AVC BAP regarding the nascent "Fresh AIR" divisional resource model. To date, the CPB Chair and incoming Chair have been included on early stage planning for this new model;
- the Division of Finance, Operations, and Administration (FOA) on committee participation and review of capital planning issues, continue monitoring and engaging in issues of space planning (including through CPB representation on University Space Committee and

building planning committees including a reboot of the IIRB) and on employee housing projects (both constructed or private/public partnerships - 'P3');
- the disciplinary deans and CP/EVC on faculty FTE at planning and review stages.

Initiatives that CPB hopes to engage in a consultative process include: the new campus academic budget resource model (Fresh AIR), the budget resource call, and campus planning towards the faculty 100 goals.

CPB anxiously awaits movement on the funding and commitment to the multiple interrelated recommendations of the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF).

Given the new Governor's Compact with UC, CPB anticipates the need to engage CP/EVC Kletzer, VPDUE Hughey, and VPDGS Biehl on undergraduate and graduate enrollment planning, as the campus must weigh conflicting priorities to meet four year graduation goals and closes academic success equity gaps.

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET

Carla Freccero *(F)*
Raphael Kudela   Kat Bernier *(S)*, GSA Representative
Tracy Larrabee, *Vice Chair*   Erika Festa, SUA Representative
Grant McGuire *(W, S)*   Daniel Halpern-DeVries, SUA Representative
Cameron Monroe   Rachel Pausch *(W)*, GSA Representative
Sriram Shastry
Jessica Taft
Daniele Venturi
Patty Gallagher, *ex officio*
Melissa Caldwell, *ex officio*
Dard Neuman, *Chair*

August 31, 2023

Appendix A: How CPB Functions

CPB consists of nine regular members (one of whom serves as Chair), plus two *ex officio* members, the Chair and Vice-Chair of the Senate. The Chair of CPB also serves, together with the Senate Chair and Vice-Chair, as a member of Senate Leadership. All members are selected by the Committee on Committees (COC) and are subject to Senate approval. CPB brings a balance of perspectives to campus issues by including members from each academic division. CPB also has places for a graduate student representative and two undergraduate student representatives to sit with the committee throughout the year. Members represent CPB on other academic and administrative committees and share the tasks of writing and editing documents. The duties of the Chair include setting meeting agendas, facilitating meetings, assigning tasks to CPB members for preparing reports and written responses, meeting commitments in terms of timely response to consultation, signing CPB documents and attending UCPB meetings. All CPB letters and reports, unless otherwise noted, represent the consensus opinion of CPB.

COMMITTEE ON PRIVILEGE AND TENURE
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

I.   Grievances and Charges

One grievance was filed by a faculty member in the spring term. The Committee on Privilege and Tenure (CPT) reached a positive prima facie determination on part of the grievance. A disciplinary charge was also filed against the faculty member by the administration concerning the same events. A hearing was scheduled but not required per a resolution agreement between the respondent/grievant and the Administration.

II.   Divisional and Systemwide Reviews

A. Second Systewide Review of Draft Presidential Policy -- Abusive Conduct in the Workplace

CPT broadly supported the creation of the policy. The absence of existing policy to address abusive conduct leads to situations in which faculty members ineffectively grieve such behavior, when it would be better suited as a charge. Yet, for a charge to be disciplined it requires a violation of the Faculty Code of Conduct, which can include a violation of policy.

The committee appreciated that the protection of academic freedom had been strengthened and the procedure for adjudicating cases clarified. However, the policy was still not clear about who were mandated reporters. Greater clarity was also needed about how disciplinary action under this policy would intersect with the personnel process, i.e. whether it could be considered and conversely whether the absence of disciplinary action would preclude raising this issue during a subsequent personnel process.

B. Systemwide Review of Presidential Policy – University of California – Policy on Vaccination Programs

CPT recommended that required vaccines should be defined not just in terms of Centers for Disease Control (CDC) and California Department of Public Health (CDPH) recommendations but by being attached to the vaccination policies and posted on the website with presidential policies.

CPT also recommended that the statement that individuals who fail to comply may be barred from physical presence at University facilities and programs and may be terminated or dismissed as a result of noncompliance should be reworded. Termination or dismissal should only be if the inability to be physically present made termination or dismissal appropriate, not as an independent result of noncompliance.

C. Systemwide Review of Proposed Presidential Policy – Anti-Discrimination

CPT's main objection was that it was impossible to understand how this policy was not subsumed in the existing policy on abusive conduct. At a minimum, the two policies should be reviewed together and aligned as much as possible, and an explanation should be provided for why the second policy was needed. At a more detailed level, CPT recommended that the Local Investigating Officer (LIO) should be the same as for the abusive conduct policy, that the definition of protected category should be broadened if possible, and that it should be clear how employees who are mandatory reporters have to notify the LIO (e.g. if an email is sufficient).

D. **Proposed Presidential Clery Act Policy**

CPT noted that one critical clarification was needed. The reporting requirement in the policy applies to persons who are specified in the campus Annual Security Report (ASR) as an individual to whom employees should report criminal offense. But there is no such specification in the Annual Security Report[1] (even though federal law[2] requires a list of titles of each person or organization to whom offenses should be reported). It also applies to persons who "have significant responsibility for student and campus activities, including, but not limited to, student housing, student discipline and campus judicial proceedings". With the "but not limited to provision", this is non-specific. Faculty members should not have to guess whether they have a reporting requirement or not, potentially resulting in disciplinary cases if they guess incorrectly.

E. **Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer**

CPT had two primary areas of concern it recommended be clarified before the policy was finalized.

The first clause in the definition of University Intellectual Property (IP) in the draft policy referred to the "course or scope of employment". The committee recommended that the "or" be changed to an "and", consistent with the Patent Acknowledgement Form signed by all faculty. But even with this change, the committee was unsure how broadly this provision would apply to faculty, whose field and therefore the scope of their employment, and their working hours or course of employment, are not clearly defined. The boundaries of this clause should be clearly delineated, either in the clause or in a supplementary document containing examples, or the clause should be deleted. As a related point, it was not clear to the committee if the obligation to promptly report and fully disclose (emphasis added) all inventions to the University include inventions that are clearly or probably not University IP.

CPT also noted that the line "An additional 15% of net royalties and fees per invention shall be allocated for research-related purposes on the inventor's campus or Laboratory" (page 4) has been deleted from the previous version. Essentially, 15% has disappeared in the policy, but it was not flagged in the policy as being reallocated to some other purpose.

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[1] See: https://police.ucsc.edu/crime-prevention/ucsc-clery-2022.pdf
[2] See 34 CFR 668.46: https://www.ecfr.gov/current/title-34/subtitle-B/chapter-VI/part-668/subpart-D/section-668.46

III.   Advisory Opinions

CPT recommended to the Campus Provost and Executive Vice Chancellor that when the Academic Employee Relations Director receives a complaint against a faculty member and meets with them about a matter which may later be formalized as disciplinary charges, the purpose and the terms of the meeting should be clarified in advance.

IV.   Title IX Training

During the winter quarter CPT members participated in a Title IX training provided by the UC Santa Cruz Title IX Office. This training is required for any hearing committee member participating in a hearing which has Title IX implications. It is also of contextual assistance in assessment of sexual harassment or sexual conduct charges against faculty members.

Respectfully submitted,

COMMITTEE ON PRIVILEGE AND TENURE
Robert Boltje
Emily Brodsky
Phillip Hammack
Hamid Sadjadpour
Onuttom Narayan, *Chair*

August 31, 2023

COMMITTEE ON RESEARCH
Annual Report 2022-2023

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) is charged with reviewing campus and system-wide policies and issues related to UCSC's research mission. The committee also advises and collaborates with the Office of Research to promote faculty research. COR directly supports faculty researchers through a COR faculty allowance (CFA), COR large research grants (CLG), and the Scholarly Meeting and Travel/Inter-Campus Travel (SMT/ICT) grants, and works to develop policy and strategy that assist with broad research goals, like increasing multi-principal investigator initiatives.

I.   Summary

The committee's primary two projects this year involved the full implementation of the CFA and CLG, and the final summary of the COVID Impact Report. The labor actions undertaken by graduate students and postdocs, and the impact of the final contracts on campus research, were also a topic of frequent discussion by the committee.

A. Faculty Allowance and the Large Grants Program

The CFA, developed by COR and the CP/EVC in academic year (AY) 2021-2022, was implemented at the beginning of the fall quarter in this academic year. A total of 422 faculty applied for and received CFA grants of $2,000. Funds that remained after CFA requests were fulfilled were used to fund the CLG, a competitive program for grants of up to $10,000 to support faculty-led research. Calls for CLG proposals were made in the winter quarter, and proposals were adjudicated by the committee in the spring. A total of 30 CLG grants were awarded across all five divisions.

A call for requests for CFA allocations for AY 2023-2024 was issued in May, and closed in June 2023, so that awards can be processed and distributed during the summer term. COR expects to follow a similar schedule for the CFA in future years.

A full summary of the implementation of the CFA and CLG in the first year is provided along with this annual report.

B. COVID Impact Report

During AY 2021-2022 the committee conducted a survey of faculty on the impacts of the COVID-19 pandemic on their research activities. A short summary of that survey was provided in last year's annual report. In the current academic year, COR revisited the results of that survey, and produced a full report outlining the results. Recommendations to help the campus prepare for, and respond to, future disruptions to campus operations were also provided. The COVID impact survey report (see appendices) was provided to the Senate Executive Committee in April, and is attached to this annual report.

C. Graduate Student and Postdoctoral Scholar Strike

The labor actions that took place in the second half of the fall term generated significant discussion in committee meetings, both internally and during consultations with Interim Vice Chancellor for Research John MacMillan. The committee expressed concerns that the strikes by graduate students and postdocs would impact research activities and harm Principle Investigator (PI)/student relationships. The committee drafted an open letter[1] emphasizing the importance of graduate students and postdoctoral scholars to the research mission of the university.

After the labor contracts were negotiated, the committee noted that the new salaries for postdocs and graduate student researchers, as negotiated by University of California, Office of the President (UCOP), represented a significant increase in costs for faculty PI's. These increased costs partially motivated the rollout of the CLG in the first year of the CFA, in the hopes that some CLG funds might offset the increased costs of the new postdoc and GSR salaries.

II.   Research Grants

Funding Overview

A. *COR Faculty Allowance (CFA)*
Academic year 2022-2023 was the inaugural year for the CFA. This program is funded annually at $1,239,720 and is limited to Senate faculty as defined by subsection 105.1 of the Standing Orders of the Regents.[2] The amount of the award is $2,000 and the term of the grant is two years. Faculty are invited to apply every year.

This year there were two calls: one in the fall for the 2022-2024 term and a second in the spring for the 2023-2025 term (see table below). Going forward, all CFA calls will take place during the spring quarter.

B. *Scholarly Meeting and Travel (SMT) and Inter-Campus Travel Grants (ICT)*
Through these grants, the committee supports faculty travel to scholarly meetings and intercampus travel to research facilities, field stations, and sister UC campuses. Senate faculty may apply for the $1,000 Scholarly Meetings (SMT) or $250 Inter-Campus (ICT) Travel grants. Going forward these programs will be funded by the CFA allocation, primarily through carryforward of CFA funds from previous years, and topped off by current-year CFA funds as needed.

C. *COR Large Grant Program (CLGP)*
In AY 2022-2023 COR was able to offer the CLGP as a way to provide more substantial support for campus research. This offering was possible due to leftover funds from the CFA, as well as substantial carry-over funds from the SMT fund. The call was transmitted on March 1, 2023 and final notifications of awards were transmitted on May 25, 2023.

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[1] COR_ASCGallagher_Grad Strike_20221117
[2] https://regents.universityofcalifornia.edu/governance/standing-orders/so1051.html

Future offerings will be dependent on the amount of carry-over from prior year allocations, and unspent balances of current year CFA balances not allocated to the SMT program.

Research Grant Program	Funded	Amount
Faculty Allowance (22-24)	422	$842,400 (FY23)
Faculty Allowance (23-25)	340	$665,750 (FY24)[3]
Large Grant Program	30	$288,840 (FY23)
Travel Grants	185	$182,878 (FY23)
Total		**$1,314,118 (FY23)**

III.   Reviews of Policy and Process

Divisional
- Space Management Policy
- Strategic Plan Draft Reports
- Review of Draft Research Plan: UCSC.edu Feedback Surveys

Systemwide
- Second Systemwide Review of Proposed Revisions to Academic Personnel Manual Section 025, Conflict of Commitment and Outside Activities of Faculty Members (APM - 025) and Section 671, Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants (APM - 671)
- Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer
- Proposed Presidential Policy BFB-BUS-43 - Purchases of Goods and Services; Supply Chain Management
- Proposed Presidential Policy on Sustainable Practices

IV.   Upcoming Agenda for 2023-24

The committee will further explore the following topics in AY 2023-2024:
- The rules governing the creation and evolution of campus research centers are often opaque, even to research center leadership and campus administration. COR would like to work with the Office of Research and other campus stakeholders to clarify the role and governance of non-organized research unit (ORU) research centers on campus.
- The changes in the recently negotiated graduate student researcher (GSR) and postdoc labor contracts are already having an effect on campus research, and more changes are likely in two years when they will be renegotiated. COR will continue to work with other Senate committees and the Office of Research to inform campus and systemwide leadership about the response to the current contracts and future negotiations.

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[3] This total is not included in the FY23 total. This is due to the fact that there were two calls during the 2023-2024 academic year, one in the fall and one in the spring, which represent two different fiscal years and grant periods. The total allocation inclusive of the FY24 CFA call is $1,969,868.

Respectfully Submitted,

COMMITTEE ON RESEARCH
Elliot Campbell
Nicolas Davidenko   Kevin Lofgren, GSA Representative
James Doucet-Battle
Katherine Isbister *(W, S)*
Irene Lusztig
Michael Stone
Gina Athena Ulysse
Ali Yanik
Michael Hance *Chair*

August 31, 2023

UC Santa Cruz Faculty Allowance: First Year Report

July 26th, 2023

2022-2023 UC Santa Cruz Faculty Senate Committee on Research
Elliot Campbell, Nicolas Davidenko, James Doucet-Battle,
Michael Hance (Chair), Katherine Isbister, Kevin Lofgren (Graduate Representative),
Irene Lusztig, Michael Stone, Gina Athena Ulysse, Ali Yanik
Chad M. Silva (Analyst)

Executive Summary

The Faculty Senate Committee on Research (COR) distributed approximately $1.1M to support faculty research in 2022-2023, a substantial increase relative to previous years. The increased support enabled the creation of a new, non-competitive "faculty allowance" program, paired with a "large grants" program that funded more substantial activities through a competitive process. This report provides a summary of how the new funds supporting research and scholarly activities on campus were allocated and spent.

