

Meeting Call for Regular Meeting of the Santa Cruz Division

Friday, November 15, 2019 at 2:30 p.m.

College 9/10 Multipurpose Room

ORDER OF BUSINESS

1. Approval of Draft Minutes (none)
2. Announcements
 - a. Chair Lau
 - b. Chancellor Larive
 - c. iCPEVC Kletzer
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports
CONSENT CALENDAR:
 - a. Committee on Academic Freedom (AS/SCP/1943) p.1
 - b. Committee on Admissions and Financial Aid (AS/SCP/1944) p.7
 - c. Committee on Career Advising (AS/SCP/1945) p.19
 - d. Committee on Courses of Instruction (AS/SCP/1946) p.27
 - e. Committee on Educational Policy (AS/SCP/1947) p.36
 - f. Committee on Emeriti Relations (AS/SCP/1948) p.48
 - g. Committee on Faculty Welfare (AS/SCP/1949) p.51
 - h. Committee on Information Technology (AS/SCP/1950) p.58
 - i. Committee on International Education (AS/SCP/1951) p.61
 - j. Committee on Library and Scholarly Communication (AS/SCP/1952) p.66
 - k. Committee on Planning and Budget (AS/SCP/1953) p.73
 - l. Committee on Privilege and Tenure (AS/SCP/1954) p.85
 - m. Committee on Research (AS/SCP/1955) p.87
 - n. Committee on Rules, Jurisdiction and Elections (AS/SCP/1956) p.94
 - o. Committee on Teaching (AS/SCP/1957) p.98
 - p. Graduate Council (AS/SCP/1958) p.127
5. Reports of Special Committees (none)
 - a. Special Committee on Development and Fundraising
 - i. Annual Report, 2018-19 (AS/SCP/1959) p.135
6. Reports of Standing Committees
 - a. Committee on Educational Policy
 - i. Report on Four year Graduation, Resources for Undergraduate Education, and the Long Range Development Plan (AS/SCP/1960) p.138
 - b. Committee on Faculty Welfare
 - i. Resolution on the Commitment to Ensure Salary Equity and Competitiveness within the UC System (AS/SCP/1961) p.156
7. Report of the Student Union Assembly Chair
CLASS Survey Results for the 2018-2019 Academic Year
8. Report of the Graduate Student Association President
9. Petitions of Students (none)
10. Unfinished Business (none)
11. University and Faculty Welfare (none)
12. New Business
 - a. ACE Internationalization Lab Oral Report - Jeremy Hourigan, Committee Co-chair
 - b. Resolution in Support of Lecturers (AS/SCP/1962) p.158

November 8, 2019

Academic Senate
Santa Cruz Division

Dear Colleagues,

I write to invite you to the fall Senate meeting on Friday, November 15, 2019, from 2:30 to 5:00pm, at the College 9 and 10 Multipurpose Room. The agenda for the meeting may be viewed at the [Academic Senate website](#). Following the meeting, the Chancellor and the Senate will co-host a reception, including a champagne toast to celebrate UCSC's recent [election to the AAU](#).

The meeting will begin with comments from Chancellor Larive, who will share her goals and vision for the campus. Interim Campus Provost and Executive Vice Chancellor (iCPEVC) Kletzer will also provide remarks. Senate leadership has asked that the Chancellor and iCPEVC update the Senate regarding the status of the two resolutions passed at the May 2019 Senate meeting (Resolution on [Canary Mission](#), Resolution on [Houseless Students](#)). As always, there will be an opportunity for Q&A following their remarks.

The Committee on Educational Policy plans to present an overview of the many factors affecting graduation rates and achievement gaps among our different undergraduate populations; some of these factors include curricular resources, student-to-faculty ratios, possible changes to undergraduate regulations, classroom space, and the LRDP.

The Committee on Faculty Welfare will bring a resolution to codify the Senate's position regarding faculty salary data. This resolution articulates the need for data that allow for the most useful, accurate, and comprehensive comparisons of UCSC faculty salaries relative to the other UC campuses as well as ["comp-8" institutions](#). There will also be a resolution articulating support of UCSC's lecturers.

We also look forward to reports from the Student Union Assembly (SUA) and Graduate Student Association (GSA). Additionally, because the SUA did not have an opportunity to present the results of the CLASS survey data in spring of 2019, I have invited them to present their findings now. This presentation of student-generated data provides an important perspective for our understanding of undergraduate student experiences and perceptions of accessing classes.

I also want to encourage all faculty members to take advantage of the opportunity to provide feedback on the upcoming CP/EVC recruitment. There will be two sessions for faculty members on November 14, one from 11:00 to 11:45am and one from 4:00 to 4:45pm. The sessions will take place in the Alumni Room at the University Center. These stakeholder conversations allow campus and community constituents to share thoughts about the CP/EVC position in relation to campus priorities and vision with committee chair, VPAA Herbie Lee, and search firm consultant John Amer from Korn Ferry, who

will convey the information to the full search committee ([search advisory committee](#)). For more information regarding the search, please see <https://chancellor.ucsc.edu/cpevc-search/>

Finally, I want to recognize the service contributions of all the faculty members who have recently completed Senate service as well as those who are currently serving on Senate Committees. Your ongoing commitment to our campus is inspiring and appreciated.

I very much hope to see you at next week's meeting.

Sincerely,
Kim Lau, Chair

A handwritten signature in black ink, appearing to read 'Kim Lau', with a stylized flourish at the end.

Academic Senate
Santa Cruz, Division

COMMITTEE ON ACADEMIC FREEDOM Annual Report 2018 - 19

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) met every three weeks across the academic year as issues arose for discussion and review, with frequent consultations by email and shared documents between meetings. This year the committee reviewed policy changes locally and systemwide and initiated discussions and proposals for action with the administration and other Senate Committees on the issues described below.

COMMITTEE ISSUES

I. Canary Mission

Canary Mission (canarymission.org) is 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. A number of UC Santa Cruz faculty and students are listed on the Canary Mission website. Canary Mission's website features the slogan "because the world should know." Its own staff and funding are not listed. Its methods reportedly include contacting employers of people on its list, as well as tagging them on social media, and using search engine optimization so that its entries appear early on internet searches. The objective appears to be to adversely influence admissions, hiring, promotion, grant applications, and other decisions affecting the lives and careers of people listed on its site. Such an objective would be problematic under any circumstances, but it is compounded by the inclusion of numerous errors and falsehoods in the entries on individual people.

CAF addressed this issue during 2018-2019 because of concern about the effect on members of our community, especially students, whose futures rest on their reputations, which are under assault. We are also concerned with Canary Mission's contribution to an atmosphere of suppression and anonymous accusations, which run counter to our principles of academic freedom, our right to freedom of expression, and the UC Santa Cruz Principles of Community.

Following a September meeting between Chancellor Blumenthal, three faculty members listed on the Canary Mission website, and CAF Chair Hershatter, CAF wrote to the Chancellor asking that he take this issue to the Council of Chancellors and that he help us to identify avenues of recourse for damage to reputation and job prospects of those listed on the Canary Mission website. Subsequently, at the Chancellor's recommendation, CAF met with Campus Counsel Lorena Peñaloza on March 11, 2019 to discuss legal recourse, which is limited. CAF met with the Committee on Affirmative Action and Diversity (CAAD) on April 8 to discuss further possible steps, and subsequently at the May 17 Senate meeting, CAF and CAAD jointly sponsored a resolution that passed unanimously, calling on the Chancellor to initiate the following actions:

1. Formally affirm that Canary Mission and similar websites will not be used in any university procedures, including hiring, reviewing, grant-making, admissions, or any other selection procedures;
2. Issue a statement disavowing the activities of Canary Mission and similar websites in attacking academic freedom, seeking to stifle freedom of discussion, and - by virtue of its “easily searchable format” - inviting attack on faculty, students, and other members of the university community;
3. Offer free legal assistance to any UC Santa Cruz affiliate who is listed on the Canary Mission website and who is being harmed by being so listed. Such assistance may include help with removal from the website, help in obtaining visas and other travel documentation for faculty and students whose research abroad (e.g., in Israel/Palestine) has been compromised, a university letter for the placement files of affected students condemning Canary Mission and affirming the students’ good standing at UC Santa Cruz, or other help required by those facing material consequences of their listing on the site;
4. Offer free psychological assistance to any UC Santa Cruz affiliate who is listed on the Canary Mission website and who is being harmed by being so listed.
5. Provide free technical assistance to remove profiles from the site, if possible; and
6. Seek a statement from UC Office of the President and the Council of Chancellors condemning Canary Mission. We urge consideration of a joint Administration-Senate statement on this topic. To that end, we also ask that Chair Lau take this resolution to Academic Council for systemwide consideration.

We also note that on March 29, UCAF sent a letter to Academic Council expressing concern about the Canary Mission website, and that Academic Council may decide to take further steps to respond to this situation at the systemwide level.

II. FIRE Freedom of Speech Statement

Prior to the Academic Senate meeting on February 20, 2019, the Senate Director forwarded to CAF the Resolution on the Commitment to Freedom of Speech and Freedom of Expression submitted by a member of the faculty. The Resolution was written by FIRE, an acronym that stands for Freedom of Individual Expression in Education. After serious discussion, CAF decided to oppose the resolution on the Senate floor on several grounds: 1) the resolution was not clear on the distinction between academic freedom and freedom of speech; 2) University policy and procedures already contain multiple robust statements on both academic freedom and free speech. See, for instance, [APM 010](#), [APM 015](#), [Principles of Community](#), and [Exercising Free Speech](#); and 3) FIRE’s funding sources and disagreements with the AAUP about campus Free Speech bills raised concerns about the organization’s complex political agenda. CAF made our written response available to the winter quarter Senate meeting, and after lively discussion the resolution was defeated.

III. Campus Policing and Student Disciplinary Procedures

On April 8 CAF held a joint meeting with CAAD to discuss, among other issues, the disciplinary process as it related to campus events, the doxing of UCSC students on a national level, the student code of conduct, and the campus environment with respect to maintaining and increasing the diversity of the student body.

CAF was heartened by a letter to Dean of Students Garrett Naiman issued by the Council of Provosts, which raised concerns about how student misconduct is defined, the long tradition of student protest on our campus, and the inadequacy of current disciplinary processes. As the Provosts' letter says, giving voice to concerns that CAF has also raised, "It is dispiritingly ironic that those who might be most directly experiencing institutional bias and struggling the most to remain at the university are those who are most likely to be singled out by the institution as perpetrators of prohibited behavior and subject to suspension or expulsion. We would like to engage in a discussion about issues of consistency and equity within the system of our code of conduct and how this system might be brought in closer alignment with our purported values.... Students may be held liable by the University for offenses based on conduct that may have been treated as unlawful because of unequal policing practices. We would like to discuss ways that the campus could better take into account these systems of bias and make different choices regarding how to respond to protest arrests."

Subsequently, on April 29 CAF met with members of the Division of Student Success including AVC and Chief of Staff Lucy Rojas, AVC and Dean of Students Garrett Naiman, Associate Dean of Students and Chief of Staff Brian Arao, and Assistant Dean for Conduct and Community Standards Jose Sanchez, as well as Campus Diversity Officer of Students and Staff Linda Scholz, to discuss two issues:

1. How the Division might assist with letters in the placement files of students listed on the Canary Mission website, verifying their good standing in the community. Subsequently (as discussed above) the Academic Senate passed a resolution endorsing this approach, and CAF has provided template language for the letter to the Division of Student Success. The 2019-20 CAF will follow up on this.
2. Update regarding student disciplinary processes after campus events and protests, including protests on November 11, 2018 during a visit to campus by the Chancellor's Search Committee. The discussion was very productive and CAF will follow up with Dean Naiman in 2019-2020.

IV. Strategic Academic Plan

Throughout the academic year, CAF reviewed various iterations of the Strategic Academic Plan (SAP). The first review required conferring over the 2018 summer to evaluate the Implementation Playbook in a very short turnaround time. This review was conducted by the 2017-2018 CAF, but since it took place after CAF's Annual Report was filed for the year, it was not included there. In our August 31, 2018 report, we expressed our concern that "the speed of the process to date, and its emphasis on new proposals rather than a thorough assessment of how we might support the

many initiatives already underway on campus, makes the process less germane to campus needs and less supportive of ‘academic freedom to’ than it was intended to be, in spite of the ‘community driven process’ of interviews, surveys, and forums.” By “academic freedom to” we mean not merely freedom from “interference, suppression, threats, and distortions in the national funding apparatus” but also “the creation of a supportive environment for the hatching and growth of the widest possible range of significant research and inquiry.” We raised concerns about the broadness, contemporary focus, and cursory nature of the three Academic Priority Areas; the disjuncture between some of the design principles and their associated goals, outcomes, and initiatives; the sketchy nature of the implementation plan; and the neglect of graduate student needs. Only the impressive list of barriers identified in the Playbook seemed to us an unalloyed achievement.

Subsequently, on Dec. 14, 2018, Campus Provost and Executive Vice Chancellor (CPEVC) Tromp and Vice Provost for Academic Affairs (VPAA) Lee asked for Senate review by March 1, 2019 of a rewritten version of the SAP. CAF concluded that that shift from a visual slide deck to a written text was an improvement, and that some graduate student needs had been included. We reiterated our concerns about the vagueness of the priority areas and principles, as well as the plans for implementation, and reiterated our concern about the conflation of “interdisciplinary” and “interdepartmental” research, since some departments are themselves interdisciplinary. We raised questions about some issues that had crept into the to-do list for barrier reduction, including “Design effective mechanisms to support joint appointments” (we have some such mechanisms and others, across departments, have to be carefully designed); “Improve integration of Silicon Valley and main campus programs” (this appears to be more of a design principle than a barrier); and “Address risk-averse institutional culture” (among whom and of what sort?). We concluded with concerns about encroachments on shared governance in the implementation of the plan, since the monitoring, tracking, and advising procedures laid out in the SAP either duplicate or overlap with functions properly assigned to Senate committees.

This spring, in our third review of the SAP within a year, we were specifically asked to rank potential initiatives under each of the five "Design Principles." The review was requested once again with a short turnaround time, at one of the busiest times of year for faculty and graduate students. In this review we continued to express our concern, writing:

“We want the university to expand its capacity to identify and support the many excellent research initiatives that are underway or emergent on our campus, many of which are under-resourced, rather than making a priori decisions about priority areas. We are concerned that in an attempt to access scarce resources, faculty will be required either to artificially tailor their proposals so that they look as though they fit into an APA, or fail to qualify for support. We remain unpersuaded that those worries are addressed in the current SAP. For that reason, we are unable to prioritize any initiative that specifies support only for APA topics.”

We also expressed specific reservations about initiative 1.1, 2.5, and Design Principles 4 and 5. As Academic Chair Lau noted in her summary report, CAF expressed concerns about the resources and infrastructure to support these initiatives, encroachment on Senate purview, and lack of a coherent vision in the SAP.

As should be clear from this lengthy discussion, in spite of a two-year procedure in which CAF and many other campus entities were repeatedly asked to evaluate aspects of the SAP, we remain deeply dissatisfied with both the content of the plan and the process by which it has been devised. We would be very pleased if the incoming campus leadership took a long hard look at it, and at the hundreds of pages of responses it has generated from the Senate and elsewhere, before making a decision about whether to proceed further.

V. Other Issues

CAF continued to monitor the environment for academic freedom on our campus and beyond, with particular attention to the effects of social media. We discussed the targeting of an activist-in-residence fellowship sponsored by the UCSC Research Center for the Americas; policies regarding audio or video recording of class instructors; policies surrounding strikes and their impact on teaching; and a situation (since rectified) in which the Institutional Research, Assessment, and Policy Studies unit (IRAPS) sent emails to students that appeared to come from their instructors, without the consent of the instructors.

We discussed the letter issued by all UC Chancellors opposing the Boycott, Divestment, Sanctions (BDS) movement, an issue that later resulted in a letter from UCAF to the systemwide Academic Council about whether this was intended as an official UC position, as well as an April 25 letter from the systemwide Academic Council to the Chancellors expressing concern “with the process by which this letter was produced, and the possible chilling effects the letter may have on the climate on our campuses.”

We were briefed by the Committee on Library and Scholarly Communication (COLASC) Chair Ottemann about (ultimately unsuccessful) systemwide negotiations with Elsevier about Open Access and fee structure.

CAF, along with other Senate committees, reviewed proposed systemwide policies or revisions to policies, including the Proposed Presidential Policy on Protection of Administrative Records Containing Personally Identifiable Information (RMP-7); the Revised Presidential Policy on Sexual Violence and Sexual Harassment; the Presidential Task Force Recommendations on Universitywide Policing; UCSC’s implementation of the Negotiated Salary Trial Program (NSTP); a proposed new section of the APM entitled Academic Freedom, Protection of Professional Standards and Responsibilities of Non-Faculty Academic Appointees (APM-011); Senate Bylaw 336 on Privilege and Tenure procedures for disciplinary cases resulting from sexual harassment complaints; Proposed Revised APM 230 on Visiting Appointments; and the second Systemwide Review of the Proposed Presidential Policy on Open Access for Theses and Dissertations.

