

June 28, 2022

ADRIAN BRASOVEANU
Associate Campus Provost

HEBERT LEE
Vice Provost for Academic Affairs

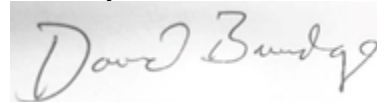
RE: SEA Change Bronze Award Narrative and Action Plan Draft

Dear Adrian and Herbie,

The Academic Senate has reviewed your request for feedback and suggestions on the draft narrative and action plan for the SEA Change Bronze Award. The Committees on Committee on Affirmative Action and Diversity (CAAD), Committee on Library and Scholarly Communication (COLASC), and Planning and Budget (CPB) have responded.

The Senate appreciates the opportunity to comment on the proposed SEA Change Bronze Award narrative and action plan draft. All reviewing committees were generally supportive of the draft application and pursuit of the award. I am enclosing the committee responses, including in-line comments, and hope these observations prove useful in the final draft of this application.

Sincerely,



David Brundage, Chair
Academic Senate

Encl. Committee Bundle Responses

cc: Cynthia Larive, Chancellor
Lori G. Kletzer, Campus Provost and Executive Vice Chancellor
Anna Finn, Associate Chancellor and Chief of Staff and Interim Associate Vice Chancellor of Equity and Equal Protection
Ann Pham, Assistant Executive Vice Chancellor and Chief of Staff, CP/EVC Office
Judith Estrada, Assistant Vice Chancellor and Interim Chief Diversity Officer
Kirsten Silva Gruesz, Chair, Committee on Affirmative Action and Diversity
Abe Stone, Chair, Committee on Library and Scholarly Communication
Dard Neuman, Chair, Committee on Planning and Budget
Matthew Mednick, Executive Director, Academic Senate

June 1, 2022

David Brundage, Chair
Academic Senate, Santa Cruz Division

RE: SEA Change Bronze Award Narrative and Action Plan Draft

Dear David,

The Committee on Library and Scholarly Communication has reviewed the SEA Change Bronze Award Narrative and Action Plan Draft. COLASC welcomes the opportunity to gain recognition for the important Diversity, Equity, and Inclusion work done on our campus.

COLASC notes that the draft does not currently include Library efforts to address DEI issues. We suggest the SEA Change Team contact University Librarian Elizabeth Cowell to consider how the Library's efforts to promote Open Educational Resources intersects with DEI issues. Additionally, under Faculty Pedagogical Support (7.2), perhaps mention of the Digital Scholarship Commons in general, and the Digital Instruction Project as a particular example, would strengthen this section.

COLASC encourages the pursuit of similar initiatives and awards for areas outside of STEMM as well. COLASC appreciates the opportunity to opine in this matter.

Sincerely,



Abe Stone, Chair
Committee on Library and Scholarly Communication

cc: Kirsten Silva Gruesz, Chair, Committee on Affirmative Action and Diversity
Tracy Larrabee, Chair Committee on Educational Policy
Andrew Fisher, Chair, Graduate Council
Dard Neuman, Chair, Committee on Planning and Budget
Catherine Jones, Chair, Committee on Teaching

June 21, 2022

David Brundage, Chair
Academic Senate

Re: SEA Change Bronze Award Narrative and Action Plan Draft

Dear David,

The Committee on Budget and Planning (CPB) reviewed the SEA Change Bronze Award Narrative and Action Plan Draft. CPB appreciates the document and is supportive of the narrative and action plan.

CPB appreciates that the document raises attention to the 9 campus versus 7 campus comparison for salary equity, which is an issue of continuing importance. CPB also appreciates the demographic data analysis but recommends, providing it is possible, to also include a separate field of comparison that disaggregates URM and/or BIPOC demographic categories from other “minority” categories.

CPB appreciates the opportunity to opine on this document.

Sincerely,



Dard Neuman, Chair
Committee on Planning and Budget

cc: CAAD Chair Silva Gruesz
CEP Chair Larrabee
COLASC Chair Stone
COT Chair Jones
GC Chair Fisher

June 13, 2022

David Brundage, Chair
Academic Senate, Santa Cruz Division

Re: SEA Change Bronze Award Narrative and Action Plan Draft

Dear David,

The Committee on Affirmative Action and Diversity (CAAD) has reviewed the SEA Change Bronze Award Narrative and Action Plan Draft. CAAD is broadly supportive of this narrative and action plan, though the committee also has more detailed feedback which has been provided in a separate enclosure as in-line commentary on the document.

Sincerely,



Kirsten Silva Gruesz, Chair
Committee on Affirmative Action and Diversity

Encl. CAAD Inline Comments re Sea Change Bronze Award Narrative and Action Plan Draft

cc: Dard Neuman, Chair, Committee on Planning and Budget

Narrative and Action Plan for SEA Change Bronze Award Application

Change Team¹ · April 12, 2022

1. Introduction

UC Santa Cruz is a charter member of SEA Change, and we are excited to be putting forward this application for a bronze award. UCSC is both an HSI (Hispanic-Serving Institution) and an AANAPISI (Asian American Native American Pacific Islander-Serving Institution), with a high proportion of first generation students. We have been working to build and support a diverse community at all levels, including faculty and senior leadership.

Our application process started in late summer 2021, and was designed as a campus wide process (including both STEM and non-STEM divisions). Our self-assessment process combined information gathering, analysis, discussion, and planning. We were also driven by a goal of providing a platform to make our many DEI initiatives more visible to each other and the campus as a whole, to promote interactions between these initiatives and increase their impact. This process also allowed us to identify opportunities for addressing issues that were previously known or newly surfaced.

This document is structured as follows.

- Section 2 provides an externally (AAAS) facing description of the institution.
- Section 3 details the self-assessment process conducted by the Change team.
- Section 4 provides intersectional (gender & race/ethnicity) information about UCSC's institutional composition, with a focus on Senate faculty.
- Section 5 discusses faculty recruitment and hiring.
- Section 6 discusses key transition points for faculty after hiring.
- Section 7 discusses career and professional development.
- Section 8 discusses flexibility and career breaks.
- Section 9 discusses institutional policies for diversity and inclusion.
- Section 10 discusses institutional climate and culture.
- Section 11 discusses education, encouragement, role models and diversity.
- Section 12 provides a brief overview of the action plan items introduced in Sections 4-11.

¹The 2021-22 Change Team consisted of: Larry Andrews [Fall 2021] / Karlton Hester [Winter/Spring 2022] (ARTS), Peter Biehl (Grad Div), Adrian Brasoveanu (ACP, co-chair), Yasmin Chowdhury (GSA), Judith Estrada (iCDO, ODEI), Julian Fernald (IRAPS), Marcella Gomez (Senate / CAFA), Abigail Kaun (ENG), Kim Lau (HUM), Herbie Lee (VPAA, co-chair), Judit Moschkovich (SSD), Stefano Profumo (Senate / CAP), Christina Ravelo (PBS), Su-hua Wang (Senate / CFW), Elani Zissimopoulos (UE). Erika Wolford provided staff support.

2. Description of the institution

Carnegie Classification

R1, Doctoral University - Very High Research Activity

More information (from <https://carnegieclassifications.iu.edu/>):

- Four-year, large, highly residential
- Undergraduate Instructional Program: Arts & sciences focus, high graduate coexistence
- Graduate Instructional Program: Research Doctoral, STEM-dominant
- Enrollment Profile: High undergraduate
- Undergraduate Profile: Four-year, full-time, more selective, higher transfer-in
- Control: Public
- Student Population (Fall 2020): 19,161

Member of the Association of American Universities (AAU)

Total number of academic faculty

As of April 2021 (from

<https://www.universityofcalifornia.edu/infocenter/uc-employee-headcount/>):

- Ladder-rank (or equivalent) Faculty: 602
- Lecturers: 293
- Postdoctoral scholars: 145
- Student TAs/RAs: 1,636

Total number of departments

36 academic departments excluding non-departmental programs.

Total number of undergraduate students

2020-21 (3-quarter average): 16,255

(from <https://iraps.ucsc.edu/iraps-public-dashboards/student-demand/enrollments.html>, filtered by academic year, fall vs. 3-qtr avg, class: freshman, sophomore, junior, senior)

Total number of graduate students

2020-21 (3-quarter average): Doctoral 1,443.7

(same source as above, filtered by class: doctoral)

2020-21 (3-quarter average): Masters 438.3

(same source as above, filtered by class: masters)

Degrees granted: overall, and within STEM

For the purposes of this tabulation, we will classify degrees as STEM vs non-STEM at the level of disciplinary division. UCSC has 5 disciplinary divisions: Arts (ARTS), Humanities (HUM), Physical and Biological Sciences (PBS), School of Engineering (ENG), Social Sciences (SSD). A small number of individual departments within SSD, but also HUM and ARTS, could be reasonably classified as STEM (e.g., Econ in SSD), but for data extraction simplicity and clarity of presentation, we aggregate STEM vs non-STEM at the level of division.

(This is data with summer leading; source:

<https://iraps.ucsc.edu/iraps-public-dashboards/student-outcomes/degrees-awarded.html>.)

Undergraduate degrees granted in 2019-20				
STEM		Non-STEM		
PBS	ENG	ARTS	HUM	SSD
1,170	1,043	492	537	2,228
Total STEM: 2,213		Total Non-STEM: 3,257		
Total: 5,470				

Graduate degrees granted in 2019-20 (includes PHD, MA, MS, MFA)				
STEM		Non-STEM		
PBS	ENG	ARTS	HUM	SSD
136	175	32	33	136
Total STEM: 311		Total Non-STEM: 201		
Total: 512				

Total number of faculty, graduate students, and undergraduate majors for each STEM department

The data below is for 2019-20. (Source:

<https://mediafiles.ucsc.edu/iraps/ILS1920/campus-instructional-load-summary.pdf>)

Division	Department	Faculty (Payroll FTE)	Undergraduate Majors	Graduate Students
ARTS	General (includes Digital Arts & New Media)	8.5	138.8	10
	Film and Digital Media	17.6	356.2	46.3
	History of Art and Visual Culture	11.8	46.1	33.0
	Music	27.5	35.5	32.3
	Theater Arts	13.0	51.5	3.3
HUM	Feminist Studies	8.9	69.7	19.0
	History	24.2	243.4	40.0
	History of Consciousness	4.1	0	30.7
	General	2.3	62.5	0
	Languages & Applied Linguistics	34.2	70.3	0
	Linguistics	9.8	97.0	25.7
	Literature	27.2	274.6	53.0
	Philosophy	9.4	107.7	19.7
	Writing Program	42.8	0	0
PBS	Astronomy and Astrophysics	10.7	0	53.0
	Chemistry and Biochemistry	24.8	190.2	88.3
	Earth and Planetary Sciences	21.0	157.2	51.3
	Ecology and Evolutionary Biology	26.3	418.6	73.3
	General	2.5	0	17.3
	Mathematics	22.5	174.3	55.0
	Microbiology & Env Toxicology	8.6	0	27.3

	Mol/Cell/Developmental Biology	27.6	1,028.1	84.7
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	Ocean Sciences	10.2	0	41.3
	Physics	21.6	203.7	76.3
	Science Communication Program	1.1	0	9.3
ENG	Applied Mathematics	9.1	0	40.0
	General	2.2	0	0
	Biomolecular Engineering	14.9	180.2	69.3
	Computational Media	16.4	233.5	96.3
	Computer Science and Engineering	41.6	1,685.0	291.3
	Electrical and Computer Engineering	21.3	213.4	84.3
	Statistics	10.3	0	34.7
SSD	Anthropology	17.9	263.6	38.3
	Economics	31.6	846.3	70.7
	Education	17.1	0	95.7
	Environmental Studies	20.6	342.3	39.3
	General	4.5	53.5	0
	Latin American & Latino Studies	10.7	100.7	17.3
	Politics	19.0	558.1	32.7
	Psychology	26.5	1,143.5	57.7
	Sociology	17.4	442.5	30.0

Minority-serving status

- Hispanic Serving Institution (HSI)
- Asian American and Native American-Pacific Islander Serving Institution (AANAPISI)

Current or prior institutional involvement in programs such as NSF ADVANCE, NIH MARC or similar

Program Type	Dept	Begin	End	Title
Postbaccalaureate Research Education Program (PREP) (R25)	MCD Biology	3/1/2019	2/28/2023	R25 PREP: Postbaccalaureate Research Education Program
Bridges to the Baccalaureate Program (R25)	Chemistry & Biochemistry	8/1/2019	7/31/2024	Baccalaureate Bridge to the Biomedical Sciences Program (ACCESS)
Initiative to Maximize Research Education in Genomics: Diversity Action Plan (R25)	Genomics Institute	9/1/2017	6/30/2022	UCSC Research Mentoring Institute: An Initiative to Increase Diversity and Inclusion in Genomics Research
IMSD	MCD Biology	2/1/2020	1/31/2025	IMSD at the University of California Santa Cruz
Ruth L. Kirschstein National Research Service Award (NRSA) Predoctoral Institutional Research Training Grant (T32)	MCD Biology	7/1/2019	6/30/2024	Training Program in Molecular, Cell, and Developmental Biology
MARC	MCD Biology	6/1/2021	5/31/2026	The MARC Program at UCSC
AGEP	Chemistry & Biochemistry	7/1/2021	6/30/2026	The AGEP University of California Alliance: A Model to Advance Equitable Hiring of Teaching-Focused Faculty in STEM

Special historical or current challenges

University funding has been challenging since 1978, following passage of Prop 13, which lowered state property tax revenue significantly, thereby harming public education support.

Passed in 1996, Proposition 209 prohibited state-funded institutions from considering gender and ethnicity in admission or hiring. This has harmed our efforts to recruit underrepresented minority students and complicated our efforts to recruit underrepresented faculty. Gender and ethnic identity are no longer disclosed to admissions or recruitment committees, only indirect measures linked to these are used (e.g., contributions to diversity). Prop 209 was not repealed by Prop 16 in 2020.

3. Self-assessment

UCSC became a SEA Change charter member in March 2021, which is when planning for the Bronze Award application started. The self-assessment process launched in September 2021. At that time, the co-chairs of the Change team were identified, representing the Campus Provost/Executive Vice Chancellor (CP/EVC) Office and the Academic Affairs Division (AAD); the Academic Personnel Office (APO) is a unit within AAD.

The co-chairs led a process of raising awareness of SEA Change among academic leaders and the campus more broadly, which culminated in the formation of a comprehensive, 15-member Change team by the beginning of October 2021. We largely succeeded in assembling a Change team that reflected a broad diversity across personal identities, institutional role, positional seniority, career stage, and expertise. In addition to the co-chairs, which represented the three campus units mentioned above, the team included:

- faculty Senate representatives;
- representatives of the 5 disciplinary divisions: Arts (ARTS), Baskin School of Engineering (ENG), Humanities (HUM), Physical and Biological Sciences (PBS), and the Social Science Division (SSD);
- representatives of Institutional Research, Assessment, and Policy Studies (IRAPS), the Office for Diversity, Equity, and Inclusion (ODEI), and the Graduate and Undergraduate Education divisions;
- a graduate student representing the Graduate Student Association; an undergraduate student representative of the Student Union Assembly was invited, but there was no nomination.

The 15-member Change team was supported by a project manager assistant. The 16-person group had >60% female and >55% minoritized participants. In addition to faculty associate and full professor ranks, the roles of the members included former department chairs, former or current chairs of various Senate committees, vice-provosts, deans, directors of various offices, as well as associate and assistant deans / vice-provosts.

8 subcommittees were formed with partially overlapping membership, each of which was focused on the self-assessment and subsequent drafting of the narrative & action plan of the 8 main sections of the present report:

- Institutional composition (Section 4)
- Faculty: Recruitment to Hiring (Section 5)
- Key transition points for faculty after hiring (Section 6)
- Career & professional development (Section 7)
- Flexibility and career breaks (Section 8)
- Institutional policies for diversity and inclusion (Section 9)
- Institutional climate & culture (Section 10)
- Education, encouragement, role models and diversity (Section 11)

A richly structured set of materials previously assembled by the co-chairs that very closely followed the SEA Change guidelines was made available to all members of the Change team as soon as they were identified in early fall 2021. Informal meetings in preparation for the first full-group meeting were held throughout October 2021, during which the chairs of all the subcommittees were identified and introduced to the structure of the self-assessment process, the narrative and the organization of the Change team.

The first full-group meeting was held on November 1st, 2021. Given the extensive preparatory work in the previous months, the Change team quickly cohered around a clear shared understanding of the task at hand, and the resources available to them. The resources included (i) a substantial amount of institutional data for most of the 8 main sections, as well as (ii) a clear, modular, but fully transparent and shared structure for self-assessment & narrative / action plan creation.

Each subcommittee met multiple times in November and December 2021. Throughout this period, collaboration within and across subcommittees was more or less continuous given the extensive availability of tools for online collaboration (primarily Google environment office tools and Zoom). A second full-group meeting took place in December 2021 to give subcommittees an opportunity to report on their progress, and give all members an opportunity to provide comments / feedback with respect to all aspects of the self-assessment process & narrative / action plan creation. In January 2022, a third full-group meeting took place to follow up on subcommittee presentations and establish a detailed shared plan for the following 3 months. The subcommittees met multiple times and largely completed their work by mid-March 2022, when the final full-group meeting took place to discuss final deadlines and make decisions to finalize the narrative and action plan draft. The narrative and action plan draft was finalized by

mid-April 2022, at which time it was circulated to the faculty Senate, academic leaders and various other campus stakeholders for feedback and comments, to be collected by the end of June 2022.

The co-chairs led full-group meetings and the subcommittee meetings they chaired, and provided extensive logistical support for all the subcommittees and members, including creating a self-assessment / narrative structure that followed SEA Change criteria and guidelines, facilitating data preparation, access, organization, and summarization, drafting and formatting text, and any other support as needed.

One of the co-chairs has 11 years of experience as an HR administrator with deep knowledge and extensive experience in negotiating the legal boundaries of this type of work. In addition, legal counsel has been actively involved throughout this process.

Estimated breakdown of person-hours for Change team members:

- co-chairs: between the CP/EVC office and the AA division, we estimate upwards of 400 hours (as of April 2022);
- subcommittee chairs other than the co-chairs: 25 to 35 hours, depending on whether they were members on a second subcommittee;
- other members: 15 to 20 hours;
- project manager assistant: approximately 70 hours.

To recognize the additional time commitment of faculty subcommittee chairs, they were awarded research funds to help increase their research productivity as an offset of time. A staff subcommittee chair was nominated for and received a monetary award for exceptional performance beyond the normal scope of her position. The project manager assistant was compensated for her additional work.

Co-chairs will oversee and track the progress of the items on the action plan and recruit additional members as needed for implementation of those activities.

4. Institutional composition

4.1. Faculty

Over the past 10 years, our Senate faculty has increased from 12.6% to 17% under-represented minorities (Latinx, Indigenous, or Black). We believe this progress to be the result of intentional efforts that consider contributions to diversity statements and other equitable hiring practices that have been shown to be effective in producing diverse candidate pools at each stage of the hiring process (see Section 5 below). The remainder of this subsection discusses this trend in a disaggregated way, focusing on the last 5 years.