Introduction

The UC Santa Cruz Faculty Senate Committee on Research (COR) has long been responsible for distributing a fraction of indirect costs recovered from federal contracts and grants to support faculty-led research and scholarly activities. Until recently, COR was allocated the equivalent of 5% of total indirect cost receipts, which in recent years corresponded to approximately $365,000. These funds were then distributed to faculty through a mix of different programs, including competitive research grants, adjudicated by COR, and non-competitive awards supporting scholarly travel.

In April 2022, the CP/EVC, in consultation with COR, created a new program to support faculty research. The new program replaces the prior model based on indirect cost recovery with an annual allocation of $2,000 per "filled faculty FTE", as defined on July 1st of each year. In the

2022-2023 academic year, the filled faculty FTE was calculated to be 619.86, resulting in an allocation of $1,239,720.

The proposal that COR made for the increased allocation included plans for tiered funding levels, including both competitive and non-competitive programs. A similar program at UC Davis offers all faculty access to a modest amount of research funds every year, with the balance of funds being used to support larger competitive awards. During the 2021-2022 academic year, COR determined that each senate faculty member should have the right to request $2,000 on a non-competitive, opt-in basis. The first COR "Faculty Allowance" grants were distributed in summer 2022.

During the 2022-2023 academic year, after the faculty allowance grants had been distributed, and since Scholarly Meeting and Travel (SMT) requests could still be funded from carryforward SMT funds from previous years, COR determined that the remaining funds should be used to support faculty-led projects on a competitive basis. The COR "Large Grants" program was created to fund faculty awards of up to $10,000.

In the following sections, we describe the "faculty allowance" and "large grants" programs in more detail, including how funds were distributed across divisions, and how individual faculty used those funds to support their research.

Faculty Allowance

The COR Faculty Allowance (CFA) program was developed by COR in academic year 2021/2022 after formal approval of the program by CP/EVC Kletzer on April 6, 2022. The program was announced to the faculty in a Senate meeting on May 20, 2022 by Chair Nicolas Davidenko. Feedback from that meeting was incorporated in the final implementation of the CFA for the 2022/2023 academic year. One notable message from the May 2022 Senate meeting was the importance of continuing the Scholarly Meeting and Travel (SMT) program, in addition to the faculty allowance. While the SMT account would no longer be funded by campus, COR agreed that SMT requests should continue to be funded from the CFA program once the remaining balance of SMT funds was expended.[1]

Previous funding programs administered by COR assumed that faculty would spend their allocations within one year. However, there were frequent requests for extensions, and COR

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[1] Due to reduced travel during the COVID-19 pandemic, there were enough SMT funds carried forward from previous years to grant all SMT requests in AY 2022/2023. The use of CFA funds to support SMT requests will only start in AY 2023/2024.

recognized that giving faculty flexibility to spend funds at times that would most benefit their research should be a goal for the new CFA program. All CFA applicants were therefore given a two-year window in which to spend their CFA allocations, after which unspent funds would be returned without the possibility of extension.

Applications for the CFA were opened on October 1, 2022 and closed on October 14, 2022. Applicants were able to request up to $2,000, which was automatically approved if they qualified as Senate Faculty. No justification or detailed budget was required. A description of the program was provided in CARS (see the Appendix for the full text), along with allowed uses of CFA funds, which were significantly broader than typically permitted for (N)FRG awards.[2]

The total CFA allocation in AY 22/23 was based on a "filled faculty FTE" count of 619.86, resulting in an allocation of $1,239,720. Historically COR has deemed all Senate faculty eligible for COR funding, and COR chose to continue that practice with the CFA funds. This meant that 846 faculty across all five academic divisions were eligible to receive funds. A total of 422 faculty requested funds during the open application period in October 2022, or approximately 50% of eligible faculty. The breakdown of this count by division is provided below.

Division	Applications	Eligible	Percentage	Total Distributed
Arts	57	113	50%	$114,000
BSOE	46	121	38%	$92,000
Humanities	75	202	37%	$150,000
PBSci	100	191	52%	$200,000
Social Sciences	144	219	66%	$288,000
Total	422	846	50%	$844,000

Additional information was collected on the allocation by position, provided below.

Rank	Applications

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[2] Requests for clarification on the use of funds were usually sent to Senate analyst Chad Silva and forwarded to the COR Chair or the full committee for discussion. Requests for specific uses of funds were almost always granted, except where prohibited by university purchasing policies.

Assistant Professor	90
Assistant Teaching Professor (LPSOE)	6
Associate Professor	103
LSOE	5
Professor	192
Professor Emeritus	16
Recall Faculty	10
Total	422

The application asked faculty to indicate how they intended to use the CFA funds, without committing to a specific use, and allowing faculty to indicate more than one spending category. The results of that informal survey are provided below.

Category	Applications
Computer and Office Equipment	161
Specialized Research Equipment and Materials	170
Student Support	210
Conference and Field Travel	293
Professional Services and Memberships	188
Other	77

During the application period for the AY 2023/2024 CFA, which opened in May 2023, faculty were asked how they spent their CFA funds in AY 2022/2023. This survey does not capture all uses of CFA funds, since not all faculty receiving funds responded, and not all faculty receiving funds spent their 2022/2023 allocation before the survey was completed. However, these results mostly agree with the predictions made by faculty when requesting the funds in September 2022.

Category	Respondents
Computer and Office Equipment	**129**
Specialized Research Equipment and Materials	**112**

Student Support	158
Conference and Field Travel	248
Professional Services and Memberships	157

Large Grants

The authorization of the allocation from the CP/EVC allowed for "a mix of faculty research grant levels," which aligned with COR proposals for a tiered funding model that included both non-competitive and competitive awards. The committee decided to open a competitive large grants program to fund specific, faculty-led research projects funded by the remaining balance after the CFA applications were processed[3]. Awards in PBSci were partially funded from an endowment provided by the Earle C. Anthony foundation that supports on-campus research in the Physical and Biological Sciences. An award amount of $10,000 was chosen, to support projects at a level beyond the previous (N)FRG awards, but still below larger seed-funding programs run by the Office of Research.

A full description of the COR Large Grants (CLG) program is available in Appendix II. The program was announced on March 2, 2023 and proposals were accepted until April 7th, 2023. Proposals were encouraged from faculty in all divisions and disciplines. Proposals had to include a narrative as well as a budget justification, with a maximum award amount of $10,000.

Proposal adjudication within the committee began immediately following the application deadline, and lasted through mid-May. In our adjudication process, the committee agreed to work explicitly to assure equity in divisional representation of awardees. A total of 30 proposals were selected for funding, at a total cost of $288,840. A breakdown of funded proposals by division is provided below.

Division	Proposals	Funded
Social Sciences	30	9
Humanities	18	6

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[3] In the future, when the SMT program is funded by the same allocation that funds the CFA and not by carryforward from previous years, the SMT program will be allocated at least as much as needed to cover the previous year's SMT requests before funding the large grants.

PBSci	16	6
BSOE	12	4
Arts	7	5
Total	83	30

Conclusion

The recent increase in resources for supporting faculty research at UC Santa Cruz has helped to energize campus research and scholarly activities. The mixture of non-competitive "allowance" awards and more competitive large grants appears to be popular with faculty, and gives COR sufficient flexibility to ensure that faculty needs from all divisions and disciplines are served by these funds. The call for requests for CFA funds for AY 2023/2024 concluded before the end of the spring quarter, which will allow COR to continue with the programs established in the first year of the new model.

Appendix I: Description of Faculty Allowance

The COR Faculty Allowance is described in CARS (https://cars.ucsc.edu/cor/page/104/view) and provided below.

Overview

What: the COR Faculty Allowance program (CFA) is a non competitive grant program intended to provide financial support for research related activities of Senate faculty. This program replaces predecessor programs such as the New Faculty Research Grant (NFRG), the Faculty Research Grant (FRG) and the Special Research Grant (SRG). The fundamental difference is that faculty will no longer be required to submit a project proposal but will instead be required to fill out a simple application. The only requirement needed to apply is that the applicant is a member of the Santa Cruz Division of the Academic Senate. This program does not replace either the Scholarly Meeting and Travel (SMT) nor the Inter-Campus Travel (ICT) programs. These will still be running concurrently with funds available on a first come, first serve basis.

Policy

The application will open in the fall in the 2022-23 year. In the 2023-24 year the call for the CFA will go out during the spring quarter and will be awarded prior to the opening of the next fiscal year and will run during the fiscal year of July 1 - June 30 just as the FRG has in past years. This is to bring the grant into alignment with campus and state budget timelines. Senate faculty members will have two years to spend their award which will be $2000. Any unexpended balance left after two years will be automatically returned to COR without extension. The maximum balance of CFA funds that can be held in an account is $4000. That is, a faculty may retain funds up to a maximum of $4000 and have two years to spend the award.

So, during the 2022-23 fiscal year, the faculty member receives $2000. They elect not to spend it in 2022-23 and will have until the 2024-25 fiscal year to do so. The faculty member is awarded $2000 in 2023-24, the following year. Their CFA balance is now $4000. They will have until the end of the 2023-24 fiscal year to spend the 2022-23 balance. If they do not, the balance will be automatically returned. However, they may apply again in 2024-25 and receive another $2000, thus retaining a balance of $4000 if they wish. This automatic return removes the necessity of having the faculty member request an extension since they will be automatically eligible to apply in the next cycle.

A brief description of allowable expenses follows.

Allowable Expenses

Allowable expenses fall into five broad categories:

- **Computer and Office Equipment**
  - **This includes but is not necessarily limited to:**
    - **Computers**
    - **Hardware, software**
    - **Printers, copiers**
    - **Paper and other print materials for manuals, texts, etc.**
- **Specialized Research Equipment**
  - **This includes but is not necessarily limited to;**
    - **Custom orders for research-related materials**
    - **Laboratory equipment**
    - **Laboratory samples or specimens for testing**
    - **Access to, or copies of, archival materials, manuscripts**
- **Student Support**

- - This includes but is not necessarily limited to:
    - Postdoctoral researcher support
    - GSA support (academic year and summer)
    - Undergraduate research assistants
- Conference and Field Travel
  - This includes but is not necessarily limited to:
    - Airfare
    - Lodging
    - Conference fees
- Professional Services and Memberships
  - This includes but is not necessarily limited to:
    - Membership fees for professional associations

Appendix II: Description of Large Grants Program

The COR Large Grants Program description was distributed as part of the application process on CARS, and is provided below.

Overview

The Committee on Research (COR) is pleased to announce a competitive grant program for UCSC faculty that extends the COR Faculty Allowance (CFA) program. COR "Large Grants" (CLG) can be proposed for any amount up to $10,000, with the number of awards determined by the yearly balance of the CFA. Awards are intended to support faculty research and scholarly activities, broadly defined. Budgets might include: summer Graduate Student Researcher (GSR) support; travel; event costs; materials and supplies; participant support; manuscript fees; and other expenses allowed by the CFA. Faculty summer salary is not an allowed use of these funds, nor are course buyouts. Awards are made for a period of two years, with funds expected to be available in late June. No extensions will be granted.

COR anticipates having funds for approximately 30 awards, and expects that awards will be made supporting a broad range of scholarly activities. Faculty from all campus divisions are

eligible and encouraged to apply. Awards to faculty from the Division of Physical and Biological Sciences will be partially funded by an endowment named after Earl C. Anthony.

Eligibility

All UCSC tenure-track or tenured Senate faculty, including teaching professors and emeritus faculty, are eligible to apply.

Adjunct faculty, visiting faculty, staff, postdoctoral fellows or scholars, fellowship trainees, and graduate students are not eligible.

Application Requirements

The application will be submitted via a form that collects basic information about the proposal. A narrative portion will be uploaded by the applicant.

- **Form information:**
    - **Project title**
    - **Faculty member name and contact information**
    - **Department and Division of the faculty member**
    - **Amount requested, up to $10,000**
    - **Current and Pending (other) funding. List all funding, but indicate which is relevant to the proposed project.**
    - **List of other COR awards (excluding the $2,000 CFA) from the previous 3 years**
- **Narrative description (not to exceed 2 pages)**
    - **Project Summary**
        - **Motivation and description of the project. Is this an extension of existing work, or a new area?**
        - **Timeline for the project**
        - **Expected outcomes and criteria for success of the project**
        - **Qualifications of the faculty or team that will contribute to the success of the project**
    - **Budget Justification**
        - **Description of costs**
        - **Role of CLG funds. Will the project only rely on CLG funds, or are CLG funds being used in conjunction with other support? How critical are CLG funds to the success of the project?**

Review Criteria

Applications will be evaluated based on:
- **Clarity and accessibility of the proposal to reviewers, who are of varying intellectual backgrounds**
- **Strength, creativity, and/or novelty of the proposal**
- **Impact of the award on the success of the project**
- **The compatibility of the timeline of the proposed work with the two-year award**

Junior (un-tenured) faculty, and faculty looking to use this award to pivot into new areas of activity, are particularly encouraged to apply.

Applications that propose to use funds for summer GSR support are also encouraged, especially to fund students that would otherwise not have summer support.

Impact of the COVID-19 Pandemic on Faculty Research

UC Santa Cruz Faculty Senate Committee on Research
Elliot Campbell, Nicolas Davidenko, James Doucet-Battle,
Michael Hance (Chair), Katherine Isbister, Kevin Lofgren (Graduate Representative),
Irene Lusztig, Michael Stone, Gina Athena Ulysse, Ali Yanik
Chad M. Silva (Analyst)

Executive Summary

A survey of faculty was conducted in Spring 2022 by the UC Santa Cruz Faculty Senate Committee on Research (COR) to assess the impacts of the COVID-19 pandemic on all areas of campus life. The results of the survey indicate that the impacts of the pandemic are broad and ongoing, and continue to affect many faculty members in their research and other endeavors. This report presents the findings of the survey and provides recommendations for mitigating the impact of the past and present effects of the current pandemic, and for improving our campus' resiliency to future pandemics.

Survey Design

The survey was distributed to all Senate faculty on April 23, 2022 and responses were closed on May 12, 2022. The survey was structured as a Google Form, with a set of questions that collected demographic information about the respondents, followed by questions that asked faculty to rate the impact of the pandemic on various endeavors using 5-point scales ranging from 1 (little/no impact) to 5 (significant impact). Several free-response questions were also provided to allow faculty to give unstructured feedback on their experiences in navigating research, teaching, mentoring, service, and the campus in general during the pandemic. A full list of survey questions is provided as an appendix at the end of this report.