We had comments and questions about all of these, which are documented in our archived responses, but particularly notable is the unsatisfactory revision of the Proposed Presidential Policy on Open Access for Theses and Dissertations. In spite of feedback from many campuses, including our own, the proposed policy mandates an inadequate short embargo period of two years on theses and dissertations and proposes a cumbersome procedure for extending it. In the Humanities, Social Sciences, and Arts, it typically takes at least five years (usually more) to revise a dissertation and

publish a monograph, and often three or four years to have an article appear in a major peer-reviewed journal. Before the work is revised and published, it needs to be protected from plagiarism, which has become a worldwide problem that is exacerbated by online circulation and virtually unregulated in many nations at this point. We recommended, therefore, that the policy be adjusted to provide a five-year embargo option without special conditions or “compelling reasons” when a thesis or dissertation is filed. The compelling reason is generic and affects students across many non-STEM disciplines. It creates an unnecessary and onerous burden for students in such fields to ask for special dispensation in each case. (On April 8, systemwide Academic Council issued a letter to Susan Carlson, Vice Provost for Academic Personnel, expressing the same concerns.)

In June, at the request of our divisional Senate, CAF reviewed (in executive session) a proposed FTE transfer from a departmental to a divisional appointment that contained a number of anomalous features. While we could not determine the validity of the claims on the different sides of the dispute, in CAF’s judgment, the case clearly illustrated the need for adequate systemwide procedures to protect faculty, adjudicate disputes, and resolve FTE transfer questions when there is serious intradepartmental disagreement. CAF suggested possible approaches.

Finally, CAF continued to develop a website with resources about academic freedom, which can be found at [Resources for Thinking about Academic Freedom and Free Speech](#).

Respectfully submitted;

COMMITTEE ON ACADEMIC FREEDOM

Michael Dine

Daniel Scheie

Jessica Taft

Gail Hershatter, Chair

Robin King, NSTF Rep.

Rowan Powell, GSA Student Rep. (*F, W*)

Ingy Higazy, GSA Student Rep. (*S*)

August 31, 2019

Committee on Admissions and Financial Aid 2018-19 Annual Report

To the Academic Senate, Santa Cruz Division:

The Committee on Admissions and Financial Aid (CAFA) continued its annual work evaluating the outcomes of the prior (2018) admissions cycle and adapting its consistent priorities to changing circumstances in shaping the class entering in fall 2019. As always, we worked closely with Undergraduate Education, Enrollment Management, and Admissions, whose energy and creativity provided us with both information and options for setting policy.

I. WORK OF CAFA IN 2018-19

A. Committee Foci

1. Holistic Review and selection of frosh applicants

This year CAFA continued in its efforts to refine the Holistic Review (HR) policy that has served as the primary admissions policy for the campus since it instituted its own holistic review process in 2012. CAFA's priorities in shaping the class were consistent with last year's: ensuring first that every student offered admission is sufficiently prepared to succeed at UCSC, and among that population shaping a diverse class, both as a way to make sure we provide opportunity to all Californians and as a goal in itself for the intellectual, social and cultural benefit of the whole student body. We placed particular emphasis, within the constraints of Proposition 209, on increasing underrepresented groups that have a strong representation in our state but tend to not reach a "critical mass" that we would like to see on our campus. The need to reach critical mass was also expressed by students in a poll issued by the Student Union Association last November. During the winter quarter the committee deliberated a set of admission scenarios provided by Enrollment Management and reviewed a set of diversity-promoting recommendations introduced by Michelle Whittingham, Associate Vice Chancellor of Enrollment Management (AVCEM). These recommendations proposed varying combinations of minimum Holistic Review Scores (HRS), student success indicator scores (SSI), combined with other academic and diversity indicators such as eligibility in the state context, (top 9% of all high school seniors), eligibility in the local context (top 9% of a participating high school's graduating class), Local Control Funding Formula supplemental and concentration grants (LCFF+), first generation college student status, and qualified students who leaned toward underpopulated divisions such as the arts and humanities. We also prioritized students from Santa Cruz and Monterey counties, in the higher HRS bands as these populations were best served by Educational Partnership Programs. After deliberating over the scenarios and their hypothetical outcomes for the incoming cohort, CAFA arrived at a decision that members agreed would meet our campus goals of selecting a frosh cohort of both strong academic preparedness and economic, racial/ethnic, and geographical diversity.

2. UC Systemwide Transfer Guarantee

CAFA, along with the Committee on Affirmative Action and Diversity, the Committee on Planning and Budget, and the Committee on Educational Policy, reviewed the proposal related to the Board of Admissions and Relations with Schools (BOARS) for a systemwide transfer admissions guarantee for qualified California Community College Students. This proposal was submitted to the systemwide Academic Senate for review on January 18, 2019 by Robert C. May, Chair of the systemwide Academic Council. After a thorough review and discussion of the materials provided, CAFA offered a number of detailed suggestions, centered around the central problem that the new guarantee being offered appeared ill-defined and seemed to muddy the role of the traditional system of transfer admission guarantees (TAGs) to individual campuses. As a result of this feedback, and similar feedback from other campuses, BOARS, Academic Council and the University of California Office of the President (UCOP) revised the messaging to much more clearly center the existing TAG system in the messaging and make it clear that this is where the true guarantee lies.

3. Nonresident Admissions

a. Compare Favorably

The Santa Cruz Division continues to assess, at BOARS's annual request, the extent to which our nonresident undergraduate admittees "compare favorably" according to the assessment criteria provided. CAFA reviewed the campus's fall 2018 admissions data, and the "Data Comparing Selective Admissions Credentials of Resident and Nonresident Freshman at Santa Cruz: 2012-2018" (hereafter Compare Favorably Data) prepared by UCOP Institutional Research and Academic Planning (5/15/19). Meeting the compare favorably (CF) standard is a goal that is shared by our divisional Committee on Admissions and Financial Aid (CAFA) and our administration. Having only started to focus on increasing non-resident enrollment in 2012, we are behind the recruitment curve compared to most other UC campuses. The data provided by UCOP for our campus continue to show a small shortfall in the averages of academic factors (high school GPA, test scores, and the UC Academic Index, which combines them) in admitted non-residents compared to California residents. While UCSC welcomes nonresidents, CAFA and Admissions are conservative about reviewing the academic factors that we think reflect the academic preparedness of non-Californians. This is especially challenging when our application process caters to the metrics used in California.

i. 2018 policy and results

Due to the greater standardization of test scores relative to GPA across state and national boundaries, CAFA prioritized meeting CF on the metric of average test score (SAT scale) in the prior cycle (which would have been our first time in recent years to do so). Enrollment Management at UCSC cooperated with complete transparency and good faith in this goal, and both at the stage of initial offers and waitlist offers we all believed the criterion had been met for both international and domestic nonresident students. Unfortunately, once we received UCOP data this year, we found a significant discrepancy, and learned that UCOP uses a different methodology for

converting ACT and old SAT scores to the new SAT scale. In addition, we learned that UCOP was using a converted SAT score, if it was higher than an actual SAT score. Thus, for this reason (and this reason alone), we again narrowly missed the CF goal on this metric. For this year's decision cycle (fall 2019 entering class), Enrollment Management integrated the UCOP procedures into their forecasting models, and followed CAFA's requirement that CF be met on SAT for this cycle using UCOP's definition. UCSC continues to use a second, locally-defined criterion in addition to the CF metric to assure that nonresident students offered admission have a high probability of success. This policy, in place in the last three cycles, is referred to as common floor. Under this policy, no out-of-state student is admitted who could not have been admitted as a California resident -- there is a common floor on the Student Success Indicator (which, like UC Academic Index, is a combination of test scores and GPA) for students in all residency categories. For purposes of making sure that all admitted students are prepared for success, UCSC considers implementation of the common floor even more important than the comparison of averages, since even a distribution with a reasonable average could contain a tail of students so unprepared as to pose a serious risk for their success. The common floor policy expands the notion of adequate preparation *to the individual student* rather than just the collective population, but it is not meant to substitute for CF; we remain committed to meeting both criteria.

As in the prior cycle, first year retention was highest for international students (91.6%), lowest for domestic nonresidents (78.7%) and intermediate for California residents (87.7%)¹. This pattern held in the last cycle as well, and we suspect it can be attributed mostly to personal and economic factors rather than academic performance, since it does not match the academic pattern -- domestic non-residents had an average GPA of 3.13, nearly identical to the 3.14 of California residents.

The first-year performance data for the 2017 cohort of international students is, however, both unexpected and a cause for concern. For the first time we see a significantly lower first year GPA for international students: 2.97 vs. 3.14 for California residents, a shortfall of 5.4%, which is far greater than the 1.8% shortfall in UC Academic Index for this same cohort (see Table 1). Even more importantly, the probation rate for this international cohort was 8.4% (37 out of 442 students), over twice the rate for California and domestic nonresident students (3.9% and 4.3% respectively). This effect was not observed in the prior year (2016 cohort), where the probation rates were 2.9% (CA), 3.6% (DNR), and 3.5% (Int). Our university has an important responsibility to follow up with these enrolled students who are headed towards or are on probation. While Admissions makes every effort to provide early-messaging about student resources available, Undergraduate Advising, Division of Student Success, International Student and Scholar Support Services, and the Academic Resource Center should all be reaching out to enrolled students. CAFA and Admissions encourage future synergy with our campus resource groups which may allow UCSC to modify selection and assess needed support services for international students in later cycles.

¹UCOP's public numbers at <https://www.universityofcalifornia.edu/infocenter/ug-outcomes/> are somewhat more encouraging, with first year retention of the 2017 cohort at 81.2% for domestic nonresident students, 92.4% for international students, and 87.7% for California residents.

We note that UC Riverside, which may be recruiting a similar international applicant population, showed a very similar drop in performance for the 2017 international cohort.

4. Early Consideration

In May of 2017, CAFA approved an early notification policy for the campus that went into effect fall of 2017. Under the policy, early notification is reserved for specific individuals targeted for recruitment by all units such as head coaches for each athletic team, department chairs, directors of musical groups, within the selection criteria parameters established by the committee. Recruiters, the heads or directors of the specific unit, submit a list of student names, their reason for recruitment, and any correspondence with the prospective student to UE. The applications for these students are read first by our readers and designated a HR score. The list of applicants and their HR scores are presented to CAFA whose members evaluate the distribution of HR scores. For the fall of 2018 a total of 88 students were nominated for early consideration. Of the 88, 77 students were admitted under the policy with HR scores 4 or better. These are students who would have been admitted during the previous admission cycle.

5. Impaction Guidelines

CAFA reviewed the Revised Guidelines for Improving Curricular Capacity and Capping Program Enrollment Process submitted to the Academic Senate for Review on September 4, 2018. The other committees involved with Impaction were the Committee on Affirmative Action and Diversity, Committee on Planning and Budget, and the Committee on Educational Policy. This policy is even more important and timely given that this fall we implemented additional admissions criteria for the first-time for a department that had outstripped its capacity and for the striking growth some departments endured as a result of 2:1. In our review we emphasized that our UCSC mission is to provide *high-quality programs* while providing *access* to higher education to the population of our diverse state. Thoughtful and creative enrollment management will assist programs that have reached or may be close to reaching capacity due to high demand and those that welcome growth. CAFA also emphasized that departments need to understand that *they can be proactive* about student growth and are able to make the case that while impaction is imminent (1-2 years), there is time to preserve the integrity of the departmental curriculum and that there are strategies they can implement to try and reduce bottlenecks.

6. Computer Science and Engineering Department Designation as Impacted Major

In 2017 - 18 the Computer Science (CS) program submitted an impaction document which outlined the rapid growth of CS majors across the nation and at UCSC. In this same report, the CS program suggested a cap on the number of entering CS students to maintain the quality of the program and offered a metric, the CS index, that ensured that admitted students were sufficiently prepared to succeed in the CS curriculum. Admissions, Committee on Educational Policy (CEP), and CS worked together to balance access, preparedness, and student diversity. As a result, 2018-19 frosh admissions decisions were targeted at ~600 CS students. This target was supported by the Academic Senate for one year. We thank CS for their cooperation during the 2018 admissions period and for including the breakdown of the number of students, frosh and junior transfers,

entering the Baskin School of Engineering (BSOE) majors in both Fall 2017 and Fall 2018 in their current enrollment document.

Since then, BSOE has undergone some significant changes with the merger of some departments. The newly reshaped Computer Science and Engineering (CSE) department is hoping to renew the CS target of ~600 entering frosh for Fall 2019. However, CSE also wants to limit the number of proposed Computer Engineering (CE) majors in Fall 2019 to 200 with the provision that these frosh not only have the option of transferring into the CE major after matriculation, but also to Computer Science (CS). Therefore, it will be apparent that the only students that may enter the CS major are those that have initially proposed CS or those that initially proposed CE and then laterally transferred into CS. CSE requests that Admissions limit the number of transfer students admitted to the CS program in 2019-20 to 200 students. Lastly, CSE requested that admissions limit the number of transfer students admitted to the CE Major and proposed a cap of 50 in Fall 2019-20.

CAFA did not support the request to cap CE students this admissions cycle because the proper information was not provided to high school counselors, community college advisors, and potential students in the summer of 2018 when the Quick Reference Guide to UC Admissions for counselors was made available. In the reference guide for freshman selection, UCSC clearly states that the CS major is selective. CS is the only major listed as a selective major. Selecting students based on their interest in CE would be disingenuous at this point. If CE is struggling to provide quality education for its students, it is necessary for CE to explain their situation in detail, similarly to what was done for CS. Balancing access and quality of education is our priority and a thorough analysis, as was submitted for CS, is warranted before any constraints on the number of students admitted may be implemented.

CAFA supported the request to limit transfer students into the CS major. Admissions observed a surge of transfer students in 2018-2019 due to the 2:1 mandate and we anticipated that we will maintain this ratio in our 2019-2020 admissions cycle. A target of 200 transfer students into the CS is reasonable. CAFA did not see the purpose of limiting transfer students into the CE major at this time. CAFA encouraged CSE to continue to have regular discussions with CAFA and CEP in order to balance admissions, access, and quality of education.

B. Sub-Committee Efforts

1. Appeals Subcommittee

The Appeals subcommittee worked closely with Undergraduate Education (UE), Enrollment Management (EM), and Admissions to streamline the appeals requirements for students who were denied admission to UCSC or whose admissions were cancelled. Cancellations were due to a variety of circumstances such as but not limited to a significant drop in senior year performance that did not reflect previous performance as evaluated on their college applications, not corresponding with admissions about a change in their reported coursework, or not providing the necessary documentation for completing coursework at different institutes. This year, all appeals were submitted online and clear guidelines for the appeal were provided on the admissions website. Students were asked to explain the reason for their appeal in 500 words and supporting

documentation was welcome. Members of CARC, the Cancellation Appeals Review Committee, comprised of the Interim Director of Admissions, the Associate Vice Chancellor of Enrollment Management, and two members of CAFA's Appeals subcommittee. Members consulted with VPDUE when necessary. CARC is currently reviewing appeals throughout the summer and this review will continue into September/October. CARC members meet weekly starting June 15, 2019 to review appeals. As decisions are made, notification to students are made by MyUCSC portal and by email.

2. Data Subcommittee

The primary project of the Data Subcommittee was to spend extra time reviewing particular selection scenarios for the frosh class with Enrollment Management, so that a small and clearly described set of options could be presented for discussion with the committee as a whole. The Data Subcommittee which was comprised of two CAFA members, met with the Vice Provost and Dean of Undergraduate Education (VPDUE), Director of Admissions, and the Associate Vice Chancellor of Enrollment Management (AVCEM) during the Winter and the beginning of the Spring quarter.

II. ISSUES FOR THE NEAR FUTURE

A. Transfer and 2:1

In 2017-18 the President of the University of California, Janet Napolitano, convened a Transfer Pathway Task force which drafted two proposals 1) a proposal for a guaranteed admission pilot via Associate Degrees for Transfer in chemistry and physics, and 2) a proposal for a systemwide transfer admission guarantee. The Board of Admissions and Relations with Schools (BOARS) reviewed the proposals on April 25, 2018 and drafted a memorandum to President Napolitano indicating the Academic Senate's expectation that policy would "be implemented to guide the Fall 2019 entering California Community College students." It is CAFA's expectation that Academic Council (advised by BOARS) and subsequently the admissions committees of the 10 campuses will have the final say on what is ultimately implemented as admissions policy.

B. Major Impaction

CAFA will need to work with BSOE, Admissions, and the Computer Science and Engineering Department to create processes and procedures that will allow CSE and the campus to regulate the number of students that enroll into their programs.

C. Compare Favorably

CAFA will continue to ensure that admission of non-resident students is consistent with the overall admission goals of our campus, comprehensive review admissions policy, and the holistic review process in place at UCSC.

D. International Visitor and Exchange Students

CAFA is looking forward to assessing the International Visitor and Exchange Students and providing the outcomes of the exchange over the next two years.

E. Early Consideration

Our hope is that we will have smooth recruitment in this next admission cycle with Early Consideration and that the campus-wide policy may be reflected in our student diversity.

F. Subcommittee Efforts

The Data Subcommittee has submitted a data request to Enrollment Management for applicant data available to readers, the student's HR score, the residential address, and all the other HS, neighborhood, and individual variables used in the selection process (e.g. LCFF+ and geocode of the school, and first-gen and ELC information of the student). "Geocode" is a UCSC-specific metric related to the number of African-American applicants from a particular high-school in prior cycles. We will link this applicant data to students' grades and probation status and the census data. The goals are to develop an additional measure for the selection process based on census data on neighborhood. We will then test if adding this variable to the selection process increases the diversity of the entering class. This is meant to serve the same purpose as the geocode, but with more precision -- making it more likely to reach specifically the disadvantaged students from racially and economically diverse schools (e.g. Berkeley High). As well it will help CAFA develop and test alternative predictors of student performance (such as class rank, progression of GPA with high school year, or specific grades and scores vs. proposed major) that can be contrasted with SSI. We will then determine if these alternative measures, or a combination of them, can increase both predicted performance and the diversity of the entering class.