The faculty composition (in percent) across 3 years (2016-17, 2018-19, 2020-21) is plotted in Figure 1. The figure plots the race/ethnicity × gender intersection (interaction) disaggregated by division and by tenured vs. untenured status.

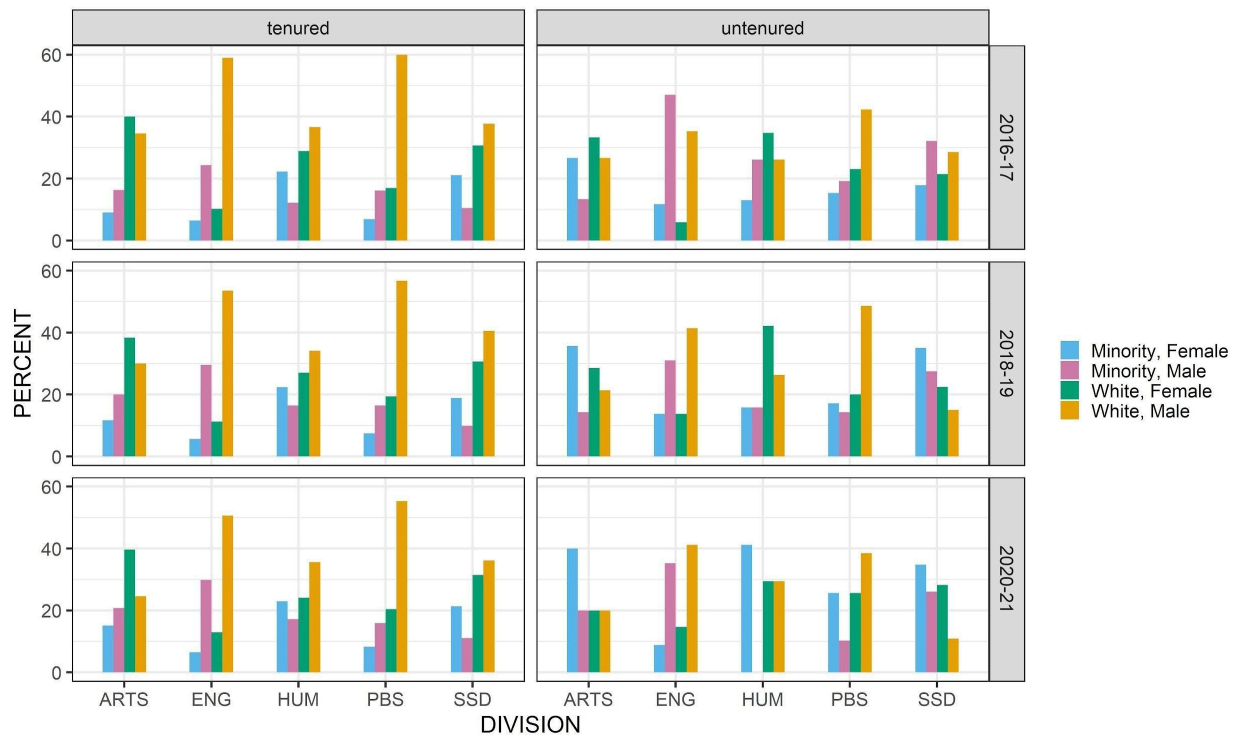


Figure 1. Faculty composition (%) across 3 years (rows: 2016-17, 2018-19, 2020-21), disaggregated by tenured (left column) vs. untenured (right column), by academic division (x-axis) and by race/ethnicity × gender.

There are no gender reporting options other than binary for the data plotted in Figure 1. For race/ethnicity, we followed the federal category labels (Minority vs. White) for easier comparison with the data associated with our Affirmative Action Plans (AAPs; see below). To protect personally identifiable information (PII), we aggregated race/ethnicity data into the binary categories {Minority, White}. The small number of Unknown responses for race/ethnicity have been removed from the data before plotting. Protecting PII is also the reason for not providing tables with raw counts and/or exact percentages.

The categories used by the federal government for affirmative action programs and census data are the following: Black or African American, Hispanic or Latino, Asian, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, and Two or More Races. These are the categories included in the Minority category in Figure 1. UC's options for self-identification do not match the federal requirements. The following UC options were aggregated into the corresponding federal categories (and subsequently aggregated into the Minority/White categories):

Federal	U
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Hispanic or Latino	Mexican/Mexican American; Latin American/Latino; Other Spanish/Spanish American
Asian	Chinese/Chinese American; Filipino/Filipino American/Pilipino/Pilipino American; Japanese/Japanese American; Korean/Korean American; Pakistani/Pakistani American/Indian/Indian American; Vietnamese/Vietnamese American; Other Asian/Asian American
Black or African American	Black or African American
American Indian or Alaska Native	American Indian or Alaska Native
Native Hawaiian or Other Pacific Islander	Native Hawaiian or Other Pacific Islander
White	European; Middle Eastern; North African; White (Not Specified)

We will discuss the plots in Figure 1 from left to right, focusing on the tenured faculty first and then on the untenured faculty. We will start with the 2 STEM divisions, and then discuss the 3 non-STEM divisions.

4.1.1. STEM faculty (ENG and PBS)

It is immediately clear that the percentage of white male faculty in STEM (ENG and PBS) is considerably higher than in non-STEM (ARTS, HUM, and SSD). There is, however, a decreasing trend over the years, with white male faculty in ENG around 50% in 2020-21, and around 55% in PBS in the same year (see bottom left panel in Fig. 1). The second highest faculty percentage in ENG is minority male, and in PBS is white female. The percentage of white female faculty is on an upward trend in both ENG and PBS. The smallest percentage of faculty in both ENG and PBS is minority female, and the percentages have remained relatively steady over the years, with a slight increase in 2020-21.

The largest percentage of untenured faculty in STEM is white male, hovering at around 40% over the years in both ENG and PBS. ENG is making consistent efforts to hire minority males, with percentages in the neighborhood of the white male percentages over the years (between roughly 35% and 45%). The percentages of minority or white female new hires in ENG remain consistently depressed throughout the years, ranging between about 5% and 15%. In contrast, PBS evinces a sustained strategy of hiring minority and white females over the years, with increasing percentages that peak at about 25% for each of these groups in 2020-21 (see bottom right panel in Fig. 1). It should be noted, however, that in 2020-21, 8 of 15 new hires in ENG were female, so there is a significant recent change in faculty composition not reflected in this data.

4.1.2. Non-STEM faculty (ARTS, HUM, SSD)

The non-STEM divisions have a much more diverse tenured faculty. While the highest percentage of faculty in HUM and SSD consists of white males, this percentage remains relatively steady over the years in the range of 35-40%. ARTS stands out as the only division with white females as the highest percentage, which hovers around 40% over the years. The percentage of white male faculty is on a clear decreasing trend in ARTS, dropping from 35% to about 25% in 2020-21 (bottom left panel in Fig. 1). The percentage of minority female faculty in HUM and SSD consistently exceeds 20% (with one minor exception), and is on a clear upward trend in ARTS with a percentage of around 15% in 2020-21 (also bottom left panel in Fig. 1). The percentage of minority males is steady in SSD (approx. 10%), increasing in HUM (exceeding 15% in 2020-21), and also increasing in ARTS (exceeding 20% in 2020-21).

The untenured faculty in the non-STEM divisions seem to reflect a diversity-oriented hiring strategy, with minority faculty and white females providing the bulk of the faculty in this category.

4.1.3. Affirmative Action Plans (AAPs) and underutilization

The Exhibit 2 data from the 2020 UCSC AAP is summarized in the table below. Each cell provides the actual percentage, the availability percentage, and whether there is underutilization.

The availability percentages for both females and minorities indicate percentage availability for hire in the external labor market. The external labor market for faculty is national, and comes from two different availability factors: an external factor -- 2006-2010 American Community Survey (ACS) census and population data (in 2022, all affirmative action plans must use the most recent census data); and an internal factor -- percentage of women and minorities among those promotable, transferrable, and trainable within the university.

AAP YEAR 2020	Tenured		Untenured	
	Female actual% / avail% / under	Minority actual% / avail% / under	Female actual% / avail% / under	Minority actual% / avail% / under
ARTS	55.6 / 46.9 / NO	27.8 / 21.5 / NO	58.8 / 45.9 / NO	52.9 / 19.1 / NO
ENG	18.3 / 22.6 / YES	35.2 / 30 / NO	24 / 27.4 / NO	48 / 27.8 / NO
HUM	43.9 / 51.3 / YES	40.2 / 20.1 / NO	50 / 50.9 / NO	33.3 / 19.6 / NO
PBS	28 / 41 / YES	24.2 / 23.6 / NO	41.7 / 42 / NO	30.6 / 23.2 / NO
SSD	49.5 / 49.8 / NO	32.1 / 27.9 / NO	56.4 / 49.2 / NO	59 / 24.7 / NO

We see that, in 2020, there is underutilization only for tenured female faculty in three divisions: the HUM division, and the 2 STEM divisions ENG and PBS.

4.2. Administrators and diversity in leadership

The academic leadership demographic data in the 4 categories used for faculty in the previous section are as follows: Minority, Female - approx. 28%; Minority, Male - approx. 17%; White, Female - approx. 22%; White, Male - approx. 33%. This includes academic deans and other academic leadership, not including the top leaders of our campus who are both white females. This data is based on an institutional data submission in fall 2021 at the request of Eos Foundation's Women's Power Gap Initiative (WPG) and American Association of University Women (AAUW). The resulting 2022 study conducted by WPG in partnership with AAUW ranks UCSC as #1 among all R1 universities for gender diversity in leadership. Not only are our chancellor and campus provost women, but 2 of the previous UCSC chancellors were women, the 2 previous non-interim provosts were women, and 60% of the Chancellor's Cabinet, 38% of the academic deans and 36% of tenured full professors are women.

4.3. Graduate students

The graduate student composition (in percent) across 3 years (2016-17, 2018-19, 2020-21) is plotted in Figure 2. The figure plots the race/ethnicity × gender intersection (interaction) disaggregated by division and by Doctoral vs. Masters students.

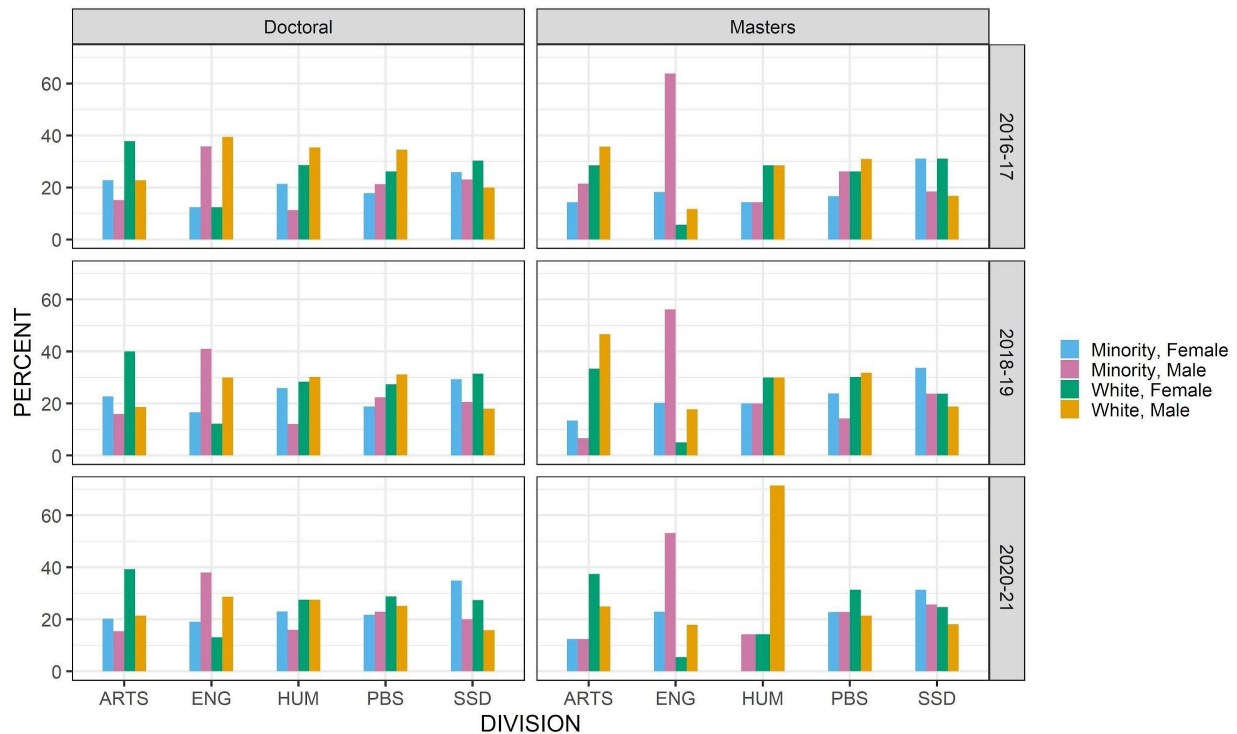


Figure 2. Graduate student composition (%) across 3 years (rows: 2016-17, 2018-19, 2020-21), disaggregated by Doctoral (PHD/DMA, left column) vs. Masters (MA/MS, right column), by division (x-axis) and by race/ethnicity × gender.

To streamline an already complex pattern of plots, we do not plot the relatively small number of MFA students in Fig. 2. Similarly, to facilitate the comparison with the faculty-composition plots in Fig. 1 above, we omit the relatively small number of ternary gender (U) observations in the graduate student data, as well as the small number of Unknown race/ethnicity observations.

4.3.1. STEM students (ENG and PBS)

The composition of PhD and Masters students differs in the 2 STEM divisions ENG and PBS.

In ENG, the doctoral students are primarily male, and over the years, we see a trade off between minority male percentages that are increasing from about 35% to 40%, and white male percentages that are decreasing from about 40% to 30% percent. The percentage of white female doctoral students remains steady around 12-13%, while the percentage of minority female doctoral students increases from a little more than 10% to almost 20% in 2020-21 (bottom left panel in Fig. 2).

The composition of ENG Masters students remains relatively stable across the years, with minority male students in the highest percentage (ranging between around 55% and 65%), followed by minority female students (percentages increasing from slightly below 20% to slightly above 20%). The percentage of white female Masters students remains steady around 5%.

In PBS, the percentage of white male doctoral students is on a downward trend from about 35% to 25% in 2020-21 (also bottom left panel in Fig. 2). The percentage of minority male doctoral students remains steady slightly above 20%. In contrast, the percentage of female doctoral students is increasing, from slightly below 20% to above 20% for minority female students, and from slightly above 25% to almost 30% for female students.

The composition of PBS masters students shows an upward trend for minority students, with both female and male Masters students above 20% in 2020-21 (see bottom right panel in Fig. 2). The percentage of white male doctoral students is decreasing from around 30% to around 20%, and the percentage of white female doctoral students is increasing from around 25% to more than 30%.

4.3.2. Non-STEM students (ARTS, HUM, SSD)

Among the 3 non-STEM divisions, ARTS and SSD are notable for maintaining across the years minority and white female percentages of doctoral students that exceed the corresponding male doctoral student percentages. This is also true for the SSD Masters students. In HUM, white doctoral and Masters students (both female and male) consistently have the highest percentages, with somewhat minor variations.

Overall, we see that the composition of graduate students is much more evenly spread across the 4 race/ethnicity × gender categories compared to the faculty composition, which is more clearly skewed towards white and male faculty.

4.4. Undergraduate students

The undergraduate student composition (in percent) across 3 years (2016-17, 2018-19, 2020-21) is plotted in Figure 3. The figure plots the race/ethnicity × gender intersection (interaction) disaggregated by division. One additional division UED (the Division of Undergraduate Education) appears in these plots for students that have not yet selected a major in one of the 5 disciplinary divisions.

To streamline an already complex pattern of plots, and to facilitate the comparison with the faculty-composition plots in Fig. 1 and with the graduate-student-composition plots in Fig. 2 above, we omit the small number of ternary gender (U) and of Unknown race/ethnicity observations in the undergraduate student data.

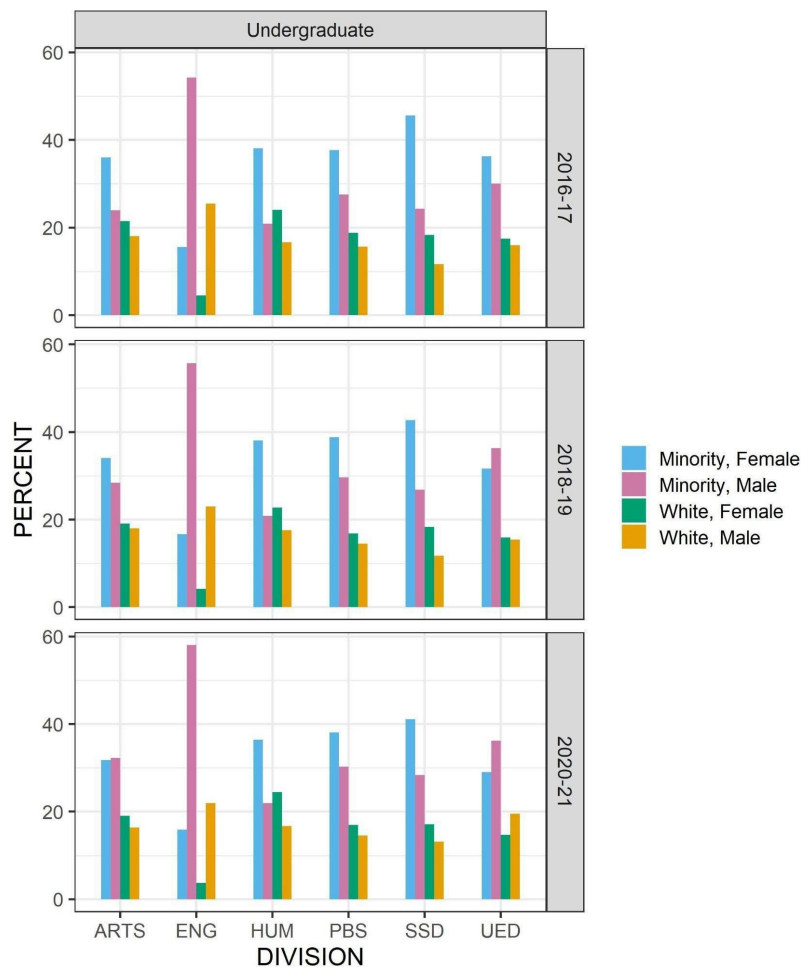


Figure 3. Undergraduate student composition (%) across 3 years (rows: 2016-17, 2018-19, 2020-21), disaggregated by division (x-axis) and by race/ethnicity × gender.