Description of the Sample

Responses were collected from a total of 121 faculty across all divisions. A detailed divisional breakdown is provided below.

Division	Number of respondents	Percentage of divisional faculty
Physical and Biological Sciences	29	15.2%
Social Sciences	36	16.4%
Arts	13	11.5%
Jack Baskin School of Engineering	15	12.4%
Humanities	27	13.4%

Findings

The survey results showed that the pandemic had, and continues to have, a substantial impact on faculty research and productivity. *Over half of faculty respondents are concerned about the impact of COVID not only on their short term goals, but on their career as a whole.*

The survey questions covered many aspects of faculty experience. We group the findings into three general categories: impacts on research; impacts on teaching, mentoring, and service; and feedback on the campus' response to the pandemic.

Impacts on Research

In qualitative assessments of the overall effect of the pandemic on their research, a large majority of faculty, across all campus divisions, reported moderate to significant impacts. This includes impacts on data collection, creating, writing, publishing, exhibiting, and performing. Junior faculty members appear to have been particularly impacted, with one noting "*Every single stage of my research process as a relatively new assistant professor has been severely impaired by the pandemic.*" Research involving human subjects was also especially affected,

with one faculty member writing "*My research involves in-depth in person interviews. We weren't able to collect any data with either college students or adolescents*".
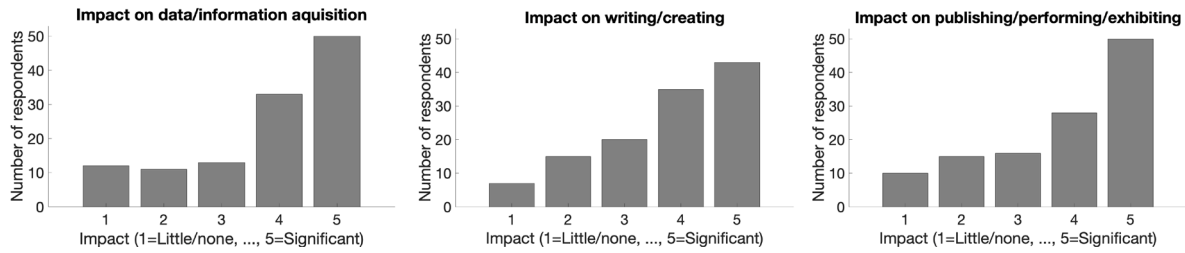

One of the most frequently cited impacts of the pandemic was the lack of interactions with colleagues, both on campus and off, and on travel for research in general. A large majority of respondents reported that the pandemic had a significant impact on travel. While it was no surprise that travel was heavily impacted, the broad effects this had on research continue to be felt. One respondent noted that "*Much of my research is abroad in multiple countries and I have had to abandon all of it...20 years of work. It is hard for me to explain what the consequences have been*". Some respondents noted that campus travel restrictions were often confusing or seemingly applied differently across divisions, which further added to confusion and frustration among faculty.
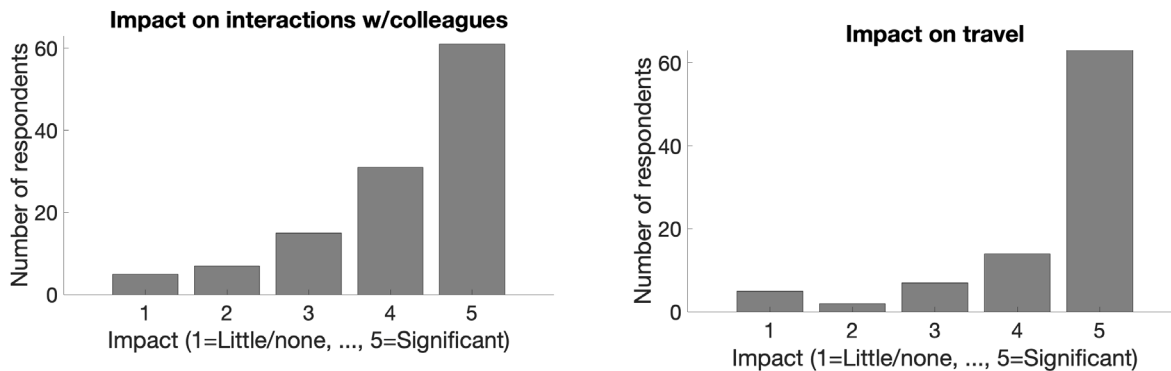
Many faculty incurred direct financial losses as a result of their lost productivity or the lost productivity of their research teams. Direct costs include support for GSRs and lab staff that were unable to access campus facilities or collect data. As one faculty member succinctly noted, "*Lab members still needed to be funded despite significant drop in productivity. Only one funding source offered a supplement.*" When asked to assign a dollar value to the lost productivity, the median reported impact was in the range of $10,000-$20,000 per faculty

member. However, many faculty reported financial impacts over $20,000, suggesting that the average (mean) impact may be much higher.

Financial Impact
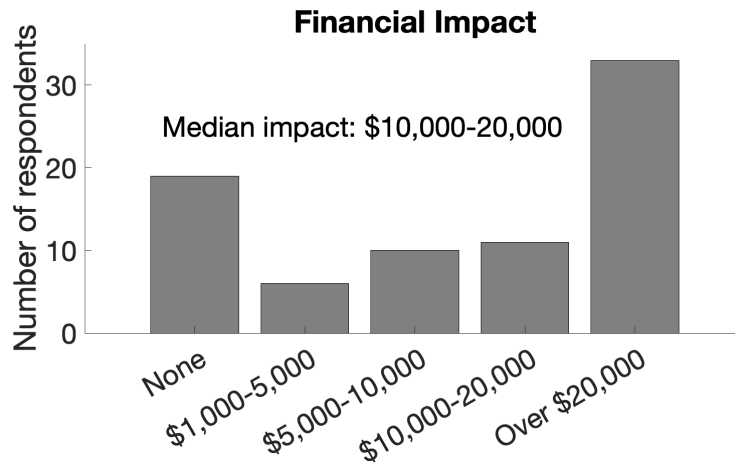
When asked which factors, outside of travel, had a significant impact on research progress, faculty noted "home dynamics" and "access to lab/studio/office" in large numbers. Approximately a third of survey participants also noted "illness, mental health" had a significant impact on their research.

Impacts on Teaching, Mentoring, and Service

Many faculty noted that they prioritized teaching demands over research during the pandemic, compounding other inhibitors of research productivity such as lost work time due to illness or caregiving responsibilities and increased time spent pivoting to online instruction. Survey respondents reported a significant increase in teaching load, and no corresponding reduction in service responsibilities, as shown in the survey responses below. Time for research was almost always lost to more immediate demands from teaching and service.

Demands on teaching

Demands on service
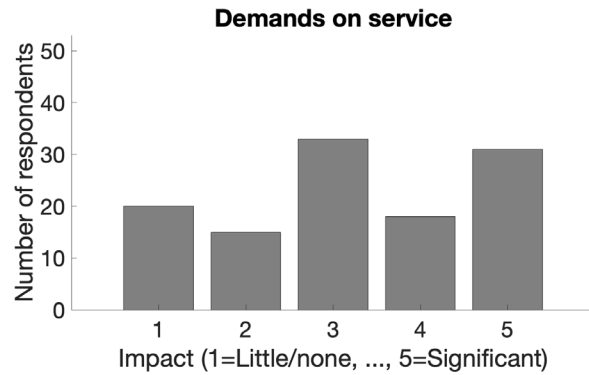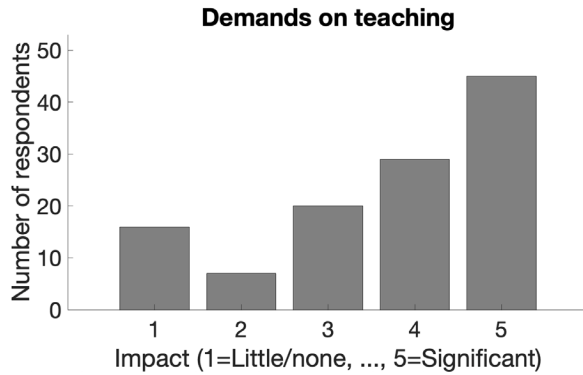
Faculty who mentored graduate students during this period also highlighted the significant impacts of the pandemic on graduate student productivity. A large majority of respondents mentored graduate students who experienced moderate to significant setbacks in their progress. Faculty noted that such students needed just as much (or more) mentoring to overcome those setbacks as they would in normal circumstances, and in many cases faculty continued to fund those students as GSRs despite the lost productivity.

Graduate student setbacks

Supported trainees who could not work
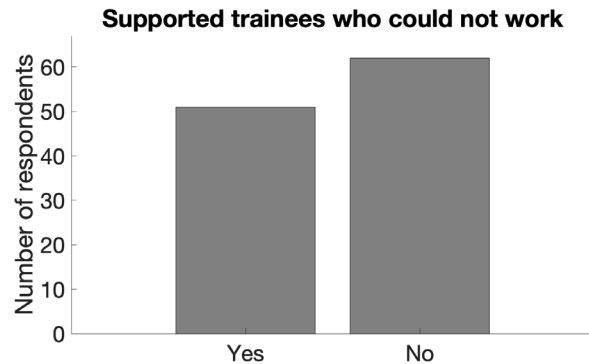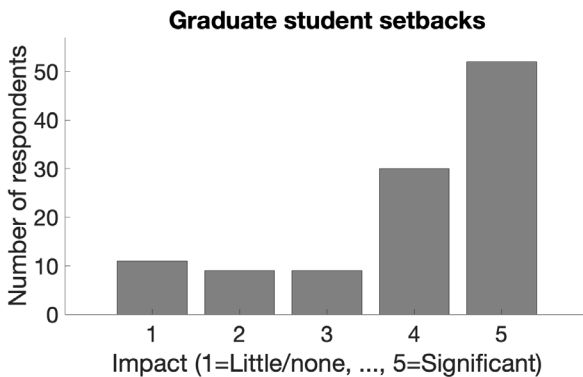
Campus Response to the Pandemic

Faculty evaluations of the campus' response to the pandemic were mixed. A significant number of responses praised the campus for doing the best it could during challenging circumstances. However, a number of areas for improvement were raised.

Allowing holds on tenure clocks was recognized as an important step in the campus response. Many faculty further recommended that standards for personnel actions be adjusted in light of the pandemic, which has also been a priority for CAP. Overall, there was a desire for recognition of the extensive teaching and service that was provided under extreme circumstances, and for release from non-research obligations in the future.

A large number of responses criticized the closure of the campus library and other campus services during the pandemic, even as other UC campuses found creative ways to offer those services to their campus communities. Lack of access to the library was a substantial impediment to faculty research, as noted in several free responses:

"The Library could have been more flexible (or even just a little bit flexible) with faculty who needed access to print materials and ILL, instead of inaccurately insisting that the Hathi Trust emergency access worked for everybody's needs."

"An effort might have been made to keep the library open for shelf-browsing, on an appointment basis perhaps."

Different areas of research experienced very different impacts of the pandemic. Faculty in lab-based disciplines noted that occupancy restrictions had severe impacts on their research, and were confusing to navigate especially in the earliest months of the campus closure. Faculty who perform research involving human subjects expressed frustration in the IRB process during the pandemic, which was both slow to review cases and also slow to adopt policies that would allow studies that met public health guidelines to resume. Some faculty suggested that other UC campuses were able to implement policies that allowed for human subjects research to proceed with less administrative burden than on our campus.

Discussion

The findings above illustrate the broad impact the pandemic has had on faculty research, and the disparate impact it has had on subsets of the faculty, including caregivers, junior faculty, and specific disciplines.

We found through the free-text responses that the survey results are limited in their ability to quantify the impact on the faculty as a whole as well as specific subsets of faculty. Several respondents noted that we did not collect information on gender or parental/caregiver status, which may have helped to identify groups of faculty who had more adverse experiences than others. We also noted that the response rates were relatively low, between 10% and 16% depending on the division; a larger response rate would certainly lead to more robust conclusions.

Nevertheless, with over 100 responses to work with, a number of strong messages were clear. One clear message that should inform present and future policy is that the impacts of the

pandemic were not felt equally across campus, with some faculty experiencing little or no impact on their work while others had their research careers upended. Another clear message is that mitigating the setbacks from the pandemic is, in many cases, not an intractable problem, and can sometimes be accomplished with relatively modest resources. Taken together, these messages, along with the detailed findings above, inform recommendations for how the campus can respond to the current pandemic, as well as future disruptions.

Recommendations

We group our recommendations for this campus into two categories: those concerning the COVID-19 pandemic, and those that look ahead to future long-term disruptions in campus operations.

Mitigating the Effects of COVID-19 on Faculty Research

When faculty were asked directly about how the impact of the pandemic on their research might best be mitigated, teaching and service release along with bridge funding for ongoing research received overwhelming support. Other forms of bridge funding, such as GSR fellowships and travel funding, were also noted as possible mitigations.

While the pandemic may be in the past for many faculty, others are still heavily impacted. We recommend the creation of an application-based program for COVID-19 relief grants in the range of $10,000 to $20,000. Such a program would still have a significant positive impact on faculty research. In addition, we recommend a similar program for teaching and/or service release.

Our campus offered the ability to place a hold on the tenure clock for non-tenured faculty, and many survey respondents noted the importance of that program for their own files. We recommend the campus continue to use tenure holds as one part of a portfolio of mitigation measures.

Another popular mitigation is the consideration of the impacts of the pandemic on faculty research in personnel actions. Many faculty emphasized the importance of this in their responses, and COR was reassured to hear repeated and strong statements from CAP and the CP/EVC that faculty should include a COVID impact statement as part of their files. We recommend that this practice continue for at least the next several years, as the impacts of the pandemic on research output can take several years to be felt. As one survey respondent noted

in Spring 2022, "*my 'gap' in publications will come in about 1-2 years from now*," implying effects that may still be seen in personnel actions through 2026 and beyond.

Mitigating Future Disruptions to Campus Operations

The recommended mitigations listed above for the ongoing pandemic are also the first set of recommendations for mitigating the effects of future emergencies on faculty research. Application-based programs for teaching release and bridge funds would likely have a substantial positive effect in maintaining faculty research during a major disruption, and allow the campus to target relief to those who need it most. Tenure holds and special consideration in personnel actions will also be important parts of a comprehensive mitigation strategy.