III.

Admissions and Financial Aid for Fall 2019

A. Admissions

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

UC Santa Cruz received 67,592 applications. Frosh applications totaled 55,864 (CA = 44,685, out of state = 3,564, and international = 7,615) and transfer applications totaled 11,728 (CA = 10,140, out of state = 236, and international = 1,352). As with last year, the campus was open for

winter transfer applications in selected majors. As of the writing of this report, we have received 483 applications for winter 2020 transfer admission; we will need to rely heavily on this pool to again achieve the state mandate to enroll one new California transfer student for every two new California frosh, commonly referred to as 2:1. We have more applications due to several majors being open for the first time this winter in the Baskin School of Engineering and in the Division of Physical and Biological Sciences.

UC Santa Cruz admitted 28,808 frosh for fall 2019, including 20,068 California, 3,034 out of state and 5,706 international. The frosh admission rate was 51.6%. The average high school GPA of admitted frosh was 3.94 (on a 4.4 weighted scale), essentially the same as fall 2018 (3.93). The average SAT score taken under the new test system is 1,316, a 0.5% increase from 2018. We used waitlist and referral pool strategies to manage enrollment outcomes within an ever-changing environment. We managed to the established Computer Science capacity constraint.

UC Santa Cruz admitted 7,178 sophomore and junior transfer students, including 6,359 California, 60 out of state and 759 international. The admission rate for all transfers was 61.2%. The total number of admits decreased and California admits decreased by 10% from last year. Admitted sophomore transfer applicants met the same course requirements and (where applicable) major preparation requirements as junior transfer students, but had fewer than 90 units for transfer.

Frosh Statements of Intent to Register (SIRs) total 4,494, including 3,548 California, 290 out of state and 656 international students. California SIRs from students identifying as African American reached 4.2%, decreasing from 5.4% in fall 2018 and 5.0% in fall 2017; Hispanic/ Latino reached 27.1%, slightly increasing from 26.5% in fall 2018 and 29.0% in fall 2017.

Transfer SIRs total 1,859, including 1,709 California, 17 out of state and 133 international students. California SIRs from students identifying as African American reached 5.6%, slightly increasing from 5.5% in fall 2018 and decreasing from 5.9% in fall 2017; Hispanic/ Latino reached 31.7%, decreasing from 33.2% in fall 2018 and increasing from 31.5% in fall 2017. Continued close collaboration among Admissions, EM, UE, CAFA, CEP, programs and the disciplinary divisions helped to maximize transfer admission offers to qualified transfer applicants. We expect to achieve 2:1 again this year as a result of this continued comprehensive collaboration.

B. Financial Aid and Scholarships

In 2018-19, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 12,878 undergraduate students (72% of undergraduate population) and 1,770 graduate students (93% of graduate population). The types of aid provided included grants, scholarships, fellowships, loans and/or work-study assistance.

1. Award Program Updates

2018-19 is the second year for the Year-Round-Pell, a revision of a short-lived 2009-2011 program. While the Year-Round-Pell program does not increase lifetime eligibility for the Pell

award (18-quarters), it does allow students to use 4 quarters of Pell aid per year rather than the previous limit of 3 quarters per year. As a result of this program, 1,507 Pell students enrolled in the 2019 summer term received an average of \$1,386 each, with a maximum award amount of \$2,032 totaling \$2.09M.

2018-19 is the second year of a two-year program, the Transfer Transition Scholarship. With \$1.25M funding from a one-time UCOP Housing initiative, entering transfer students were eligible to apply for \$1,200 in scholarship aid, all disbursed in the Fall term, supporting the start-up housing costs associated with the transition to UC Santa Cruz. There were 395 students who received the award in Fall 2018, for a total disbursement of \$471K.

2018-19 was the second year for the re-established University Loan Program, which had been dormant since 1999. This program is intended to be a replacement of the Federal Perkins Loan program, which was discontinued in June 2018. In Fall 2018, eligible entering Frosh were offered \$1,200 each to cover the gap created by the absence of Perkins. There were 660 students who accepted University Loans during the 2018-19 year, with \$865,318 loans disbursed.

2018-19 was the fourth year of awards for the state Middle Class Scholarship program, and the second year in which the program was fully funded. This program is similar to the UC Blue & Gold Opportunity plan, providing up to 40% of tuition and fees for families with earning under \$100,000 a year and 10% for families earning under \$171,000 and having no more than \$171,000 in assets (excluding primary residence). In 2018-19, the campus had 794 students receive an average award of \$2,848, with a total disbursed amount of \$2.26M.

2018-19 was the fourth year of eligibility for the CA Dream Loan. This loan program is being funded 50% by the state and 50% by university aid funds, and allows for a maximum annual award of \$4,000 to CA Dream Applicants. In 2018-19, a total of \$356,871 was loaned to 141 students, an average of \$2,416 per student.

The legislature is working on a number of proposals impacting the state Cal Grant program in the current legislative session. Perhaps the most momentum is behind a proposal to add two additional quarters/semesters of grant eligibility, specifically to cover tuition for eligible students in summer terms. The Governor's budget advanced a small portion of this anticipated legislation, with \$4M for UC Campuses to disburse to eligible students Cal Grant recipients. UCSC is disbursing our share of the funds (\$335K) to approximately 1,200 students in Summer 2019.

With the \$762 increase to non-resident tuition in May 2019, the Board of Regents directed that 10% of the increase (\$76.20) be set aside for nonresident undergraduate need-based financial aid. As requested by the Office of the President, UCSC will be prioritizing these funds to support continuing non-resident students whose financial circumstances are such that their ability to make progress towards their UC degree would be jeopardized without this additional assistance. In practice, this will most likely take the form of grants provided to non-resident students in emergency situations. The total funding in 2019-20 is anticipated to be less than \$120K, which would be insufficient to fund full cost of attendance (\$67K) for even 2 non-resident students.

2. Current Financial Aid Funding Model and Data

The UC Education Finance Model (EFM), which utilizes a 33% return-to-aid (RTA) from tuition and fees to support low income students, continues to be closely reviewed by the system-wide EFM committee. This UCOP committee meets quarterly regarding issues that affect the determination of the Cost-of-Attendance and the cross-campus allocation of aid funds.

When tuition and campus fees are combined with other elements of the student budget, such as housing/dining and health care, the average cost for a UC Santa Cruz CA resident student living on campus in 2019-20 will be \$37,416. Non-residents will have an additional \$29,754 tuition charges, bringing the non-resident on-campus budget to \$67,170. Under EFM, 2019-20 UC Santa Cruz undergraduates who qualify for need-based assistance must pay approximately the first \$9,900 of their need from loan and/or work resources. After subtracting the loan/work expectation and the family contribution (from FAFSA/DREAM App data), grant aid is offered to help pay the remainder of the total estimated total cost.

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

In 2018-19 the Financial Aid and Scholarship Office administered \$277 million in financial assistance to about 72% of our undergraduates, as compared to \$290 million / 75% in 2017-18.

2018-19 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	66.9%	\$ 200,082,027	\$ 16,808
UCSC Scholarships*	18.4%	\$ 11,402,193	\$ 3,482
Federal Pell Grants*	36.1%	\$ 31,573,432	\$ 4,912
Student/Parent Loans	42.9%	\$ 74,285,262	\$ 9,722
Federal Work-Study	8.6%	\$ 2,978,470	\$ 1,957
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor's degrees in 2017-18, 58% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$22,092. However, the debt can be as high as \$57,500 on an individual basis, which is the federal cumulative maximum amount an undergraduate student may borrow. Nationally, 65% of seniors graduated in 2017 had student loan debt, with an average of \$28,650 per borrower (<http://projectonstudentdebt.org/>). National Data for students graduating in 2018 is not yet available.

Each year, the U.S. Department of Education calculates cohort default rates for loans by campus. The national 3-Year average was 10.8% for 2015 (per Dept. of Ed.). The rate for the campus has been exceptionally low in recent years.

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2012	3.5%	3.4%
2013	3.1%	3.1%
2014	3.1%	3.1%
2015	3.6%	3.6%
2016	3.7%	Not Yet Available

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

2017-18 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	157	\$ 755,856	\$4,814
Campus Merit Scholarships	322	\$ 586,081	\$1,820
Pister Leadership Opportunity Awards	24	\$ 195,083	\$8,128

The Office of the President maintains numerous reports regarding student financial support on the following website:

<http://www.ucop.edu/student-affairs/data-and-reporting/reports-to-the-regents-on-student-financial-support/index.html>

Acknowledgements

CAFA collaborated closely on key issues with the Undergraduate Education Division, and the committee's work was enhanced by data provided by Enrollment Management and the Office of Admissions.

Respectfully submitted,

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August 31, 2019

COMMITTEE ON CAREER ADVISING

Annual Report, 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Career Advising (CCA) met every other week throughout the academic year to conduct business regarding their charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention. The committee consisted of five members, one from each academic division and one from the School of Engineering. At the beginning of the year, CCA invited Vice Provost for Academic Affairs (VPAA) Herbie Lee to sit with the committee for the last 30 minutes of most meetings. This year, the committee initiated new programs, revamped previous offerings, procedures and the website, renegotiated CCA's budget, and addressed important policy issues. A brief overview of the committee's notable work in 2018-19 is provided below.

I. New Faculty Orientation

In July 2018, Chair Scott met with Associate Vice Provost for Teaching and Learning (AVPTL) and Center for Innovations in Teaching and Learning (CITL) Director Jody Greene to develop the New Faculty Orientation (NFO) for 2018-19, taking feedback from the previous NFO into account. In previous years, the afternoon was planned by CCA and included information on both teaching and research, with a series of presentations. At the 2018-19 NFO, CITL took charge of the information about teaching, and CCA was responsible for the last half of the afternoon dealing with research resources and planning. Since it was such a short amount of time at the end of the day, CCA asked the Office of Research Development (ORD), the Office of Research Compliance Administration (ORCA), the Office of Research (OR), the Industry Alliances and Technology Commercialization Office (IATC), Export Control, Corporate and Foundation Relations and the Office of Sponsored Projects (OSP) to create a brief overview of their units (25 minutes total), with the promise to provide a longer workshop on Research Resources and Planning in the winter term. CCA then broke into small group discussions led by the RD resource personnel from each division. Although feedback for the event was limited, respondents enjoyed the welcoming attitude, meeting others, the presentation by Dr. Covarrubias on first generation students, and having a folder of material for reference. Suggestions for improvement included scheduling so it doesn't conflict with divisional orientations, fewer presentations and more time for questions and break-out groups, and paying more attention to those coming here with tenure and LSOE positions. Overall, the event was positively received.

II. Faculty Mentorship Program

Mentor Matching Process

The CCA oversees the Faculty Mentorship Program (FMP) in which all new faculty are matched with volunteer faculty mentors. This year, CCA implemented the suggestion by previous CCA Chair Evangelatou to present information on possible mentors to mentees so that they can submit their mentoring preferences for CCA for consideration in the creation of mentoring pairs. Mentees were invited to submit up to five mentor choices, and we were able to use this process to facilitate the matching process. All mentees who filled out the form were matched with one of their five choices. Others who didn't submit preferences were matched with the best available mentors from outside their departments. This year, some mentors were concerned about the disproportionate distribution of mentees to different mentors. As a result, in the coming year, mentor/mentee assignments will be sent to mentors first to allow them to weigh in on decisions, before matches are made final for both mentors and mentees.

The incoming faculty numbered 34. Mentees who have not yet received tenure were invited to continue in the FMP. In 2018-19, we had 57 mentors volunteering and 121 mentees for a total of 178 participants in the program. We also included LSOEs in the process this year. In the letters to mentors and mentees, we strove to make the relationship and expectations clear for both parties.

Meet and Greet / Socials at Provost Houses

The committee decided to advance a stronger sense of community through CCA this year. To this end, we created several social events to provide an opportunity for mentors and mentees of the FMP to connect, network with other faculty, and hear about upcoming CCA workshops and activities throughout the year.

In addition to the CCA annual Meet & Greet event at the University Center, we joined the college provosts in hosting four additional social events. This year, CCA collaborated with Provost Alan Christy at Cowell College (fall), Elizabeth Abrams at Merrill College (early winter), Provost Sean Keilen at Porter College (late winter), and Provost Manel Camps at Crown College (spring). The Crown College event was combined with a Crown Fellows dinner, and Provost Camps indicated interest in repeating the event next year. Overall, the socials were well attended by both junior and established faculty from all divisions. In addition to providing networking opportunities, these events helped introduce new faculty to UCSC's college system and allowed them to interact with several provosts. Based on the success of these events, the committee plans on continuing the program next year.

Quarterly Workshops

As in previous years, we held three workshops on important topics of interest to faculty that might enhance the likelihood of faculty promotion and retention. This year, we asked for suggestions for topics of interest at the NFO. The three workshop topics this year were: Research Resources for Faculty, Path to Tenure, and Mentoring Graduate Students. On February 25, 2019, at the

Research Resources for Faculty workshop, OR introduced resources and services intended to support faculty research funding opportunities, focusing on faculty research sponsorships and partnerships with industry, building intellectual property portfolios, and collaborating to strengthen competitive grant proposals. Although there was low attendance, those who were there thought it was a valuable session.

The Path to Tenure workshop on March 15, 2019 had excellent attendance. Chair Lynn Westerkamp of the Committee on Academic Personnel (CAP) shared CAP's recommendations on effectively presenting research contributions in personnel files, AVPTL Greene of CITL discussed ways in which faculty can provide evidence of excellence in teaching in their personnel files and shared advice for planning a successful path to tenure, and a panel of recently tenured and senior faculty from across all five divisions shared their insights and advice on the path to tenure and the review process. AVP Grace McClintock and Ibukun Bloom from the Academic Personnel Office (APO) were also present to answer questions. The Q&A extended past the time allotted, and participants were highly engaged and receptive to the information provided.

The Mentoring Graduate Students workshop on May 8, 2019 also suffered from poor attendance. Although over 35 pre-registered for the workshop, less than 10 participants showed up. AVPTL Greene and CITL Associate Director for Graduate Programs Kendra Dority presented this workshop addressing key aspects of mentorship including effective communication, aligning expectations, developing a mentor philosophy, and equity and inclusion. The information and activity were considered valuable by those who attended.

III. Non-Routine Business

Reviewing the Strategic Academic Plan (SAP)

The committee provided comments on the Rewrite of the SAP and Implementation Playbook sent by VPAA Herbie Lee, with the goal of advocating for junior faculty mentoring and career support, as well as promoting practices that engage and support a diverse body of faculty and staff, including postdoctoral scholars. A number of specific clarifications and policy recommendations were suggested in the first letter to Senate Chair Lau. In the final draft of the SAP, CCA appreciated the specific inclusion of staff and faculty in the third design principle, "Engage and support a diverse faculty, staff and student body," as well as the funding of a new initiative for a faculty community networking pilot program. However, the committee felt that our neglected suggestion for a new initiative to provide pilot funding for interdisciplinary teams that include untenured faculty members, which fell under the first design principle to "Drive research and creative work that transforms our world" would have a substantial positive impact on the career development of junior faculty. CCA communicated its continued commitment to this initiative in a follow-up letter to Senate Chair Lau in response to the final draft of the SAP.

Proposal for Supporting Untenured Scholars with Prestigious Awards

In winter 2019, Chair Scott received information regarding a current divisional practice that has had inadvertently negative impacts on campus efforts to retain and support our body of talented, untenured faculty members. In some divisions, when untenured faculty receive prestigious awards recognizing their outstanding work and potential, sufficient funding is not necessarily provided by the division to allow the faculty awardees to accept the award without significant financial and professional consequences. This was discussed in CCA meetings, with VPAA Lee, and with Senate Chair Kim Lau. Senate Chair Lau invited Chair Scott to write a memo and to speak to the Senate Executive Committee (SEC) about this issue. As a result of these actions, Chair Lau drafted a letter in May 2019 to Executive Vice Chancellor (EVC) Marlene Tromp outlining Senate concerns regarding augmentation and support for faculty research fellowships and awards. CCA plans to work with the SEC and the EVC to develop effective strategies for supporting faculty research and advancing UCSC's reputation for research excellence in the coming year. The committee is dedicated to fostering the retention of our new faculty, and feels that the current practice undermines campus efforts to retain high caliber scholars, particularly highly talented scholars of color.

Annual CCA Budget

When the Faculty Mentorship Program was launched in 2015, CCA was given a small budget for its programming. This year, the initial budget allocation ran out, and we proposed an additional allocation for three years. The request for the basic operating budget (\$13,350 for three years, starting with \$4000 in Year 1) was approved by Associate Chancellor (AC) Ashish Sahni and provides funding for the fall Meet and Greet event, a spring Celebration event, three topical workshops, and three social events. In addition, we received funding for a \$6,000 one year pilot program for Mutual Mentoring, described further below.

Proposal for Mutual Mentoring Pilot Program

This year CCA was committed to advocating for and enabling mutual mentoring as part of the UCSC faculty culture, particularly in order to better support and retain diverse faculty. As the campus is committed to pioneering progressive practices in faculty well-being and retention, and since we are located outside a diverse metropolitan area, we proposed the adoption of a mutual mentoring approach, which would bring opportunities for new faculty to extend their professional networks outside of UCSC. In this model, untenured faculty seek and find forms of mentoring from multiple others (e.g., peers, near-peers, tenured faculty on- and off-campus) who can all help advance their careers in various, and different ways. CCA is already responsible for overseeing the Faculty Mentorship Program, so the inclusion of a Mutual Mentoring Pilot Program is a suitable expansion of the committee's commitment to supporting faculty advancement and success.