Overall, we see that the pattern of race/ethnicity × gender for the undergraduate student composition is pretty much the reverse of the faculty composition (and the graduate student

composition is somewhere in between). The minority female students are almost always the highest percentage, usually around 35-40%, followed by the minority male students, usually around 25-30%. The pattern is fairly consistent across the 3 non-STEM divisions, UED and PBS (one of the 2 STEM divisions).

ENG is an obvious exception with respect to undergraduate student composition: minority male students are consistently the largest percentage (in the 55-60% range), followed by white male students (in the low-mid 20% range). We see that ENG is significantly and consistently male dominated at the faculty, graduate student and undergraduate student level. The highest percentages trade off between white males - among the faculty - and minority males - among the graduate and undergraduate students.

4.5. Action plan items

Action plan item 1: Faculty with Disabilities Workgroup

Context

At present, it is estimated that about 1.4-5% of University of California faculty identify themselves as having a disability. When compared to the 25-33% of incoming first year students who identify as having a disability, there is a glaring lack of representation and mentorship for students with disabilities in the UC system, including at UCSC. Disability is an important – but often neglected – component of any diversity initiative and comprises an essential vector for a truly intersectional view of equity questions.

Action

Building on the work of the Advancing Faculty Diversity Workgroup (2020-2021), which found a marked dearth of materials related to the recruitment, hiring, and retention of faculty with disabilities, a small team of faculty will convene to achieve two goals:

- review the research that does exist to try to understand the scope of the barriers to hiring and retaining faculty with disabilities; special attention will be given to the ways in which some campuses across the country have attempted to take an “ecosystem” approach to disability, such that “disability resource centers” are not solely student-facing, but engaged with rethinking and remaking the interactive accommodation process for all students, faculty, and staff;
- interface with the small affinity and advocacy groups that are emerging on other UC campuses for disabled faculty; the team will document this network and, in the fall of 2023, convene a group for a two-day workshop at UCSC on a) creating better conditions for disabled faculty currently working in the UC and b) the recruitment and hiring of a more diverse, representative faculty.

5. Faculty: Recruitment to Hiring

5.1 Recruitment Practices

We have extensively revised our campus Senate faculty hiring processes to increase the diversity of our applicant pools and to ensure inclusive hiring practices. Hiring policy is mostly centralized on our campus, which allows for more standardized practices across all disciplines.

5.1.1. Conceptualizing the position

Starting with the conceptualization of the position, we encourage searches to either be in an area targeted to attract applicants from underrepresented groups, or to be broadly defined searches. Research has found that applicants from underrepresented groups can be attracted to certain sub-disciplines (e.g., we are currently running a search in the Film and Digital Media department in the area of Indigenous media) or for areas that relate to public/engaged scholarship (e.g., searching in "Architecture and Affordable Housing" instead of "Architecture and Urbanism"). Alternatively, larger applicant pools have been found to be more likely to be representative of the available diversity, so broader searches tend to result in larger and thus more diverse pools.

5.1.2. Job description

The job description is the next step. The Vice Provost for Academic Affairs (VPAA) and the Academic Recruitment Manager review the wording of all descriptions to check for gendered language². They also check that there are not unnecessarily restrictive criteria. We integrate DEI language into the descriptions, to make the position more attractive for potential applicants from underrepresented groups. Current advertisements typically include both "The successful candidate must be able to work with students, faculty and staff from a wide range of social and cultural backgrounds. We are especially interested in candidates who can contribute to the diversity and excellence of the academic community through their research, teaching, and service" and "We welcome candidates who understand the barriers facing women and minorities who are underrepresented in higher education careers (as evidenced by life experiences and educational background), and who have experience in diversity, equity, and inclusion with respect to teaching, mentoring, research, life experiences, or service towards building an equitable and diverse scholarly environment."

5.1.3. Required statement of contributions to DEI

All applicants are required to submit a statement of contributions to DEI. Because we have integrated DEI language into the job description, this statement is a clear part of assessing job qualifications, and not just an added piece of bureaucracy.

² Gaucher, D., Friesen, J., & Kay, A. C. (2011, March 7). Evidence That Gendered Wording in Job Advertisements Exists and Sustains Gender Inequality. *Journal of Personality and Social Psychology*. doi: 10.1037/a0022530

5.1.4. Outreach efforts

The campus emphasizes the importance of significant outreach efforts, as a large pool is typically a more diverse pool. Our campus has focused on outreach for over ten years, and most faculty understand it to be “what we do” when we launch a search. In California, outreach may legally be done preferentially to potential applicants from underrepresented groups, and we encourage that practice.

The deans monitor the diversity of the pool at multiple stages, and will pause or stop a search if the pool is insufficiently representative of the available diversity (defined using the National Opinion Research Center data on completed PhDs by sub-field, comparison to pool diversity data for the last five years for assistant professor searches, and the last fifteen years for tenured searches). After decanal interventions in two different divisions, word got around and faculty take outreach responsibilities seriously.

Each search committee is tasked with outreach appropriate for their discipline, and this typically includes outreach to societies or interest groups representing diverse scholars, as well as reviewing past UC Presidential/Chancellors post-docs, who are selected in an extremely competitive process based on both research excellence and contributions to DEI. UC Santa Cruz has one of the highest rates of utilization of the Presidential post-doc hiring incentive program, particularly when considering that our campus makes fewer hires overall than most other UC campuses. This incentive program allows for the hiring of a Presidential (or Chancellor’s) post-doc into a tenure-track position without an open search, as they were already selected through a highly competitive process; the incentive also provides five years of forward funding. These hires are an important component of the diversification of faculty throughout the UC system.

5.1.5. Fair hiring training

Before reviewing applications, all members of the search committee are required to participate in fair hiring training (at least once every three years). The current version of the training is run by the VPAA and includes an online component on implicit bias and a live component with training on how to evaluate a contributions to DEI statement. The previous version of the training (which was run in 2013-2018) focused on various elements of implicit bias, including in the letters of recommendation. In some cases, we will run a training session for an entire department to get more people trained.

5.1.6. First-round screening based on DEI and research statements

To try to mitigate implicit bias that can show up in both the CV (such as the pedigree of the candidate) and the letters of recommendation, most of our searches now do a first-round screening based only on the statement of contributions to DEI and the research statement, and currently, in ENG, only the diversity statement is reviewed in the initial round. This also puts more of a spotlight on contributions to DEI, so that it isn’t just an afterthought. Applications that do not meet a basic level of competence in both DEI and research are not reviewed further.

The VPAA currently runs a calibration session for search committees to help them practice using a rubric to evaluate diversity statements. The rubric breaks down the evaluation into considering knowledge about diversity and barriers faced by underrepresented individuals, actions taken to support DEI, and future plans. The rubric is also made available to applicants, so they can see how we assess statements.

5.2 Hiring and Support

5.2.1. Hiring authority

Routine tenure-track hires are made by the deans, who monitor for equity in salaries and start-up within their divisions. Tenured hires require central approval, providing campus-level monitoring for equity. Deans are held accountable for their diversity efforts in their annual reviews.

5.2.2. Onboarding new hires

Teaching Academy and New Faculty Orientation

New hires come to a two-day Teaching Academy and a one-day orientation, to help them understand the university's organization and processes and prepare them for successful teaching at a minority-serving institution with a large percentage of first-generation students.

Multi-level approach to new faculty mentoring

The campus supports a multi-level approach to faculty mentoring, with a mentor assigned within the department and a second mentor assigned from outside the department. That external matching is done by the Senate Committee on Career Advising (see Subsection 7.1.2 below), which also runs a series of workshops throughout the year for new faculty. Mentors provide advice on all areas of the job, including research, teaching, and service.

5.3 Contingent faculty (Unit 18 Lecturers)

Demographics of our Senate faculty were previously discussed in Section 4. Here we supplement that discussion with demographics of our contingent faculty, referred to in the UC System as "Unit 18 Lecturers". These faculty are union-represented and obtain a degree of job security after six full years of employment (continuation rights).

Recruiting for this population can be particularly challenging. We know that a larger recruitment pool that draws from outside of our area would help to increase the diversity of our pool of candidates. However, when recruiting a lecturer to teach just one or two classes that may only be offered in one or two quarters (initial appointments can be made for as little as one class for one quarter) there is minimal incentive to move to an area that has such a high cost of living.

We therefore find that most of our lecturers are already established in Santa Cruz or the surrounding communities. These faculty teach the majority of the freshman core course, the subsequent writing courses, and many of the introductory large-lecture courses. Thus, these faculty greatly impact how our newest students experience university-level instruction at UC Santa Cruz.

Similar to the Senate faculty, diversity is more of an issue for lecturers in STEM fields. Recent data shows that only 7% of lecturers in STEM fields are from underrepresented groups, whereas 14% are in non-STEM fields. 33% of lecturers in STEM fields are female, compared to 46% in non-STEM fields. Only 3% of STEM lecturers are female URMs.

It is notable that unlike most institutions, our Senate faculty are actually more diverse than our lecturers. We have been much more intentional about changing recruitment and retention practices for our Senate faculty than for our lecturers, and thus an action item below is to bring a new focus to our lecturers. We recognize that issues around compensation, job security, and benefits make this a challenging endeavor given the local cost of living. The newly ratified U18 contract does make some steps towards addressing these issues, but further action will be needed in order for this campus to make strides comparable to those of our Senate faculty.

There has been no equity study for lecturer compensation. For our Senate faculty, our campus regularly performs a salary equity study. These studies have consistently found that there are large salary differences between disciplines (e.g., astrophysicists have higher average salaries than biologists), but that our campus does not have salary discrepancies by gender or ethnicity once discipline has been controlled for. However,.

5.4 Action Plans

Action plan item 1: the Faculty Equity Advocate (FEA) program

In the academic year 2022-23, we plan to implement the Faculty Equity Advocates (FEA) program. This program will involve 10 faculty members, 2 per each of the 5 disciplinary divisions, who will work towards improving both recruitment and retention of faculty on our campus.

FEAs will be trained by making use of resources across the UC, for example by attending recruitment training at UC Irvine, reading training materials developed at UC Santa Cruz and UC Merced, and reviewing and revising search committee training materials developed at UC Merced.

One FEA per division will focus on running hiring trainings and working with deans, department chairs, and search committees on best practices for equity hiring, including cultivating peer leaders in departments so that top-down emphases on equity are reinforced by bottom-up approaches.

One FEA per division will focus on creating informational resources, for example:

- a flow chart about whom to go to for what kind of issue that can be found at the Academic Affairs website
- identifying other practices that will improve retention of faculty of color.

This work will also include building campus community by meeting with Faculty Networking Groups (FNGs; for more information about FNGs, see Action plan item 1 in Subsection 7.3 below and further description in Section 11) and building mentorship and networking connections.

FEAs will also develop and implement assessments of the FEA program, such as through faculty surveys and exit interviews.

Action plan item 2: Inclusive Hiring for Unit 18 lecturers

Starting in the academic year 2022-23, we will begin investigating how to design inclusive hiring practices for lecturers, and how to better incorporate DEI into the personnel review. Depending on the results of that investigation, we will implement recommendations related to these two issues.

Having given a lot of attention to our hiring practices for Senate faculty, we will maintain those efforts while directing new attention on hiring practices for lecturers. We will explore which Senate recruitment practices can be applied to lecturer recruitments, such as adding DEI language into job descriptions and requiring a statement of contributions to diversity, equity, and inclusion for all applicants (currently this is left up to each hiring unit, and only some do this). We will think harder about what it means to recruit lecturers and how and where we advertise these positions, and offer appropriate support and training to the faculty who are responsible for these recruitments. We will also think about whether some of our part-time positions can be repackaged into full-time positions to be more desirable and thus attract larger applicant pools. We will be revisiting our review processes for lecturers, and we will consider how to better incorporate contributions to diversity, equity, and inclusion into the review process, again with analogies to the Senate faculty review process. We will consider opportunities for lecturers to participate in training with a focus on successful teaching at a minority-serving institution with a large percentage of first generation students.

Action plan item 3: Short-term waivers of recruitment for GSIs

Starting in the academic year 2022-23, we will consider opportunities for short-term waivers of recruitment for Graduate Student Instructors (GSIs) to be hired as lecturers in the summer after their graduation. These waivers could offer a dual benefit. On one hand, graduate students more closely represent the diversity of our undergraduates. On the other hand, they offer a “closer to peer” experience that can greatly benefit our students.

6. Key transition points for faculty after hiring



6.1. Faculty promotion & tenure

The tenure and promotion process at UCSC follows the policies described in two main documents, the APM (for all UC) and the CAPM (for the UCSC campus). Faculty files are reviewed in the department (or equivalent ad hoc peer committee, for some appointees), by the divisional deans, by the Academic Senate Committee on Academic Personnel (CAP), and by the Campus Provost/Executive Vice Chancellor (CP/EVC, for promotions other than tenure, mid-career appraisals, and for accelerated merits) or Chancellor (for tenure promotion). The CAP serves as an advisory group, and it is constituted by faculty from all Divisions, and as of 2021/22 includes a Teaching Professor with voting rights. Clarification is regularly provided in memos written by CAP, the CP/EVC, and/or the Chancellor.

Tenure and promotion standards, criteria, timelines, and procedural requirements apply to the UC system as a whole (if a faculty moves to another UC campus, tenure/promotion rank and step remain, at least, the same). However, there are differences between UC campuses in terms of delegations and protocol. (For example, at UCSC, there is no Step 5 for Associate Professors, there is a special emphasis at tenure and promotion on work accomplished since arriving at UCSC, and we also have a special salary practice/policy that is different from other UC campuses' practice.) The timeline for review is typical for research universities: tenure files must be submitted after the 6th year (tenure review must begin no later than the 19th quarter), but can be submitted earlier, and there is an 8 year cumulative limit on service at the untenured ranks. Service at the Associate rank can be indefinite, but promotion to full Professor is expected after six years. The criteria are weighed across research, teaching and service to campus and to the profession.

There is central guidance in recognizing service, which is updated as needed. For example, the document "Recommendations to Facilitate the Review of Files (*Drafted by the Committee on Academic Personnel, Spring 2021*) describes how service varies across ranks; two recent memos "Guidance for Senate faculty Personnel Reviews in 2020-21" (October 8, 2020, EVC and CAP Chair) and "COVID Impacted Personnel Reviews May 2021 Guidance" (May 11, 2021; EVC and CAP Chair) describe how to evaluate files, including service during the first pandemic year. Complaints about the tenure/promotion process are investigated by the Academic Senate Committee on Privilege and Tenure.

Communications and mentoring about how to succeed in pursuit of tenure and promotion are provided at multiple levels and locations: the department chair and department faculty mentor (if available), the APO, the Senate Committee on Career Advising (CCA) and on Academic Personnel (CAP).

UCSC has a very small number of failed tenure cases, so we are unable to provide disaggregated data. In the past 3 years, every promotion to full professor case was successful;

of the 57 tenure cases, only 2 were unsuccessful (3.5%). Of those two, one was male, one was female, neither were URM. One was STEM, the other was non-STEM.

We acknowledge as a existing issues:

- The need for better coordination across mentoring venues and levels; the fact that information is difficult to locate and collect and requires expertise to explain and use examples; department chairs both chair reviews and mentor candidates for tenure/promotion, and this can lead to confusion between the two roles.
- The appropriateness of criteria and other factors that may affect diversity, equity and inclusion, which might not fully reflect the “taxation” in both service and teaching many faculty who are women and/or URMs experience and report.
- APO sends salary data to CFW every year, and CFW does their own analysis. Other than competitive outside offers, salaries are adjusted most years through the systemwide range adjustment and any additional salary programs implemented by the UC President. Other than that, there are only two ways to adjust the salary: a) Career Equity Review (CER), which does not technically adjust salary, only rank/step, and b) merit advancement (every 2-3 years), which is associated at UCSC with a special salary practice, based on merit in the three review categories (research, teaching and service).
- Faculty do not receive continual support for research beyond starting offers; this varies across departments and divisions.
- Money for travel, support for research assistants or staff, internal grant competitions, and the like are awarded through proposals and competition.
- Campus resources are low. For example, Committee on Research (COR) Travel grants are \$700 per year; there is no support for some prestigious fellowships with no overhead (Spencer, CASBS), and faculty use sabbatical credits instead of having campus financial support as is the case at other UC campuses. Another example is serving as editor for prestigious journals without any course release time (at least in the Social Science Division).
- It is not clear that equitable opportunities for mentoring and community building are available, or that faculty of all races, ethnicities and genders are equally aware of requirements and opportunities for advancement and success; a survey could provide this data.

Issues identified through discussions for this report:

- The criteria for tenure/promotion are not equal across the three categories (Research - Teaching - Service). Research weighs more heavily (for research faculty, but not for teaching professors). There are at least two issues: this difference has not been stated with a quantity (something other research universities do outright), and the special salary practice may lead faculty to assume that each category weighs equally ($\frac{1}{3}$).
- In the future, the campus needs to consider (internally) any salary inequities, and decide how to identify and address them. There is a need to collect data on salaries across disaggregated groups, taking into account factors such as field, length of time in a role,

experience, and type of position; and comparisons to something like the AAUP Faculty Compensation Survey to identify any differences, and to sustainably meet the institution's mission-driven objectives.

- Women and faculty of color may be over-represented at the long term Associate Professor rank, especially after serving as department chairs, college provosts, or other administrative positions. Currently, this issue has been addressed by course releases, writing groups, etc. through campus CP/EVC Fellowships. Campus will need to assess whether and how this program made a difference, for which faculty, etc.
- The purpose of the Career Equity Review (CER) is misunderstood. Campus will need to assess whether and how this program made a difference, for which faculty, etc.

6.2. Career pathways

There are at least two ways that we interpreted as "different career pathways." One is as "pathways to administration" and the other is as "pathways for change of series" for ladder faculty, teaching professors, Unit 18 lecturers, and professional researchers.

Pathways to administration

In addition to the Faculty Administrative Leadership Program (FALP), other pathways include department chairships, associate deanships and Senate leadership (either of committees or of the Senate as a whole). There is some evidence for barriers to diversity, equity, and inclusion in progression in the pathway to campus leadership as documented in a recent report (Covarrubias et al, 2021).

Pathways to change of series

At present, the CAPM describes two pathways as "change of series" for ladder faculty, teaching professors, Unit 18 lecturers, and professional researchers. The Chancellor may appoint an Associate Professor or Professor to the Lecturer with Security of Employment (LSOE) or Senior LSOE title — with a recommendation from the department and written consent of the faculty member, and in a way consistent with campus academic review processes.

An appointee in the LSOE (teaching professor) series may move into the "professorial series," i.e. ladder faculty, consistent with campus academic review processes and only upon satisfying recruitment compliance.

The campus does not have a document providing an overview or analysis of different career pathways at the institution. There is a need to determine priority areas the institution will address to explore breakdowns in career pathways and subsequent "change of series." For example, it seems that competing in an open recruitment or the Target of Excellence process are the only pathways for an adjunct instructor to switch to the ladder-rank professor series. Additionally, there might be a need to develop a more well-documented pathway for ladder-rank associate professor to LSOE/teaching professor series.