The survey responses also reinforced the message that not all faculty were affected equally by the pandemic, so a one-size-fits-all approach is unlikely to be the right way to equitably support a diverse faculty population. We recommend that the campus clearly articulate its priorities when it comes to future funded mitigation efforts, even if funding levels and specific actions necessarily need to be defined later. A good example of a program with clear priorities was the COVID-Related Caregiver Modified Duties (CCMD) program in 2021, in which faculty who had substantial caregiving responsibilities during the pandemic could apply for release from teaching and/or service. Other structured programs might support junior faculty, or faculty who live in areas most affected by the cause of the disruption.

We recommend that the administration prepares strategies to offer campus services, like library and lab access, in ways that mitigate the impact of public health emergencies on faculty, students, and staff.

Finally, we recommend that the UCSC Office of Research prepare guidelines for how human subjects research can proceed during future disruptions, and especially during pandemics.

Conclusion

The COVID Impact Survey conducted by the UCSC Committee on Research in Spring 2022 offers a new window into the challenges faced by faculty during and after campus closures during the COVID-19 pandemic. Our campus has taken many steps to mitigate the impact of the pandemic on the campus community, but more can be done to help individual faculty who experienced a broad range of setbacks during the pandemic. We hope that the findings and recommendations provided in this document will clarify possible paths forward for remediating

the adverse effects of COVID-19 on faculty research, and for making our campus more resilient to future disruptions to campus operations.

Appendix: Survey Questions

1. Name (optional)
2. Division
3. Check the group with which you most closely identify:
4. Has the pandemic significantly affected your research with respect to data/information acquisition?
5. Has the pandemic significantly affected your research with respect to interactions with colleagues, students, post-docs?
6. Has the pandemic significantly affected your research with respect to travel for research?
7. Has the pandemic significantly impeded your ability to write or create?
8. Has the pandemic significantly impeded your ability to publish/perform/exhibit?
9. Feel free to add any comments related to the questions above.
10. Outside of travel, which factors have significantly impacted your research progress? (Check all that apply)
11. Were there additional demands on teaching that disproportionately impacted your research productivity
12. Were there additional demands on service that disproportionately impacted your research productivity?
13. Have your graduate students experienced setbacks that have caused delays to their degree milestones?
14. Did you support graduate students, post-docs, undergraduates, or staff from your grants who were unable to work during campus closures?
15. Feel free to add any comments related to the questions above.
16. Are you concerned about the long-term impacts of the pandemic on your research career?
17. If possible, please estimate the financial impact of the pandemic on your research
18. Do you have any feedback about what the campus could have done differently to mitigate the impacts of the pandemic on research?
19. What can be done now to make up for some of your losses? (For example: bridge funding, service or teaching release)

20. The pandemic may have had some positive impacts on your research productivity. If so, please explain.

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (CRJE) met two times during the fall and winter quarters, and once during the spring quarter in 2022-23. This report summarizes the Committee's work during the year.

I.   Guidance on Divisional Senate Bylaws and Regulations

Systemwide Senate Bylaw 20.5.B Challenge
The Committee reviewed a request related to Senate bylaw (SB) 20.5, Santa Cruz bylaw (SCB) 13.18.9, and SCB 13.17.6.

The Committee confirmed that SB 20.5 prevents redelegation of authority vested in a Senate Committee, and that SCB 13.18.9 allows the Committee on Educational Policy (CEP) routine administrative delegation of decisions on academic policies only to the Admissions Director, University Registrar, and College Provosts. SCB 13.17.6 offers similar language for the Committee on Courses of Instruction (CCI).

The dual limitations - over both the type of decisions that may be delegated and the bodies to which they may be delegated - suggests that the intended scope and understanding of "routine administrative" decisions is related to procedural decisions (e.g. course enrollment), and not substantive academic policy decisions (e.g. whether a syllabus is robust and suitable for online instruction). Such academic decisions are not routine decisions, and in fact they are rather extraordinary (and never administrative). Further, even if CEP had the authority to delegate decisions over such issues (which it does not), it could only delegate them to the Admissions Director, the University Registrar, and College Provosts.

Finally, the Committee confirmed that the authority to approve courses is part of the core authority of the Academic Senate (Regent Bylaw 40.1).

For all the above reasons, the Committee found that CEP lacks the authority to delegate to course-sponsoring agencies the decision of whether to offer any of their courses in Summer 2023 through remote instruction without prior CCI approval. Further, such CCI approval requires following established CEP and CCI policies regarding online/hybrid courses. Following pronouncements and actions by the university in a variety of venues, the campus has returned to operating largely according to pre-pandemic policies. The Committee thus could not glean any reason to grant these extraordinary powers to course-sponsoring agencies.

II.   Comments on Senate and Campus Policy and Process

A. Comments on Policies Concerning Non-Registered Organized Research Units
The Committee on Rules, Jurisdiction, and Elections (CRJE) reviewed a query regarding rules, policies, and regulations that focus on non-Organized Research Units (non-ORU).

CRJE discussed this issue and, after reviewing both systemwide and divisional relevant documents, had the following to share. UC Santa Cruz campus policies, rules, and regulations make no reference to non-Organized Research Units. At the UC level, the Committee identified three documents which mention the item: Policy UC-RG-00-0156 (December 1999); "Compendium: Universitywide Review Processes for Academic Programs, Academic Units, & Research Units (September 2014)," Section V (Research Units); and the current "UC Institutional Research and Academic Planning," Section V (Research Units).

The wording of the three documents is effectively identical:

> *Non-ORU Center: The term Center may be used for research units not formally constituted as ORUs upon approval by the Chancellor after consultation with the divisional Academic Senate. Before approval is granted for a Center that is not an ORU, the campus may stipulate terms and conditions such as a process for appropriate periodic review, including administration, programs, and budget; appointment of a director and advisory committee; an appropriate campus reporting relationship; and progress reports. (Compendium, Part V)*

Thus, non-ORUs require approval by the Chancellor after consultation with the UCSC Academic Senate. There are no rules on how the directors or governing body of a non-ORU are appointed/reappointed/removed/replaced.

In general, the Committee noted the advantages that the existing language provides for the creation of flexible and nimble research organizations. Indeed, the Committee suggested that it might be helpful to consider research organizations as falling into three-tiers:

a) ORUs and MRUs, which have the highest level of requirements and regulations;
b) non-ORU centers, which are not subject to all the regulations pertaining to ORUs but still are covered by the above policies and require Chancellor approval;
c) informal research groups (including the typical research lab/group directed by a single PI), which are not "an academic unit the University has established to provide a supportive infrastructure for interdisciplinary research" (Compendium, Part V) and hence are not covered by the policies listed above regarding ORUs, MRUs, or non-ORU centers.

The Committee also suggested that if the University wishes to establish more non-ORUs, it might be useful to have a catalog and policies specifically dedicated to such non-ORUs on campus. A list of such precedents and related practices would:

a) assist in ensuring an equitable distribution of resources across units and over time;
b) increase clarity and transparency;
c) contribute to documenting the campus' history;
d) provide guidance for faculty interested in developing a non-ORU.

B. Change of Duty Station Requests

During the winter quarter, CRJE provided an unofficial interpretation of a campus administrative policy. Specifically, CRJE discussed the issue of a dean's authority to

decide their own criteria for granting permission to do field research during a given quarter instead of teaching, and if there is a requirement that there must be proof that the research cannot be performed during the summer.

A request for leave with pay to conduct fieldwork for a period under 30 days figures under a "change of duty station" request. According to subsection 902.000 of the Campus Academic Personnel Manual (CAPM), during a change of duty station "the faculty member is not relieved of teaching, research, or service duties, but carries out these responsibilities at a different location." Please note that "remote work" includes fieldwork.

The passages relevant to the query states that changes of duty station "must have some time aspect; in other words, the material to be studied is only available at certain periods of the year, or the facilities to be employed are only available at certain times." In changes of duty station, further, "a request from the faculty member must be submitted to the chair at least 45 days in advance outlining the proposed activity. The chair shall review the request and forward a recommendation to the dean. In cases where the change of location is for 30 days or less, the dean has authority for approval."

Thus, according to CAPM 902.000, the Committee offered that:

a) There are no *a priori* limits to the dean's criteria; in other words, the dean has full authority for approval;
b) The regulation specifically states that such requests can be denied if the research in question can be conducted during the summer.

III.   Divisional and Systemwide Reviews

In addition to the items listed above, CRJE provided comment on the following requests for review.

Divisional
- Transfer of CHES to the Division of Student Affairs and Success

Systemwide
- Proposed Presidential Policy – Clery Act Policy
- Proposed Presidential Policy on Anti-Discrimination
- Proposed Conforming Amendments to Senate Regulations on Admission
- Proposed Presidential Policy BFB-BUS-43 - Purchases of Goods and Services; Supply Chain Management
- Presidential Policy on Developing and Maintaining Presidential Policies

IV.   Updates of the Santa Cruz Division Manual

The following updates were made for the 2023-24 manual of the Santa Cruz Division. There are two classes of changes.

Changes due to divisional legislation
- Santa Cruz Regulation 6.1.2
- Santa Cruz Regulation 9.1.6

- Santa Cruz Bylaw 13.14 et seq.
- Santa Cruz Bylaw 13.12

Conforming changes
- Santa Cruz Bylaw 13.25.3
- Santa Cruz Bylaw 14.1

V.   Elections and Ballots

Committee on Committees Elections
CRJE reviewed COC nomination petitions, wherein there were four (4) candidates for the four
(4) open positions. SCB 11.4 specifies that "If the number of nominees is equal to the number of
places to be filled, all the nominees will be declared elected." CRJE certified the two members as
elected to COC.

Respectfully submitted,

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Audun Dahl
Jennifer Horne
Maziar Toosarvandani
Martha Zúñiga
Eleonora Pasotti, *Chair*

August 31, 2023

COMMITTEE ON TEACHING
Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met remotely approximately every other week throughout the academic year to conduct business regarding their charge of fostering and promoting effective teaching. COT continued ongoing activities including the implementation of the Student Experience of Teaching surveys (SETs), communicating with faculty about best practices for increasing SET response rates, and soliciting nominations for and selecting recipients of both the annual student-nominated Excellence in Teaching Award and peer-nominated Distinguished Teaching Award (DTA). We outline the committee's major activities below.

I.   SETs

Supporting the effective use of SETs continued to be a significant part of COT's work this year. Two principles guided COT's work on SETs: helping instructors gather meaningful information about students' experiences in their classes with a goal of refining and improving instruction, and providing the Committee on Academic Personnel (CAP) valuable, equitable data that can help students' voices inform the evaluation of faculty's teaching as part of personnel reviews.

On June 17, 2022, the Committee on Academic Personnel (CAP) sent correspondence to COT regarding additional questions for old teaching tables and SET anonymity thresholds. After multiple years of modifications to the teaching table (both to reflect revisions to the SETs to reduce bias, and to respond to the disruptions of emergency shifts to remote instruction), in 2023 both CAP and COT sought to avoid further changes to the teaching table and focused instead on other questions around effective implementation, including enabling staff to generate teaching tables and investigating the possibility of establishing an anonymity threshold.

COT and CAP had issued a communication calling for the return to the standard SET for 2021-22, but it became apparent in fall 2022 that the COVID-19 SET survey was still being used (see Appendix 1). This meant that the anticipated transition away from the single-question teaching table for personnel reviews (used during emergency remote instruction) and back to the three-question teaching table proposed with the standard revised SET did not take place. Therefore, the primary objective was to work with relevant parties (Information Technology Services, CAP, Associate Vice Provost for Teaching and Learning Jody Greene, and Provost for Academic Affairs Herbert Lee) to coordinate the implementation of the revised standard SET in fall 2022 and going forward. We worked closely with Leslie Kern (Manager, Learning and Instructional Tools) and her team to ensure implementation; their diligent and responsive work meant that the standard SET was successfully implemented in fall 2022. As part of this process, we collaborated with ITS to revise the instruction language in SETs to clarify for students when and how they will provide separate feedback regarding their TAs. We anticipate that this will help ensure TAs get meaningful feedback through the review process.

Leslie Kern and her team were invaluable collaborators this year. In trying to understand the communication gaps that led to the delayed implementation of the revised standard SET, it seems

that changes in ITS personnel and responsibilities, along with the extremely dynamic circumstances around instructional adaptations during multiple crises in recent years, played a part in creating gaps. In order to promote greater continuity and effective collaboration between ITS going forward (given that both ITS and COT have frequent changes in personnel), COT analyst Rebecca Hurdis created shared files and communication practices that we think will help ensure more consistent communication going forward. We are grateful to ITS and CAP for their responsiveness in getting these changes implemented and look forward to our ongoing work with them to continue to support SETs.

As part of the process of implementing the revised standard SET, it came to AVPTL Greene and COT's attention that some departments and colleges were not using the standard SETs. AVPTL Greene and COT reached out to departments and colleges using older or non-standard SETs to learn why and to explain the goal of reducing bias through the implementation of the revised SET. COT, ITS, and AVPTL Greene worked with departments and agencies to find ways to address needs around modifications of SETs; the overall outcome was more uniform use of the revised SETs. In this process it also came to light that Committee on Courses of Instruction's (CCI)forms for recruiting GSIs requested data that are no longer generated using the revised standard SET. COT reached out to the Committee on Courses of Instruction (CCI) to propose a revision of the form to reflect the current vocabulary and practices of the SET. These were small, yet surprisingly time-consuming issues; nevertheless, COT made progress toward the full implementation of the revised standard SET and helped develop communication practices that we think will support greater consistency of practice.

A. Graduate Student Survey

In fall 2022, COT returned to the previous year's discussion of the possible establishment of anonymity thresholds for SETs given concerns about possible retaliation against students (particularly graduate students) when anonymity cannot be ensured. In spring 2022, COT created an anonymous survey that was distributed through the GSA regarding SETs and issues of anonymity. Theresa Hice Johnson (graduate student representative in 2021-22) took the lead on developing and implementing the survey. Daniel Rodriguez Ramirez (graduate student representative in 2022-23) undertook a careful analysis of the data generated through the survey and guided conversations around what it revealed. Although a small number of students expressed concerns about retaliation, it became clear that there were larger concerns regarding how graduate students can provide feedback to instructors about graduate courses and how to cultivate effective advising relationships. In the winter, Kendra Dority (Associate Director for Graduate Programs in the Center for Innovative Teaching and Learning CITL) visited COT and participated in a smaller COT working group to help identify possible future steps and potential collaborators across the Senate and the university to think about next steps. The scope of the issues identified exceed COT's charge but we think we can help coordinate and contribute to efforts to respond to these concerns. We're grateful to our outstanding grad reps for their work in surfacing graduate students' experiences and concerns and helping develop ways to address them. The chairs and analysts for COT and Graduate Council (GC) met in April 2023 to identify areas of possible collaboration to improve graduate mentoring and feedback on graduate courses. Given the attention to these issues in the Implementation Task Force (ITF) report and the strategic planning reports shared this year, there are opportunities for

collaboration and forward movement on these concerns next year. Identifying discrete action proposals and the people from across campus who would be appropriate collaborators will be key to finding ways to take action (Appendix II).