CCA proposed and received \$6,000 in funds to support a one year pilot program, starting in 2019-2020. The committee will adjudicate, review, and evaluate these proposals for funding based on criteria related to mutual mentoring models and best practices. Grants will range from \$250-\$2,000 and the application will be modelled on the “Seed Grant” applications from the Institute of Social Transformation in the Social Science division.

Survey of Departmental Mentoring and Personnel Practices

In 2016, CCA surveyed the campus on their mentoring and personnel practices. This year, to refresh the information, the committee reviewed the existing survey and updated it for current needs and information. Current needs were identified based on frequent internal discussions as well as review with administrators, and members of the divisions represented in the Personnel Practices Survey.

Input from divisions indicated that the previous survey was perceived as long, even though it required only a few minutes. To eschew that perception, we broke the survey into more discrete sections with more bullet points and less discussion. Additionally, in order to increase the completion percentage (reduce the number of survey beginners who fail to complete the survey), we added answers such as “I don’t know” and “not applicable in my department” throughout. We were informed that many who did not complete the survey stopped because they felt “stuck” or they did not know how to answer a question. This was particularly important as we included questions about LSOE personnel practices in this version.

The committee also divided the survey into sections which we feel more accurately reflect the perceived areas of interest to the respondents. This included topic areas as well as separating out long text answer from multiple choice and radio box answers.

Preliminary results indicate that twenty of the twenty-three departments/programs responding (87%) said that they mentored untenured faculty through either formal (1) or informal activities (2), or a combination of both (17). Sixteen departments (80%) offer formal pairing of untenured faculty with a senior faculty mentor; eleven departments (55%) provide more than one course release to untenured faculty in their first year. While nine department chairs (45%) were unsure whether mentoring practices have been influential in the hiring, retention, and academic success of untenured faculty, eleven others (55%) indicated a positive influence. Only one department indicated that professors of a lower rank were not invited to personnel review discussions for those of a higher rank. The results of the survey need further analysis and exploration by CCA. This valuable data will be analyzed within a report to be provided to academic leadership during the 2019-20 academic year.

Information for Divisional Chairs

The previous CCA created a comprehensive 5-page document to use in discussions with divisional chairs. We condensed and re-organized the document and will be using the new version in future discussions with divisional chairs.

Faculty Mentorship Program Feedback Survey

As it is important to obtain feedback on the efficacy of our program, we created a feedback survey, which was sent to all mentors and mentees in summer 2019. Through this mechanism, we hope to fine tune the resources offered by CCA to facilitate faculty success. We felt this might be particularly useful in assessing the needs of underrepresented minority faculty. In addition, it provides an opportunity for faculty participants to provide:

- suggestions for improvements or removal of program components that participants felt were least valuable
- an assessment of the new matching process
- reasonable expectations for time commitment in the program
- feedback on how the program aligns with CCA's charge

It also provides a place to request service letters for the mentor personnel reviews, as CCA felt this might create more accountability on the part of mentors, and an incentive to become more active mentors. This survey also needs further analysis in 2019-20.

Updates to Online Resources

This year, the committee updated the CCA website by creating new pages and updating existing ones. The existing links were a few years old and needed to be tested and refreshed in order to be brought up to date. In addition, the committee decided that the website would be more inviting, hence more effective, if the links within the resources pages were presented in a more structured way, and introduced by a contextualizing description. During spring 2019, the committee created a new page on Career Development, and updated pages on Teaching, Graduate Student Advising, Developing Constructive Mentoring Relationships, Research and Grant Writing, Personnel Reviews, Work-Life Balance, and Academic Parents.

Additional Activities

Chair Scott participated on a panel for a workshop facilitated by APO for department chairs, presenting some of the CCA recommendations for chairs to attendees.

CCA members reviewed the proposal to extend the EVC Fellows Academy for a second year. CCA members strongly endorsed the proposal, offering their enthusiastic support to continue

the program into a second year, and look forward to a stronger assessment of the efficacy of the program in the future.

Recommendations for 2019-20 CCA

New Faculty Orientation Packet

We would like to facilitate the creation of a new faculty orientation packet that provides a single location where new faculty can look (on-line and on paper) to find information that will help them as they navigate their new position.

Creating a New Faculty Academy

The low turnout for two-thirds of the CCA workshops and discussions with AVPTL Greene in spring 2019 provided the impetus for revising the way we provide central information through workshops to new faculty. We recommend that CCA work with CITL to present a New Faculty Academy next year. This will incorporate the New Faculty Orientation (NFO), CCA workshops and CITL trainings into a continuous yearlong academy. New faculty will be expected to attend all events and they will be scheduled during finals week when there are fewer conflicts with classes and divisional/department meetings. Instead of 1.5 hour workshops, they will be held as half-day sessions that provide more opportunities for interaction. It will be important to advise departmental chairs and managers of this recommendation that new faculty, particularly those without tenure, attend this academy.

The CITL Teaching Academy will be followed by the NFO to be held on September 20, 2019. There will be a social BBQ with families at the end of the day.

Plan for Mutual Mentoring Pilot Program

One key task for the coming year, in addition to ongoing programs, will be the implementation of the Mutual Mentoring Pilot Program. We will need to develop the structure of the program including: setting up a call for proposals, deciding how to adjudicate the funds, advertising the pilot project, developing a way to release the funding to the awardees and creating a reporting system for the use of the funds. We're excited by this project and grateful for the opportunity to run and evaluate this pilot.

Consultation Letter on Research Fellowship Augmentations

CCA plans to work with SEC and the EVC to develop effective strategies for supporting faculty research and advancing UCSC's reputation for research excellence in the coming year. We are dedicated to fostering the retention of our new faculty, and feel that the current practice and lack of research fellowship augmentation undermines campus efforts to retain high caliber scholars, particularly highly talented scholars of color.

Further Analysis of CCA Surveys

As mentioned above both the departmental mentoring and personnel practices survey, and the FMP feedback survey, need further analysis. When the reports are complete, Chair Scott will share the content with leadership, SEC, and other units as appropriate.

Meetings with Department Chairs

When the departmental mentoring and personnel practices survey report is complete, Chair Scott will schedule meetings with the Arts and Baskin School of Engineering (BSOE) divisional deans to attend divisional chair meetings to present the survey results and discuss CCA recommendations. These meetings were not held in 2018-19 due to the desire to update information, timing issues, and administration fluctuation within these divisions.

Mentoring for Silicon Valley Campus Faculty

This year, there was one person hired at the Silicon Valley (SV) campus who spent little time on the main campus. At the fall Meet and Greet event, this came up as a concern. There should be several additional faculty at the SV next year and CCA will consider incorporating a mentoring plan for SV faculty additions.

Respectfully submitted,

COMMITTEE ON CAREER ADVISING

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August 29, 2019

COMMITTEE ON COURSES OF INSTRUCTION Annual Report, 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) met bi-weekly to review campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consult with other committees and administrative units, and consider graduate student instructor, undergraduate teaching assistant, and student petitions and grievances.

I. Routine Business

Course Approvals

The committee considered 143 course approvals in the fall, 68 in the winter and 189 (as of 6/17/19) in the spring, for a total of 400 courses. CCI was delegated the task of reviewing graduate courses by Graduate Council starting in fall 2018, and out of the 400 courses, 80 (20%) were graduate courses.

Through the course approval process, CCI routinely requested that instructors update syllabi with content related to best practices established by the Center for Innovations in Teaching and Learning (CITL) (e.g. adding learning outcomes, DRC and Title IX notices). Through the development of the new course approval system, CCI created a “Syllabus requirements” section to promote the inclusion of important elements in each course syllabi, particularly learning outcomes, course pacing, and grading structures.

Teaching Appointments

The committee considered 216 requests for Graduate Student Instructor (GSI) teaching appointments and 3 for Undergraduate Teaching Assistant (UTA) appointments.

Student Petitions

The committee considered 89 petitions in the fall, 96 in the winter and 104 (as of 6/4/19) in the spring, for a total of 289 petitions. Of these petitions, 44 (15%) were denied. The majority of petitions were for substitutions of GE requirements (31%), followed by requests for withdrawal grades (17%), waivers of credit (15%), late add/drop (15%), and grade option changes (12%).

The committee received 10 grade grievances. 7 were denied, 1 was withdrawn, and the rest were granted initially or after investigation and further discussion.

II. Online Form Development

At the beginning of the 2018-19 academic year, CCI transitioned from the use of paper forms to online forms for many of its administrative processes, which included the student petition process, graduate student instructor teaching requests, undergraduate teaching assistant requests, and undergraduate academic assessment grievance process. CCI employed the use of Google Forms and the application Form Workflow Plus to develop an online form submission tool with an accompanying approval workflow for these processes, which included the development and use of an automated email notification system to eliminate the need to develop written correspondence for notifications regarding CCI decisions for submitted requests.

During the initial phase of the launch of these online forms, the committee faced pushback from various campus units who relied on the previous paper forms to establish their own internal processes of procuring information and required authorizations. With the sudden transition to the online system, many departments, divisions, and academic colleges experienced a disruption in their established processes and provided this feedback to the committee. As a result, CCI consulted with academic units and the colleges to develop solutions and transitional tools to aid the adoption of the new online processes. At the conclusion of the 2018-19 academic year, use of the CCI online forms has been widely accepted and established. CCI particularly appreciated the collaboration of the college advisers, departments, and divisional coordinators, who continue to provide helpful feedback to improve system function.

The online system still faces numerous limitations regarding its applicability to UCSC-specific needs, particularly with regard to system security, functionality, and the ability to make changes to an application owned by an external vendor. CCI has initiated a collaboration with UCSC ITS to develop a replacement system that would include an online form, a backend administrative system, and a sequential approval workflow. CCI is hopeful that this system will be ready to replace the first iteration of the CCI online processes during the 2019-20 academic year.

III. Online Resource Development

CCI's transition to online forms necessitated the development of many online resources for form users. CCI developed training decks with step-by-step visual guides, as well as graphical workflows for both the GSI teaching request process and the student petition process. The existing CCI website framework was restructured, and in its place CCI developed comprehensive guidelines, user manuals, document tables, and revised policy descriptions to increase transparency for both process users and students, particularly for GSI requests and student petitions.

In particular, CCI revised the online guidelines for grade option change petitions in an effort to ensure that students and advisers have a clearer understanding of the circumstances under which these types of petitions are approved, especially because grade option change requests are

reviewed so carefully to ensure fairness and avoid grade manipulation. It continues to be the ongoing goal of CCI to increase transparency in the petition process for students, while providing the advisers and committee members sufficient understanding of the general criteria used to evaluate these petitions.

IV. Online Course Policy

The Committee on Educational Policy (CEP) and CCI collaborated in 2017-2018 and 2018-2019 to develop a [policy](#)¹ for the university regarding fully online courses for undergraduate students. Online courses are increasingly part of the curriculum, but previously there had been no policy at UCSC and no centralized criteria or process for development and approval. The online policy covers fully online courses only, which are defined as follows: “a course section that uses online contact hours (e.g. online lectures or discussion sections, without the option for classroom attendance) and offers less than one hour of pedagogically significant face-to-face contact each week.”² Hybrid classes are considered a distinct category and are explicitly not included in the policy. The policy was endorsed by the Senate on January 9, 2019.

In order to promote departmental and university coordination in developing online courses as part of a long-term curricular plan, the procedure for developing fully online courses has been laid out as follows:

“1. Instructors first consult their department’s policy about online courses in their curriculum, if one exists, and develop a course consistent with it. 2. Instructors work to obtain approval from the Department for their course proposal. 3. Instructors may then contact Academic Affairs for consultation regarding development or support. 4. Instructors must then apply for approval from CCI (Committee on Courses of Instruction), which requires an online supplemental form, and a report after the first and third years.”³

CCI will assess course approval requests and follow-up reporting in line with the questions and criteria in CEP’s online policy. The reporting requirement has been reduced to reports after the first and third offerings.

Concerns were raised regarding the stringency of the requirement that no more than half the seats of certain courses can be offered exclusively in a fully online format. It is important to note that the courses subject to this requirement are **required** courses for majors and minors, particularly

¹ Committee on Educational Policy: Policy on UCSC Undergraduate Fully Online Courses, November 14, 2018.

² Id. at 1.

³ Id. at 2.

gateway courses. Moreover, departments can apply to CCI for a [waiver](#)⁴ of this requirement if they can demonstrate clear pedagogical advantages or student demand.

V. Consultation with AVPTL Jody Greene

The committee consulted with Associate Vice Provost for Teaching and Learning (AVPTL) Jody Greene of CITL on November 26, 2018. The consultation was to discuss best practices for course and syllabi development and the language and requirements for the new course approval forms in the SmartCatalog format. AVPTL Greene shared updates on current CITL projects, including the GSI peer mentoring program and work that has been done on developing resources for faculty on course design. Of particular interest is the development of adaptable templates and language for Title IX, CARE, and DRC notices, as well as statements on academic integrity and principles of community, which would eventually be accessible to instructors in Canvas while they develop their syllabi. CITL also expressed hope that CCI would take an active role in encouraging instructor use of revisions, exam wrappers, and other means to promote student learning as they create assignments. AVPTL Greene then provided recommendations to amend the language for the new course approval form, particularly in the syllabus requirements section, including prompting instructors to clearly align their course outcomes or objectives with program objectives and to carefully assess their assignment and grading structures in terms of organization and balance.

VI. Assessments of General Education (GE) Requirements

The current general education requirements are written to emphasize skills more than topics, and to be open to innovative approaches that might allow a given GE to be satisfied outside of a traditional home division, so long as the spirit and goals of the GE are respected. This approach has inspired the emergence of courses throughout the divisions to satisfy GEs not customarily associated with a given division. CCI employs the official GE guidelines to assess whether an application for a GE designation is appropriate for a course approval or a student GE substitution petition. However, the breadth and at times ambiguous language of the GEs can pose challenges for CCI in concrete application. The GEs most commonly the object of creative proposals and petitions are Mathematical & Formal Reasoning (MF), Perspectives: Technology and Society (PE-T), Practice: Collaborative Endeavor (PR-E), Scientific Inquiry (SI), and, above all, Textual Analysis (TA).

In order to guide CCI's understanding of the GEs, CCI Chair Aso took a number of the committee's concerns to CEP. While the May 15 discussion ranged more widely, and the possibility of revising the language of the current GEs was raised, CEP made the following determinations:

⁴ Committee on Courses of Instruction: Waiver of In-Person to Online 1:1 Seating Ratio for Required Courses, May 13, 2019.

1. There will be no requirement that students must take a certain number of GE courses outside their discipline.
2. It is the choice of departments whether to apply for GE designations for their courses. A record could be kept of courses for which CCI repeatedly receives petitions, which CCI could use to request that the department regularize its GE status.
3. GE waivers/substitutions are not to be granted on the basis of emergency, and the instructions to students should not say so. Determinations should be based on the assertion that the proposed course does satisfy the requirements for the desired GE, even if it is not designated as such.
4. CCI's current practices in interpreting the GEs were reaffirmed. In particular, the frequently challenged TA, PR-E, and PE-T GE specifications are being correctly applied by CCI.
 - a. **Textual Analysis (TA):** Course approvals and petitions have been denied the TA designation by CCI in cases where, even though there was close reading required of students, the readings and assignments were focused on content and not on analysis of the language and modes of argument as such. CEP reaffirmed that the TA designation requires evidence of explicit analysis of rhetorical tools and strategies.
 - b. **Practice: Collaborative Endeavor (PR-E):** CEP reaffirmed that for a course to qualify for the PR-E GE, the syllabus must have some readings on collaboration issues as concrete evidence of study of the collaborative process at a meta level.
 - c. **Perspectives: Technology and Society (PE-T):** CEP reaffirmed that PE-T GE requires technology *and* society, not just technology, and vice versa.

CCI thanks CEP for its guidance.

CCI also had meetings with Admissions prompted by CEP's December 6, 2018 cancellation of its delegation of authority to Admissions to certify courses at other institutions as satisfying UCSC general education (GE) requirements. Despite the cancellation, CEP affirmed that the status quo would continue for 2018-19. The cancellation was solely due to the fact that CEP's delegation had taken place before the creation of CCI. Since CEP no longer handles these matters, CCI will now be responsible for renewing the delegation, which it did in August 2019.

The cancellation and renewal of delegation to Admissions provided an occasion to reassess the university's process of certifying courses at other institutions for GEs in order to streamline and regularize the workflow, to increase coordination between Admissions and CCI, and to reduce the need for student petitions. Beginning in 2019-2020, the workflow will be as follows:

First Step: Admissions initially reviews transfer courses for GE articulations.

1. **Clear GE Assignment:** If Admissions can make a clear decision on which GE to assign to a course, the GE is assigned and the process ends.
2. **Unclear Assignment:** If Admissions cannot make a clear decision for a course, Admissions will submit a review request to CCI. CCI will review the course and make a final decision, which they will communicate directly to Admissions via email as well as in a running decision log (repository) that tracks such decisions.
3. **No Assignment:** If Admissions can make a clear decision that no GE will be assigned to a course, no GE is assigned and the process ends for Admissions. The student may then appeal to CCI via the student petition process to petition for a GE.

The specific means by which such consultation will take place are under development.