6.3. Faculty review

Process and criteria

UCSC's Campus Academic Personnel Manual (CAPM) and the University of California Academic Personnel Manual (APM) describes the policies for faculty review, merit and promotion. Each year in the Spring, the CALL is released which lists senate faculty that are eligible to be reviewed during the next academic year. Faculty at the Assistant Professor rank are pre-tenure, and are reviewed every 2 years for reappointment and step advancement. Post-tenure faculty at the Associate Professor rank are typically reviewed every two years and at Full Professor rank are typically reviewed every three years. After the faculty under review submits their file, it is reviewed first by the department and then subsequently by the divisional Dean, the academic senate Committee on Academic Personnel, and in some cases the campus provost (the Executive Vice Chancellor) and the Chancellor. The order of review and the delegation of final authority depends on the rank and step of the candidate being reviewed and in some cases on the initial recommendation made by the department.

Feedback to faculty, comments from faculty on the review process

Faculty have several opportunities to comment during the review process. They submit a personal statement as part of their original materials, which is reviewed by all levels of review. Additionally, before the file leaves the department to go to other levels for review, faculty have the option to augment their files with letters that address the external letters (if solicited as part of the review) and that address their departmental letter of appraisal. Once they hear the final decision, if they think that the decision was made because of a factual error that influenced the outcome, they have the option of submitting a request for reconsideration.

Defining faculty excellence

Criteria for review are focused on teaching, research and service according to APM 210-1d. The overview of APM 210-d is provided here:

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of scholarly work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to

tenure positions. Insistence upon this standard for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of the candidate's activity in all four areas. The University of California is committed to excellence and equity in every facet of its mission.

Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

Special salary practice

There is a Special Salary Practice that rewards performance above expectations with additional salary increases. In some cases, the application of inclusive pedagogical practices are considered when assessing the teaching performance of faculty. Service that promotes DEI should always be recognized, as per policy, and it is sometimes rewarded.

Code of conduct

While UCSC has a code of conduct and community standards, these are not typically addressed in the personnel review process. Rather, violations of the code of conduct, violations of Title IX and harassment and exclusion based on a protected identity, are handled by separate processes outside of the personnel review process. Exceptions to this would be if there was abusive or harmful behavior that impacted the candidate's performance in teaching, research or service.

Fairness across fields, bias training

The Academic Senate Committee on Academic Personnel, and the CP/EVC and Chancellor provide a mechanism to review faculty across different fields in an equitable manner. But there are no formal opportunities for redefining excellence, and there is no anti-bias training and support. Furthermore, there is a need to provide more specific guidelines to adequately acknowledge and reward work that promotes DEI in research, teaching and service.

6.4. Faculty retention

We have analyzed the available aggregated data on retention actions and separations during the five-year period from 2016-17 to 2020-21, and compared it with the total number of faculty. We did have access to some race/ethnicity and divisional affiliation information.

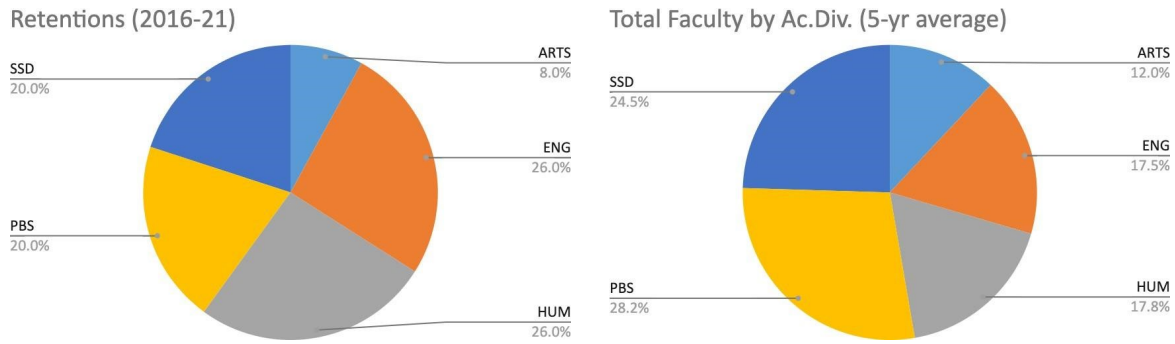


Figure 4. Percentages of combined retentions plus separations (left) relative to percentages of faculty members by academic division (right).

Figure 4 shows the percentages of combined retentions plus separations (left) relative to the percentages of faculty members by academic division (right). ENG and HUM are the 2 divisions in which these percentages are substantially out of alignment, with retention / separation percentages higher than the corresponding percentages of total faculty in these divisions. This is further illustrated in Figure 5, which shows the rate of retentions or separations by division. Remarkably, PBS ranks next-to-last in the rate of retention actions/separations.

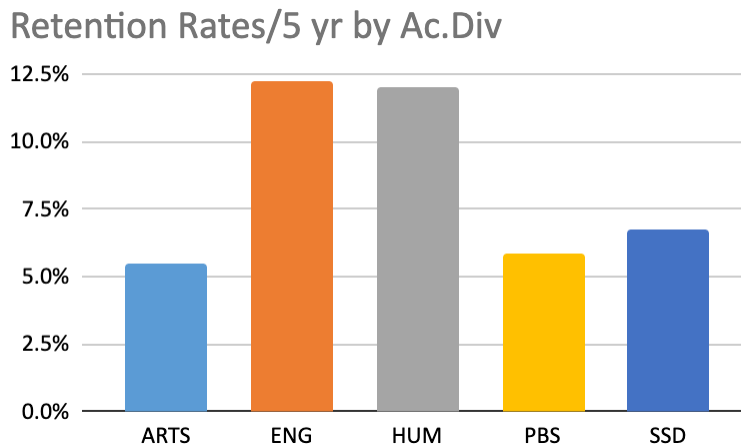


Figure 5. Retention and separation rates (5-year average) by division.

The breakdown by ethnicity and gender shows that female faculty and non-white faculty are significantly more likely to seek a retention action, or to separate (notice that the percentage on the x-axis indicates the fraction of faculty in the given category). This could be associated with the perception of inequity in faculty promotion and compensation. Salary data indeed show that female, non-white faculty salaries are significantly lower, around 6%, both at the Assistant professor and at the Full professor ranks; however, this percentage pools all salary data, including ENG and Econ, which have a different (higher) scale; when we compare within disciplines, we do not observe this type of gap.

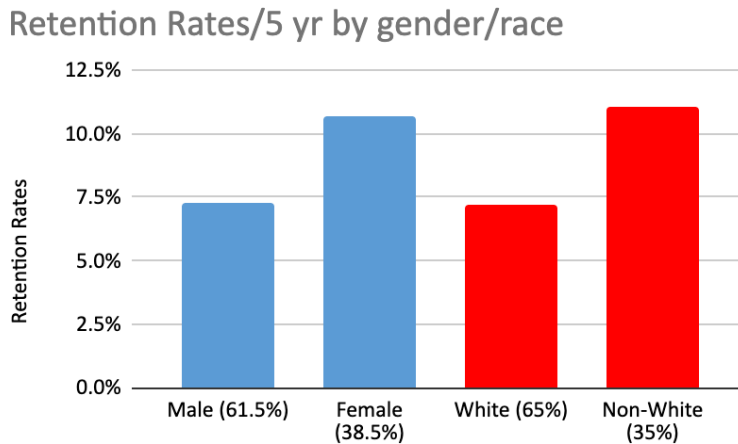


Figure 6. Retention and separation rates (5-year average) by gender and race/ethnicity.

While UCSC has conducted exit interviews, we did not have access to aggregated or disaggregated interview outcomes. No comprehensive studies of the exit interviews have been done so far.

Campus practice regarding retention actions requires faculty to present a formal offer from the competing institution. The case is reviewed by the department and CAP, and authority for retention-based salary increases is delegated to the CP/EVC. Sometimes offers are matched to the dollar amount, without factoring in differences in e.g. cost of living or housing. Additionally, in the case of offers from institutions outside the United States, offers are matched using a straight currency conversion: this practice is highly problematic, since the notion of gross salary varies greatly, for instance between US and European institutions (European salaries are net of retirement, health insurance and other benefits). UCSC lost several faculty to a campus practice that does not by default allow for adjustments for such differences in matching offers.

6.5. Action Plan Items

Action plan item 1: creation of a mechanism for a “salary equity” review

Context:

Several other UC campuses have mechanisms to request *salary* equity reviews for faculty members, while UCSC at present only allows for a *career* equity review, that, however, is limited to addressing whether a faculty member is at the right rank and step for their seniority and stature in their respective disciplines. The campus needs to consider and identify (internally) any salary inequities, and decide how to address them. There is a need to collect data on salaries across disaggregated groups, taking into account factors such as field, length of time in a role, experience, and type of position; and potentially comparisons to the AAUP Faculty Compensation Survey or similar surveys and to sister UC campuses when appropriate to assess any differences, to sustainably meet the institution’s mission-driven objectives.

Historically low faculty salary growth rates at UCSC compared to other UC campuses (and other comparison higher ed institutions) originally motivated the creation of a “Special Salary Practice.” The APO provides an annual report examining the equity of UCSC ladder-rank salaries relative to other UC campuses. Commissioned by a 2008 Joint Senate-Administration Task Force on Faculty Salaries, this report was specifically designed to measure the effectiveness of policy and practice changes to make our professorial salaries competitive within UC. The changes aimed to first match the median off-scale dollar amount of the next-lowest campus as of the original 2008 report (then UC Davis) and then raise median UCSC professorial salaries to the UC systemwide (9-campus) median. The first goal was surpassed for assistant and associate ranks the very next year, and for full professors between 2011 and 2015. The second goal proves more elusive. UC Berkeley and UCLA continue to skew systemwide medians, as they are heavily endowed and home to nearly one-third of all UC general campus senate faculty, and therefore have a dominating effect on the systemwide 9-campus figure. Additionally, while UCSC invests in improving its position relative to other UC campuses, other campuses have their own salary boost practices and UC overall focuses on salary competitiveness with the “Comp 8” – a comparative group of four public and four private institutions. A 7-campus comparison, excluding UC Berkeley and UCLA, was also discussed in the 2008 task force report, and is included to provide additional perspective in recognition of the outsized influence of those two campuses and the gap between them and the rest of the system, particularly among regular scale faculty. Both the 7- and 9-campus medians are computed by taking all faculty across the campuses and computing the median salary at a given rank and step. The most recent, May 2021 report based on October 2020 UC systemwide salary data found that UCSC continues to not be the lowest-paying campus in any of the scale-and-rank categories.

UCSC salary growth slowed slightly, given the 2017-18 change in special salary practice that reduced its increments, but the campus continues to be closer to the 9-campus medians than when these analyses began in 2008. Of the eight scale-rank categories that are tracked, six are within 2% of the 9-campus median – four above, two below. Two UCSC medians were more than two percent below the 9-campus medians: regular-scale assistant professors (-2.37%) and regular-scale professors step 1-5 (-4.68%). Relative to the 7-campus medians, UCSC medians were higher in six of eight categories. The two categories lower than the 7-campus median were regular scale assistant professors (-0.41%) and professors step 1-5 (-1.33%). However, since salary growth has started again to trail growth at other UC campuses, a holistic evaluation of the cost/benefit associated with the special salary practice is warranted.

Action:

Creation of a mechanism for a “salary equity” review. Additionally, as part of salary equity, we recommend a holistic review of Special Salary Practice, and more broadly of the promotion process at UCSC versus other UC and non-UC campuses.

Action plan item 2: an equity-minded review and update of the “stopping the clock” mechanism

Context:

UCSC offers “stop the clock” options for Assistant Professors that are primary caregivers for their children. National data shows that, while this practice may result in a successful tenure review, it also results in those faculty falling behind in advancing in rank and salary. There is a policy to account for the differential hardship of Covid on faculty performance, but it has not yet been adapted more generally to provide equity for those faculty that are impacted by child/dependent care.

Action:

An equity-minded review and update of the mechanism of “stopping the clock” that takes into consideration post-tenure career trajectory (rank and salary).

Action plan item 3: example portfolios commonly considered in personnel review

The Senate and the central administration should consider the feasibility of building example portfolios (by division and, where relevant, by discipline) of research, teaching, and service materials and descriptions commonly considered in personnel review. These portfolios should also highlight contributions to diversity, whether in integrated fashion or as a separate section. The portfolios should not only highlight best practices, but also provide as clear a sense as possible of what falls within each category and for whom, e.g., what constitutes “professional activity” and scholarship for L(P)SOE faculty (teaching professors); when does public-facing work constitute research and when does it constitute service; more generally, what is considered in different personnel review components (research-teaching-service) and how are they weighted for different kinds of faculty.

7. Career & professional development

7.1. Student advising and mentoring by faculty

7.1.1. Advising and mentorship training

The **Center for Innovations in Teaching and Learning (CITL)** at UCSC promotes inclusive and engaged teaching and learning throughout the campus. CITL offers many workshops and training programs around the year for both faculty and graduate or undergraduate students, which are well advertised across the campus. For advising and mentoring by faculty, these workshops and training programs include but are not limited to:

- **Faculty Fellows (1 year program):** an interdisciplinary community of peers that meet each month during the academic year to discuss research, participate in professional development workshops, and collaborate to achieve shared goals. Many Faculty Fellows design and implement a research project to enhance undergraduate and graduate education at UCSC. For 2021-22, the Faculty Fellows program has transitioned to Leadership for Equity Faculty Fellows, an opportunity to develop skills as a leader-among-peers in the area of educational and institutional equity. (see Action plan item 2 in section 7.1.4. below.)
- **Equity-Minded Mentoring for STEM Postdocs:** a series of workshops in which postdocs develop actionable strategies and a deeper knowledge of the recent research on STEM mentoring that will support their ongoing professional development and their impact on their own field.

In addition, CITL regularly provides a sequence of 2 workshops for faculty on equity-minded mentoring of graduate students:

- **Mentoring Graduate Students** draws from evidence-based practices and research on mentorship promoted by the National Research Mentoring Network (NRMN) and the Center for Improvement of Mentored Experiences in Research (CIMER). The workshop invites department faculty to: consider together the key “skillfulnesses” of mentoring graduate students; examine tools for practicing effective and equity-minded mentorship that can particularly support marginalized students; and surface implicit expectations for graduate student skill development.
- **Advanced Topics in Equity-Minded Mentoring** focuses on advanced topics around creating a culture of well-being and sense of belonging, going into more depth on specific issues like graduate student mental health and wellness, practicing critical mentoring, supporting science identity and STEM persistence, strategies for supporting racially minoritized graduate students, inclusive and intentional communication, and addressing microaggressions.

7.1.2. Other formal opportunities for new faculty mentorship

In many departments, there are internal mentorship programs for new faculty, who are matched with a tenured mentor from within the department.

In addition, a standing Faculty Senate Committee, namely the **Committee on Career Advising (CCA)**, has as its main charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention. CCA meets every other week throughout the academic year to conduct business regarding their charge, and consists of five members, one from each of the five disciplinary divisions (ARTS, HUM, PBS, ENG, SSD).

CCA co-organizes with Academic Affairs the **New Faculty Orientation (NFO)** every year. This is a well attended and very well received day-long event. A typical agenda includes topics like

Introduction to the University (including an introduction to the faculty Senate), Santa Cruz Faculty Association (SCFA), Introduction to our Students and their Resources, Rise to the Times: Tools to Build an Anti-Racist Campus Climate, and Brief Introduction to the Academic Personnel Process.

CCA oversees the **Faculty Mentorship Program (FMP)**, in which new faculty are matched with volunteer faculty mentors outside their home department, but within their disciplinary division or, if outside their division, with closely related research interests and work, based on mentee preference. In 2020-21, UCSC had 42 incoming faculty, 27 of whom elected to be matched with a mentor. Mentees who have not yet received tenure are invited to continue in the FMP. In 2020-21, FMP included a total of 96 mentors and 161 mentees. CCA informally reaches out to some mentors letting them know if mentees are looking for a certain kind of mentorship, e.g., for DEI related issues in addition to general career & campus advice.

7.1.3. Evaluating mentoring excellence in faculty personnel reviews

Faculty personnel reviews are conducted every 2 years for ladder-rank assistant and associate professors, and every 3 years for full professors (every 4 years above full professor step 6). These reviews include 4 components: research, teaching and mentoring, and service are the 3 main subcategories; contributions to DEI do not constitute a 4th explicit component, but rather a component of the existing 3 main components of research, teaching and service, but they are explicitly mentioned as the kind of contributions that need to be recognized in personnel reviews.

Mentoring and advising of graduate and undergraduate students is a typical item falling under “teaching and mentoring,” and if applicable, under the related “contributions to DEI.” Mentoring and advising of early-career (or other) faculty is a typical item falling under “service,” and if applicable, under the related “contributions to DEI.”

7.2. Faculty pedagogical support

7.2.1 Training in equity-minded pedagogy for faculty and students

One of the most comprehensive, campus wide changes was the recent move to a 3-year assessment cycle for undergraduate programs, during which programs dedicate an entire year to understanding implications and next steps based on their assessment results. These next steps are to be formulated with equity and access in mind, and specialists in CITL are available for program-specific consultations regarding pedagogical and curricular improvements.

CITL also offers many workshops and training programs around the year for pedagogical support. Some of these programs target graduate and undergraduate students, but they are part

of a comprehensive effort to support and enhance equity-minded pedagogy across the board. These workshops and training programs include but are not limited to:

- **New Faculty Teaching Academy (2-day program offered right before fall quarter):** designed for faculty in all fields, whether or not they are new to college-level teaching, this Academy introduces new faculty to UC Santa Cruz students and to the fundamentals of evidence-based teaching practices and practices of course design and delivery that promote equitable outcomes.
- **Project REAL (Redesigning for Equity and Advancing Learning):** developed by CITL in partnership with our HSI (Hispanic Serving Institution) leadership team, IRAPS (Institutional Research, Assessment, and Policy Studies), and selected faculty, Project REAL is designed to provide faculty with a research-based program to engage in comprehensive equity-minded course redesign to improve teaching and learning and contribute to equitable outcomes for students at UCSC.
- **Graduate Pedagogy Fellows (1 year program):** supports the development of graduate students in research-based higher education pedagogy, and focuses on the significance of the Teaching Assistant (TA) role in supporting equitable outcomes in student learning. Graduate students who participate in this interdisciplinary program strengthen their knowledge and application of effective and equitable teaching practices, craft an enhanced professional development opportunity for TAs in their departments, and receive a certificate in pedagogical leadership, with the goal of facilitating professional development for graduate student educators in their departments the following academic year.
- **Undergraduate Fellows (1 year program):** this program builds a rich network of undergraduate peer learning experts who can assist their peers in becoming outstanding learners, based on research and on their own experiences on campus.
- **A variety of graduate certificate programs:** Graduate Certificate in Course Design & Delivery; Graduate Certificate in Teaching for Equity; Professional Development Series in Teaching Disciplinary Writing; Graduate Certificate in Teaching with Technology.