B. Custom Questions Implementation: Question Bank

In winter quarter, COT worked with ITS and AVPTL Greene to plan a pilot program to enable instructors to add custom questions to their SETs. Last year, COT developed a question bank from which instructors could choose custom questions. This year, COT, AVPTL Greene, and Anna Sher from Institutional Research, Assessment and Policies Studies (IRAPS) reviewed and revised the question bank to provide instructors with questions we hope will elicit useful information while minimizing bias. COT also worked with ITS to develop an option for instructors to add their own questions. In spring 2023, ITS ran a pilot on "question personalization" (formerly known as "custom questions," but changed for consistency with the language instructors will see in Blue, the assessment software used to administer SETs). As part of the pilot, ITS will collect data on participants' experiences via survey, which COT and ITS will review to help guide fall 2023 implementation and the communication strategy which will support it. During the pilot, some instructors were interested in writing their own questions with scaled answers, as all instructor-written questions were designed to have narrative, open answered questions to avoid multiple scales that may add confusion. In very large classes, however, scaled custom questions may be valuable. During the pilot, ITS helped implement a scaled, instructor-developed question. Working with ITS to understand how this issue might be addressed in the campus-wide rollout in fall 2023 will likely smooth communication. There may also be questions about modifying the question bank itself in order to support implementation. Juliet Wilhelm and Leslie Kern of ITS were very constructive and collaborative in the process of implementing this pilot and COT appreciates their work and expertise.

A consultation with Juliet Wilhelm and Leslie Kern of ITS along with representatives from the Teaching and Learning Center (TLC) early in the 2023 fall quarter will be helpful in getting the committee oriented to this project and for developing communication to support the rollout in fall quarter. Reviewing the results of the post-pilot surveys for guidance on possible modifications will help support the rollout.

C. Teaching Table

In December, COT, CAP, and ITS sent a request to divisions to help identify department managers who could consult on developing training related to the preparation on files for personnel review. Two years ago, COT and CAP developed a revised SET form to address concerns about bias in SET responses and to provide consistent data for personnel review. It has now been implemented in Blue, the system used to administer SETs and generate tables for personnel review. This year ITS has been pulling the teaching tables on request, and many managers apparently do this work on their own. In future years we would like personnel managers to be able to do this themselves; indeed, ensuring that this process could be automated was part of the reason for selecting Blue as essential to avoiding having the expanded teaching tables not add excessive labor to department managers' work in preparing personnel files. In December 2022, COT identified appropriate administrative contacts across divisions in order to consult about what the training for pulling teaching

tables should entail. That meeting revealed considerable complexity in generating tables that draw from multiple data systems, as specific reviews cover multiple years. ITS has been exploring multiple strategies for getting departments what they need, including pulling data in rsv files. COT and ITS plan to offer training to department managers in summer 2023 in advance of the reviews that will be carried out in 2023-24. ITS has indicated that they can continue to help department administrators generate teaching tables. In early July 2023, ITS distributed a communication to department managers about the process of generating teaching tables. CAP co-chair Maureen Callanan has been tracking this process and notes that as of summer 2023 there are still some clear challenges in this process. COT, CAP, and ITS will likely need to continue collaborating with Blue to help push toward the kind of automation that was the expectation when Blue was selected as the vendor. Given that VPAA Lee will be the executive sponsor for SETs going forward, his office, in consultation with Academic Personnel Office (APO), COT, and CAP, should consult on the advisability of sending out a joint communication to departments regarding changes to the teaching table and related changes to the SETs.

D. Online Course SETs

AVPTL Jody Greene and Director of Online Education (OE) Michael Tassio reached out about the possibility of creating a modified SET to be used in online courses with the goals of collecting information about particular aspects of instruction in online modalities and gathering data about student experiences related to modality. Working with Leslie Kern and Juliet Wilhelm, we were able to resolve concerns about how changing the order of questions in a modified SET might change teaching tables. In future, we will be able to generate consistent tables regardless of the enumeration of questions. IRAPS Director of Research and Assessment Studies, Anna Sher reviewed the questions and supported the change. Director Sher also and added the suggestion that the questions be used for all SETs in reflection of the range of online tools being employed in in-person courses. There is an additional complexity in identifying "online courses" and distinguishing among courses that have received formal CCI approval vs. provisional or emergency approvals. Juliet Wilhelm (ITS) reached out to the registrar and discovered that the process of identifying different kinds of online courses will be complex. Consequently, COT determined that it was not advisable to try to roll this out in fall 2023. Instead, COT will take this up again in 2023-24 in order to have sufficient lead time for an effective implementation. AVPTL Greene and Director Tassio had some interest in rolling it out to apply just to asynchronous courses, but COT felt this was a different project and wanted more time to investigate. COT plans to work with VPAA Lee (executive sponsor of SETs), Michael Tassio (TLC leadership with expertise in online education), the Office of the Registrar, and Juliet Wilhelm and Leslie Kern of ITS next year. As part of larger discussions about modality and curriculum underway across the university, there may be clarification of terms and policies around modalities and course approval in 2023-24. COT may want to consult with other committees like CEP and CCI who may have clarification on definitions, etc.

Working with the Office of the Registrar and perhaps others (e.g., people in TLC who have worked with faculty in developing approved online courses) may help distinguish among kinds of online courses. COT, ITS, and VPAA Lee (who will be the administrative sponsor of the SETs in 2023-24) will work to implement the new SET in fall 2023.

E. **Student Response Rates on SETs**
Collaboration with ITS and Routinized Messaging
COT has continued to monitor SET return rates. These rates continue to decline from previous years. We speculate that the graduate student strike in fall 2022 may have depressed response rates in some courses. The committee noted that there are variations across divisions regarding response rates; it may be helpful to conduct some targeted outreach to investigate whether particular departments would welcome support on ideas for raising response rates. COT will continue to work with the Executive Sponsor of SETs to determine how best to communicate to instructors and students to complete their SETs.[1]

Table 1: SET Return Rates AY 2022-23

TERM	Arts	Hum	PBSci	BSOE	Soc Sci	Colleges	Overall
Fall 2022							
	26.52	35.58	36.56	47.51	38.46	38.56	37.52
Winter 2023							
	29.36	42.64	37.06	47.01	48.46	34.53	41.04
Spring 2023							
	27.96	39.38	33.32	38.98	40.80	34.583	36.23

II.   Teaching Awards

With the benefit of ongoing support from the Office of the Chancellor, COT was able to carry on administering teaching awards and organizing events to celebrate the recipients in service of the larger goal of promoting appreciation of outstanding teaching on campus. We were delighted to hold an in-person event for the Distinguished Teaching Award for the first time. We were especially pleased to be able to work with CITL in coordinating the DTA lecture to be part of their first ever teaching week. We continued the practice of completing the review and selection of the 'Distinguished' award(s) in winter quarter and the 'Excellence' award(s) in Spring. We recommended this approach to help distribute the workload in the future.

A. **Excellence in Teaching Awards**
COT is charged with the administrative oversight of the Excellence in Teaching Awards (ETA). In adjudicating these awards, we look for evidence that the nominee has thought deeply about teaching and learning and effectively applies that thinking in their teaching. ETA winners are based on student nominations.[2] This year, as in past years, the committee

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[1] With an overall rate of 47.2% in fall 2018 to 38.2% in spring 2019, and then, unsurprisingly given the circumstances of shelter-in-place conditions and remote instruction, they declined further during 2019-20 with a low of 19.9% in winter 2020. In 2021-22, the response rates dropped slightly in fall and winter but increased overall in spring.

[2] In 2019-20, in an effort to reduce the workload on strained faculty and staff, COT eliminated the step of requesting statements of teaching from nominees and letters of support from department chairs or other faculty members.

discussed best approaches for reviewing and evaluating the nominations in identifying recipients that promote diversity, equity, and inclusion (DEI). In 2022-23, COT evaluated nominations by 463 students, for 294 different instructors. We see this as evidence of UC Santa Cruz faculty and instructors' extraordinarily strong commitment to students and their learning. In the last couple of years, COT noted that the number of nominations had decreased, but this year, we saw an overall increase. Faculty recipients each received a $1,000 cash award. Guido Bordignon received the Ron Ruby award, funded separately by the PBSci division, with a $2,000 cash award.[3]

2022-23 Excellence in Teaching Award Recipients (in alphabetical order):
- Caitlin Binder, Continuing Lecturer, Chemistry and Biochemistry
- Guido Bordignon, Associate Teaching Professor, Molecular, Cell, and Developmental Biology
- Saskias Casanova, Assistant Professor, Psychology
- Lindsay Knisely, Continuing Lecturer, Writing Program
- Aida Mukharesh, Graduate Student Instructor, Sociology
- Kailani Polzack, Assistant Professor, History of Art and Visual Culture
- Andrew Quinn, Assistant Professor, Computer Science and Engineering
- Emily Schach, Lecturer, Anthropology

To celebrate this year's teaching awards recipients, COT and the Office of the Chancellor organized a lunch at the Cowell Provost House on June 9th to distribute the physical awards and recognize the winners. COT invited the divisional deans and department chairs of individual recipients as well. Awardees were invited to bring one guest. It was somewhat difficult to predict the size of the event since there were few RSVPs, but we ended up with around 35-40, and it was a good size. The ceremony was brief and the lunch provided a nice opportunity for people to meet and visit. Organizing these events requires a lot of organization and labor by the Senate staff, particularly the COT analyst, but the availability of campus catering this year made this event much easier to coordinate. Announcements about the recipients through *Tuesday Newsday* are important to help spread awareness of the awards and the recipients.

B. Distinguished Teaching Award
This year, COT invited nominations for the fourth annual Distinguished Teaching Award, created in 2019-20. In contrast to the student-nominated Excellence in Teaching Award, this is a campus-wide faculty-nominated award. This year, the committee decided to open the nomination call to include instructors, rather than solely chairs, to nominate their colleagues. Continuing from previous years, the committee discussed ways to make diversity, equity, and inclusion (DEI) more central to the process of selecting winners. It was stated in the call, "The Distinguished Teaching Award is an opportunity to acknowledge the pedagogical contributions of our colleagues that include but also go beyond any one particular course. Is there someone in your department or unit that should

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[3] The PBSci Division notified COT in April 2020 that they were increasing the Ron Ruby award from $750 to $2,000. The ETA awards were increased from $400 to $1,000 in 2021-22 following the Chancellor's commitment to continued financial support of the awards going forward.

be recognized for having contributed to a pedagogical culture that has made a difference in your department, program, or college? Is there an instructor who has made significant contributions to educational equity in your department and the university?" COT updated the form to begin addressing some of these concerns. Next year, COT plans to again review the language of the call and the form to help course sponsoring organizations best understand how to prepare nominations.

This year, we used the same Google form that was established in 2021-22, which was designed to reduce workload for nominators and the committee by keeping the nominations brief:

- *Please tell us how your colleague has contributed to a transformative change in the culture of teaching on campus beyond their own classroom.*
- *How has your colleague contributed to educational equity within your department and across campus?*

There was an additional option to provide more comments if necessary. This year we also modified the call to invite any instructor (not just chairs) to nominate a colleague. The hope was that this might diversify the nominations, though there was some concern that it would perhaps result in too many nominations. The committee received 18 nominations from outstanding faculty (including lecturers and ladder rank faculty) across four divisions. Every COT member read all of the submitted nominations, created a short list and met to discuss the candidates and make the difficult decision. COT members were delighted to choose Alegra Eroy-Reveles, Associate Professor of Chemistry and Biochemistry, as this year's Distinguished Teaching Award winner.

COT, in conjunction with Teaching Week, held their first in-person event on Wednesday, April 20, 2023 from 12:00pm to 1:30pm, which was livestreamed via zoom.[4] With introductory remarks by Campus Provost and Executive Vice Chancellor Kletzer, Nick Mitchell delivered a talk entitled *Reflections on Teaching as Labor, as Challenge, as Joy*. In order to maximize accessibility, the event was held in person with sign translation and also livestreamed. A recording, along with an earlier recording of prior DTF winners' presentations, is available on COT's website. The attendance online in April was small and in-person was also modest, but engaged. The complexity of coordinating these different formats created considerable labor for the staff and may warrant future discussion about managing in the future. Early communication with the nominee was essential to scheduling and planning. COT has worked with each recipient to determine the best format for their presentation (whether a conversation, a formal talk, or some other format). As the award becomes more established, a pattern of practice will emerge.

It has been the practice for the analyst to send correspondence to all nominees sharing the good news that they were nominated by their peers. As the award becomes more established and nominations increase, it may no longer be feasible to do this. One alternative might be to create an option in a google form that would allow a nomination to

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[4] For a recording to the event, go here: https://youtu.be/_jcXh_FNuGI

be automatically shared with the nominee. This approach is used for the [outstanding staff award nominations](#).

III.   Other Issues

A. COT members additionally served as representatives on a variety of campus committees. These include subcommittees within ITS as well as committees within other campus units. We list below the main committees to which COT members contributed this year, and briefly describe those contributions.

- Canvas Steering Committee: This committee did not convene during this academic year.
- SETs Committee: The chair of COT regularly attended (approximately twice a quarter) meetings with ITS and AVPTL Greene to discuss and track changes to SETs, implementation, and other issues that arise.
- Technology Enhanced Teaching and Learning Advisory Committee (TETL) TETL is charged with bringing together staff and faculty to review and consider instructional technologies explicitly in the context of working towards campus priorities, making recommendations to the executive sponsors while guiding the campus in making strategic and sustainable investments in instructional technologies. TETL met in March and May 2023 to begin framing the scope of the committee's pending work.
- In the late fall quarter, UC Santa Cruz Representative Katharin Peter for UC Open Educational Resources (OER) Task Force consulted with COT.
- Summer Session Data Request to VPDUEGE Hughey: COT sought and received information from VPDUEGE Hughey's office regarding student outcomes and success measures in summer sessions, particularly in relation to the impact on outcomes for students taking high credit loads. The information was suggestive but also somewhat difficult to parse. Further review and consultation may be helpful in future as the role of summer session and online courses within it continues to evolve.