Admissions also provided CCI with a copy of the guidelines they use to make their determinations. Building on the aforementioned May 2019 consultation with CEP, CCI will continue to work with Admissions to update these guidelines to bring them in line with current practice.

VII. Enrollment Restrictions

CEP, CCI, and the Registrar are concerned about the overuse of enrollment restrictions for courses that might be presenting an obstacle to student progress toward graduation. While enrollment restriction remains a useful tool, the Registrar currently has greater capabilities than it once had to manage enrollment in more flexible and nuanced ways. The Registrar and CCI will circulate a letter that explains the appropriate tools for different situations.

VIII. Transition to SmartCatalog and the Curriculum Management System (CAT)

In 2017-2018 and 2018-2019, CCI collaborated with the Registrar's Office on developing a new course approval form for the SmartCatalog iteration of the university course catalog. While the substance and basic logic of the forms were not tampered with, the goals of CCI and the Registrar's Office included consolidation of the multiple and sometimes scattered forms previously necessary for the course approval process, greater clarity and consistency in the language and requirements of the course approval forms, and a more functional interface for CCI members when evaluating applications. In place of the sometimes awkward supplementary form questions, CCI developed a checklist of required syllabus elements for instructors to reference. CCI appreciated inclusion in the process and the responsiveness of the Registrar's team to questions and requests.

The Online Curriculum Approval (OCA) system from previous years remained in effect for fall and part of winter quarter. Members were then retrained in winter to work with the new SmartCatalog system, now known as Curriculum Approval and Tracking (CAT). In general, CCI members were pleased with the new system, particularly in how it consolidated information and did not (usually) require downloading many documents. Some departments showed discomfort

with the new system, and attached PDFs of outdated forms in addition to filling out the new CAT form. Hopefully this unnecessary duplication will disappear over time. Undergraduate and graduate course approval forms now appear on the same page and are more consistent in structure, including both requiring syllabi. In OCA, it was not possible for a faculty member to review both undergraduate and graduate courses in the same session because of access issues. This is not a problem in CAT, and thus a great improvement. Some departments found scrolling down to the graduate course specific requirements confusing at first, and also forgot to attach syllabi. Again, such problems should disappear over time.

CCI members hope that one useful feature from OCA can be carried over at some point soon to CAT: the ability to make internal informal comments for committee discussion. These should not be part of the general and more public comment flow that accompanies each application; that comment stream is best used for documentation and process rather than preliminary evaluation.

IX. Delegation of Graduate Courses to CCI

At its June 7, 2018 meeting, Graduate Council agreed to delegate review of graduate courses of instruction (including new courses, changes in existing courses, and course discontinuations) to CCI for the 2018-19 year, with Graduate Council review at the end of 2018-19 regarding whether to extend the delegation further.

X. CCI, CIE and UC Abroad Courses

CCI and CIE had discussions in 2017-2018 and 2018-2019 to establish and refine the process of approval for UC Abroad Courses. It now takes place as follows: instructors submit proposals to CIE for review early winter quarter, followed by Study Abroad review. When the course proposal is determined to be viable and developed to the same level of completion as a standard course proposal, it goes to CCI for expedited review in spring.

XI. Reviewing the Strategic Academic Plan (SAP)

CCI had already devoted considerable time to review and comment in 2017-2018, and there were no radical changes of substance in the Strategic Academic Plan in 2018-2019, so CCI did not prioritize SAP review. Many of the big picture issues—such as funding for the initiatives, the nature and purview of the academic oversight committee, and how much of a role the academic priority areas will have in concrete decision-making—were appropriately raised by various Senate committees, and CCI seconded their concerns.

CCI's specific response engaged with the second initiative—experiential learning and research opportunities for students. The definition provided on page 16 of the SAP (“The wide range of

valuable on- and off-campus experiential learning, includes but is not limited to, internships, field study, project-based scaffold-type research and scholarship (either within a class or as an independent study”) was so broad that it could be considered to cover much of what is already part of the university curriculum. CCI certainly lauds the express goals of recognizing and supporting innovative pedagogy and ensuring that students are not barred from internships, fieldwork, and the like due to financial or other such circumstances. However, CCI shared the concern raised by Privilege and Tenure (P&T) in its April 29, 2019 letter regarding the proposed centralization of assessment of experiential learning across campus. What definition and concrete metrics would or could be devised to produce the cross-university fairness that appears to be one of the goals of this initiative? It is very important to clarify from the outset that any such assessment of experiential learning opportunities for students, whether at the department or other levels, should remain focused on the greater work and resources this generally requires of instructors and not shift toward penalizing instructors or departments with courses taught in a more “traditional” manner. As the Committee on Academic Freedom (CAF) pointed out in its May 2, 2019 response, it should not be assumed that experiential learning is always the best and most appropriate mode of instruction in all cases.

XII. Recommendations for 2019-20 CCI

- It is crucial to sustain and further develop coordination with the college preceptors and advisers. The 2018-2019 discussions between CCI and advisers, online and off, have provided a foundation for clarifying and documenting policies and practices, which CCI should continue to build on. As one important step, the open invitation for a member of the Council of Preceptors to attend CCI meetings will happily be taken up in 2019-2020. Understanding the tremendous workload of preceptors, CCI expresses its appreciation for this opportunity for regular consultation.
- Opportunities to engage and consult with departments are also invaluable for CCI, and key topics for ongoing discussion are enrollment management requests and strategies as well as completing the transition to the various new online forms routed to CCI.
- In the course of transitioning to CAT, it was necessary to be flexible regarding submission deadlines. However, both in the case of course approvals and for other kinds of processing as well that CCI handles, the deadlines that do exist have been increasingly ignored even as CCI’s workload has increased. This is not sustainable, particularly in the summer quarter.
- The CCI Analyst, Chair, and members have to constantly shift between multiple interfaces to evaluate large quantities of information. Any means of further streamlining and consolidating should continue to be explored.
- While CAT represents a good step forward, it essential for CCI members to be able to share internal comments and questions regarding applications or any other of its review responsibilities without such preliminary remarks being placed in the public record.

- CCI and CEP should continue to track and assess the general education requirement system, both in terms of the broader landscape (are there bottleneck GEs?) and in terms of specific GE application (Is the SI or TA GE becoming overly flexible in its application?). As one step, it would be useful to keep a record of courses for which CCI repeatedly receives petitions, which CCI could use to request that the department regularize its GE status.

Finally, CCI would like to express its deepest appreciation for the Committee Analyst, Kiyana Modes, whose extraordinary contributions were critical to the ability of the committee to navigate a challenging year.

The Chair would also like to express her great appreciation for all of the committee members, who weathered a year of change with patience, care, and insight.

Respectfully submitted;
COMMITTEE ON COURSES OF INSTRUCTION

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August 29, 2019

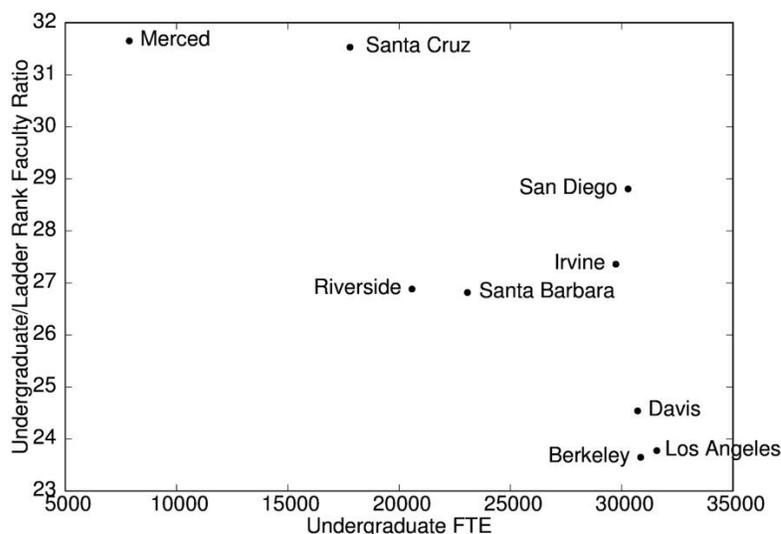
COMMITTEE ON EDUCATIONAL POLICY Annual Report 2018-19

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy (CEP) dealt with the following issues this year:

I. RESOURCES FOR UNDERGRADUATE EDUCATION

Undergraduate education is under-resourced at UC Santa Cruz. Most notably, UC Santa Cruz (along with UC Merced) has the worst undergraduate student to ladder rank faculty ratio among all the nine UC campuses excluding UC San Francisco.¹



Class sizes in many introductory courses at UC Santa Cruz are anomalously large compared to other UC campuses. A regular load for a UCSC student is 15 credits per term instead of 16 at other campuses; apart from the inefficiencies that result from dividing the academic load each term into three blocks instead of four, there is no margin for error when aiming for 180 credits in 4 years.

It is beyond CEP's scope to ask why we are the poorest among UC campuses, although this question should certainly be asked. This year, the committee limited itself to three relatively modest requests for resources for undergraduate education. Unfortunately, there has been very little progress with these:

a. Lack of classroom availability: UC Santa Cruz classrooms have been nearly saturated for a long time. The implementation of the Academic Literacy Curriculum (ALC) and the resulting increase in the number of small classes taken by first-year students has made matters worse. Some of this demand for classrooms was deferred in 2018-19, but the full effect of the ALC will be felt in 2019-20. (See item III.c below for an explanation.) To make matters worse, the Kresge Classroom Project will — against the advice of the

¹ Based on data about each campus from the Office of the President about [undergraduate enrollment](#) in Fall 2018 and [ladder rank faculty](#) (general campus) in FY 2018.

Academic Senate — soon build a 600 seat classroom while removing an additional 35 seat classroom.

Number of free class time slots in Fall 2019

Seats	201-500	100-199	75-99	50-74	25-49	24
Tu-Th day	0	1	0	0	0	18
Tu-Th 5:20	0	2	0	0	0	4
Tu-Th 7:10	0	4	2	0	6	6
MWF day	3	10	9	1	0	32
MW 5:20	0	1	0	0	1	5
MW 7:10	1	5	4	1	2	6
Total free slots	4	23	15	2	9	71
Assignable slots	96	112	144	112	512	112
% utilization	96%	79%	90%	98%	98%	36%

CEP has been warning the central administration for more than a year now about the near-crisis situation with classroom utilization, but regrettably there has been no tangible result.

In spring 2019, CEP recommended that the Humanities Division and the Writing Program be provided funds to account for the fact that some Writing 2 sections have to be scheduled in rooms with 24 seats in the fall term. The total cost of this would have been less than \$10,000. To our knowledge, even this has not been provided so far, i.e. the cost of the smaller classes is being borne by the Humanities Division. We hope that this will be part of a comprehensive solution to funding the Academic Literacy Curriculum, discussed in Section III of this report.

At the time this report is written, it is not possible to say if all the requests for additional rooms that are expected at the beginning of the fall term — mainly for discussion sections — can be accommodated by the registrar’s office. Even if they can, faced with the imminent breakdown of classroom availability, and knowing the time it takes to build new classrooms, action has to be taken now.

Correspondence with the administration about classroom capacity is available [here](#).

b. College Scholars Program: CEP continued the review of the College Scholars Program (CSP), UC Santa Cruz’s version of an honors program, that the committee started in collaboration with the Committee on Admissions and Financial Aid (CAFA) in 2017-18. Such programs are important in attracting academically advanced students, whose presence motivates all students to try to reach higher levels academically. UC Santa Cruz’s College Scholars Program is markedly better than typical honors programs at other universities with regard to the diversity of its students. However, compared with the features and duration of honors programs at similar universities, UC Santa Cruz’s College Scholars Program is one of the weakest.

CEP recommended that the central administration fund the CSP seminar courses that are offered in the fall

term of the sophomore year at a level that would allow the program to be expanded to all ten colleges from the present four colleges, and that space be provided at certain times each week in a central campus location for CSP students to meet and organize events. While these would be small steps, neither has been done. In the meantime, the funding from the Koret Foundation that enabled CSP to operate at even its present four-college level has been canceled, although it is hoped that at least this will be replaced by the central administration.

CEP also recommended to the Committee on the Library and Scholarly Communications (COLASC) that the loan period for library books for CSP students be the same as for graduate students, to encourage them to engage in research; this recommendation was endorsed by COLASC, but not implemented by the University Library.

The complete letter from CEP is available [here](#).

c. Career Center: Compared to other campuses in the UC system, the salaries of UCSC undergraduate students after graduation are among the lowest. While salaries are only one way to assess whether students are successful in their careers, this data is clearly cause for concern.

Median annual earnings for undergraduates 10 years after graduation

	UCI	UCR	UCSC
Arts & Humanities	53939	49604	50359
Engg & CS	100764	95395	113828
Life Sciences	74204	68478	63904
Physical Sciences	74579	67922	73815
Social Sciences	67453	57216	55300

CEP noted the understaffing of the Career Center at the ‘ground level’ compared to UC Santa Barbara, and that the salaries of these staff are anomalously low even by UC Santa Cruz standards. Partly as a result of this, UC Santa Cruz has far fewer companies conducting on-campus interviews than UC Santa Barbara. Space for the Career Center — e.g. for companies to conduct interviews — is completely inadequate.

CEP made recommendations to the administration to increase funding for Career Center staff and how to provide additional space. However, the administration has just hired a new Assistant Vice Chancellor for Career Success, who they are counting on to propose and lead efforts to strengthen the Career Center.

The correspondence with the administration is available [here](#).

II. NEW CATALOG SYSTEM

A large fraction of the committee’s time was taken up by the transition to the new software system for the General Catalog, published each year with the details of all academic programs and courses. The transition was accompanied by a change in the structure of academic program statements that was approved by CEP and Graduate Council in 2017-18, as discussed in our 2017-18 Annual Report. Highlights of the new structure are:

- Each academic program has its own self-contained program statement. Hitherto, departments have had all their undergraduate and graduate programs in a single statement, sometimes with several different programs described together.
- Each departmental statement is linked to the academic programs sponsored by the department. It is also possible to link to other programs of interest to students, which will be useful for interdisciplinary programs (which overlap with several departments) or when a department wants to suggest alternatives which might be a better match for some of its students.
- Policies for each program are given in a standard format and sequence. The Transfer Admission Policy states requirements and recommendations clearly, and is to be used by the Admissions Office.
- Courses mentioned in a program statement are linked to their descriptions in the catalog. This allows a student to see the prerequisites, etc., while reading the program statement; incorrect or defunct course numbers are immediately visible.
- In a course list, the name and number of each credits for each course are filled in automatically from the course number.
- Every major program has at least one four-year planner and one two-year planner (for transfer students); the assumptions behind the transfer planner are clearly stated.

The transition in 2018-19 resulted in an extraordinary amount of effort for staff in departments, divisions and the Office of the Registrar, as well as by Senate committees. As in 2017-18, every undergraduate program statement was reviewed comprehensively by CEP instead of being compared to the previous year. Typographical errors caused by the transition also had to be detected. Because the delivery of the software to UCSC was delayed, program statement deadlines for different academic divisions were staggered, which made it challenging for the Senate to manage the workflow. Despite all the extra work in such a limited period, the 2019-20 General Catalog was published just before incoming undergraduate students enrolled in classes. It should be possible to release the 2020-21 catalog earlier.

There are many improvements that could still be made to the catalog, and CEP and Graduate Council will work with the Office of the Registrar to see how many of these are feasible. In particular, it should be possible to link to a specific section of a program statement instead of the entire program statement, if other campus websites are to refer to the catalog instead of duplicating information. Such duplication, and the inconsistencies that develop over time, has been identified as a factor causing confusion and inefficiency for students and advisors.

Clearer information provided to students, and simpler policies and petition processes (see Section VI in this report), should help with students' time to degree. However, as mentioned in Section I, the administration will have to provide additional resources for undergraduate education to make a real improvement on this front.

III. ACADEMIC LITERACY CURRICULUM

2018-19 was the first year of the Academic Literacy Curriculum (ALC). All colleges now have a College 1 core course, which is a prerequisite to Writing 1 (required for undergraduate students entering as frosh who have not satisfied the Entry Level Writing Requirement (ELWR) before enrolling at UCSC) and to Writing 2 or Writing 2H (required for all students). Writing instruction is provided in Writing 1 and Writing 2/2H, which build upon what is taught in College 1. As a result, unlike in the past, students in College 1 are not separated into multiple tracks based on their academic preparedness.

a. Outcomes: Institutional Research and Policy Studies (IRAPS) provided CEP with the result of a direct assessment of student learning in College 1, as well as student surveys from these courses. More than 85% of the domestic students who satisfied ELWR before enrolling in College 1 met the expectations in College

1 on two of the three criteria used: the ability to analyze a text to identify the main idea, and to use a range of strategies to understand texts. For ELWR-required students, 80% or more of the students met expectations on these criteria. All students fared worse on the third criterion — recognizing relationships between the genre and the context — with approximately 75% of ELWR-satisfied and 60% of ELWR-required students meeting expectations.

The performance of international students was significantly worse, with only 50-65% of the ELWR-required students satisfying the first two criteria, and 30-40% satisfying the third criterion. Even ELWR-satisfied international students did worse than the corresponding domestic students.

Regarding classroom engagement, 60% of domestic students completed most or all of the reading compared to 46% of international students. International students and students with low Analytical Writing Placement Examination (AWPE) scores were also more likely not to speak up in class because they were worried that other students or the instructor would not understand them or value their input. At the other end, students with high AWPE scores or those who satisfied ELWR by other means were significantly less satisfied with the course (approximately 10% less satisfied) than with their overall academic experience in their first term; this was not true for ELWR-required students.