CITL regularly provides 4 workshops for faculty on equity-minded teaching.

- Two of them focus on antiracist teaching. **Facilitating Conversations About Race & Racism** discusses issues of race and racism that are endemic to teaching and learning, and facilitates conversations addressing race and racism that can feel challenging or uncomfortable for many instructors, especially when those conversations are unexpected or unexpectedly charged. Working from classroom scenarios that participants provide in advance, this interactive workshop identifies key communicative strategies and provides an opportunity for skill-building practice around these issues. **Antiracist Teaching** is another interactive workshop exploring key research-based foundations for enacting antiracist teaching as an ongoing, intentional practice of working toward racial justice in higher education. In addition to taking a bigger picture perspective on this important collective and institutional work, the workshop focuses on several common teaching areas where instructors and TAs can make important and

immediate equity interventions. The workshop includes time for individual reflection, small group conversations, and developing action and implementation plans.

- **Supporting Student Learning & Resilience in Challenging Times** addresses how to support students to be excellent learners in light of the research on trauma-aware teaching. Participants share, discuss, and acquire strategies that can promote collective resilience for both students and teachers alike in courses of any modality (remote, hybrid, online, and in-person). The goal is to make classrooms more conducive to long-term learning while acknowledging the effects of trauma and global crises that disproportionately impact already marginalized members of the campus community.
- **Universal Design for Learning (UDL)** introduces the UDL educational framework that takes a proactive approach to accessibility. UDL is rooted in a commitment to equitable learning for students with disabilities, and is known to enhance learning for all students, as learner variability and difference is the norm. The workshop invites participants to explore the framework in relation to their design of course curricula, assignments, and syllabi, as well as to their delivery of accessible content.

Convened by CITL and co-funded by the HSI Initiatives and the Division of Student Affairs and Success, **STEM Teaching and Learning Community (STEM TLC)** provides a professional development community for instructors of large-enrollment STEM courses that are important gateways for students seeking to access upper-division courses in their intended majors. In recognition of both the performance disparities in these STEM courses and the opportunity to increase equity and inclusion in STEM, members of STEM TLC discuss common challenges and solicit shared solutions. The group meets twice a month to share teaching practices, read current research in teaching and learning, and address topics such as active learning, effective assessment for promoting student learning, practical techniques for motivating students and encouraging the practice of STEM skills, promoting equity in large lecture settings, facilitating effective group work, and working with TAs to create cohesive teaching teams.

The PBS division is significantly involved in co-developing CITL pedagogical programs and initiatives, and the division overall takes advantage of these opportunities.

The Baskin School of Engineering (ENG) is involved in CITL and campus wide workshop / training opportunities, but is also committed to division internal pedagogical programs, including:

- **Peer Review of Teaching** program: 2020-21 was its first year; all departments submitted, then refined their plans (with input from CITL)
- The availability of a new **ENG instructional designer** to work with faculty on curriculum development, assessment of student learning, and pedagogical innovations; the designer also leads a weekly event as part of the Engineering Teaching Community (ETC) that helps improve teaching practices, gain teaching confidence, and find support through conversation and sharing. A small teaching community is also a great place to explore literature, identify and test theories on learning, ask and answer questions.
- The **Baskin Inclusive Curriculum and Engineering Pedagogy (BICEP)** committee is led by the undergraduate and graduate associate deans; its mission is to provide

leadership and resources for faculty to allow them to move toward a purposeful, anti-racist, and inclusive curriculum, and establish a community of practice around inclusive pedagogy.

7.2.2 Hispanic Serving Institution (HSI) and other academic-career pathway initiatives and grants

GANAS Career Pathways is a five-year, \$3 million grant that aims to improve academic and career outcomes for undergraduate students and further advance the campus's capacity to increase racial equity. There are 4 main grant goals: (i) increase achievement (passing rates and GPA) and equity (reducing racial/social disparities) in Calculus; (ii) increase achievement (passing rates and GPA) and equity (reducing racial/social disparities) in key gateway major courses through co-curricular Supplemental Instruction (SI); (iii) increase career advising, internship opportunities, and financial literacy of Latinx, low-income, and underrepresented students; (iv) build institutional capacity by providing coaching support to academic and student services departments to identify and disrupt barriers in practices and policies that contribute to racial inequity.

Another HSI initiative currently in its final stages is **SEMILLA**. This five-year, \$5.7 million grant focused on keeping Latinx and low-income students on the path toward graduating with science and engineering degrees.

The SEMILLA and GANAS Career grants have very specific targets, including:

- reducing attrition of STEM-intended Latinx and low-income students at the major declaration milestone by 20% over baseline
- increasing the number of Latinx and low-income STEM students who graduate in 6-years to 587 students (a 10% increase from current rates)
- increasing the number of Latinx and low-income STEM transfer students from partner community colleges by 20%
- increasing the 3-year graduation rate for Latinx and low-income students from community college partners in STEM majors by 20%
- increasing passing rates in Math (Calculus) 11A and 11B for Latinx and EOP/low-income students by 15%
- reducing racial/social disparities in passing rates in Math (Calculus) 11A and 11B for Latinx and EOP/low-income students compared to White students by 15%
- 8 STEM departments' racial equity action plans will be developed, implemented, and shared as demonstration sites to incentivize others on campus and beyond to replicate equity-mindedness.

IRACDA (Institutional Research and Academic Career Development Award, <https://ibsc.ucsc.edu/postdoc-training/iracda>) is an NIH funded program aimed at PBSi and ENG post-doctoral fellows focused on stem-cell research. This program is a collaboration with CSUMB (California State University Monterey Bay, also an HSI) that prepares trainees for successful careers in research- or teaching-intensive academic careers and to contribute to an

equitable and inclusive academic environment. The program provides fellowships for postdocs to conduct research (75% time) and to acquire inclusive and equitable teaching and mentoring skills through participation in UCSC career skill and teaching training, and by working with a CSUMB mentor (25% time commitment).

GAIN (Genentech Foundation-sponsored **Academic Inspiration Network**) is another collaboration with CSUMB funded by Genentech Foundation. CSUMB undergrads (10-12 students for supplemental mentoring and 6 students for summer internship) are mentored by UCSC postdoctoral fellows. The program provides mentored lab experience for students with technical or economic challenges, particularly pertinent during COVID-triggered remote instruction.

UC-HSI-DDI (Doctoral Diversity Initiative for Hispanic-Serving Institutions) is a UCOP funded program aimed at PBS and ENG graduate students at UCSC and undergraduate students at collaborating institutions, which are CSUMB, SJSU (San Jose State University), SFSU (San Francisco State University), and CSUEB (California State University East Bay). The goal of this proposed program is to fill a critical support gap at UCSC for underrepresented minorities in the pathway from STEM undergraduate student to tenure-track faculty positions. This program has 3 components: (i) increasing recruitment from HSI Central California State Universities through outreach by UCSC PhD students and the opportunity to shadow a PhD student; (ii) a Family Science Weekend that brings family members of first generation UCSC PhD students to campus to hear research talks by graduate students, visit laboratories and socialize in order to better understand the path their student has chosen; (iii) stipends for PhD student participation in career-skill training such as workshops in pedagogy, grant writing, and entrepreneurship.

CAMP (California Alliance for Minority Participation) is an NSF funded statewide initiative that aims to support and retain underrepresented undergraduates to achieve their degrees in STEM. By integrating research and undergraduate education, CAMP creates a cohesive set of experiences -- cooperative learning, internships, faculty-mentored research, and travel to professional conferences -- that fully prepares undergraduates for graduate education and influences career choices.

7.2.3. Online education and online training platforms

Canvas is the UCSC Learning Management System that integrates digital tools and resources for the administration, documentation, tracking, reporting and delivery of educational courses (and sometimes training programs). It is a cloud-based service where instructors and students interact, collaborate, teach, learn, and communicate through course sites developed by instructors. It has a wide variety of tools and is well integrated with video or conference tools like **YuJa, Zoom** etc.

The **Faculty Instructional Technology Center** (FITC) offers instructors, graduate students, and staff a collection of services for imagining, developing, and delivering innovative course materials. FITC also supports the Canvas learning management system, the YuJa media management system, the Student Experience of Teaching Surveys (SETS) system, and other

digital tools for instruction. In addition, TLC meetings (see Subsection 7.2.1 for TLC above) also spread awareness of the capabilities and tools in Canvas as they are made available that can be leveraged for active learning exercises.

The **ITS Zoom Corps** is a program facilitated by Information Technology Services (ITS) that employs student staff to support instruction and student success on campus. The program pairs students with instructors to assist with practice, dry runs, and in-class Zoom support, including Zoom proctoring. The students are also available to provide ad-hoc training and event support for staff. As of winter 2022, the Zoom Corps student staff have supported more than 350 courses and events across the UCSC campus.

The outstanding and highly sought after UCSC **Online Education** unit has been pivotal in the last several years in spearheading an equity-minded approach to only education, which they define as an aspiration to fairness, inclusion, and justice that takes into account differences in students' experiences and access to resources that must be addressed in order to support all students in their educational journeys. Online Education works in close partnership with faculty on campus and other units like CITL to train instructors and support equity minded online learning across the campus.

In addition, UCSC has available a variety of other online training / learning platforms, including:

- **UC Learning Center**
- **Linkedin Learning**
- **Academic Impressions**
- **National Center for Faculty Development and Diversity:** The NCFDD is a nationally-recognized, independent organization that provides online career development and mentoring resources for faculty, post-docs, and graduate students.

7.2.4. **Co**mmittee on Teaching and teaching awards

The faculty Senate **Committee on Teaching (COT)** is charged with fostering and promoting good teaching, recommending and evaluating methods of assessing teaching performance, overseeing instructional support services on campus, and advising the Academic Senate as needed. To this end, the committee provides direction to CITL, reviews the campus-wide nominations for the **Excellence in Teaching Awards** and the **Distinguished in Teaching Award**, and selects the recipients.

Given in spring, the **Excellence in Teaching Awards** honor UCSC instructors who have demonstrated exemplary and inspiring teaching. Nominations are first submitted by students and then narrowed down by COT for further consideration. COT looks for evidence that the nominee has thought deeply about teaching and learning and effectively applies that thinking in the classroom.

Starting in 2018-2019, the **Distinguished Teaching Award** recognizes outstanding teaching on our campus. This annual award (in contrast to the Excellence in Teaching Awards that come

from student nominations primarily from specific courses) is an opportunity to acknowledge the pedagogical contributions of our colleagues that include but also go beyond any one particular course. It seeks to recognize an instructor that has made significant contributions to educational equity within and beyond UCSC. This annual distinguished teaching award is open to all faculty, teaching professors, and Unit 18 lecturers. The recipient will be honored at an event recognizing distinguished teaching at UC Santa Cruz and will be invited to share their insights on teaching at the event.

Specific divisions have additional ways of recognizing excellence in teaching.

- The **Dizikes Faculty Teaching Award** in the **Humanities** division enables students to honor the teaching efforts of HUM faculty by nominating them for this award. Nominations are submitted to the nominee's department chair, who selects one to be forwarded to the HUM dean with their endorsement. In addition to receiving the teaching award, recipients select undergraduate students who receive a scholarship in their name.
- The **Milam-McGinty-Kaun Award for Teaching Excellence** is administered by the dean of the **Social Sciences** division and is based on academic merit. Two graduate student recipients, one from the Economics Department and one from another department in the Division of Social Sciences, receive an award each year.

7.2.5. IRAPS dashboards

Institutional Research, Assessment, and Policy Studies (IRAPS) provides an extensive series of dashboards (some public, some campus internal) that provide detailed disaggregated campus data to inform equity-minded pedagogy. These dashboards include:

- **UCSC Course List:** this dashboard provides an interactive, sortable list of courses taught at UCSC; can be sorted by GPA, DFW-Rate, or Enrollment count, and features various demographic comparison groups.
- **Degrees Awarded:** degrees awarded by division, major, and college. Includes major count and major fraction; can be split and filtered by gender, race/ethnicity, underrepresented R/E, Pell, first generation, EOP, non-resident tuition, and domestic/international.
- **Retention, Graduation, and Time-to-Degree by Entering Cohorts:** provides retention, graduation, and average time-to-degree for frosh and transfer cohorts from 2007-2019, with filters by demographics and academic indicators; retention and graduation rates can be split by demographic comparison groups.
- **Enrollment History:** Fall and 3-quarter average campus enrollment counts; can be filtered or split by admit type, class level, registration status, residency, college, gender, race/ethnicity, age, first generation, Pell, and underrepresented R/E statuses; also includes home location, institution of origin, and high school and transfer GPA information for new frosh and transfers.

- **Major Demand Trends:** program-level fall and 3-quarter average major trends with divisional and campus total comparisons; can be filtered or split by admit type, student level, major type, gender, first generation, Pell, and underrepresented R/E statuses.
- **Degrees Awarded:** degrees awarded by division, major, and college. Includes major count and major fraction; can be split and filtered by gender, race/ethnicity, underrepresented R/E, Pell, first generation, EOP, non-resident tuition, and domestic/international.
- **Retention, Graduation, and Time-to-Degree by Entering Cohorts:** Retention, graduation, and average time-to-degree for frosh and transfer cohorts from 2007-2019, with filters by demographics and academic indicators.

7.2.6. Student surveys in relation to curriculum and pedagogy

There are Student Experience Surveys (SETs; an up-to-date incarnation of student evaluations) for the primary instructor of every course, as well as separate SETs for the TAs teaching associated secondary sections (if any). The SETs are a very important component of the way dialogue between students and instructors / TAs around pedagogical and curricular issues. We, however, do not collect any demographic data for the SETs.

In addition, UCSC faculty have articulated undergraduate and graduate program learning outcomes (PLOs), developed curriculum matrices, and regularly conduct studies to assess student learning. Beginning Fall 2020, UCSC has switched to a new approach to the assessment of PLOs in undergraduate programs. The new approach's key feature is a 3-year reporting cycle for each department/program to conduct assessment by working with assessment specialists on a specific schedule. Each year will be devoted to one major task: Assess (Year 1), Reflect (Year 2), and Improve (Year 3).

The University of California Undergraduate Experience Survey (UCUES) is an online, UC-wide survey of undergraduates that is administered every other spring quarter. Since 2006, results from UCUES have been used to evaluate academic curriculum, teaching practices and advising, student programs and services, and the campus climate for the expression of diverse ideas, beliefs and experiences. In addition, UCSC student responses can be compared to those of students attending other UC campuses. UCUES is the only campus-wide student survey that provides comprehensive student feedback on the quality of academic experience that is used in formal and informal evaluation of academic programs (majors). Interactive data tables for UCSC and other UC campuses are provided after each survey (the most recent one is UCUES 2020).

Finally, the University of California Graduate Student Experience Survey (UCGSES) is a survey of graduate students (Masters and Doctoral) and is a UC-wide and campus-wide effort to evaluate and improve academic and social experiences of UCSC graduate students. First launched in 2007, UCGSES has spotlighted many facets of the graduate student experience, helping communicate usable feedback to departments, grad student services, and campus services, by covering a broad range of topics: faculty teaching and mentoring, program requirements, research opportunities, TA training, and campus climate. Results from the

Graduate Student Survey are made directly available to academic programs and others on

campus to help inform decisions that can improve the experience of students, and are also provided in interactive data tables for UCSC and other UC campuses (the most recent one is UCGSES 2021). Division-specific results can also be made available.

7.3. Action plan items

Action plan item 1: “Macro” Faculty Networking Groups

Context:

The UCSC campus supports a variety of **Faculty Networking Groups (FNGs)** as part of the Faculty Community Networking Program. This program was created to provide structures for faculty community, development, and support. Originally funded through a grant from the UC Office of the President, the program is now funded by the UCSC Office of the Campus Provost / Executive Vice Chancellor (CP/EVC). FNGs have been formed to support faculty in each of the following six demographics:

- African-American/Black/Caribbean
- Asian American/Pacific Islander
- Disabilities & Chronic Illness
- Indigenous
- Latinx/Chicanx
- Women in STEM

Each group is open to any interested faculty (including Senate faculty, lecturers, and other faculty titles), with a goal of engaging faculty across ranks and disciplines to improve faculty retention and success. Groups meet monthly.

Action:

In addition to the FNGs, the PBS division is piloting organizing “**macro**” **faculty networking groups** starting 2021-22. The STEM faculty in PBS felt that these divisional groups are needed to supplement the FNGs and the CCA-managed Faculty Mentorship Program (FMP; see subsection 7.1.2. above) because multiple opportunities and networks are needed to provide the strongest support to faculty, to build cohorts and to build community. STEM-centered mentoring is important for successful proposal writing and learning how to build relationships with program managers at funding agencies like NIH and NSF; it is important for making decisions about when and how to publish, how to run a research lab, and other things that are specific to STEM fields. These networking groups will be in active development over the next several years. We will also investigate if/how these groups could extend to other divisions (e.g., ENG, but also non-STEM divisions).

Action plan item 2: Equity-minded leadership program for department chairs

Context:

The CITL-organized **Leadership for Equity Faculty Fellows Program** (started in year 2021-22 with a STEM cohort) is an intensive 1-year program that offers 15 faculty fellows the opportunity to develop skills as a leader-among-peers in the area of educational and institutional equity.

Activities and priorities of the program include honing skills as an “equity-minded practitioner” in the fellows’ teaching and mentoring practices; learning to understand, interpret, and take action based on disaggregated data on undergraduate, graduate student and faculty outcomes and achievements; developing peer leadership expertise in order to influence transformative practices at the departmental or divisional level; developing and implementing strategies to counter resistance to departmental or divisional changes that improve equity.

The **Department Chair Development Series** organized by the Academic Personnel Office (APO) includes quarterly workshops with important information for department chairs (and other academic administrators), as well Coffee & Conversations discussion offered twice per quarter addressing relevant and timely topics for department chairs (and other academic administrators).

Action:

We will partner with the Faculty Equity Advocates program, APO and/or ODEI to develop a more intensive 2-day summer program targeting department chairs, with a target starting date in summer 2023. This training program will not be as time intensive as the CITL Leadership for Equity program, but it will enable us to provide more extensive training than the APO Department Chair Development Series. Unlike either of these 2 preexisting programs, the planned training will take place in the summer, when otherwise extremely busy department chairs can find it easier to attend events. Potential follow-ups to this department chair training during the year will also be investigated.

8. Flexibility and career breaks

We begin by highlighting an important Senate faculty committee whose charge is very closely aligned with the topics of this section. The Committee on Faculty Welfare (CFW) is a senate faculty committee that considers subjects related to faculty welfare such as child care, salary, and post-employment benefits including but not limited to leaves, housing, health care and retirement. Members of CFW are faculty across disciplines with a strong representation of STEM faculty. The committee’s focus can vary from year to year, but most of the issues are addressed on an annual or cyclical basis. Aligned with the central concerns of CFW, the following areas have been considered by CFW on a regular basis:

- Pregnancy and infant care may affect faculty’s timelines for tenure and other career advancements: How does the institution support the success of faculty who avail

themselves of child-related benefits? For example, is information adequately and clearly conveyed to faculty about how to access advice and support related to these policies?