B. COT, along with other Senate committees, reviewed and wrote responses to proposed divisional and systemwide policies or revisions, including the following:

Systemwide:
- Systemwide Review of Draft Presidential Policy - Abusive Conduct in the Workplace (October 2022)
- Systemwide Senate Regulation 630 - Senior Residency (November 2022)
- Systemwide Proposed Senate Regulation SR 479 - CALGETC (November 2022)
- Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees (June 2023)

Divisional:
- Request for Senate Consultation on ITS Annual Survey (February 2023)
- WASC Theme Proposal Draft (March 2023)
- Review of the Leading the Change Reports (June 2023)

Tracking requests for feedback and preparing correspondence to convey that feedback, while not onerous, does constitute a notable part of the committee's work over the course of the year.

VI.   Carry Forward

- **SETS:**
  - Coordinate with new SETs Executive Sponsor VPAA Lee and CAP co-chairs regarding implementation of SETs and communication with instructors, departments, and CSAs regarding best uses and practices.
  - Review the data from the spring 2023 Question Personalization pilot.
  - Communication to campus regarding the rollout of question personalization options for instructors.
  - Continued collaboration with Graduate Council in developing a SET for graduate courses.
  - Continued collaboration with TLC in developing a SET for online courses.
  - Continue to communicate with faculty and department chairs about the changes to SETs and best practices for encouraging increased response rates.
  - Outreach to the newly configured Teaching and Learning Center to talk about best strategies for communication and consultation.

- **Awards Events**:

  - Review the events organized in 2022-23 and evaluate what approach makes most sense going forward. (e.g., How many events to have? What kinds of events to have? When to schedule?)
  - Committee to discuss if the timeline of events should be modified (e.g., possibly shift DTA talk to the Fall).
  - Consult with the TLC regarding the future of Teaching Week (i.e., Will it continue in future years? If so, how can COT and TLC collaborate?)
  - Distinguished Teaching Award: Early outreach to recipient to discuss the format of the event. Determine with the TLC if Teaching Week is planned for the 2023-24 academic year and if COT will participate.

- **Consultations:**
  - Explore how COT can best work with ITS to support instructional and learning technologies.
  - Collaborate with the DRC Director regarding faculty responsibilities, effective communication with diverse teaching staff, and a potential revised handbook. This may also be an area where TLC could collaborate.
  - Discuss with Graduate Council possible areas of collaboration, including the possibility of a revised graduate course SET and ways to support effective mentoring of graduate students.

Thank you to all the members of COT for their contributions of time, energy, and reflection this year. Our work was greatly enriched by having perspectives from students and instructors from across the university. The work of the committee simply could not happen without the expertise and patient guidance of our analyst, Rebecca Hurdis. The committee benefited enormously not only from her extraordinary organization skills, but also from her institutional memory, foresightedness, and remarkable goodwill in the face of another unpredictable year.

Respectfully Submitted,

COMMITTEE ON TEACHING
Noriko Aso
Robin Dunkin   Hazel Uber Kellog, SUA Representative *(F)*
Soleste Hilberg   Camnhi Hoang, SUA Representative
Albert Narath *(F, S)*   Daniel Rodriguez Ramirez, GSA Representative
Catherine Jones, *Chair*

August 31, 2023

Appendix I. COT to CAP re SETs History

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 15, 2023

Stefano Profumo, Chair
Committee on Academic Personnel

Re: History of Recent Changes to the SET and Teaching Table

Dear Stefano,

As Senate committee chairs and members cycle off, and as we move past COVID-19
emergency disruptions, the Committee on Teaching (COT) has tried to capture the changes to
Student Experience of Teaching (SET) has undergone in recent years with a focus on their
impact on the teaching tables used in personnel reviews. COT and the Committee on Personnel
(CAP) developed modifications to the SET in coordination with IRAPS and Associate Vice
Provost for Teaching and Learning (AVPTL) Jody Greene. These changes (some undertaken
to improve the data generated with the SETs, others to address the switch to emergency remote
instruction during the COVID-19 pandemic) will affect the appearance of the teaching tables
for several years. COT has collected related correspondence in order to provide a timeline of
those changes that we hope will be helpful for future committee members and our collaborators
in ITS, APO, and other relevant administrative offices.

Timeline of recent changes and related correspondence:[1]

- 2019: CAP and COT determined to plan for implementing three questions for the
  teaching table once we had a system in place that could generate tables automatically:
    - Question 5: The instructor used class time effectively to support my learning.
    - Question 6: The instructor communicated and explained concepts clearly.
    - Question 12: Lectures and other instructor-led presentations were well
      structured and had clear goals.

- 2020: In the spring, COT developed a modified SET in response to the move to
  emergency remote during the COVID pandemic.

- 2020: October 23, 2020, COT and CAP sent out a joint correspondence informing
  campus that until the campus had the capacity to automatically generate teaching tables
  based on three questions, the teaching tables would shift from tracking the "overall
  teaching effectiveness" item to responses to a specific question. It stated:
    - Teaching tables will now use item #6: "The instructor communicated and
      explained concepts effectively" instead of "overall teaching effectiveness." This
      means that for 2020-21 personnel actions, the teaching table will consist of two
      parts: one through spring 2019 (with the overall teaching effectiveness
      question) and one for Fall 2019 through spring 2020 (with question #6).

- 2021: Following consultations with CAP, CITL and IRAPS, on July 14, 2021, COT
  sent correspondence to Herbie Lee, Vice Provost for Academic Affairs recommending

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[1] For additional historical context, please refer to COT and CAP's websites for past communication and annual
reports.

a slight revision to the language of the teaching table questions to be implemented in
fall 2021.:
- Question 5: The instructor used course time effectively to support my
  learning.
- Question 6: The instructor explained concepts in ways that supported my
  learning.
- Question 12: Lectures and other instructor-produced presentations (e.g., video-
  recorded lectures)

- 2022: COT learned that those changes had not been implemented and that instead
  teaching tables for 2021-2022 included only the unrevised question 6:
  - "The instructor communicated clearly and explained concepts effectively."

- 2022-23: ITS implemented the change to teaching tables with the three revised
  questions:
  - Question 5: The instructor used course time effectively to support my
    learning.
  - Question 6: The instructor explained concepts in ways that supported my
    learning.
  - Question 12: Lectures and other instructor-produced presentations (e.g., video-
    recorded lectures) were well structured and had clear goals.

Impact: These changes, which were designed to reduce bias in responses to SETs, improve
the data provided to CAP as part of personnel reviews, and to accommodate the instructional
disruptions of COVID, mean that the teaching tables will look different year-to-year.

- Teaching tables generated from SETs collected collected from summer 2018 to summer
  2019 included only one item: "overall effectiveness"

- Teaching tables generated from SETs collected between fall 2019 and summer 2022
  included only one item: responses to question 6: "The instructor communicated and
  explained concepts effectively"

- Teaching tables generated from SETs collected from fall 2022-present include three
  items: responses to
  - Question 5: The instructor used course time effectively to support my
    learning.
  - Question 6: The instructor explained concepts in ways that supported my
    learning.
  - Question 12: Lectures and other instructor-produced presentations (e.g., video-
    recorded lectures) were well structured and had clear goals.

During the 2023-2024 academic year, Leslie Kern and Juliet Wilhelm of ITS have been
working with Blue, the vendor used for administering the SETs, on the process for
automatically generating teaching tables for reviews. They have also undertaken outreach to
department managers in collaboration with COT in preparation for training to support staff in
this process in advance of the review cycle that will begin summer 2023. In the past, Senate
committees with responsibility for SETs have circulated correspondence regarding SETs to
senators and the executive sponsor of the SETs.

It would be helpful to clarify the best mechanisms for communication with department managers and chairs. It's likely best that ITS collaborate with COT, CAP, and the SETs executive sponsor in providing guidance and be the source of communication with departments given the likelihood that follow-up questions will end up directed to ITS.

Sincerely,

Catherine Jones, Chair
Committee on Teaching

cc: Maureen Callanan, incoming Co-Chair, Committee on Academic Personnel
        Susan Gillman, incoming Co-Chair, Committee on Academic Personnel
        Elisabeth Cameron, incoming Chair, Committee on Teaching
        Lori Kletzer, Campus Provost and Executive Vice Chancellor
        Herbert Lee, Vice Provost for Academic Affairs
        Jody Greene, Associate Vice Provost for Teaching & Learning
        Patty Gallagher, Chair, Academic Senate
        Matthew Mednick, Director, Academic Senate
        Leslie Kern, Manager, Learning and Instructional Tools, Information Technology Services
        Juliet Wilhelm, Instructional Technology Specialist, Information Technology Services
        Grace McClintock, Assistant Vice Provost for Academic Personnel
        Cris Imai, Academic Personnel Systems Manager, Academic Personnel Office
        Ibukun Bloom, Manager of Academic Advancement, Academic Personnel

Appendix II. COT to GC re Future Collaboration between COT and GC

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 29, 2023

Andrew Fisher, Chair
Graduate Council

Re: Future collaboration between COT and GC

Dear Andy,

Thank you for all your thoughtful and skillful work in support of graduation education on our campus. I am writing to follow up on our meeting in April 2023 where we discussed ideas about how COT and GC might collaborate in 2023-2024 to support more effective mechanisms for collecting feedback on graduate student courses and to encourage strong mentoring practices. I hope that there will be broader conversations about how to advance proposals on improving graduate education developed in the Implementation Task Force for Inclusive Excellence in Graduate Education Report (ITF Report) and strategic planning reports shared this year, and I imagine those conversations may well help identify more discrete goals and priorities. In the meantime, however, I wanted to capture some of our conversation that might be the basis for GC and COT identifying specific projects they may want to undertake in 2023-24.

- **Developing a SET for graduate courses**
  - GC and COT to collaborate on developing questions that would be more meaningful for graduate courses.
  - Moving toward implementation would require consultation with VPAA Herbie Lee (the executive sponsor for SETs), ITS (likely Leslie Kern and Juliet Wilhelm), TLC, IRAPS, and potentially CAP (given their use of SETs data in personnel reviews).

- **Advising:**
  - Building on the suggestions around implementing some of the proposals for strengthening mentoring provided in the ITF report p. 19.
  - Developing mechanisms to track mentoring and student success; training for advisors/departments.
  - Exploring using IRAPS external review questions as a way of gathering information on graduate student experiences.

Graduate representatives to COT have identified some additional objectives for improving graduate students' experiences, that COT and GC might also want to explore, including cultivating collaboration between grad students and faculty in developing and adapting courses. Kendra Dority in the TLC has been working on some of these issues and would be a good potential collaborator moving forward.

Thank you again for your work; I hope GC and COT will find ways to collaborate on these projects next year.

Sincerely,

Catherine A. Jones

Catherine Jones, Chair
Committee on Teaching

GRADUATE COUNCIL
Annual Report 2022-23

To the Academic Senate, Santa Cruz Division

Graduate Council (GC) exercised oversight of graduate programs, degrees, and courses in 2022-23, and worked to strengthen the graduate enterprise, including efforts to secure resources in support of students, and conduct fellowship review and reviews of numerous policies. Regular business included review of graduate program statements of proposals for new graduate degree and non-degree programs, participation in the external review for departments and programs, and participation on the systemwide Coordinating Committee on Graduate Affairs (CCGA). As it does annually, Council consulted extensively with the Vice Provost and Dean of Graduate Studies (VPDGS) and other Graduate Division colleagues on issues throughout the year, including an orientation on the "state of graduate education" for members at the start of the year, fellowship review, and the block allocation formula and procedures. A detailed summary of the Council's work in 2022-23 is provided below.

I.   **Graduate Council Engagement with Campus Strategic Planning Related to Graduate Education**

Building on the efforts of the 2020-21 Joint Senate-Administration Working Group on Graduate Education (JWG) and subsequent 2021-22 Implementation Task Force for Inclusive Excellence in Graduate Education (ITF), GC reviewed and responded to the ITF Final Report, completed in March 2023. GC discussed the report and consulted with the ITF Co-Chairs (and VPDGS Biehl) for a joint discussion.

At the May 24, 2023 Senate Meeting, GC Chair Fisher presented the *Graduate Council Statement of Support for Recommendations from the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF) Report.* GC noted that the "ITF report is a detailed and nuanced, data-driven analysis of student success and degree outcomes, and it describes multiple challenges UC Santa Cruz faces in developing and maintaining a world-class graduate enterprise. The report offers a roadmap to reimagine how graduate students and programs can thrive at UC Santa Cruz, an R1 institution with a proud history of innovation, creativity, and impact. The need is urgent, and requires significant and coordinated action…" GC supported the recommendations put forward in ITF Final Report and encouraged swift action.

II.   **Policy and Process Reviews, Changes, and Revisions**

During 2022-23, Graduate Council reviewed issues and requests broadly related to policy and process with impacts on graduate education, including the following:

A. *Delegation for Emergency Remote Instruction*
    The Committee on Educational Policy (CEP) and GC communicated to Course Sponsoring Agencies (CSAs) clarification of online course policy and review process under emergency conditions on November 9, 2022. The memo noted that "in 2020-22, the COVID-19 pandemic resulted in most UC Santa Cruz courses being taught in Remote modality. These 'Emergency Remote' courses were put online because of COVID-19 and were not subject to review by CCI, based on CEP and GC policies, and are not one of the three main online

course types… for which there are defined procedures for application. CEP and GC have no standing policy for approval of Emergency Remote courses on a routine basis, as these decisions are based on administrative, health, personnel, and other considerations beyond CEP and GC charges. There can be exceptions to policy, but these are evaluated case-by-case, given specific circumstances. In general, emergency course approval or delegation of instructional modality to programs occur outside the standard online course proposal process." CSAs were able to request Emergency Remote approval through an online form. GC approved one graduate course for emergency remote offering in summer 2023, the approval was for just the one quarter.

B. *Online Course Policy*

Graduate Council worked throughout the year with CEP and the Committee on Courses of Instruction (CCI) on requests related to online course policy. During winter quarter, the GC Chair reviewed a formal request for guidance from CCI. GC encouraged CCI to provide examples of successful online courses for instructors to review alongside the guide, noting that it may be useful for others to see responses in the context of a full proposal. The GC Chair also suggested expanding guidance on Academic Integrity for online courses.