Since this was the first year of the ALC, some initial problems are not surprising. The colleges are working on adjusting the courses to improve outcomes. The 2019-20 results will have to be seen before any structural changes are considered. Outcomes for Writing 1 and Writing 2 were not available at the time this report was prepared.

b. *Stevenson College:* As part of the changes associated with the new catalog, the colleges, being academic units, have program statements like departments. During the review of these program statements, CEP realized that the Stevenson College core course is still a two-quarter course, as has been the historical practice. CEP decided a few years back that all colleges should have one core course, but this has not been implemented for Stevenson College. After initial discussion, the committee invited the College Provost for input about why the second core course should be retained. CEP then requested IRAPS to provide some data relevant to this question; since the data would not be available until the summer, the issue was deferred to the fall.

c. *Funding of the ALC:* Near the end of the spring term, the Humanities Division presented an analysis to the central administration, the Committee on Planning and Budget (CPB) and CEP, arguing that it had been substantially underfunded for the Writing Program sections that students use to satisfy the introductory composition requirements, and that this problem has been aggravated by the ALC. The negative effect of the ALC is because the number of Writing Program courses taken by an average student has increased: two courses instead of one for ELWR-required students, one course instead of zero for the students who used to be C1 satisfied, and no change for students who used to be C1-required. Among the ELWR-required students, domestic students are now being admitted to the Multilingual Curriculum (MLC) courses that were previously reserved for international students; this further increases the number of courses they require. The additional funds provided to the Humanities Division for the ALC were, in the opinion of the Humanities Division, inadequate to cover the increased costs.

Students have to complete the Composition (C) requirement by the end of their second year. When the ALC was introduced in 2018-19, students started taking their composition courses later than they used to under the previous curriculum. This resulted in a *one-time* reduction in demand for composition courses in 2018-19, which masked the funding problem. However, this cannot continue in 2019-20. (As discussed earlier, the end of the one-time reduction also has implications for the need for classrooms.)

Because this report was presented near the end of the spring term, and CPB provides advice to the administration on budgetary matters, the report was not discussed by CEP; the CEP Chair attended a meeting with all the stakeholders. However, it is essential that the Humanities Division be provided with the funds required to offer these classes, which are a need for all students rather than only those in the Humanities. Because of the deadline to complete the C requirement by the end of the second year, enough Writing Program sections must be offered in 2019-20 to meet student demand. CEP believes that a comprehensive solution by the central administration should fund the Humanities Division based on actual student enrollment in Writing Program classes.

IV. LETTERS TO DEPARTMENTS

CEP sent four letters dealing with broad issues to department chairs, interdisciplinary program directors and college provosts in the spring term:

- The first letter pointed out that curricular governance by department, program and college faculties is the responsibility of the entire faculty. This responsibility may be delegated under certain circumstances. The letter requested each faculty to discuss how much of their authority they wanted to delegate to committees or individuals, and to inform CEP about this when they submit their 2020-21 program statements.
- The second letter, to departments and interdisciplinary programs, requested those departments and programs whose major declaration rates or timely graduation rates were unusually low to examine their curriculum for possible bottlenecks, and report back to CEP along with their 2020-21 program statements about their conclusions and any steps they were planning to take.
- The third and fourth letters invited comments on various draft CEP policies and suggested steps that could be taken if higher student enrollment was desired by an academic unit, but no response was requested.

V. IMPACTION

a. *Impaction Policy:* CEP reviewed the latest iteration of the Impaction/Enrollment Management Policy prepared by the Vice Provost for Academic Affairs after extensive consultation with the Academic Senate. CEP's main comment on the latest version was to reiterate that the impaction process coordinates the actions of the Academic Senate and the administration, since it would be undesirable for both of them to act independently to solve the same problem. It does not alter the authority of the Academic Senate over the curriculum and conditions for admission to a program, or the authority of the administration over the resources and enrollment targets for a program.

b. *Measuring Impaction:* Together with the Committee on Planning and Budget (CPB), CEP initiated a study of academic programs to determine which programs have a disproportionate number of students compared to the resources at their disposal, resulting in degradation of the program even if formal impaction has not been sought. This project is in progress, with IRAPS providing the required data in an easy to use form for all academic programs.

c. *Enrollment management for the Computer Science undergraduate program:* Along with other Academic Senate committees, CEP reviewed a proposal from the Computer Science and Engineering Department to continue limits on intake to the Computer Science B.S. and B.A. programs, and to start enrollment management for the Computer Engineering B.S. by limiting the number of students who enter UCSC as proposed Computer Engineering majors but allowing these students to migrate to Computer Science. (Other students would be able to migrate into Computer Engineering, but these students would not be able to subsequently move to Computer Science.) CEP endorsed the continuation of the impacted status for Computer Science, but felt that providing (a subset of) Computer Engineering students the right to move into Computer Science was too risky.

VI. LEGISLATION AND POLICIES

Legislation was approved by the Academic Senate or a policy was approved by the committee. The general objective was to simplify regulations and policies, and have petitions be required/permitted in as few situations as possible. This would provide clarity to students and lessen the workload of advisors. The following issues were discussed by CEP.

a. Last date to add courses: Students may enroll in courses up to the ninth week of instruction by permission of the instructor, instead of requiring additional permission from the Committee on Courses of Instruction after the sixth week of instruction. This was approved by the Academic Senate.

b. Senior Residency: The special provisions for how the Senior Residency requirement applies to students in the UC Education Abroad Program are extended to all approved off-campus study programs, and the number of credits to be completed in residence after returning from such a program is reduced to ten credits instead of twelve. This was approved by the Academic Senate, and a waiver granted by the Assembly of the systemwide Academic Senate.

CEP approved a policy which would allow a student to have only some of their credits earned elsewhere be counted toward the 180-credit graduation requirement, while still earning subject credit for other courses except upper-division major requirements.

With these changes, CCI will not entertain requests for waivers of the Senior Residency requirement except in exceptional circumstances unforeseen in policy.

c. Credits required to graduate: The Academic Senate repealed the provision allowing undergraduate students to petition to be allowed to graduate with 178 credits. Hereafter, all students will have to earn 180 credits to graduate. Physical Education courses may provide a maximum of 3 credits toward graduation.

CEP approved a policy allowing UCSC Physical Education courses to provide academic credit, if the administration can solve the logistical problems involved. As of now, this has not happened.

d. W grade: After seeking comments from departments and the Academic Senate, CEP approved a policy allowing students to obtain a W (Withdrawal) grade in a course until the end of the sixth week of instruction without having to go through college advisors or requiring any approval. Students who are past the six-week deadline may opt for a NP (No Pass) grade until the end of the ninth week of instruction. There is no change to the policy for how W grades are granted in medical and other emergencies.

e. IP grade: The Academic Senate repealed the IP (in progress) grade for undergraduate courses. This grade was only approved for a small number of courses, and had limited utility but was difficult to manage.

f. Grade option changes: The Academic Senate approved legislation allowing students to change the grading option for a course they are enrolled in from a letter grade to a P/NP (or vice versa) until the end of the ninth week of instruction.

CEP approved policy allowing automatic conversion of P/NP grades to letter grades (C or F in most cases) when letter grades are required to fulfill major or graduation requirements. (The detailed policy is published on CEP's website.) This process will not require the involvement of advisors or CCI.

At the request of CEP, Information and Technology Services modified the Academic Information System so that undergraduate students enrolling in graduate courses have letter grades as their default grading option, as required by Senate regulations. This eliminates cases when a student inadvertently takes a graduate course for their major on a P/NP basis even though the major has a letter grade policy.

With these changes, CCI will not entertain requests for grade option changes in undergraduate courses except in exceptional circumstances unforeseen in policy.

h. Minimum progress: The Academic Senate approved legislation reducing the number of credits an undergraduate student has to complete in their first year to 35 from 36, while requiring them to complete 72 credits in their first two years and 36 credits for every year thereafter. The reduction of 1 credit in the first year — to be made up in the second year — is a small change, but it will enable 7 regular 5-credit courses to count as minimum progress, which will have a beneficial effect on student success.

i. Course prerequisites during summer session: CEP approved policy stating that course prerequisites, including required courses or other indicators of expertise such as placement examination scores, remain in place during Summer Session unless an exception is approved by CCI. Enrollment restrictions such as limiting enrollment based on class level or major are removed by Summer Session unless an exception is approved by Summer Session.

Prerequisites for non-UCSC students may be removed for a Summer Session course by the course sponsoring agency; they should keep in mind that they need the instructor's consent to do so. Prerequisites for individual UCSC students may be waived by the instructor.

j. Waiver of General Education requirements: The Academic Senate approved legislation eliminating the role of college advisors when a student petitions CCI to have a General Education requirement waived. Such waivers are granted when the student establishes that the criteria for the general education requirement are fulfilled by a different course that they have completed; there is no role for college advisors in this assessment.

k. C- as a passing grade: After obtaining advice from the Committee on Rules, Jurisdiction and Elections, CEP approved that if a student completes a course satisfying a UCSC general education (GE) requirement at another institution, a C- grade will be sufficient to fulfill the GE requirement if C- is a passing grade at that institution. This does not apply to major requirements, for which a C grade will continue to be required.

l. Transfer students changing majors: After consultation with the Vice Provost and Dean of Undergraduate Education (VPDUE), CEP decided that an undergraduate major program with major-specific transfer admission screening requirements may require junior transfer students to obtain permission from them before moving into their major from a different proposed major. (Permission is already required for junior students who are declared in one major and wish to change to another.)

m. Catalog rights for DC courses: CEP approved an amendment to the catalog rights policy, allowing major programs to — with the approval of CEP, and with an appropriate 'teach-out' plan — change the courses that provide the writing instruction necessary for Disciplinary Communication (DC) courses. Students following an earlier catalog who take the DC courses specified in that catalog after the transition is complete will not have completed the DC requirement. This is similar to other General Education requirements, where the courses that satisfy the requirement can change from one year to the next, except that the change has to be approved by CEP. The revised policy has been published by the registrar.

n. Individual Major Policy: CEP approved an amendment to its policy regarding Individual Major petitions, specifying deadlines by which such petitions have to be submitted.

o. Extensions of deadlines: The Academic Senate approved legislation codifying present practice, that CCI approves extensions to the deadlines to complete the Entry Level Writing Requirement and the Composition (C) general education requirement, and that colleges may allow students to continue to enroll in courses after the deadline to declare a major.

p. Degrees awarded posthumously: At the request of the University Committee on Educational Policy, CEP approved an amended policy about when undergraduate students can be posthumously awarded a degree.

q. Closed week policy: CEP amended its policy that prohibits examinations being given during the final week of instruction (“closed week”) to clarify what is considered to be an “examination”.

r. Online courses: After consultation with the Vice Provost for Academic Affairs and the Academic Senate, CEP and CCI jointly approved a policy about the creation, review, and offerings of fully online courses.

s. Entry quizzes and grading policies: CEP and CCI jointly approved a policy stating that the grading policy for an undergraduate course must be specified in the syllabus distributed to students at the beginning of the course. This was an elaboration of the policy approved by CEP and CCI last year: that “entry quizzes” which are administered to students during the first week of a term and used to bar or disqualify students from the course are effectively prerequisites, and require approval by CCI as a major course revision, must be included in the catalog description, and must be stated in the syllabus distributed at the beginning of the course.

t. University Extension: CEP clarified the different categories of University Extension (UNEX) courses, how they are numbered and the review process for each category. CEP also made minor adjustments to its policy from 2017-18 about how UNEX programs are reviewed. These policies are in accordance with regulations of the systemwide Senate and the Standing Orders of the Regents.

VII. STRATEGIC ACADEMIC PLAN

CEP reviewed the revised Strategic Academic Plan (SAP) in January, and made minor comments. These were addressed in the ‘final’ SAP circulated near the end of the spring term. Under the changed circumstances on campus, CEP took a step back and reviewed the plan from a broader perspective. The committee found the design principles to be a poorly justified and ill-defined subset of all the things we could prioritize, with the initiatives linked to a design principle not always supporting the full scope of the principle. The committee was also skeptical about the strong reliance on quantitative metrics as a measure of outcomes, both because they distort the directions in which the campus proceeds and because so much measurement is itself expensive. The letter from CEP about the final SAP is available [here](#).

VIII. TRANSFER STUDENT ISSUES

a. Determining screening criteria for transfer admissions: Discussions between the CEP Chair, the Chair of CAFA and the Vice Provost and Dean of Undergraduate Education (VPDUE) early in the fall term resulted in an agreement about how the criteria for admission of transfer students would be determined. The major-specific minimum screening criteria for admission are approved by CEP after the VPDUE has been provided an opportunity to comment, and published in the program statement for each academic program. The general minimum screening criteria for admission, and selection criteria to be used when the

number of applicants satisfying the screening criteria exceeds the campus target, are determined by CAFA. The Admissions Office implements the criteria approved by the two committees.

b. Selectivity in transfer admissions: In the winter term, the VPDUE informed CEP that the campus would be selective about transfer student admissions this year in order to stay within the target for transfer students entering UCSC in fall 2019. CEP and the divisional deans provided input to CAFA about the programs which are overloaded, where selectivity should be focused, and the programs which would welcome more students and should not be cut back.

IX. ACADEMIC PROGRAMS AND CURRICULA

CEP approved a new concentration in Curation, Heritage and Museums in the History of Art and Visual Culture B.A. program, three new concentrations — Geographic Information Systems, Global Environmental Justice, and Conservation Science and Policy — in the Environmental Studies B.A. program, and two new minors in the Electrical and Computer Engineering Department. It also approved the discontinuance of the Bioengineering major and the discontinuance of the Environmental Chemistry concentration in the Chemistry B.S. program.

CEP discussed the Environmental Geology concentration in the Earth Sciences major with the Earth and Planetary Sciences Department. A proposal to revise the concentration should be received in fall 2019.

CEP discussed possible improvements to their major programs with the Music Department, the Film and Digital Media Department, and the Biomolecular Engineering Department.

Revised bylaws for the Computer Science: Computer Game Design B.S. were presented to CEP. The committee found that its earlier concerns regarding faculty governance of the program had been fully addressed, and endorsed the bylaws.

CEP participated in external reviews for the following departments: Art, Computational Media, Philosophy and Psychology in Stage 1, Chemistry and Linguistics in Stage 2, and Biomolecular Engineering, Community Studies, Feminist Studies, Film and Digital Media, Ocean Sciences, Politics, and Sociology for mid-cycle reviews.

X. INTRODUCTORY PROGRAMMING COURSES

The Computer Science and Engineering Department submitted a proposal to revise the sequence of introductory programming courses. CMPS 12A and 12B would be replaced with CSE 13 (with two versions, CSE 13E — previously CMPE 13 — and CSE 13S) and CSE 30. At present, students who need a more gradual introduction to programming than CMPS 12A take CMPS 5J and CMPS 11; under the new proposal, CSE 20 would serve as a stepping stone to CSE 30 for such students. CSE 12, previously CMPE 12, would be a prerequisite to CSE 13.

After discussion with the department chair and comments from stakeholder departments, CEP approved the new proposal, with comments about how the transition from the old courses and major qualification requirements in Computer Science and related majors would have to be handled. The committee expressed concern about the high failure rate in CSE 12, and asked the department to see if the course could be taught more effectively to reduce this. The committee also pointed out that articulation of the new programming courses could become a problem, and that the department should move quickly to ensure that this did not happen.

XI. OTHER ITEMS

a. Major Qualification Policies: CEP discussed how Major Qualification policies — both existing policies and proposals for new policies — should be reviewed by the committee. Data was provided by IRAPS for one major in the format requested by CEP, to enable the committee to see if any changes were necessary. The plan could not be completely finalized because the transition to the new catalog took up the committee's attention.

b. Academic Calendar: CEP was requested to approve extending the three days over which commencement ceremonies are held to four days. After consultation with the Associate Vice Chancellor of Colleges, Housing and Educational Services, the committee felt that it was important that the official degree granting ceremonies should remain within three days, and suggested possibilities to deal with the resulting overcrowding of the campus.

c. Mathematics Placement Test: This year, the work of the Committee on Preparatory Education devolved to CEP. A CEP subcommittee looked into the effectiveness of the placement test that is used to determine which introductory mathematics course a student should start with. Data provided by IRAPS was used in this study. The committee found that the test was reasonably effective, but less so when placing students in determining whether a student should be placed in Math 19 or Math 11. It was recommended that students should also be allowed to use appropriate SAT Mathematics scores as an alternative method to qualify for these courses. Data comparing the effectiveness of the UCSC placement test with other campuses was requested, but the committee did not have time to examine the data because of the new catalog.

d. Two GE Designations for a Course: The committee endorsed the plan recommended by CEP a few years ago, for a limited set of courses to be allowed to carry two general education (GE) designations. These courses would be distributed between the five academic divisions. A student taking such a course would be able to choose which GE requirement they wished to satisfy with the course. Implementation was deferred because of the workload that would result for the registrar's office.

e. Criteria for GE designation: GE designations are approved for courses by CCI at the request of course sponsoring agencies, using criteria established by CEP. The committee reviewed these criteria at the request of CCI, and clarified that courses with the SI designation should teach students science rather than just teaching them about the scientific method. The PR and PE designations should be interpreted liberally, but PE-T should require teaching about technology *and* society, not just technology.

The committee thanks the analyst Rebecca Hurdis for all the support provided for the committee's considerable workload in her first year with the Academic Senate, and Senate Director Matthew Mednick for assistance.