- CFW assesses the effectiveness of the support programs for faculty, including issues of how often, by whom (role, expertise, seniority), and through what process/means (collaborative, siloed, specific approach) effectiveness should be examined for these programs. Moreover, CFW considers whether adjustments are made to enhance effectiveness when data indicate the need, and opportunities for enhancement in all of these programs. CFW also discusses the data-reviewing process: Who reviews the data (qualitative and quantitative) and how are they used?
- CFW explores (internally) whether there are discrepancies based on race, ethnicity, or gender in how leaves and flexible-work policies are applied and their effects on career advancement.

In addition, multiple campus-wide task forces have been convened in the past years to strengthen the progress made by CFW in some focused areas. For example, a 2017 Childcare Working Group including members of faculty, staff, graduate and undergraduate students has made detailed recommendations about the design of a new childcare facility to be built. The Working Group also researched and made recommendations for the new childcare program based on campus culture, resources, and constraints. These efforts were made in conjunction with CFW, with a shared goal of facilitating the expansion of child care services on campus from serving students only to serving students, staff, and faculty.

8.1. Family leave

Policies

Existing policies at UCSC grant family leave to faculty for the purpose of caring for faculty's newborn child. In addition, family and medical leave is also granted for caring for faculty's own serious health condition, or for faculty's child, parent, spouse or domestic partner with a serious health condition:

- Childbearing leave is granted, on request, for the purposes of childbirth and recovery. Under this policy (APM 760), no duties are required by the University during childbearing leave.
- Family and medical leave is granted for up to one year to faculty for the purposes of caring for a child, the spouse, or the domestic partner. Under this policy (APM 715, 760-27), childrearing/parental leave when combined with childbearing leave shall not exceed one year for each birth or placement of a child for adoption or foster care.

Usage

Faculty can apply for a leave for child care and/or family care obligations with the department chair or divisional office. Furthermore, the Academic Personnel Office (APO) includes a Director of Academic Employee Relations, who provides guidance to faculty, advising faculty about

various leave options. Effective Spring 2022, faculty will apply for leave with the Academic Leave Analyst, a new position in APO's Employee Relations unit. The Leave Analyst also counsels faculty on leave options.

Data from the academic years 2018-2020 showed that the usage of family leave was widely spread across gender and race/ethnicity groups.

- 41% of the usage was by male faculty, a percentage that reflects accessibility of policies and practices (male faculty make up about 57% of all faculty); correspondingly, 59% of the usage was by female faculty (which make up about 43% of all faculty).
- In regard to usage by race/ethnicity, 49% of the usage was by non-White faculty members, which make up about 35% of all faculty.

“Stopping the clock” on the tenure process

Childbearing, parental leave, or a combination of both, which can be equal to or exceeds one quarter and not greater than one year, is automatically excluded from service toward the 8-year probationary, pre-tenure period. It is worth noting that faculty can choose to go up for tenure or promotion earlier if they are ready and do not have to wait out the 8-year period. Furthermore, any faculty caring for a new child can stop the clock, whether or not they take leave.

The practice of “stopping the clock” is a regular practice at UCSC. Faculty may opt-out by informing the department chair in writing before, during, or within one quarter after the leave, if the faculty wishes the time to be included as service toward the 8-year period.

Retention

We reviewed the data on retention after parental and adoption leave and found the retention to be relatively high. The number of cases, however, is too small to disaggregate based on race, ethnicity, or gender.

8.2. Flexible work

Faculty generally have a fair amount of flexibility in their working schedules, with the primary constraints being classes they are teaching, department meetings, and other service commitments. While there is limited flexibility in the class schedule because of limited classroom space, the institution does encourage department scheduling to try to take into account childcare needs of faculty in making teaching assignments. As faculty generally teach at most two classes per quarter, the teaching obligation tends to leave a reasonable amount of flexibility in the daily schedule. Faculty are responsible for getting the work done, but have flexibility in when they are doing that work. This allows most faculty to craft their schedule around childcare and other dependent arrangements.

Faculty need to be present on campus (at least outside of pandemic times) for in-person instruction, meetings with students, and some of their service commitments generally including regular department meetings. Faculty are free to do their research work where and when it is

most conducive to their productivity, which allows for some remote work possibilities. There are a limited number of online classes, and faculty teaching online classes have additional remote work possibilities. To date, remote work has not been a known issue in any retention cases, and we continue to attend to its potential impact on faculty retention.

The campus administration has proposed a policy to allow fully remote work for one of the three academic quarters, as well as the summer. These remote work agreements would allow a faculty to spend part of the year in Santa Cruz, and part of the year elsewhere, which can facilitate certain dependent care arrangements, such as supporting a child receiving specialized medical care at a different location, or facilitating shared custody of a child in another location. The Academic Senate has reviewed the policy and is currently in the stage of requesting revisions and additional consultation.

During the pandemic, the campus created additional programs to support faculty with childcare burdens. When many daycare centers and primary schools were closed in fall 2020, the campus created a program for granting a course release for primary caregivers that were highly impacted by the pandemic situation. This year and next year, we have retooled our EVC Fellows Academy to provide a course release and a peer support group to help associate professors catch up with writing, for those that were derailed by the pandemic situation, particularly because of childcare. For assistant professors, we created the Writing Fellows program, which similarly grants a course release, and is led by a writing mentor, so that the assistant professors get more guided support (while the associate professors have a peer group).

8.3. Childcare

Childcare policies

There are campus wide policies (across STEM / non-STEM and within departments) that grant family leave to faculty for the purpose of caring for the faculty's newborn child (see 8.1 Family Leave above for additional information).

There is no existing policy in place regarding the provision of subsidies. However, the 2011 Child Care Task Force (CCTF) examined a "voucher" program, which was deemed difficult to implement at that time. In a recent letter from CFW to the Chancellor and CP/EVC (January 2022) about immediate remediations for essential needs, CFW urged the campus to re-visit this and other options outlined in the 2011 CCTF report.

As of July 2019, the entire UC system has a travel policy (G-28) that enables faculty to get reimbursed for childcare expenses when traveling, as long as this is pre-approved. The policy is in fact more inclusive: "Reimbursement for travel expenses of a spouse, domestic partner, dependents, or dependent-care provider Reimbursement of travel expenses, including dependent care expenses for a spouse, domestic partner, dependent-care provider and dependents who accompany an employee or candidate for employment on bona fide University business travel may be allowed in limited circumstances when pre-approved [...]"

Reimbursement of expenses related to dependent care provided outside of normal working hours while an employee or candidate for employment is traveling on bona fide University business may be allowed in limited circumstances when pre-approved.”

On-site childcare program

At this time, there is no on-site childcare program for faculty. The ongoing Student Housing West construction project includes a proposed childcare facility to be built on campus that will provide childcare services for faculty. However, the implementation of the project is currently held up by lawsuits. As a result, the lack of an on-site childcare program for faculty remains a major issue that has negatively impacted faculty with children.

Efforts to address this issue have been made by CFW’s childcare subcommittee and multiple childcare task forces on campus. For example, the 2017 Child Care Work Group developed a new childcare program and worked on the design of a new facility, following evidence-based recommendations from early childhood researchers and practitioners. The Work Group also reviewed the cost structure for the feasibility of the childcare expansion as part of the Student Housing West project. More recently, in 2019-20, the Child Care Family Services Advisory Committee worked on formulating (1) childcare access policy, (2) third party vendor assessment, (3) request for proposals (RFP) for new providers, and (4) survey of family needs. All of these will jointly support the development, implementation, and evaluation of the new childcare services for faculty.

Backup care program

A campus subsidized backup care program was launched in the summer of 2021. The program provides backup child care and adult/elder care in partnership with a third-party vendor (Bright Horizons). Faculty can access back-up care at subsidized rates.

CFW, with other campus groups, continues to provide feedback on improving this backup care program. Most recently, a request was put forward to expand the services to out-of-network options and increase the number of days that faculty can access the program from 15 days per year to 25 days. The first request has been fulfilled with an expansion of the program to out-of-network support options such as existing babysitters and care providers, relatives, and friends. Faculty now receive reimbursement up to \$100 per day for care that faculty arrange on their own.

Lactation rooms

To provide spaces for faculty who are nursing parents, a total of at least 20 lactation rooms are available in 14 of the buildings on campus. There are additional lactation rooms in several colleges and one of the campus libraries that await confirmation of their state and readiness for usage. See one of the action items.

8.4. Action plan items

Action plan item 1: Family-friendly guidance to department chairs

It will be very useful to create a document, explicitly spelling out some family-friendly guidances to department chairs, such as:

- recommending not to schedule meetings past 5pm because parents may need to pick up their children from daycare or school
- taking into account child care responsibilities when scheduling classes (e.g., do not schedule meetings or classes that conflict with childcare obligations such as drop-off and pick-up times.)

Action plan item 2: Follow-up on lactation room survey

The available campus lactation room survey (from 2018) did not survey the ten Colleges; it also missed one of the campus libraries. We plan to follow up on the survey for a complete list of lactation rooms available for faculty, and investigate the need to update the survey overall post-pandemic.

9. Institutional policies for diversity and inclusion

The campus legal counsel was consulted by the co-chairs of the Change Team from the very beginning of, and throughout, the self-assessment process.

The UC system as a whole is committed to removing barriers preventing full expression of our potential and to reflecting the population of California in our faculty, students, and other academic personnel, especially those who have been systematically and historically underrepresented. The UCSC chancellor has set four major goals for the Santa Cruz campus, one of which is fostering diversity, equity and inclusion for the entire community, including faculty, staff and undergraduate and graduate students. Evidence that this goal is authentic is provided throughout this narrative. In this section, we will focus specifically on institutional policies and structures for DEI. We don't have the space to fully show that the implementation of these policies and the work of these institutional structures goes well beyond "checking boxes," but the rest of this narrative should provide rich evidence to that effect.

Principles of Community

The University of California, Santa Cruz is committed to promoting and protecting an environment that values and supports every person in an atmosphere of civility, honesty, cooperation, professionalism and fairness. We strive to be: **diverse** (diversity in all its forms and an inclusive community), **open** (free exchange of ideas), **purposeful** (service to society; preservation and advancement of knowledge; innovative teaching and learning), **caring** (mutual respect, trust and support), **just** (due process, respect for individual dignity and equitable access to resources, recognition and rewards), **disciplined** (reasonable and realistic practices,

procedures and expectations), and **celebrative** (the heritage, achievements and diversity of the community and the uniqueness and contributions of our members).

Equity and Equal Protection (EEP) Office

EEP is responsible for the administration of UCSC's policies and procedures regarding discrimination and harassment on the basis of race, religion, disability, sex, gender, age and other protected identities. EEP is responsible for the University's compliance with state and federal laws relating to discrimination to ensure that no member of the community is denied participation in an academic program or employment based upon a protected identity or engaging in protected activity. This office is led by Associate Vice Chancellor of Equity and Equal Protection, who also holds the titles and designations of Title IX Coordinator, Locally Designated Official (LDO), ADA Coordinator, & Equal Employment and Opportunity (EEO) Director.

Office for Diversity, Equity, and Inclusion (ODEI)

ODEI advances the University's teaching, research and service mission and commitment to excellence by working collaboratively with campus partners to promote a campus climate that values diversity, equity and inclusion, and identifies proactive actions to address bias and harassment.

Office initiatives and programs are designed to cultivate a healthy campus climate in which all students, staff and faculty are treated respectfully and able to thrive and succeed; and everyone including current affiliates, alumni, supporters and community members is welcomed.

Title IX

The Title IX Office at the University of California, Santa Cruz, is dedicated to fostering a climate in which members of the campus community are protected from all forms of sex discrimination, including sexual harassment, sexual violence, and gender-based harassment and discrimination. The Title IX Office is responsible for ensuring safety, inclusion, and respect for all individuals at the university.

Policy on Discrimination, Harassment, and Affirmative Action in the Workplace

The UC has a system-wide policy on discrimination, harassment and affirmative action that applies to all employees across the UC system. This policy states that the UC is committed to providing a workplace free of discrimination and harassment. The university prohibits discrimination against any person employed; seeking employment; or applying for or engaged in a paid or unpaid internship or training program leading to employment with the UC. In addition, the university prohibits harassment of an employee, applicant, paid or unpaid intern, volunteer,

person participating in a program leading to employment, or person providing services pursuant to a contract. The university undertakes affirmative action, consistent with its obligations as a federal contractor.

Abusive Conduct/Bullying in the Workplace

The UC has drafted a policy on abusive conduct/bullying in the workplace. The draft has been made public for systemwide review between October 2021 and February 2022, and will most likely become an official UC policy starting in the academic year 2022-23. The draft of the policy states that UC is committed to promoting and maintaining a healthy working environment in which every individual is treated with civility and respect. This policy addresses the UC's responsibilities and procedures related to abusive conduct/bullying and retaliation for reporting, or participating in, an investigation or other process provided for in this policy. This policy will be implemented in a manner that recognizes the importance of rights to freedom of speech and expression. However, freedom of speech and academic freedom are not limitless and do not protect speech or expressive conduct that violates federal, state, or University policies. Abusive conduct/bullying behavior in violation of this policy is prohibited and will not be tolerated. The university encourages anyone who is subjected to or becomes aware of such behavior to promptly report it, and commits to responding swiftly to these reports and taking appropriate action to stop, prevent, correct, and discipline behavior that violates this policy.

Academic Personnel policies

For faculty recruitment, the Vice Provost for Academic Affairs (who oversees the Academic Personnel Office) is responsible for developing and reviewing policies related to inclusive recruitment. Section 5 provides more details on the policies and practices in place at UCSC, including first-round screening of candidates based on the statements of contributions to diversity, equity, and inclusion.

Policies on faculty conduct derive from systemwide policy, especially APM 015, the Faculty Code of Conduct. Specific examples of unacceptable conduct include discrimination in teaching and mentoring (015-II-A-2), discrimination on the basis of a disability (015-II-A-4), intimidation in the classroom (015-II-A-6), harassment (015-II-C-4), discrimination in university business (015-II-C-5), and discrimination against colleagues (015-II-D-2).

Example outcomes / data

The Hate/Bias Response program, which has a public website dedicated to it with report forms, process description etc. publishes summary reports on an academic year basis on the same website.

Clery Act reports are published yearly on a public website associated with the UCSC Police Department so that students, prospective students, parents and employees have access to accurate information about crimes committed on campus and campus security procedures.

Code of conduct and policy violations

APM 016, University Policy on Faculty Conduct and the Administration of Discipline, further elaborates on how violations of the Faculty Code of Conduct (APM 015) are to be disciplined. Types of Disciplinary Sanctions are enumerated (written censure, reduction in salary, demotion, suspension, denial or curtailment of emeritus status, and dismissal from the employ of the University) and Procedures for Imposition of Disciplinary Sanctions are detailed.

APM 150 further elaborates on APM 015 and provides the standards and procedures for instituting corrective action or dismissal of non-Senate academic appointees.

PPSM-62 “Corrective Action” is the that describes the types of corrective action – written warning, corrective salary decrease, suspension and demotion – the University may take to address concerns regarding the conduct or work performance of regular status Professional and Support Staff (PSS) employees.

A comprehensive list of student policies and codes of conduct is available in the “Student Policies and Regulations Handbook.” The Policy on Student Conduct and Discipline is a detailed document, which includes Student Conduct, Administration of Student Discipline, Types of Student Disciplinary Action, and Posting Suspension or Dismissal on Academic Transcripts among others.

Services for targets of harassment or other exclusionary conduct

Those who are targeted or affected by harassment or other exclusionary conduct can avail themselves of the following services to support them and remedy the effects:

- Students: report hate/bias;
- Faculty: regular channels for faculty code of conduct issues;
- Staff: training in EEP (webinars); Title IX training translated into Spanish (in addition to English)

EEP is also available to provide additional general support.

Campus Conflict Resolution Services Office

The Campus Conflict Resolution Services office opened in January 2009 to provide professional consultation, mediation and training to members of the UCSC community. Its emphasis is on prevention, effective management, and informal resolution of conflict at all levels. All services are free, voluntary and confidential.

Ombuds Office [under review]

In January 2022, 27, an external review team has met with a range of stakeholders from UC Santa Cruz to learn more about the campus experience over the past ten years without an official Ombuds office. UCSC is the only UC campus without an Ombuds office. UC Ombuds are “Organizational Ombuds” -- a designated neutral party that facilitates the informal resolution of concerns of employees, managers, students and, sometimes, external clients of the organization. Ombuds listen and understand issues while remaining neutral with respect to the facts, assist individuals to develop and evaluate options, coach individuals to deal directly with other parties, refer individuals to appropriate reporting and resolution resources, facilitate informal resolution processes such as mediation and identify issues and opportunities for systemic change. The decision to establish an Ombuds office on campus will be made after the external review team submit their report.

Institution wide commitment to ethics, inclusion, equity, diversity, and academic freedom

Our recent Strategic Academic Plan was developed around four Guiding Principles that represent broadly shared values and sustaining pillars of UCSC. These principles are intended to advance our institutional values and help facilitate a shared understanding around how initiatives are prioritized. The four principles are:

1. Drive research and creative work that transform our world.
2. Create enriching experiential learning and research opportunities for students.
3. Engage, support, and attract a diverse faculty, staff, and student body.
4. Support inventive interdisciplinary connections in research and teaching.

Principle #3 is evidence of how we are integrating our values and policies into our plans and actions. The principle also accords with one of the main campus goals set by the Chancellor, namely fostering diversity, equity and inclusion for the entire campus community.

Each campus in the UC system has a Senate Committee on Academic Freedom. This committee is charged with monitoring and supporting free speech and academic freedom.

Campus leaders are expected to operationalize DEI policies and values in their work, and these contributions to diversity, equity, and inclusion are an important component of the review of senior administrators.

Engagement

Deans are responsible for fostering an inclusive climate in their divisions, for enforcing and inclusive fair hiring, and for supporting faculty, staff, and student success in their departments

and programs. Efforts and achievements in DEI are part of the annual review, as well as the larger five-year reviews.

Deans set the direction for department chairs, who implement policies and practices at the department level. Chairs can organize and lead efforts among their faculty to improve department climate and classroom climate, and to examine teaching practices and curriculum for inclusion and equity. Chairs are expected to maintain a department climate that is welcoming for underrepresented faculty members.