On May 4, 2023, the GC and CEP Chairs provided clarification to CCI regarding Syllabus and Proctoring Guidelines for online course requests. The Chairs advised, "The primary benefit of submitting an equivalent, in-person syllabus for an online course is to help show that the online course meets UC quality requirements. Submitting an in-person syllabus may make sense particularly when there is a proposal to move an existing, successful, in-person course to online modality, or if proponents for a new, online course wish to have an option for teaching the course in person. However, this is not the only basis for making the case that the new course will be of high quality. Online-course applicants may wish to provide other information that demonstrates that a proposed, online course will meet UC quality standards, for example (but not limited to) by connecting proposed coursework to specific, recognized best practices in course design, active learning, assessment and feedback, and other areas (please see detailed recommendations posted or linked at the Teaching and Learning Center website, https://tlc.ucsc.edu/resources). In summary: an in-person syllabus is not required when proposing an online course."

In the same memo, GC and CEP chairs noted with regard to options for final exams for online classes, "As noted in earlier policy statements, proctoring during online, closed-book exams is permitted at UC Santa Cruz…It is often better to avoid the need for proctoring, when this is possible, by having open-book exams or using other means of assessment. But when a closed-book exam is used for an online course, if proctoring is needed, instructors are urged to choose the least invasive and most equitable approach that is available and practical. In summary: there is no prohibition of online proctoring of exams at UC Santa Cruz."

The CEP and GC chairs emphasized that "Neither of the above clarifications should be interpreted to indicate a change in CEP/GC policies with respect to development and delivery of online courses. Rather, these statements provide context and examples that are

intended to elucidate the purpose of relevant policies, and give instructors flexibility to develop and deliver high-quality courses that meet the needs of UC Santa Cruz students."

C. *Graduate Pass Grading*

There is ambiguity in the letter grade equivalence of an S rating since the introduction of +/- grading. GC had initial conversation about clarifying campus documentation, including the appropriate sections of the Senate Manual.

D. *Summer 2023 Curricular Planning Request*

On January 13, 2023, CEP, CCI, and GC responded to Vice Provost and Dean of Undergraduate Education (VPDUE) Hughey's request for summer 2023 modality approval. Whilst some CSAs and instructors will be in a position to create syllabi likely to receive permanent online approval by the January 31, 2023 deadline, GC held that no instructor should find it difficult to produce a syllabus that would warrant a provision approval for summer 2023 only. In addition, the committees "...do not recommend changing the mode once the class has been advertised and students have made scheduling decisions based on the advertised modality." The committees were especially concerned that "shifting modality after students have registered risks benefitting some while harming others."

E. *Leading the Change (Strategic Plan): Envisioning Graduate Education for the Future*

GC provided detailed comments and recommendations on the Leading the Change (LTC) draft, many of which were incorporated to the second stage review. Graduate Council reviewed the updated draft of Envisioning Graduate Education for the Future (EGEF), one of five sections in the LTC. GC made additional suggestions for revisions, including reorganization, to clarify several sections.

F. *"APU" Updates Fall 2022*

At its meeting of December 1, 2022, Graduate Council reviewed the revisions proposed by the Vice Provost for Academic Affairs (VPAA) to the campus Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change (APU) policy. The proposed changes included: (a) updated process and timeline for reviewing Professional Degree Supplemental Tuition (PDST) proposals, and (b) revised footnotes with updated hyperlinks to current policies and removed references to repealed Regents Standing Orders. GC agreed that changes will be helpful to emphasize the need for PDST proposals and updates to be submitted in time for Senate committees (Graduate Council and the Committee on Planning and Budget), to consider these materials in the academic year prior to that in which the materials are to be submitted for systemwide consideration. GC suggested modest modifications to wording to help readers understand conditions under which a new or revised PDST proposal may be submitted, and explain the basis for the timeline of the submissions.

G. *Review of MOU between UCSC and CSUMB: Grad Student Exchange*

Graduate Council reviewed documents associated with a proposed Memorandum of Understanding (MOU) between UC Santa Cruz and California State University, Monterey Bay (CSUMB), establishing terms for a graduate student exchange program between selected departments/programs at the two campuses. Graduate Council raised several

questions and requested that GC have an opportunity to reevaluate the program when the MOU is considered for renewal in three years. The intent of the review would be to assess both positive and negative impacts of the agreement, if any, for students, faculty, and programs. GC was also interested in whether this could end up being a template for future collaboration between the two campuses.

H. *CSE Enrollment Management Plan*
GC's primary consideration related to the Computer Science and Engineering Department (CSE) Enrollment Management Plan (fall 2023) is that any cases of overloaded classes and sections place unreasonable burdens on Teaching Assistants (TAs) and Graduate Student Instructors (GSIs). There are clear limits on TA and GSI workloads. GC supports CSE efforts to cap admissions until proper balance can be restored in this program. It is appropriate for CEP and the Committee on Admission and Financial Aid (CAFA), as Senate representatives with a focus on undergraduate education, to work with CSE, Baskin Engineering (BE) Dean Wolf, and others as they develop necessary admissions goals and enrollment limits, all of which ensure proper workload for graduate students with instructional responsibilities supporting the curriculum.

I. *VPDUE: Missing Grades for Graduate Courses*
Graduate Council was not in favor of developing a policy to have missing grades replaced with "S" grades after a period of time. Council understands that many of the courses in question are independent study or thesis research type courses, for which instructor/mentor assessment is important for documenting progress towards degree milestones. Some of the graduate courses that are missing grades are more traditional classes, and typically assigning grades in these courses is the responsibility of the instructor of record, generally not a teaching assistant or GSI.

J. *Graduate Student Handbook*
GC conducted an initial discussion about developing a template to guide graduate programs/departments in developing/revising their graduate student handbooks. Graduate Council reviewed examples and plans to take this issue up in the 2023-24 academic year. GC also received a proposed update to the Graduate Division's graduate student handbook, but it arrived too late for GC to review and offer recommendations. Instead, Chair Fisher edited the updated handbook in Summer 2023, and GC plans to revisit additional changes proposed in 2023-24.

K. *Delegation Policy*
The Council's "Delegations of Authority" document lists routine administrative decisions delegated to the Vice Provost and Dean of Graduate Studies, as well as those decisions delegated to the Council Chair and other administrative officers. The document also states, as established in GC bylaws, that the Council will annually monitor and review its delegations of authority and consult with the VPDGS, who will report annually on 1) the formulation of general procedures established in conformity with the delegations of authority, and 2) any re-delegations of authority. Graduate Council reviewed its list of currently delegated decisions, with no substantive changes for the current year; the only change was to update it to reflect that the GC bylaw has been renumbered to 13.2.2. The "Graduate Council Delegations of Authority 2022-23: Santa Cruz Division" was made

available on the Academic Senate's public Graduate Council web page and communicated to GC to VPDGS, VPAA, and CCI on December 6, 2022.

L. *Guest Policy*
The Council deliberated its guest policy and agreed to extend a formal invitation to Assistant Dean of Graduate Studies Stephanie Casher to attend Council meetings as a guest for 2022-23 (GC to VPDGS October 5, 2023). Graduate Council guest policy is agreed to by Council members at the start of each academic year.

M. *VPDGS Consultations*
There are a number of issues on which Graduate Council and the Graduate Division formally consult throughout the year. To facilitate communication and review of key issues, the Council maintains a standing consultation calendar with the Vice Provost and Dean of Graduate Studies, produced collaboratively during the summer. Consultation topics, anticipated to occur annually, focused on the following:

At their initial consultation, Graduate Council welcomed VPDGS Peter Biehl, who provided briefing on these topics:
1. General overview of the Graduate Division, including mission and vision.
2. Graduate enrollment growth (# of applicants/yield, both campus aggregate and by department/program and division). Graduate changes conveyed as both absolute numbers and relative (percentages) over the last five years, including by race/ethnicity and international status.
3. Initiatives and priorities the graduate division embarking on in the coming year for which GC and Grad Division can collaborate.

N. *Review of Block Allocation Formula*
This annual consultation focuses on an orientation on the block allocation formula. Council specifically asked the VPDGS to discuss what the Graduate Division interprets as intended and appropriate uses of block funds by programs. Council requested that the VPDGS also discuss his perspective on the role of master's degrees in graduate education at UC Santa Cruz, and specifically about support for master's students. GC also asked for an update regarding continuing impacts of COVID-19, including on the upcoming admissions cycle.

VPDGS Biehl provided a written update on graduate academic integrity cases, as requested by GC, and reported that there were no further re-delegations of authority.

O. *Dissertation Year and Cota-Robles Fellowship Report*
Graduate Council consults annually with the VPDGS for a report on the process and outcomes for the Dissertation Year Fellowships (DYF) and the Cota-Robles (CR) Fellowships awarded in the most recent cycle, and to discuss the calls for the DYF and CR Fellowship upcoming cycles. Council members who have served on the CR subcommittee in the past discussed the process.

The VPDGS annually collects data on the divisional review and evaluation process for the DYF, since GC agreed to delegate the DYF review to the divisions, and this information is reviewed by Council along with the annual reporting of awards and outcomes data for both

fellowships. GC expects a similar approach to be taken for the Hispanic Serving Institute (HSI) (UC President's Pre-Professoriate) fellowships going forward. As part of the Cota-Robles consultation, GC reviewed the schedule and rubric to be used for review of nominations for the 2023 review cycle, and worked with the Graduate Division to update the annual call to assure that language describing review was consistent with the rubric.

P. *Graduate Admissions Report*
This annual consultation typically focuses on a report of graduate admissions, including applications, admissions, and acceptances. More recently, Council has incorporated a request for five-year trend data in racial/ethnic, gender, international status, diversity in applications, offers, acceptance, and matriculation data, overall and broken down by division, to help assess progress in increasing graduate student diversity at UC Santa Cruz. Graduate Council also asked for information on international students, including data on international students by country.

Q. *Consultations: Director, Disability Resource Center*
At its May 4, 2023 meeting, GC and Disability Resource Center (DRC) Director Karen Nielson discussed DRC's work with graduate students and programs. GC asked Director Nielson to provide information to help Council understand how DRC interacted with graduate students and programs, including:

1. Updated statistics, year by year and by degree type (Ph.D., MS/MA, MFA), concerning:
    *   number (and %) of grad students engaging with DRC to seek accommodation
    *   number (and %) of grad students who receive an accommodation
    *   common forms and types of accommodations (numbers, % of those receiving a type of accommodation)
    *   associated increases in time to degree for grad students who have an accommodation

    GC sought to understand the scope and impacts of accommodations for both graduate students and programs, as this influences program capacity, staging and enrollment in courses (required and elective), and funding needs.

2. General DRC operations as they relate to graduate students and programs, expertise, and especially staffing. Are there sufficiently clear and comprehensive "best practices" in place for assessment of graduate student needs? GC sought to understand how DRC engages with students and programs in assessing expectations, standard milestones, and timelines as part of the process for making (requesting) accommodations.

3. How do DRC personnel see the needs of graduate students differing from the needs of undergraduate students, in general? Are there specific difficulties that graduate students encounter in finding suitable accommodation? How does the DRC handle large differences in graduate programs across the campus, e.g., widely varying

course requirements, from few to many; very different forms of research and creative activity, expectations for collaboration versus independent work.

GC sent follow up correspondence to the DRC Director in June 2023 noting while the percentage of graduate students with accommodations is somewhat lower in comparison to recent years (currently about 7%), this represents more than 150 individuals, and each case is different and nuanced. GC learned that the DRC would benefit from additional staffing to support work with graduate students. Correspondence detailed how accommodations for graduate students may differ from that for undergraduate students, for example with consideration of concern many graduate students have about how accommodations may influence relationships with their advisors and mentors. GC was glad to know that accommodations for graduate students are being developed case-by-case in consultation with programs and advisors; this seems essential, especially given that each graduate program and group may be managed differently in terms of the pace of work, the nature of graduate support, and the staging of key milestones.

GC proposed a similar consultation take place in 2023-24 with the possibility of establishing an annual DRC consultation to stay on top of developing trends and issues.

R. *WASC Themes Draft Proposal*
As GC observed that campus planning documents tend to focus on graduate education implicitly or not at all, and to focus on undergraduate education when student success is discussed. GC advocated that UC Santa Cruz planning documents reflect consideration of graduate education and graduate student success issues commensurate with their importance to campus goals and the mission of the University of California.

III.   Regular Committee Business

A. *New Degree Proposals*
Graduate Council reviewed one new graduate degree proposal this academic year, suggesting revisions and eventually endorsing a revised proposal for a new program in Materials Science & Engineering (MSE) M.S./Ph.D. This proposal was subsequently forwarded for consideration by CCGA, who approved it in Spring 2023. In addition, the M.S. program in Geographic Information Systems, Spatial Technologies, Applications, and Research (GISTAR) that GC reviewed twice and approved in 2022 was approved by CCGA in 2023. Both the MSE and GISTAR programs are scheduled to start accepting applications in Fall 2023.

B. *Professional Degree Supplemental Tuition (PDST)*
At the request of the VPAA, Graduate Council reviewed reports and assessed proposed fee levels for the renewal of the Games and Playable Media (GPM) M.S, Applied Economics and Finance (APEF) M.S., and the Natural Language Processing (NLP) M.S.

C. *Suspensions*
GC approved three suspensions of graduate admissions: GC extended suspension of DANM graduate admissions for an additional year (as that program considered options for a new administrative home), approved a two-year suspension of admissions for the History

M.A. (as that program considered the future of the degree as part of external review), and approved a one-year suspension for the Serious Games M.S. The latter program was subsequently discontinued.

D. *New Non-Degree Proposals*
Non-degree proposals include Designated Emphases (DE), Five-Year Contiguous Bachelor's/Master's paths, and non-SR 735 certificates. The revised proposal for a contiguous five-year Bachelor's/Master's Pathway, designed to provide a pathway between the LALS B.A. and the Education Plan II MA/Certificate degree (received June 16, 2022) was reviewed and approved by GC on November 9, 2022.

E. *External Reviews*
Graduate Council annually participates in department and program external reviews. Graduate Council, along with CEP and CPB provide comments on the external review documents for each department or program reviewed. GC participates in two parts of the external review process: the pre-site visit and the post-site visit. GC noted multiple program-level delays in the submission of external review materials to the VPAA for Council review, a chronic problem that causes challenges for scheduling of these reviews by GC and other Senate committees. GC reviewed and commented on ten external department reviews: Statistics, Music, Microbiology and Environmental Toxicology Literature, Latin American and Latino Studies, Feminist Studies, Ecology and Evolutionary Biology, Education, Digital Arts and New Media, and Computer Science & Engineering. GC also reviewed Mid-Cycle Reports & Review Cycle Recommendations (History of Art and Visual Culture, History of Consciousness, and Mathematics).