Respectfully submitted,

COMMITTEE ON EDUCATIONAL POLICY

Noriko Aso, CCI Chair, *ex officio*

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Lauren Woo, Student Representative (SUA)

Lily Moser, Student Representative (W&S)

Ben Carson, Provost Representative (F)

Megan Thomas
Onuttom Narayan, Chair

August 31, 2019

Committee on Emeriti Relations Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met twice during the 2018-19 academic year. This year, CER continued to make improvements to the timeline and call of the Edward A. Dickson Emeriti Professorship Award, and co-sponsored and participated in the annual Pre-Retirement Planning Workshop along with the Academic Personnel Office (APO). In addition, CER worked to strengthen ties with the UCSC Emeriti Association, and petitioned for inclusion on the UCSC Retiree and Emeriti Center (REC) Steering Committee.

The Edward A. Dickson Emeriti Professorship Award

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

The 2019-20 Dickson Emeriti Professorship Award call resulted in 11 proposals, the largest response to the newly envisioned award to date. A call for 2019-20 proposals went out to Senate Faculty, divisional deans, and department chairs on November 29, 2018 with a deadline for submissions of January 14, 2019. The submissions were forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which gave its recommendation to CER. CER in turn sent a final recommendation to the CP/EVC for approval. CER is pleased to continue its collaboration with the Emeriti Association in this endeavor.

The 2019-20 Dickson Professorship was awarded to **Diane Gifford-Gonzalez, Leta Miller, and Linda Burman-Hall.**

Diane Gifford-Gonzalez, Professor Emeritus of Anthropology (Social Sciences), will be investigating the sources of food used by Monterey Bay natives prior to Spanish colonization and the historical ecology of marine and terrestrial animals upon which their livelihoods rested in her project entitled “Research and Sharing Monterey Bay Native History through Archaeology”.

Leta Miller, Professor Emeritus of Music (Arts), will work on the completion of her book, *Racial Discrimination in the American Federation of Musicians*. Previously, she has focused her work on the union in San Francisco. She now plans to extend that research to other parts of the United States.

Linda Burman-Hall, Professor Emeritus of Music (Arts), will present a public concert of the music of Ireland’s best known composer, Turlough O’Carolan. Professor Burman-Hall will prepare a 20-minute pre-concert talk, and music will be performed by her and several accomplished Bay Area musicians.

All three of these Emeriti wrote persuasive proposals, are doing projects that are timely and relevant, and have done outstanding work in the past. Designating them as Dickson Emeriti Professors, and providing them with modest funding that will help them to complete their projects, will honor them, as well as be a credit to UCSC.

The Dickson Emeriti Professorship recipients were announced during the annual Emeriti Association luncheon with the Chancellor on April 4, 2019, and in the July 9, 2019, Volume 5, Issue 38 of UCSC's Tuesday Newsday. In the future, we look forward to having the names of the new Dickson Emeriti Professors announced and publicized in additional venues.

Retirement Benefits

The committee consulted with Emeritus Professor Roger Anderson, Chair of the systemwide Health Benefits Committee. He informed the committee about possible changes in the insurance programs for UC retirees. As of August 2019, it appears that the Health Net Seniority Plus program will be replaced by a Medicare Advantage program. The new program will allow retirees to retain their current medical care providers and should broaden access to other providers. At least in the short term, the cost to retirees may actually decline.

No major changes were made this year to the University of California Retirement Plan. A-cost-of-living increase of 2% began with payments made on 1 August, 2019.

Retiree and Emeriti Center (REC)

The committee met with Christy Dawley, Director of the Retiree and Emeriti Center (REC), who presented an overview of the REC's activities. We discussed the role that CER should play in the guidance of the REC. The primary goal of the REC is to be a resource for all UCSC retirees, and assist them in continuing their engagement with the campus. Previously a part-time position, the REC Director became a full time position in 2019. Oversight of the REC has been provided by a REC Steering Committee with two representatives from the Retirees Association and two from the Emeriti Association. CER has not had a formal position on the Steering Committee.

The consensus among members of the CER is that it is important that CER be represented on the REC Steering Committee. Our charge is to ascertain and make known to the Santa Cruz Division and to the UC Santa Cruz Administration the interests and needs of emeriti. CER has access to the most updated information on systemwide emeriti issues, such as retirement and healthcare, due to its Senate affiliation and collaboration with the administration, the Senate Committee on Faculty Welfare (CFW), the systemwide University Committee on Faculty Welfare (UCFW), and the Academic Council. For these reasons, CER has requested that the membership of the REC Steering Committee include CER representation, to be chosen by CER annually.

Respectfully submitted;
COMMITTEE ON EMERITI RELATIONS
Dominic Massaro
Norma Klahn
Michael Isaacson
Anatole Leikin (W&S)
Grant McGuire, *ex officio* (F&W)
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Barry Bowman, Chair

August 19, 2019

Committee on Faculty Welfare Annual Report, 2018-19

To: Academic Senate, Santa Cruz Division

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

CFW's work in 2018-19 focused attention on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life. The key topics of this year's work were:

1. voicing the dire need for more campus employee housing to campus administration, the UC Academic Senate, and the UC Regents;
2. a close engagement with campus administration on the rapidly evolving development of a childcare facility on campus and the UCSC Child Care and Family Services Advisory Committee;
3. monitoring campus transportation and parking and collaborating with campus administration to brainstorm improvements and discuss the need for a long term vision for Transportation and parking Services (TAPS); and
4. advocating for access to affordable health care options for UCSC faculty and staff.

Other topics traditionally making up a substantial part of the committee's work, such as retirement, did not see as much activity since no major changes have occurred either on campus or systemwide.

Housing

There appears to be a campus-wide consensus that UC Santa Cruz is in dire need of more employee housing due to the pressing needs of recruitment and retention in conjunction with small inventory, low turnover rate, and the high cost of living and housing in Santa Cruz County.

Physical Planning, Development, and Operations is currently finalizing a campus-wide housing needs survey that will be circulated to campus employees in fall 2019 to assess employees' needs for housing in terms of size, location, lease or purchase, and desired price point. CFW has provided feedback to Associate Vice Chancellor for Physical Planning, Development and Operations (AVC) Traci Ferdolage and Vice Chancellor of Business and Administrative Services (VCBAS) Sarah Latham on the draft survey, and has recommended that the consideration of future employee needs be assessed by surveying divisional deans on their future hiring plans. The committee hopes that findings from this survey will be used to optimize the design of Ranch View Terrace Phase II (RVT2) and future employee housing projects on our campus.

Multiple locations on and around campus have been surveyed for potential new housing projects. The site reserved for RVT2 remains the most feasible location for the next employee housing project. The Employee Housing Workgroup met several times this year, with a CFW representative in attendance. There was no major movement this year. However, a few goals related to RVT2 development were set for summer and fall 2019, including: (1) receiving budgetary funding; (2) development of communications plans; (3) developing a request for proposal; and (4) modification of technical requirements for the employee housing project.

CFW applauds the administration for doing a thorough analysis of needs, and being willing to rethink and rework plans for RVT2 and possible additional campus sites accordingly. We would like to emphasize the issue of lack of turnover and, somewhat relatedly, the issue of retirees and spouses/partners of retirees. The campus needs to rethink the housing program and ways to speed up the turnover. These issues need to be considered with the development of new faculty and staff housing. CFW looks forward to future discussions with VCBAS Sarah Latham and Director of Employee Housing and Capital Planning Steve Houser.

Child Care

A major development in childcare this year was the Regents' approval of the proposed Early Education Center (EEC), as part of the Student Housing West project. Although this vote was not without controversy (due to the selected site) and two lawsuits were subsequently put forward to stall the construction, the campus reached the milestone of the closest point to having a childcare facility for faculty and staff in addition to students. Nonetheless, it is unknown how the new Chancellor will move forward.

CFW's childcare representative Su-hua Wang participated in every meeting with the design and development team this year, providing input on the research component and safeguarding the needs and accessibility of faculty to childcare services. The team has been very responsive to comments provided by CFW and by the Summer Childcare Work Group. This ongoing communication is crucial to ensure the quality of the facility and program, and the voice from CFW to weigh in on different aspects of EEC development.

CFW studied the issue and need of back-up/emergency care, which was pending from the previous year. Back-up/emergency care is a benefit that allows faculty members to fulfill their normal work obligations when their regular childcare and/or dependent care is unavailable. CFW collaborated with the Committee on Affirmative Action and Diversity (CAAD) to have the issue listed as a Senate Executive Committee (SEC) priority next year. CFW consulted with VCBAS Sarah Latham and Associate Vice Chancellor for Housing and Educational Services (AVC) Sue Matthews on this issue in spring 2019. They have already taken action to gather information from other UC campuses that provide some form of back-up care in order to gain a better sense of how the benefit could possibly be implemented on our campus.

The UCSC Child Care and Family Services Advisory Committee was established after initial delays due to campus leadership transition. This new committee expands the scope of the previous Child Care Advisory Committee, and is charged with providing vital information on the family issues confronting our faculty, staff, and graduate and undergraduate student populations. The

committee will provide advisement on important institutional policies related to the new center, including the EEC's access policy; the assessment process for the childcare provider; and, should it be deemed appropriate, on a Request for Proposal (RFP), which could be initiated in year three of the five-year operating agreement. CFW was happy to see this committee convene in summer 2019, as the design and decisions for the new campus Early Education Center are moving quickly.

The new Child Care and Family Services Advisory Committee is also charged with studying and reporting on the most important issues for family support faced by our campus community, including recommendations for addressing our community's most urgent concerns including back-up/emergency care. The committee is expected to look throughout the system and across higher education nationally to understand best practices around family support, and will provide an interim report on this topic by April 2020.

Transportation and Parking

A representative of CFW served on the Advisory Committee for Campus Transportation (ACCTP). CFW sincerely appreciates the ability to provide a faculty voice in dealing with the pressing needs of campus transportation and parking services via ACCTP.

This year, CFW was pleased to hear that the Interim Director of Transportation and Parking Services (TAPS) has already brought new ideas and questions to the table. CFW is hopeful that a new vision for transportation and parking services will be brought forward to our campus that will not only address current needs and budgets, but will also include plans for the future. CFW was pleased by the results of the 2019 Campus Election student referendum. An increase in transportation fees for undergraduate and graduate students should alleviate some of the budgetary concerns. However, the lack of parking is a persistent problem.

The primary [objective of the ACCTP¹](#) in the committee charge is to recommend a sustainable funding model that a) ensures adequate support of programs, services and infrastructure to provide access to campus-owned facilities and b) aligns with campus goals related to sustainability and the limits imposed on campus by the Long Range Development Plan (LRDP). In the past two academic years, ACCTP meetings have focused primarily on the TAPS budget crisis, with little room at the table for considering a broader vision of a model that serves current campus needs and makes preparations for the future. While CFW recognizes that the budget deficit is binding and should be addressed, the committee has recommended that it should not be the primary focus of consideration. Rather, CFW would like to see an overall comprehensive strategy to meet the growing transportation and parking needs of our campus.

There are many pressing parking and transportation issues for our faculty. Primarily, the inability of faculty to find parking has a direct effect not only on the welfare of faculty and staff, but also on the teaching and research of our institution. Further, this issue has a disproportionate effect on those with family obligations that require them to leave campus in the middle of the day and find parking upon return.

¹ <https://sab.ucsc.edu/outreach-committees/committees-campus.html>

A benefit of having a committee of members representing various cohorts on campus like the ACCTP, is that it provides a collaborative space where creative remedies to issues at hand may be found. However, the CFW representative proposed potential remedies to pressing issues that were persistently dismissed. One such suggestion was for TAPS to consider making some parking lots exclusive to faculty and staff with A permits. A second recommendation was to consider dedicated shuttles that would transport faculty and graduate students from various locations directly to campus, to encourage more commuters to reduce their car trips to campus. Although the current climate of cuts to transportation services may make these suggestions seemingly difficult to implement, CFW would like to encourage the ACCTP and TAPS to take on a proactive agenda in closing the gap between needs and services.

CFW recognizes that TAPS has already planned to make some changes to address parking issues. The committee was pleased to hear that the campus is moving forward with the implementation of a parking management project for real-time data that will tie together capital projects and academic expansion, thereby tying parking rates and rate structure. CFW understands that the campus will be creating a master plan for parking expansion and buses by 2030, along with relevant discussions in the context of Long Range Development Plan (LRDP). CFW suggested that faculty and graduate students may welcome a fee-based shuttle system from Caltrans. A suggestion was also made to request that Metro bus drivers pack the buses more efficiently.

CFW understands that TAPS also plans on reducing the number of C permits, reallocating A/B permits in North Remote, adding medical spaces in Science Hill, expanding East Remote from 190 to 250 spaces, and expanding Kresge College parking. However, the impact of these proposed changes is small on the grand scale of current needs. The imminent temporary closure of one third of East Remote for the solar project presents further reasons for concern. Since transportation services continue to be cut and the student population continues to increase, a much more robust vision for meeting transportation and parking needs on our campus is needed. CFW looks forward to seeing the ACCTP and TAPS work together to create a proactive vision.

Healthcare

CFW continued to monitor and advocate for access to sufficient health care options and the affordability of the UC health insurance plans for UCSC faculty and staff. Compared to most other UC campuses, Santa Cruz has limited health care options. We have only two major options here at Santa Cruz, Physicians Medical Group (PMG) accessed through the Health Net HMO (UC Blue and Gold), and the Palo Alto Medical Foundation (PAMF) through the UC Care PPO plan. CFW recognizes that PAMF offers many after hour and weekend appointments with expanded urgent care options for employees with small children, and PMG is unable to absorb the large number of current UCSC PAMF enrollees (37% of all UCSC enrollments). Kaiser Permanente's presence in Santa Cruz is growing, but it will be several more years before they could accommodate the large number of patients currently using PAMF. In addition, the closest Kaiser hospital is located in Watsonville, which makes the plan unfavorable for some employees. For these reasons, and because UCSC does not have a UC medical center in close proximity, CFW has always maintained that UC Santa Cruz must have access to PAMF through the healthcare plans that are offered. However, with continuous rising premium costs of the UC Care plan, this year CFW emphasized that this option must also be affordable.

In winter 2019, UC Care enrollees were notified that Anthem Blue Cross (the administrator for the UC Care PPO plan) had not yet come to an agreement with Sutter Health, of which the Palo Alto Medical Foundation is affiliated. Enrollees were informed that if no agreement was made, Sutter/PAMF coverage would end on a specific date. Luckily, an announcement was made in March 2019 that Anthem was able to come to an agreement for a multi-year contract through 2022. If an agreement had not been made, UCSC enrollees would have lost their access to PAMF providers. This is extremely troublesome as many UCSC UC Care enrollees choose this option during open enrollment specifically to access PAMF providers.

This is the second time that UCSC has been threatened with losing access to Sutter/PAMF providers in the last four years. In early January 2015, Blue Shield of California (the previous administrator of UC Care) sent letters to members informing them that the Blue Shield/Sutter Health contract was terminated, effective December 31, 2014. Later that month, Blue Shield and Sutter announced that they had reached an agreement for a new two-year contract that would allow enrollees to continue to use Sutter/PAMF doctors and hospitals. Both instances highlight the added fragility of access to PAMF for our campus as medical groups consistently secure their negotiations with administrators like Blue Shield and Blue Cross after UC Open Enrollment for the year has closed.

The future of UC Care is unknown and it is currently the only way for UCSC employees and family members to access PAMF. As PMG and Kaiser are not able to absorb current PAMF enrollees, if the UC Care plan is no longer offered in the future, CFW contends that the UC must make PAMF available and affordable to UCSC employees through another healthcare plan option. Next year's committee should collaborate with the University Committee on Faculty Welfare (UCFW), the UC Health Care Task Force, and the UC Academic Senate to explore this option.

In 2018-19, CFW also discussed a proposed affiliation between UCSF and Dignity Health. UCSC CFW members endorsed the UCFW position on this matter that “no unit of the UC should affiliate with a health care system that prohibits care for anyone.”² UCSC CFW also agreed with the interim report of the UC Non-Discrimination in Healthcare Task Force³, which makes clear that those who would preclude the provision of care for non-scientific reasons do not reflect or embody UC's mission or values. It has been announced that this partnership/affiliation between UCSF and Dignity Health is no longer being explored, and CFW supports this outcome.

Faculty Salaries

CFW could not carry out its intended salary analysis this year, due to issues with access to data. The following summary is based on previous analyses that were further discussed this year and some initial analysis done this year.

Median salaries at UCSC continue to remain below the median for Full Professors, although they are near the systemwide median for Assistant and Associate Professors. In terms of gender, CFW observed that the main differences arise for higher earners: there are very few females among our

² UCFW to May, Re: Possible Affiliation Between UCSF and Dignity Health - DRAFT

³ Interim Report of the UC Academic Senate UC Non-Discrimination in Healthcare Task Force, April 2, 2019

highest-paid faculty. Other differences were also observed in promotion and salary growth rates across divisions and ranks, but the committee noted limitations with the current methodology that need to be addressed before definitive conclusions are drawn: The data provided annually by the Academic Personnel Office (APO) did not include the initial rank, step and salary of the faculty members in the dataset. Hence, the committees 2018-19 methodology used proxies (the year of highest degree a “standard” baseline salary) to compute growth metrics. These proxies might not work well for individuals with an “alternative” career path (e.g., those who have had a career outside academia before joining UCSC). Extended datasets were requested from APO, but they were not forthcoming. CFW was also interested in understanding how the rates at which different actions (salary increases, regular merits, greater-than-normal merits, accelerations) are awarded varies within departments, division, ranks, gender and ethnicity. To that end, longitudinal data on the career of faculty was requested from APO. Since this is an actionable item by faculty and departments, analyzing these data and sharing the results with the faculty at large would be a useful step towards addressing inequity issues. However, the committee was unable to secure these data from APO. We recommend that next year’s CFW vigorously pursue these data requests early in the academic year so that an analysis can be carried out as soon as possible.