Our personnel review and recruitment policies and practices have strong DEI components:

- The UCSC CAAD (Senate Committee on Affirmative Action and Diversity) provided detailed guidelines for Contributions to Diversity Statements submitted as part of personnel actions in February 2018;
- The UCSC APO also provides guidance on DEI issues, including What is meant by Diversity, Equity, and Inclusion?, Diversity, Equity and Inclusion Resources, and How do we assess contributions to diversity, equity, and inclusion? Concepts are reinforced at the annual department chair workshop on faculty review (with CAP chair, APO, VPAA).
- The UCSC APO has a workshop on Evaluating Contributions to Diversity for Faculty Appointment and Promotion Under APM - 210 based on detailed UC wide guidelines provided in February 2017
- UCSC APO / Academic Affairs Division (AAD) have developed detailed rubrics on how to assess job candidate contributions to diversity, equity, and inclusion in recruitments
- The UCSC CP/EVC and the Senate Committee on Academic Personnel (CAP) issued a detailed Memo on Academic Advancement discussing Covid-19 impacts and DEI contributions (among other issues), as well as Guidance for Senate Faculty Personnel Reviews in 2020-21, followed by an updated guidance in May 2021

Finally, UC Santa Cruz has applied for and received four grants through the Office of the President's **Advancing Faculty Diversity** (AFD) Program since 2018, all of which have sought to support campus efforts to recruit and nurture a more equitable and representative professoriate.

Last year (2020-2021), a joint UCSC-UC Merced project funded by AFD convened a workgroup that completed an extensive annotated bibliography of research on best practices in fair hiring. Their findings have been translated into the creation of new materials for the campus fair hiring training, as well as public-facing bibliographies and documents to support equity work on campus. The group also developed a set of broad recommendations to foster the hiring, retention, and promotion of minoritized faculty.

UCSC again collaborated with UCM in the most recent round of AFD grant proposals to lay out a specific plan for the establishment of a Faculty Equity Advocate (FEA) Program in which there are designated faculty members tasked with supporting equity work in the five disciplinary academic divisions; for more details about FEA, see the action plan in Section 5.

Awareness

Awareness efforts are centralized in ODEI. Some examples include the Dialogue Series Events, the Diversity and Inclusion Certificate Program (DICP), the Student-led Campus Climate Organization for Research and Equity (SCCORE), and the Student Diversity and Inclusion Program (SDIP).

Evaluation

Diversity and inclusion policies and procedures are regularly evaluated by the UC regents at the UC system level, and the regents regularly ask for data and reports.

The Academic Personnel Office (APO) regularly reviews academic HR policies for effectiveness. The current review project is looking at the effectiveness of the requirement for faculty candidates to submit a statement of contributions to diversity, equity, and inclusion, as well as our new practice of first-round reviews centered on this statement. The results of the review will be shared with the Academic Senate, in consultation on next steps.

The undergraduate student UCUES survey as well as the Graduate Student Experience Survey (see Section 7.2.6. above for discussion of these surveys) survey classroom climate, which reflects the effectiveness of DEI policies and structures on campus effectiveness.

The Staff Engagement Survey, developed by the Council of University of California Staff Assemblies (CUCSA) and the UC systemwide Employee Relations unit, is distributed every other year and helps university leaders, managers, and supervisors better understand the views, experiences and needs of policy covered staff on a range of topics related to working at UC, including staff engagement and workplace interactions.

Opportunities for enhancement in all of these policies

Over the last 5 years, the UCSC campus and the entire UC system have extensively assessed DEI policies and structures. The 2 areas that were identified and are already being addressed are the need for an Abusive Conduct/Bullying in the Workplace policy, which has just been reviewed and will likely become an official policy soon, and the creation of the UCSC The Equity & Equal Protection (EEP) Office, which is responsible for the administration of UCSC's policies and procedures regarding discrimination and harassment on the basis of race, religion, disability, sex, gender, age and other protected identities.

Action plan items

Action plan item 1

As mentioned above, the Academic Personnel Office is undertaking a review of the requirement for faculty candidates to submit a statement of contributions to diversity, equity, and inclusion, as

well as our new practice of first-round reviews centered on this statement. Based on this review, the campus will need to decide whether to continue this pilot program, and if so, whether and how to modify or enhance it. If the pilot program is not continued, alternative measures to improve inclusive hiring will be considered.

10. Institutional climate & culture

10.1. Institutional climate

Students' perception of institutional climate is regularly assessed as part of biennial surveys of undergraduates and graduate students in alternating years.

The Undergraduate Experiences Survey asks about perceptions that students of "my race/ethnicity, socio-economic status, gender, religious beliefs, political beliefs, sexual orientation, immigration background and disability or condition" are respected on campus and in the major; the climate for diversity and inclusion on campus, in the major, and in classes; and feelings of safety and security and feeling welcomed.

The Graduate Student Experiences Survey includes items on the extent to which students feel respected and included within their programs, as well as the degree to which faculty and other students within the department are thoughtful in understanding racial injustice and make efforts to advance inclusion.

Campus level descriptive reports are made available for both of these surveys following each administration. In addition topical reports, for example on climate for disability are prepared on an ad hoc basis. Additionally each program that is undergoing external review receives detailed program specific reports the year before their review.

In 2019 the Division of Physical and Biological Sciences commissioned a more in depth study of perceptions of climate among graduate students within their departments and research labs, as well as on sense of belonging, paying close attention to the voices of underrepresented students. This was a multi-method study that included a survey with both close ended and open ended responses and 1:1 interviews.

Findings suggest that in PBS about ½ of students didn't feel a full sense of belonging in their departments, and students of color and first generation students reported a lower sense of belonging. The majority of graduate students experienced imposter syndrome and this was more pronounced among women. The vast majority of the PBS graduate students valued diversity but there was disagreement about the extent to which issues of diversity, equity and inclusion were a priority in their departments.

The report included a number of suggestions generated by the graduate students themselves to improve climate, enhance belongingness, and strengthen community. The Dean shared results

of the study with Department chairs, and as a result several committees were formed to address concerns raised by the graduate students. A graduate student council was formed to advise the dean and a graduate student climate committee (of faculty and graduate advisors) was formed to discuss the survey recommendations. Subsequent activities included holding a PBS

wide-summit on how to make graduate programs more inclusive, several discipline-specific peer mentoring programs were initiated to provide psychosocial support amongst graduate students, and all departments were encouraged to schedule CITL's equity-minded graduate mentoring workshops for their faculty.

Climate studies of faculty and staff have been more sporadic. The last campuswide survey was conducted as part of a University of California effort in 2011.

More recently the Division of Physical and Biological Sciences, and the Baskin School of Engineering conducted a faculty survey followed up by 1:1 interviews. The survey was initiated by the DEI Committee in the Physical and Biological Sciences in consultation with Institutional Research and Policy Studies. The survey was administered to all faculty in PBS and the Baskin School of Engineering and was followed up by 1:1 interviews with a subset of faculty.

The survey focused on perceptions of the climate for diversity, sense of belonging, and perceptions of how people treat each other within their departments. Faculty were also asked about the extent to which they engaged in and felt valued and rewarded for their inclusive teaching practices, inclusive mentoring, service that contributes to diversity, equity and inclusion, and research with a focus on diversity, equity and inclusion, with one explicit goal being to help faculty, particularly junior faculty, figure out how to divide their time and effort among important and competing institutional priorities.

Detailed reports on the findings from the survey will be released to the Faculty DEI Committees during the current year. The committee will present findings and recommendations in various fora throughout the spring and prepare an action plan.

10.2 Sexual harassment and assault

10.2.1 Policies and practices

Overview: There are extensive institutional policies— for both UC and UCSC—to prevent and address sexual harassment. Space limitations prevent outlining all of them here, but they are readily available on the UCOP Title IX Office website and the UCSC Title IX Office website. In both cases, policies (where possible under the law) align with the missions of the UCSC campus and the UC system. At UCSC, for instance, the Title IX Office is formally titled the Office of Equity and Equal Protection, which reinforces the idea that Title IX is more than a mechanism for legal compliance.

Individuals found to have violated sexual harassment and assault policies: UCSC recently implemented a policy preventing anyone with an affirmative finding of sexual harassment from

serving in an administrative role for at least ten years after the determination. Moreover, several UC campuses have also required final (or, in some cases, short-listed) job candidates to self-report affirmative SVSH findings. UCSC implemented this attestation for all hires in 2021-22, and all job postings include language letting applicants know about it. This requirement is part of a national trend led by organizations such as AAU and the NASEM Action Collaborative effort to stop higher education institutions from inadvertently passing sexual harassers and abusers on to other campuses.

Practices for dissemination: Policies are posted to UC and UCSC Title IX Office websites. When changes to policy are proposed, relevant reviewing members (e.g., Senate committees, staff, all members of the campus community, etc.) receive email communications inviting review and feedback. For example, the UC Office of the president has recently invited feedback on a draft policy to address Abusive Conduct/Bullying in the Workplace.

Practices for reviewing and updating policies: Policies are established at the UC system level and are in a constant state of review, involving the relevant offices (Human Resources, the Academic Senate, etc.). All policy changes are subject to public review and a timeframe is established for implementation on each of the 10 campuses, which includes public information sessions.

Reporting requirements: While most supervisory employees, including faculty, are mandatory reporters, i.e., they are required to report suspicions of, evidence of, and reports of potential sexual harassment, the majority of reports come in from responsible employees motivated by doing what is ethical and in the interest of the community.

Effectiveness of existing SVSH policies: UC policy mandates SVSH training for employees and students, and those training modules emphasize the importance of educating the community about SVSH, measures that can be taken to limit cases, and active steps to take when SVSH occurs, or is suspected to be occurring. While there is no reliable national data measuring the effectiveness of prevention training in reducing incidences of SVSH, UCSC has noted increases in reports following training sessions.

Restorative remedies: Restorative remedies are described at UCSC as Alternative resolutions are formalized agreements between the Complainant and Respondent that are designed to identify the harm, prevent future harm, and explore ways to remedy that harm, and are available and included as possible options through the Title IX and CARE (Campus Advocacy Resources and Education) Offices.

Surveys: See discussion in Section 10.1 above.

10.2.2 Excellence

Personnel actions: UCSC has issued the following standard as it relates to standards of professional and ethical conduct: "When an individual's inappropriate behavior undermines their ability to provide effective service and/or disrupts the efforts of [others], this can be considered

in evaluating the service component of an individual's merit review. It is important to be specific about the nature of the allegations, including concrete examples. If efforts have been made to attempt to address the offending behavior (e.g., meetings with the faculty member, conflict resolution), these should be documented..." While the statement does not call out sexual harassment in particular, the statement is reasonably understood to assert that excellence depends upon both high quality work and institutional and professional standards for ethical conduct.

Beyond Compliance Advisory Council: Currently co-chaired by Physical and Biological Sciences dean Paul Koch and Senate Vice Chair Patty Gallagher, Beyond Compliance was formed as a joint Academic Senate-Administration initiative intended to involve faculty as leaders in reshaping campus culture, attitude, and response toward sexual violence and sexual harassment (SVSH). Through Beyond Compliance, UCSC works to align the institutional culture with emerging standards being articulated and enforced by professional organizations, including NASEM, NSF, NIH. Among other activities, a series of presentations for faculty is currently being planned, including one focused on professional standards and featuring (ideally) Francis Cordova (NSF Director) and Carol Greider (MCD Biology Professor, Nobel Laureate, and longtime advocate of anti-sexual harassment policies in STEM fields).

NASEM Action Collaborative sponsorship: UCSC's investment NASEM's Action Collaborative on Preventing Sexual Harassment in Higher Education, both as a sponsor and as an active participant in summits and workshops, underscores our institutional commitment to creating and sustaining an environment in which it is widely recognized that harassing behavior adversely affects STEM fields by alienating women, people of color, and others from the field, regardless of the eminence of the individual researcher.

10.2.3 Transparency through annual reporting

To communicate effectively that the institution is intolerant of harassment, the UCSC Title IX office began issuing an annual report in the 2018-19 academic year that includes the type and frequency of incidents of sexual and intersecting bases of harassment, the status of their resolution, and the types of consequences or sanctions imposed on those found responsible. Incidences of racial harassment are reported separately in annual Hate/Bias Summaries, although there may, of course, be overlap. These are handled by UCSC's Hate/Bias Response Team.

10.2.4 Training

Sexual harassment prevention training is mandated by the University of California for all employees—faculty, supervisory staff, non-supervisory staff, and student employees—and is offered online through the UC Learning Center. Training must be completed within six months of hire, and every two years subsequently. The online trainings seek to provide a nuanced perspective that positions sexual harassment prevention as part of a broader commitment to institutional diversity, equity, and inclusion.

In addition, The CARE (Campus Advocacy Resources and Education) Office offers prevention training that includes supporting bystander intervention.

10.2.5 Sexual harassment and assault services

Confidential services for victims: UCSC has an extensive array of services available to victims, including campus confidential resources for counseling (e.g., CARE Office, CAPS services, including one-on-one counseling, group talk therapy, “let’s talk” brief drop-in sessions, and crisis services) and easy links to off-campus confidential resources (e.g., Monarch Services for sexual assault and domestic violence and Walnut Avenue Women’s Center for domestic violence).

Confidential services for Respondents: Services vary by institutional affiliation. For students, there is a Respondent Services office within the Dean of Students Office; for faculty and academic personnel, the Academic Personnel Office provides respondent support services, and for non-represented staff, the Staff Human Resources Office provides such services.

Non-confidential services: Also available are services and resources offering guidance, support, and mechanisms for reporting abuse, bullying, harassment, hate crimes/speech, etc.

Re-traumatization of targets and recurrence of harm: Both the CARE Office and the Title IX Office rely on trauma-centered approaches to conversation, reporting, and counseling, and provide resources to help support survivors.

10.2.6 Academic freedom and free expression

As with many higher education institutions nationally, UCSC has grappled with the lines between harassment and academic freedom and free speech. Examples include student groups inviting speakers with extreme right wing views to campus and anonymous postings of information about faculty and students who express support Palestinian sovereignty through their work and/or teaching to Zionist websites. It is unclear whether a “balance of inclusion” is possible in such contexts. The Academic Senate Committee on Academic Freedom, both locally at UCSC and systemwide, has addressed concerns over the targeting of faculty and students based on their research and political positions. For example, in 2019, UCSC’s committee issued a resolution on Canary Mission, an anonymously hosted website that, in its own words, is devoted to identifying “people and groups that promote hatred of the USA, Israel and Jews on North American college campuses,” principally by creating a searchable online database accessible to the public. The Academic Senate’s Committee on Academic Freedom also alerts faculty to emerging issues and works to ensure that academic freedom is protected in all faculty domains.

On the UC system-wide level, the National Center for Free Speech and Civic Engagement, founded in 2018, researches and engages the UC community in questions at the intersection of expression, engagement and democratic learning, and considers what can be done to restore trust in the value of free speech on college campuses and within society at large.

10.3. Faculty workload

Policies with criteria for making and rotating committee membership

For Senate committees, administrative working groups/steering committees/task forces, and administrative job search committees, the Academic Senate Committee on Committees nominates and/or appoints faculty. Departmental practices vary, but all departments seem to have established processes for distributing service and rotating committee membership.

Committee workload/overload

The Academic Senate compensates faculty who serve as chairs of the majority of committees; additionally, faculty are compensated for service on a number of higher-workload committees (e.g., Committee on Planning and Budget, Committee on Educational Policy, Committee on Academic Personnel). Divisional and departmental practices vary in terms of compensation for committee leadership and service.

Differences for policies and criteria within STEM programs or departments

Even though the formal baseline course load for all faculty is 5 courses per year, the actual baseline course loads vary across divisions such that faculty in STEM departments (in the ENG and PBS divisions) teach fewer courses per year than their colleagues in the ARTS, HUM and SSD divisions.

PBS is currently working on a formal workload policy.

Alignment of workload and institutional and departmental objectives

Because there are multiple, intersecting, sometimes overlapping, sometimes conflicting institutional, divisional, and departmental missions and objectives, workload balance and different missions are not always aligned.

Greater campus clarity and transparency around the prioritization of different, potentially conflicting objectives (e.g., research excellence is not always compatible with the high degrees of service, often invisibilized, necessary to support other campus objectives) to achieve better and more consistent alignments.

Measuring the effectiveness of workload policy & criteria

There is a periodic review of compensation for Senate service, often inspired by workload concerns raised among members of uncompensated committees. There is no regular/ongoing review of compensation practices. Divisional and departmental practices vary.

Workload allocation

There is no comprehensive institutional workload allocation model with criteria. Some divisions and departments have elements of workload allocation models; there is no institutional process for reviewing such models. Workload allocations models may allow for but are not intentionally aligned with DEI work.

There is no system for coordination of workload systems with other initiatives that may affect diversity, equity and inclusion interests.

Rewarding mentoring, advising and other kinds of support

The University of California Academic Personnel Manual and the UCSC Campus Academic Personnel Manual articulate the ways in which mentoring, advising, and other forms of support are to be recognized in the personnel process; the Academic Senate, the divisions, and departments also have various awards that recognize and honor teaching, which includes student mentoring and advising, especially at the graduate level.

A recent survey conducted by the Joint Working Group on Graduate Education, however, found that faculty believe that graduate mentoring and advising is inconsistently assessed and recognized at different levels with diminishing returns, and those disparities greater when assessed by gender.

Workload, including service, evaluation during personnel reviews

Workload, including service, is considered in a comprehensive personnel review process outlined in the UC Academic Personnel Manual and the UCSC Campus Academic Personnel Manual. There is no specific formula for weighting workload (in research, teaching, service, and contributions to diversity, equity, and inclusion, the major areas considered in personnel actions), but there is an informal practice of weighting research more heavily than teaching, service, and contributions to DEI.

There is no systematic process for monitoring disparities and bias in service and workload. Many people on campus are trying to address and redress such disparities, but because much of the overwork is tied to invisible forms of labor, including emotional labor, it is challenging to create systems to identify, acknowledge, reward, and alleviate such workload imbalances (which, as we know, fall disproportionately to BIPOC and women faculty).

There is a widespread discursive acknowledgment of disproportionate workload burdens, e.g., when people of color and women are asked to address equity and inclusion issues affecting them, and they bear emotional burdens on top of the effort burden that everyone engaged in the endeavor bears. However, because they are often not legible on an institutional level, it is challenging to find ways of ameliorating and/or adequately rewarding such workload imbalances.

10.4. Action plan items

Action plan item 1: Divisional faculty climate surveys

Extend the faculty climate survey study to divisions other than ENG and PBS.

Action plan item 2: Analysis of climate, culture, practices and policies relating to intersecting bases of harassment and workload

Commission a survey to assess the status of conduct, climate and culture relating to sexual and intersecting bases of harassment. Critical to this effort will be to build an assessment plan to measure the effectiveness of the information gathering, data analysis, reporting, and any institutional follow up actions.

UCSC should undertake a comprehensive workload analysis to disarticulate the various dimensions (research, teaching, advising/mentoring, service, contributions to diversity, equity, and inclusion, outreach, etc.) so that we can more fully understand potential disparities in workload across disciplines.

After undertaking such an analysis, each division should develop formal workload policies and those policies should be compared to ensure equity across divisions.

UCSC should undertake a process to prioritize, and communicate in clear and transparent ways, institutional missions and objectives so that policies and practices around workload balance can be better aligned with such goals.