Graduate Council reviewed the three-year/interim report for the Games & Playable Media M.S. program, which arrived almost two years late and did not address all questions asked. GC recommended beginning work immediately on tracking student outcomes and preparing other materials in advance of the 2025-26 external review.

F. *Program Statement Changes*
Council reviewed graduate program statement changes for the 2023-24 catalog copy in teams of 2-3 members. This remains a time-consuming and challenging process, requiring significant effort from most GC members, especially the Analyst and Chair. CEP and GC, in collaboration with the Office of the Registrar, adjusted the Program Statement Deadlines in order to better align the timing of committee reviews with other work and deadlines, and to allow more time to respond to complex program changes. This should also help to reduce delays in approval and publication of the catalog, which is important for programs and students planning for the coming year. The New Deadlines were communicated to CSAs on July 11, 2023.

Updated cycle milestones and deadlines are as follows:
- July 26: Program Statement forms created and released to departments for edit
- November 5: Program Statement forms, and any course submissions critical to the program statement revisions, due to the divisions for review
- November 15: Program Statements, and any course submissions critical to the program statement revisions, due to the Senate for review

G. *GSI Requests*

Graduate Council delegates to the Council Chair review and approval of Graduate Student Instructor (GSI) requests (for graduate courses). The systemwide University Committee on Educational Policy and the Coordinating Committee on Graduate Affairs have taken the position that graduate students should not take on an instructional role for which they can influence the grade of another graduate student's performance, unless faculty oversight of the assessment process is sufficient to prevent any semblance of conflict of interest. In practice, it is common for GC to approve GSI requests for graduate courses that focus on TA training, and applicants this year were especially qualified and well-prepared to take on this important role. In 2022-23, GC reviewed and approved twelve new GSI requests from: Anthropology, Biomolecular Engineering, Computational Media, Economics, Ecology and Evolutionary Biology, Music, Philosophy, and Statistics. GC Chairs note that, although reviews of GSI requests are done on a rolling basis[1], it becomes difficult to respond quickly late in the academic year. It is in departments' interests to submit GSI requests in accordance with GC deadlines to assure a timely response. In addition, GC frequently had to go back to departments to confirm that there was a suitable mentoring plan in place, with an explicit statement that a faculty mentor will serve as co-instructor. This requirement is noted on the first page of the GSI Policy and Form.

H. *Fellowship Review*

A Graduate Council subcommittee advised the VPDGS on the selection of Cota-Robles Fellowships. During its spring consultation with Associate Dean Smith, Graduate Council briefly discussed the outcomes of the review cycle and the new expanded review process that was applied this year. Overall, GC was impressed with the qualifications and achievements of nominees, reviews went smoothly, and fellowships were reasonably distributed across divisions and programs. The most critical problem with the fellowship process is that there are insufficient resources to support many qualified candidates, which impedes recruitment of outstanding applicants who receive stronger support packages from other institutions. Improving direct financial support for graduate students in the form of fellowships should remain a high priority for UC Santa Cruz.

GC streamlined and standardized the review process, with help from the Graduate Division in checking nominations for completeness, assigning reviewers, and preparing a spreadsheet for use in tabulating results. Each nomination was reviewed by three GC members. The GC review committee prepared a detailed numerical scoring system for use in applying the established evaluation rubric, and had multiple meetings to discuss the process and assure consistency in assessment. GC returned a list of rated nominations and the Graduate Division selected the nominees who would be offered fellowships. In addition, GC prepared and distributed a detailed memo (March 22, 2023) explaining their review process and offering suggestions so that programs could prepare stronger nominations in the future. This memo is intended to be distributed with the next Cota-Robles Fellowship call in Fall 2023.

I. *UC HSI Pre-Professoriate Fellowship*

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[1] See GC Policy and Form for GSIs for Graduate Courses for deadlines.

This was the first cycle that Graduate Council has had the opportunity to review of the UC HSI President's Pre-Professoriate Fellowship applications. Three campus awards were available, and eight applications were reviewed. Candidate applicants represented the Social Sciences, Humanities, and Physical and Biological Sciences Divisions.

A review subcommittee of three GC members considered all of the files, and noted the superb quality of the applications. The committee used the rubric described in the call for applications, and assigned ratings in three key areas: demonstrated research achievements; letters of support indicating exceptional academic work and likelihood of pursuing an academic career; record of advancing Diversity, Equity, and Inclusion (DEI) issues and long-term commitment to continue these efforts. After assigning scores separately, committee members met to discuss results, making sure that, although there were modest differences in how the applications were interpreted by each reviewer, there was consistency in use of the rubric. In addition, there was clear consensus on the top three application files for 2023 UC HSI President's Pre-Professoriate Fellowships. Three awardees were selected. Graduate Council made modest suggestions for aligning the call and rubric in future cycles.

IV.   Local and Systemwide Issue Review

GC reviewed and commented on the following issues and/or policies:

- VPAA Suggested Change to External Review Closure Meeting Scheduling (September 22, 2022)
- Disability Resource Center Follow-up and Ongoing Discussion (June 13, 2023)
- Memorandum of Understanding between UC Santa Cruz and Cal-State Monterey Bay (December 2, 2022)
- WASC Themes Draft Proposal (April 3, 2023)
- to VPDUE RE: Missing Grades for Graduate Level Courses (February 8, 2023)
- to VPDGS RE: Review of UC HSI President's Pre-Professoriate Fellowship Applications (February 17, 2023)
- to Computational Media Department RE: Request for 2023-24 Suspension of Admissions for Serious Games M.S. (September 20, 2022)
- to VPAA RE: Revised Proposal: Materials Science & Engineering M.S./Ph.D. (December 12, 2022)
- to VPAA RE: Mid-Cycle Reports & Review Cycle Recommendations (HAVC, HisCon, Math) (January 27, 2023)
- Draft Leading the Change (Strategic Plan) Reports (April 12, 2023)
- ITS Annual Survey (February 7, 2023)
- to History Department RE: Request to Suspend Admissions: History M.A. (January 11, 2023)
- PDST Renewal Proposal for Games and Playable Media (GPM) M.S. (October 12, 2022)
- Games & Playable Media M.S. Interim Review Report (April 14, 2023)
- Campus Five-Year Perspectives List (May 16, 2023)
- DANM Status Report to Graduate Council (May 2, 2023)
- Request for 2023-24 Suspension of Admissions for DANM M.F.A.(October 14, 2022)

- CSE Enrollment Management Plan (Fall 2023) January 17, 2023
- to Dept Chairs Re: Common Issues with Nominations for Cota-Robles Fellowships and Recommendations for Preparing more Competitive Packages (March 22, 2023)
- Revised Proposal for a Contiguous Five-Year Bachelor's/Master's Pathway:
- LALS/Education MA/C (November 9, 2022)
- Applied Economics and Finance M.S. PDST Renewal October 14, 2022
- Leading the Change (Strategic Plan): Envisioning Graduate Education for the Future (June 13, 2023)
- APM-210: Review and Appraisal Committees (June 13, 2023)
- Summer 2023 Curricular Planning Request (January 13, 2023)
- Clarification of Syllabus and Proctoring Guidelines (May 4, 2023)
- CEP/GC Clarification of Online Course Policy and Review Process (November 9, 2022)
- Review of Draft Emergency Authorization Google Form (March 20, 2023)
- Graduate Council Statement of Support for Recommendations from the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF) Report May 5, 2023
- Revised Campus APU: Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change (2022) (December 9, 2022)

V.   Continuing Issues for GC in 2022-23

Graduate Council often starts the year with a long list of concerns and actionable topics that require attention, and looking ahead to the 2023-24 academic year, we expect another busy calendar. In particular, GC anticipates engaging on these topics (among others):

- Follow up on recommendations from the ITF report
- Participation in fellowship review for Cota-Robles and HSI/UC President's Pre-Professoriate, and oversight of DYF Fellowship program
- Continue collaboration with CEP and CCI in review of online course policies, particularly with issues affecting changes to definition of modalities, and associated criteria for course approval
- Collaborate with VPDGS on issues related to graduate education, both proactive and routine, including diversity, equity, and inclusion
- Contribute to CCGA and systemwide oversight of self-supporting graduate program reviews
- Consult with Disability Resource Center on issues related specifically to graduate student needs
- Participation in preparation for WASC/WSCUC review
- Monitor and/or review findings and/or report of the campus Student Conduct Review Task Force and campus disciplinary processes
- Oversight of catalog copy, curriculum, and degree requirements and policies for graduate programs.
- Improve the mechanism of graduate student pay so that every graduate student reliably gets paid on time and with the correct amount, every month, regardless of source(s). Consider transitions between fellowship, TA, GSR (causes frustration when being paid on different days of the month). Consider consultation with VCR MacMillan.
- Develop UC Santa Cruz policy on remote participation on QE committees

- S/U grading in context of B/B- (review and clarification of Appendix D)
- Review of Graduate Division Handbook
- Department Graduate Handbooks: Develop a template with a listing of suggested topics, to aid in creation and maintenance of department/program handbooks, how to encourage updating, consistency.
- Graduate student wellness

Respectfully submitted,

GRADUATE COUNCIL

Lindsey Dillon
Camilla Forsberg   Alison Barrett, GSA Representative
K.C. Fung   Christian Alvarado, GSA Representative
Bruce Kiesling *(W, S)*   Ontario Alexander, GSA Representative
Marisol LeBrón   Katharin Peter, LAUC Representative
Andrew Moore *(F, S)*
John Musacchio
Laurie Palmer *(F, W)*
Chad Saltikov *(W, S)*
Rachel Walker
Peter Biehl, ex officio, Vice Provost and Dean of Graduate Studies
Andrew T. Fisher, *Chair*

August 31, 2023

COMMITTEE ON COMMITTEES

To: Academic Senate, Santa Cruz Division

The following nominations are changes and additions to those confirmed at the May 24, 2023 meeting of the division. A full list of Senate Committee membership can be viewed at: https://senate.ucsc.edu/about/senate-committee-membership.html

Academic Personnel (CAP)

Addition: Zsuzsi Abrams (F)	Languages and Applied Linguistics
Addition: Lars Fehren-Schmitz (W, S)	Anthropology
Removal: Cynthia Lewis	Education

Admissions & Financial Aid (CAFA)

Addition: Yiman Wang	Film & Digital Media

Career Advising (CCA)

Addition: Maria Evangelatou	History of Art/Visual Culture
Addition: Ari Friedlaender	Ocean Sciences

Committee on Committees (COC)

Removal: Jennifer Horne	Film and Digital Media
Addition: Melissa Gwyn	Art

Committee on Diversity, Equity, and Inclusion (CODEI)

Addition: Jeremy Sanford	Molecular, Cell, & Developmental Biology
Removal: Minghui Hu (W, S)	History

Educational Policy (CEP)

Addition: Xavier Livermon	Critical Race and Ethnic Studies
Addition: Ivy Sichel (W, S)	Linguistics

Faculty Welfare (CFW)

Addition: Xi Zhang	Earth & Planetary Sciences
Removal: Kate Ringland	Computational Media

International Education (CIE)

Addition: micha cárdenas	Performance, Play and Design

Planning & Budget (CPB)

Addition: Cameron Monroe	Anthropology
Addition: Leila Parsa	Electrical and Computer Engineering

Privilege & Tenure (CPT)

Addition: Jorge Hankamer (F)	Linguistics
Removal: Michael Chemers	Theater Arts

November 29, 2023

COMMITTEE ON DIVERSITY, EQUITY, AND INCLUSION
Amendment to Committee Charge

To: Academic Senate, Santa Cruz Division

The Committee on Diversity, Equity, and Inclusion (CODEI) is updating the charge following the name change that was passed from the spring 2023 Academic Senate meeting. These changes being put forth are to better align our Senate committee with campus diversity, equity and inclusion institutional priorities and goals. Additionally, removing the term "affirmative action" and adding "equity" and "inclusion" updates institutional commitments to marginalized communities across multiple areas, including race, gender, sexuality, and able-ism. These changes also align UC Santa Cruz practices with precedents set at other UC campuses including UC Los Angeles and UC Riverside. UC Davis remains the only campus who still includes Affirmative Action in their Academic Senate committee name. Reducing student representation from 3 to 2 also aligns this committee with other Senate committees and ensures a more workable composition for this small committee.

Existing Charge	Proposed Charge
13.12 Committee on Diversity, Equity, and Inclusion (En 25 May 77; Am 16 May 03, 24 May 23)	**13.12 Committee on Diversity, Equity, and Inclusion (En 25 May 77; Am 16 May 03, 24 May 23)**
13.12.1 There are six Santa Cruz Division members. In addition, there are one graduate student representative and no more than three undergraduate student representatives. (Am 25 May 94, 28 Oct 98, 20 May 09; CC 31 Aug 98; EC 18 Oct 91, 31 Aug 99, 31 Aug 04, 31 Aug 06)	**13.12.1** There are six Santa Cruz Division members. In addition, there are one graduate student representative and no more than two ~~three~~ undergraduate student representatives. (Am 25 May 94, 28 Oct 98, 20 May 09; CC 31 Aug 98; EC 18 Oct 91, 31 Aug 99, 31 Aug 04, 31 Aug 06)
13.12.2 The Committee confers with the Chancellor of Santa Cruz, Committee on Academic Personnel, and Committee on Planning and Budget, on general policies bearing on affirmative action and diversity for academic personnel and academic programs. (Am 30 May 90, 16 May 03; CC 31 Aug 98)	**13.12.2** The Committee confers with the Chancellor of Santa Cruz, Committee on Academic Personnel, and Committee on Planning and Budget, on general policies bearing on fair hiring, equity, ~~affirmative action~~ and diversity for academic personnel and academic programs. (Am 30 May 90, 16 May 03; CC 31 Aug 98)
13.12.3 The Committee undertakes studies of policies and practices of affirmative action and diversity, makes recommendations to appropriate campus bodies, and reports annually to the Santa Cruz Division on policies and practices. (Am 16 May 03)	**13.12.3** The Committee undertakes studies of policies and practices of ~~affirmative action and~~ diversity, equity, and inclusion, makes recommendations to appropriate campus bodies, and reports annually to the Santa Cruz Division on policies and practices. (Am 16 May 03)

Respectfully submitted,

COMMITTEE ON DIVERSITY, EQUITY, AND INCLUSION
Jackie Gehring
Jennifer González
Dianne Hendricks
Minghui Hu
Jeremy Sanford
Gabriela Arredondo, *Chair*

October 16, 2023