Action plan item 3: Document, recognize, reward, and alleviate “identity taxation”

In addition, UCSC should identify ways of documenting, recognizing, rewarding, and alleviating “identity taxation.” For example, teaching loads vary across divisions, and teaching loads for assistant professors also vary across divisions (they are lower in PBS than SSD, for example). If SSD has a higher total number and/or percentage of first generation and Latinx/Chicanx students than other divisions (PBS/ENG), then it is likely that this difference increases the student advising workload for SSD faculty. In addition, if the percentage or total number of faculty of color is higher in SSD than in other divisions, then faculty in Soc Sci are likely to be working under greater “identity taxation” than faculty in other divisions; that “identity taxation” might exist in two review categories, teaching/advising students and service (including mentoring junior faculty).

Potential steps towards identifying, recognizing and alleviating “identity taxation:”

- Survey levels of student advising and/or service across individuals, departments, and divisions.

- Provide multiple levels of support (not only individual or AP workshops, but at the campus, division, and department levels) for faculty who are women and/or FOC (especially junior) in learning:
 - what student advising and service loads are expected for different ranks, at multiple levels (department, campus, division, senate, profession, community, etc.);
 - how to document and record all the student advising and/or service work faculty do in greater detail in biobibs at multiple levels (department, campus, division, senate, profession, community, etc.);
 - it may be useful to distinguish support from mentoring; support is more than mentoring that is provided by other individual faculty or department chairs; support is not only from APO, support needs to be provided by faculty who know the AP process well, not only department chairs or individual faculty; not only at campus level but from division also since there may be variation across divisions.

11. Education, encouragement, role models and diversity

Many at UCSC see diversity as a path for excellence in research, creative work, and teaching. With broader adoption of this view, the campus has the opportunity to aspire to greater excellence by leveraging the success of people from diverse communities whose voices, perspectives, identities, and traditions stand to enrich our contributions to engineering, the physical, life, and social sciences, and the arts and humanities. Through the action items presented in this document, we can hope to move closer to our aspirations around inclusive community and climate.

11.1. Education, encouragement, and open discussion

UCSC seeks to advance DEI through fora for open discussion, initiatives aimed at relationship- and community-building, and training, orientation, and professional development programs.

11.1.1 Fora for open discussion

UCSC Academic Senate

In some departments, the curriculum and research is tightly integrated with DEI. By contrast, in STEM fields, discussions around DEI often lead to disagreements, tension, or discomfort. Committees of the Academic Senate can provide opportunities for discussion unavailable at the department level. Furthermore, representation in the Senate is critical to establishing and maintaining fair and just university policies. Unfortunately, varying levels of capacity can unequally affect participation across divisions, departments, and appointment levels.

The Senate committees most closely tied to DEI are the Committees for Affirmative Action and Diversity (CAAD), Admissions and Financial Aid (CAFA), Teaching (COT), and Career Advising (CCA).

- **CAAD** is concerned with affirmative action policy and campus diversity. Its role is to bring to light the potential impacts on diversity that might ensue from proposals routed through the administration, conferring with the administration on policies that bear on affirmative action and diversity for academic personnel and academic programs. CAAD studies policies and practices of affirmative action and diversity, makes recommendations, and issues annual reports. CAAD focuses on diversity issues for academic personnel and academic programs, including faculty mentoring, retention, and campus climate. CAAD also reviews departmental requests for waivers of open recruitment/spousal hires and “target of excellence” hires.
- **CAFA** considers admissions related matters such as eligibility requirements, financial aid, and relations with schools, and sets campus admissions policy. Excellence through diversity is always at the forefront of discussions guiding admissions policies. The university serves the state of California and the mission of the university, which entails constantly striving to serve first-generation and underrepresented students. It is also responsible for formulating and evaluating campus policies governing financial aid and relations with schools.
- **The Committee on Teaching (COT)** is charged with fostering and promoting good teaching, recommending and evaluating methods to assess teaching, overseeing campus instructional support services, and advising the Academic Senate. The committee provides direction to the Center for Innovations in Teaching and Learning and reviews nominations for the Excellence in Teaching Award. Naturally, COT concerns itself with issues of equity related to student surveys and student experience and has made considerable effort to revise student surveys to mitigate biased responses for women faculty and faculty of color, while maximizing effective feedback.
- **CCA** develops, implements, and evaluates mentoring activities that enhance the likelihood of faculty promotion and retention, including overseeing the Faculty Mentorship Program. In 2022 CCA hosted a path to tenure workshop and a workshop on preparing for the first personnel review, held discussions on innovative mentorship, and put forth a proposal to assess faculty climate.

Committees benefit from reviewing responses of other committees to proposed policies, which often surface issues that might otherwise have been overlooked. Committee members occasionally attend meetings of other Senate committees as guests. For example, representatives of CAFA recently met with CAAD to discuss a proposed Ethnic Studies requirement for UC admissions.

The UCSC Action Collaborative

The UCSC Action Collaborative works to define concrete mechanisms that administrators and faculty can take, above and beyond what is required by law or policy, to address sexual violence and sexual harassment (SVSH) on campus. Launched in 2016 and initiated jointly by the Academic Senate and campus administration, this collaborative includes representatives from across campus.

Advancing Faculty Diversity working group

In 2020, UCSC, in partnership with UC Merced, was awarded funding from the UC Office of the President to convene a faculty workgroup to advance inclusive hiring through:

- Reviewing the literature on inclusive faculty hiring
- Disseminating findings and best practices
- Developing rubrics for assessing applications
- Developing new fair hiring training and a training manual for search committees

Among the outcomes of this collaboration are plans to launch an Equity Advocates Program that will empower champions of diversity and equity and provide dedicated resources. The Equity Advocates will advise on hiring processes, analyze tenure and promotion rates within departments, provide formal and informal faculty mentoring, and assist with other needs related to faculty equity and inclusion.

11.1.2 Faculty Community Networking Program

The Faculty Community Networking Program, established in 2019, provides structures for faculty community, development, and support. Groups exist in each of the following demographics:

- African-American/Black/Caribbean
- Asian American/Pacific Islander
- Disabilities & Chronic Illness
- Indigenous
- Latinx/Chicanx
- Women in STEM

Notable findings emerged from their reports: There is “hidden work” in mentoring members of one’s group, an observation that led UCSC to join the National Center for Faculty Development and Diversity. For women in STEM, women perform more service than men; reasons for this were proposed and potential solutions suggested, including supporting faculty in cultivating the ability to say no. The “point systems” developed by departments to allocate course releases disadvantage women and faculty of color, and while traditional academic culture rewards self-promotion, this practice is not valued in all communities, e.g., AAPI communities, resulting in inequities. Diversity statements used in personnel reviews reward the “valiant” efforts of white faculty, while taking for granted the work of faculty of color. The needs of lecturers – disproportionately women and people of color – were also highlighted, as were the challenges

of balancing family and career, often felt more strongly by women and people from communities in which eldercare is the norm.

Beyond Compliance

The Beyond Compliance initiative was launched in 2016 to define concrete mechanisms to address sexual violence and sexual harassment (SVSH) on campus that go above and beyond compliance with laws and policy, including improving responses to SVSH on campus and reducing its likelihood through educational outreach, developing best practices, and recommending policy reform. Beyond Compliance is a joint administrative-Senate initiative guided by a working group with representatives from across campus, including student representatives. Outcomes of this work include efforts to align campus culture with emerging standards being articulated by professional organizations, including NASEM, NSF, and NIH, and it has led to UCSC's investment in NASEM's Action Collaborative on Preventing Sexual Harassment in Higher Education.

11.1.3 Training and professional development programs for faculty

In 2019, UCSC joined the National Center for Faculty Development and Diversity, an independent professional development, training, and mentoring community for faculty members, postdocs, and graduate students. This membership provides valuable access to mentorship for the earliest career stages, which for new faculty can involve a very steep learning curve. This resource is particularly important for equity given that women and people from historically excluded groups may need more support of this kind than peers from majority groups.

The Center for Innovations in Teaching and Learning (CITL) uses research and equity-minded practices to strengthen the culture of teaching, foster student success and equitable outcomes, and support teacher-leaders at UCSC. Some examples of programming include:

- **The New Faculty Teaching Academy**, providing thorough introduction to the instructional landscape at UCSC;
- **Project REAL** (Redesigning for Equity and Advanced Learning), providing a research-based program in equity-minded course redesign;
- Workshops, such as **Anti-racist Teaching**, which explores research-based foundations for enacting antiracist teaching, **Facilitating Conversations about Race and Racism**, which uses classroom scenarios to authentically address the complex, dynamic interactions of teaching and learning environments, and **Universal Design for Learning**, which invites faculty to take a proactive approach to accessibility in their teaching.

The Diversity and Inclusion Certificate Program is a professional development program for staff, faculty and graduate students that cultivates a greater understanding of how we can and why we should work together to build a stronger and more inclusive campus community.

Participants take of 6 3-hour courses with learning objectives that include:

- To recognize and learn the meaning of **terminology** relevant to diversity and social justice work;

- To identify how the complex relationship between **communication and multiple intersecting social identities** inform campus interactions and impact campus climate;
- To **increase awareness of the intersecting issues** that impact multiple understandings and approaches to DEI work;
- To **develop practical skills** to ensure equity and inclusion across units to effect social change at UCSC;
- To **identify the many intersecting identities and roles** participants have in DEI work at UCSC.

New Faculty Orientation programs

In addition to the New Faculty Teaching Academy, orientation programs exist in the division of Social Sciences and in Baskin Engineering, with the goal of setting new faculty up for success in their research and teaching careers and fostering a sense of community among newly arriving faculty colleagues.

11.2 Role models and diversity

The campus and its academic divisions have invested in faculty leaders charged with advancing diversity and inclusion. This section discusses representation and domains of responsibility of faculty leaders across the campus, as well as representation in public lectures and events.

11.2.1 Faculty DEI officers and committees

In addition to the campus Associate Vice Chancellor for Academic Affairs, who oversees campus-wide DEI efforts related to faculty, the academic divisions have invested in DEI leadership:

- **ARTS:** Associate Dean for DEI
- **ENG:** BICEP (Baskin Inclusive Curriculum and Engineering Pedagogy, led by academic associate deans); plans for a DEI Associate Dean position in 2022-23
- **HUM:** Associate Dean for Faculty Affairs in the Humanities is charged with overseeing DEI issues and initiatives
- **PBS:** Associate Dean for DEI
- **SSD:** Equity Advisor to be named Associate Dean for DEI (fall 2022); Associate Dean for Student Success and Retention (October 2023)

11.2.2 Institutional events

In 2022, UCSC hosted a three-part virtual series entitled **Transforming Structures of Whiteness in University Leadership** in which: (1) the faculty community networking groups reported on their DEI findings and recommendations, (2) the findings of a faculty-led study on how faculty of color navigate and reform structures of whiteness in university leadership were reported, and (3) an interactive discussion on recognizing invisible labor in the university and ways forward. In addition, UCSC hosts numerous events aimed at addressing the lived realities

of marginalized groups and celebrating the accomplishments and perspectives of women and people of color. Highlights include:

Cesar Chávez Convocation

The annual Cesar Chávez Convocation honors the memory and struggle of Civil Rights activist Cesar Chávez, who in 1973 spoke at a UCSC rally at which he acknowledged students and community workers for their help with the campaign to improve the lives of farmworkers. Past speakers have included Dolores Huerta, co-founder of the United Farm Workers Association, and Daniel "Nane" Alejandrez, founder of Barrios Unidos, a violence prevention organization aimed at at-risk youth and the formerly incarcerated.

Diverse Voices

Diverse Voices, now in its 4th season, is a professional speaker series highlighting tech industry leaders and advocates for diversity and equity in the tech sector. The series is sponsored by the UCSC Baskin School of Engineering, and while aimed primarily at UCSC students, it is open to the public with a broadening audience coming as the result of the availability of virtual presentation technologies.

Martin Luther King, Jr. Convocation

The annual MLK Convocation celebrates the life and dreams of the Rev. Dr. Martin Luther King Jr. by presenting speakers who discuss civil rights issues relating to equality, freedom, justice, and opportunity. The convocation also seeks to build partnerships and develop dialogue within the campus community and with the local communities served by UCSC. Speakers have included Julian Bond, then chairman of the National Association for the Advancement of Colored People, and Kimberlé Crenshaw, professor of law at UCLA and Columbia Law School.

President's Postdoctoral Fellows Symposium

Baskin Engineering hosts a symposium featuring speakers from the UC President's Postdoctoral Fellowship program, a program to advance the careers of scholars with a demonstrated commitment to DEI.

Sexual Violence Sexual Harassment Research Symposium

The first UCSC SVSH Research Symposium was held in April 2021. Talks featured UCSC faculty and graduate student experts whose presentations dealt with such topics as violence-against-women attitudes and behaviors, romanticized stalking, consent in the erotic hypnosis community, and gendered experiences and sexual harassment of STEM graduate students.

The Stonewall Speaker Series is an annual event hosted by the Lionel Cantú Queer Center at UCSC, which centers artists, activists, and storytellers working toward the liberation of trans and queer people of color.

In addition to this programming, numerous research centers and arts organizations at UCSC provide fora for discussion and learning in areas related to DEI. Some examples include:

The African American Theatre Arts Troupe (AATAT) was formed in 1991 as a vehicle to create unity, higher visibility, and understanding of **African American culture** at UCSC and in the Santa Cruz community. AATAT casts UCSC students from different educational backgrounds, many with little or no theatrical experience, and also offers opportunities to students from neighboring Cabrillo College. The troupe is the only one of its kind in the UC System.

The Arts Research Institute is committed to supporting the diverse artists and scholars of UCSC in an environment of respect, support, innovation and exploration. Recent events have featured the Arthur Jafa film **Love Is The Message, The Message Is Death (2016)**, a seven-minute montage that surveys African American identity and black experience, **Abolition. Feminism. Now**, featuring Angela Davis, Gina Dent, Erica R. Meiners, and Beth E. Richie, and programming from the **Leonardo Art & Science Evening Rendezvous (LASER)**, which brings together artists, scientists, and scholars for presentations and conversations.

The Humanities Institute focuses on engaging the public, incubating research, cultivating critical thinkers, and rethinking graduate education. Events include the **Peggy Downes Baskin Ethics Lecture Series**, a forum for the discussion and exploration of ethics-related challenges in human endeavors, the **Helen Diller Distinguished Lecture in Jewish Studies**, and the **Hayden V. White Distinguished Annual Lecture**, given most recently by UCSC Professor Saidia Hartman, who spoke on **The Afterlife of Slavery**, exploring the speaker's relationship to the archives of Black life, the intersections between history and literature, and the politics of memory.

The Institute of the Arts and Sciences hosts exhibitions, public events, student programs, and academic collaborations to bring the arts together with the sciences, social sciences, and humanities. The IAS engages audiences on and off campus, broadening the impact of UCSC scholarship, teaching, and public service. Recent events have extensively addressed such topics as **prison abolition, feminism, and technology and surveillance**.

The Resource Center for the Americas was the first in the UC system to advance a broad program of interdisciplinary research that brings together Chicana/Latina and Latin American studies, and has made UCSC a vibrant hub for Latin American, Chicana/Latina, and migration studies that bring together over 90 scholars. Recent RCA-sponsored events have dealt with issues around **labor, migration, citizenship and noncitizenship, politics and LGBTQ rights in South America and the Caribbean, human rights accountability, and access to communication technologies for indigenous peoples**.

The Science and Justice Research Center cultivates experimental spaces, collaborative practices, and novel alliances for exploring today's most pressing challenges, such as species extinction, toxic ecologies, and healthcare reform. SJRC generates modes of inquiry and empirically rigorous research that address these enormous challenges to support livable worlds.

Recent events have dealt with issues of **disease and race**, **climate change as a public health problem**, and **scientific racism in areas such as geology and racial typology**.

UCSC's Center for South Asian Studies promotes and supports the study of India, Pakistan, Afghanistan, Bangladesh, Sri Lanka, Nepal, Tibet, Bhutan, the Maldives, and broader Indian Ocean worlds through collaborative research and public events focused on **economic and social justice**. Five core themes are key to the center's vision: (a) **Caste, Gender and Sexuality** (b) **Development, Growth and Entrepreneurship** (c) **Technology** (d) **Culture, Creativity and Innovation** and (e) **Environment and Sustainability**.

Also of importance are role models and representation in campus events that do not explicitly address DEI themes. The prestigious Faculty Research Lecture, sponsored by the UCSC Academic Senate, has featured four women over the past 10 years. Of those, however, only one was of color, and over the past 15 years, only three faculty members of color have been selected to speak. Similarly, the Kraw Lecture Series on Science and Technology has been fairly gender-balanced in recent years, though few scientists and engineers of color have been featured.

11.2.3 Accessibility in institutional events

In terms of accessibility, it is campus policy that event organizers provide an opportunity for guests to indicate any accessibility requirements they may have in order to participate. In the age of virtual events, closed captioning features have become built into event platforms, but prior to these technological advances, many UCSC event organizers hired closed captionists for online events, particularly when this service was requested by a guest.

UCSC has an Accessible Technology committee that meets monthly. A primary focus of this group is to ensure that campus websites meet accessibility standards. This is an ongoing and dynamic effort, as our understanding of accessibility needs becomes ever more sophisticated and more technological solutions become available.

11.3. Action plan items

The campus is currently engaged in a Vice-Chancellor for DEI search and the potential action items for this section are best developed interactively with the VC DEI once the search completes and they join our campus. The themes for these potential action items are communication, assessment, renewal and potential redesign of current proven programs, groups and models, accessibility, and striving for greater consistency of DEI education, encouragement and engagement across the campus.

12. Conclusion

UC Santa Cruz benefitted from this process of self-assessment, self-evaluation, and reflection. The process has been helpful in connecting some of our disparate diversity efforts, and in looking at the bigger picture of the efforts across our campus. By working together and stepping back to a wider view, we have been able to identify strengths, opportunities, and gaps. We have a lot in progress, and much more to do. We are excited to get to work on our action plan items.

The themes of the action plan items in Sections 4-11 are as follows:

- Faculty with disabilities workgroup
- Faculty Equity Advocates
- Inclusive Hiring for Unit 18 lectures
- Short-term waivers of recruitment for GSIs
- Mechanism for salary equity review
- Equity-minded review and update of “stopping the clock” mechanism
- Example portfolios commonly considered in personnel review
- Macro Faculty Networking Groups
- Equity-minded leadership program for department chairs
- Family-friendly guidance to department chairs
- Follow-up on lactation room survey
- Review requirement for faculty candidates to submit a statement of contributions to DEI and the new practice of first-round reviews centered on this statement
- Divisional faculty climate surveys
- Analysis of climate, culture, practices and policies relating to intersecting bases of harassment and workload
- Documenting, recognizing, rewarding and alleviating “identity taxation”
- Communication, assessment, renewal and potential redesign of current proven programs, groups and models, accessibility, and striving for greater consistency of DEI education, encouragement and engagement across the campus