One piece of data that was provided by APO referred to the impact of changes to the Special Salary Practice (SSP) on faculty salaries. The administration refers to these as “savings”, a perspective that CFW flatly rejects. The changes in policy reduced outlays to faculty by a total of \$178,800 when compared with the previous policy. The impact on individual faculty ranged between \$600 and \$5,800, with an overall median of \$1,300. As would be expected the impact was much larger for Full Professors (median \$3,000) than for Assistant Professors (median \$700). While these one-year reductions are small, the cumulative effect over the years will likely be dramatic and put faculty salaries at UCSC at risk of again falling behind those at our sister campuses.

Finally, an equity salary study by the administration is greatly needed to further assess the health of salaries provided to UCSC faculty across different ranks, divisions, and demographics.

Partner Hire Resources

The ability of partners of faculty members to find satisfactory employment is a necessity in attracting and retaining top faculty, particularly given the local housing market and high cost of living. One way campus can effectively increase household income is to help partners of faculty members find the best jobs they can. A survey of 9,000 full-time faculty at 13 leading U.S. research universities by the Clayman Institute found that 72% of faculty have employed partners, and 36% of faculty have academic partners, making partner employment critical to recruiting. Among the key findings, this report also highlights couple hiring as a potential method to increase faculty diversity.

This year CFW consulted with Jessica Wise, Director of HERC (Higher Education Recruitment Consortium) for northern California, and Leslie Marple, Senior Analyst and Academic Recruitment Manager in the Academic Personnel Office about the possibilities of leveraging HERC resources to aid partners in finding jobs during the recruitment process. Ms. Wise agreed to act as a contact person for the partners seeking jobs, to help with networking leveraging the NorCal HERC community, resume review, and coaching. In the last hiring cycle, information on

HERC resources and contact information for Ms. Wise was provided to hiring committees by Manager Marple. One successful partner hire was made through a staff position at UCSC. In spring 2019 a new director for NorCal HERC, Leslie Taylor, was appointed and she has agreed to continue the partner hire pilot program next year.

CFW is grateful to see the support of members of APO and HERC on this important issue for faculty. We look forward to building on these first initiatives and continuing discussions on dual faculty hiring with the administration in the future.

Acknowledgments

The committee would like to thank those who consulted with and/or provided information to the committee this year: Chancellor George Blumenthal, CP/EVC Marlene Tromp, VCBAS Sarah Latham, VPAA Herbie Lee, AVP Grace McClintock, AVC Jean Marie Scott, AVC Sue Matthews, AVC Traci Ferdolage, Employee Housing and Capital Planning Director Steve Houser, Employee Housing Manager Jennifer Talusan, Committee on Affirmative Action and Diversity Chair Elizabeth Abrams, and Committee on Academic Personnel Chair Lynn Westerkamp.

Respectfully submitted;

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August 15, 2019

Committee on Information Technology Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Information Technology (CIT) is charged with advising on acquisition, implementation, utilization, and impact of instructional technology, information systems, software and electronic communication facilities, including wireless service. The 2018-19 academic year was focused on providing guidance to the administration and UCSC community on university and systemwide IT issues as described in the following report.

Collaboration with the Vice Chancellor for Information Technology

CIT invited the Vice Chancellor for Information Technology (VCIT) Van Williams as a standing guest to attend the bi-weekly CIT meetings. During the 2018-19 year, VCIT Williams, who assumed his position at the beginning of the academic year, was a regular and welcome guest at CIT meetings. He provided CIT with important and forthcoming information about events in Information Technology Services (ITS), including his well thought-out and ambitious plans to reorganize ITS. CIT would like to thank VCIT Williams for his participation in the meetings and strong collaboration with CIT, and for being open to CIT feedback and recommendations.

We strongly recommend that next year's CIT continue to invite VCIT Williams to meet regularly with CIT as a standing guest to provide consultations on the status of ITS activities and plans in the coming 2019-2020 academic year, particularly in regard to the ongoing reorganization of ITS.

Multi-factor Authentication and Google Suite Migration to Gold

Multi-factor authentication (MFA) has been one of the main IT changes during the 2018-19 academic year. The CIT had multiple meetings addressing potential issues with MFA. MFA is becoming a de-facto standard because it increases security, and its implementation has been a mandate from the Office of the President for all the UC campuses. Deployment appears to be happening without major issues. The plan is to migrate not only academic accounts to MFA, but also UCSC email. CIT provided feedback to assist IT in avoiding potential issues with user authentication and additional services like scripts used by some faculty to handle grading, and recommended that the time frame to re-authenticate via MFA be changed from an extremely short twenty-four hours to a reasonable two weeks, which was ultimately adopted. At the current moment, MFA appears to be running smoothly, but further issues may arise as the deployment finalizes. CIT will want to continue to monitor this topic next year.

Centralized Software Licensing

CIT strongly supports the move toward centralized software licensing for software that is heavily used by UCSC faculty and staff. In the 2017-2018 academic year, CIT conducted a survey of Senate faculty on IT priorities and software licensing, management, and distribution were identified as high priority issues. During this 2018-19 academic year, CIT members gathered feedback from their respective divisional IT units to help identify high priority software packages to be considered for centralized software licensing. Vice Chancellor of Information Technology (VCIT) Van Williams and his team have followed through with delivering on the centralized

MATLAB and Qualtrics licensing for UCSC this year. As members of the CIT committee, we unanimously support this effort as it is enabling UCSC to make more efficient use of campus resources.

UCSC Website Redesign

Rob Knight, University Relations Director of Digital Communications, reached out to CIT and consulted with the committee twice during 2018-19 in order to provide updates and seek casual feedback on the UCSC campus website redesign project. A promising design strategy that the project team has taken is to focus upon key audiences and designing for those audiences' needs. CIT discussed the current set of key audiences and made suggestions for (a) separating out undergraduate from graduate students as key audiences and (b) adding prospective faculty/staff members and current staff members as key audiences. CIT also recommended that the Academic Senate be invited to provide formal feedback on the project as it moves forward.

IT Security

Security is a key concern for IT and academic freedom. CIT wants a secure environment but also a free one. This year, CIT continued addressing potential issues with the FireEye firewall system at UCSC. The committee held consultations in order to understand the process to disclose confidential information and in which cases it can be used. This is going to be an area that IT will always need to monitor. In addition, CIT also recommended that all printers be made secure in order to prevent unlawful remote printer access from outside of the campus.

Information Technology and the Strategic Academic Plan

In its committee responses to the Strategic Academic Plan (SAP), CIT expressed concern that the SAP did not include concrete details in the implementation plan, and that the plan was specifically lacking in details related to Information Technology (IT) infrastructure and the integration of the Silicon Valley campus. CIT applauded the Barrier Reduction plan, while recognizing that more information is needed about how IT infrastructure like improved data storage and videoconferencing can contribute to reducing campus barriers.

Recommendations for 2019-20

The 2018-19 membership encourages next year's CIT to work with VCIT Williams and divisional deans to determine a fair and uniform policy across all divisions for charging faculty for services rendered as part of servicing research related computational resources, the so-called "information user" (IU) fees (e.g. rack space costs, operating system updates, etc.). At the moment, under the policy drafted in 2008, services charged to faculty vary by division. In some cases deans and faculty have assumed that IU fees can be treated like electricity or other campus-provided necessities and be covered by indirect costs. In other cases, such as in Baskin School of Engineering (BSOE), IU fees are charged on a regular basis and faculty usually pay for these out of the direct costs from *unrestricted* research grants (i.e. non-federal based grants, for example NIH grants *cannot* be charged). It is common for faculty that have unrestricted funds, such as from start-ups or gifts, to be charged while those faculty without such unrestricted funds are not charged, resulting in an unfair burden of covering IU fees by a subset of faculty members. A clear set of recharges should be constructed that allow faculty to plan for expenses on research grants, especially to help include relevant items on grant proposals. Related to this, it should be clear what

IU fees are included, if any, as part of the 51% indirect costs on research grants or in the 6% fee deducted by the campus from gifts. In the coming year, CIT should further investigate the matter and work with the VCIT for campus-wide adoption of uniform IU fee charging that makes it clear what can and cannot be charged to grant indirects and gift fees.

CIT additionally recommends that next year's committee consider and review the [UC Cyber Security Awareness Fundamentals activity](#). This activity is required of all staff and faculty and if done well, can help in getting important information to the campus community, and can remind constituents why certain measures such as multi-factor authentication or hard-drive encryption are crucial for the collective cyber security of the campus. Unfortunately, anecdotal evidence shared with members of this year's CIT suggests that the current UC Cyber Security Awareness Fundamentals activity is poorly designed. We recommend that next year's committee assesses the quality and usefulness of the UC Cyber Security Awareness Fundamentals activity and makes appropriate recommendations for improvements.

We recommend that the 2019-20 committee continue to monitor the campus transition to DocuSign, including cost savings arising from the transition, and offer support as needed.

Acknowledgements

The CIT acknowledges and thanks VCIT Williams, UR Director of Digital Communications Rob Knight, and ITS Enterprise Systems Team Lead Glenn Blackler for their collaboration this past year and looks forward to a continued working relationship in the 2019-2020 academic year.

Respectfully submitted;
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August 16, 2019

COMMITTEE ON INTERNATIONAL EDUCATION 2018-19 Annual Report

To: Academic Senate, Santa Cruz Division:

The Committee on International Education (CIE) advises the Senate and campus administration on matters related to international education on the UCSC campus, initiates studies and reviews, and assists in the formulation of policies regarding international education at UCSC. This year, CIE's work directly addressed the need for increased faculty engagement with campus internationalization efforts, collaboration with the administration on the faculty-led study abroad proposal review process, and issues related to international student welfare.

Strategic Planning and Campus Structure for Internationalization

The committee has been, over recent years, engaging with the administration around the need for strategic planning and a campus structure for a thriving internationalization focus.¹ This multi-year focus led to developments in the area of strategic planning that began taking shape this year and are expected to continue to be one of CIE's priorities for pro-active work in the next year and beyond. Last year, albeit with some reservations, the committee supported interim Vice Provost for Global Engagement (iVPGE) Hughey's proposal to work with American Council of Education (ACE) Laboratory for Internationalization, an eighteen month process focused on supporting the campus in a guided and collaborative strategic planning process. The committee at that time (CIE to iVPGE May 15, 2018) also viewed the ACE Lab as an opportunity to synergize with the broader campus Strategic Academic Plan (SAP) process already underway. This year's CIE Chair was also tapped to serve as Co-Chair of the ACE Lab Steering Committee. The ACE Lab launched August 23, 2018, and is expected to conclude by summer 2020.

During fall 2018, the committee consulted with iVPGE Hughey and Assistant Vice Provost (AVP) Becky George about the ACE Lab process. Members requested an overview of both the structure of and process/timeline for ACE as well as how CIE could partner in these efforts. At that time, it was still early in the process. The CIE chair has, over the year, provided updates about the ACE Lab process (given his role as co-chair of the Steering Committee).

One area that CIE will continue to monitor next year is the ongoing work and connection between ACE and the campus SAP process. The committee reviewed SAP plans on two occasions during 2018-19, the first was the "rewrite" of the SAP and Implementation Playbook reviewed during winter 2019 (the "rewrite" title was in reference to the first draft reviewed by the Senate over summer 2018), and the second "final draft" of the SAP reviewed during spring 2019. During the winter 2019 review, which was CIE's first review of the full SAP plan, the committee commented that it viewed the trajectory of the SAP vision for campus global engagement as positive, but nonetheless expressed concerns that the Division of Global Engagement and the iVPGE seemed to have a minimal role in the SAP. The committee's feedback suggested areas where this engagement could be stronger, and commented on the Design Principles in the draft plan within this context. The committee also acknowledged that the ACE Lab process "lagged" in timeline to the SAP, but nonetheless recommended greater inclusion and recognition of ACE Lab efforts into

¹ Recent Annual Reports can be found here: <https://senate.ucsc.edu/committees/cie-committee-on-international-education/cie-annual-reports/index.html>

campus SAP planning. During the spring 2019 review of the “final draft” SAP, the committee acknowledged those initiatives that included internationalization goals, including experiential education, and made recommendations where specific initiatives might be further revised to be more inclusive of international graduate and undergraduate student populations. For example, CIE raised the importance of attending to international undergraduate retention rates and the need to pay close attention to the connections between improving first-year experience and supporting the undergraduate writing program, as well as about improving graduate advising through attention to international graduate student writing support. To the committee, these seemed to be areas where the campus could easily make significant progress. Recognizing that recent changes in campus administrative leadership may also lead to changes in the final implementation of the SAP, the committee looks forward to continued engagement with the SAP process in 2019-20. As the ACE Lab process continues to move forward next year, the committee will also continue to attend to the recommendations developed by the ACE Lab and how these are taken up and integrated as part of a larger campus focus on internationalization.

Review of Faculty Led Study Abroad Proposals

This year constituted the third year of the “pilot phase” for the CIE and Global Engagement (GE) / Study Abroad review of faculty-led study abroad proposals. In particular, this year saw an increased collaboration and further need for changes, originating both with GE/Study Abroad as much as from the committee.

This year, CIE reviewed proposals for summer 2020 courses. Four courses were submitted (in addition, one off-cycle proposal was submitted in fall for summer 2019). These courses were from faculty in the Arts, Social Sciences, and one course to be offered by a College. CIE reviewed the proposals and supplemental documents (typically a draft syllabus and itinerary). These proposals were reviewed with the expectation that they had undergone eligibility evaluation by Study Abroad to ensure completeness, preliminary risk evaluation, department chair commitment, and a check that the proposal did not duplicate an existing UCEAP course. The committee strongly supports faculty-led study abroad opportunities for students, as it believes this is an important way to facilitate broader international engagement, increase the visibility of UCSC abroad, and enhance undergraduate education. The committee’s review criteria includes an evaluation of the target demographic and student selection criteria; academic content and quality; and course feasibility. CIE is not equipped to evaluate risk and safety of the program; this is evaluated comprehensively by the Study Abroad Office. CIE, however, does evaluate evidence that the faculty is aware of any ongoing safety concerns and the need for plans to address these. CIE review constitutes the first stage of review and advises GE/Study Abroad’s second stage of review.

While the committee began the year with the expectation that the process would be more streamlined this year, several challenges and opportunities arose that necessitated additional changes. This year saw better integration of the Committee on Courses of Instruction (CCI) into the review process, culminating previous years’ collaborative work between CIE and CCI chairs to modify the process. However, there were other circumstances that necessitated further changes. The committee consulted with iVPGE Hughey and AVP George during winter 2019, after CIE’s recommendations on the four proposals for summer 2020 had been reviewed. The committee also reviewed a proposal for changes during fall 2018. Changes from these discussions and reviews were incorporated into this year’s process. These changes included a request by GE that proposals

should include an itinerary at the point of CIE review, providing GE with the opportunity to defer proposals for one year as a potential outcome of the review. The committee and GE also agreed to move up the proposal call earlier in the fall, to maximize the amount of time that faculty have to prepare proposals (and anticipates this would yield an overall greater number of proposal submissions). Global Engagement also anticipated a potential difficulty with post-review of faculty led study abroad courses, given that the committee does not meet in the summer, and discussed the potential of this review in fall as part of a broader portfolio, rather than individual course review. CIE looks forward to the first “post-review” during fall 2019. One additional issue that emerged during the review was the importance of collaboration between CIE and GE/Study Abroad to ensure that communication about GE/Study Abroad decisions is made in a timely and clear manner to faculty proposers. The committee noted this was particularly an issue for those proposals that were “not recommended” by CIE. CIE strongly recommended that the outcomes of the review process (at the first and second stage of review) be clearly communicated by the iVPGE. The committee agreed that slight changes in communication would serve to both make clear and transparent the role of CIE in review, but also that of Global Engagement.

CIE has learned much from the first three cycles of review of faculty led study abroad proposals, and appreciates the openness of Global Engagement/Study Abroad in working with CIE and the Committee on Courses of Instruction where needed on continual improvements. The committee looks forward to review of summer 2021 proposals in the next academic year.

International Enrollment and Recruitment

Since 2015-16, CIE annually consults with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. For this year’s consultation, the committee requested an update on nonresident enrollments for 2018-19, as well as targets for the next cycle. Given the committee’s understanding (from previous consultations) that campus nonresident enrollment targets are projected to increase significantly over the next few years, the committee also requested an update on plans for achieving these targets, as well as an overview of the international applicant pool (test scores, acceptance rates, yield rates). CIE was also interested in reviewing a recruitment plan, and in learning about collaboration between Admissions and Global Engagement. The committee strongly agrees that our campus Hispanic Serving Institution (HSI) status should not be compromised by our goals to increase international student numbers. The committee plans to continue its annual consultation, and will invite AVCEM Whittingham next year for an update on these issues.

International Student Success

A central concern for CIE has been and continues to be international student “success,” and this year, had the opportunity to expand its focus, in part due to expanded administrative focus and collaboration on this issue as well. This year, the committee consulted with Vice Provost and Dean of Graduate Studies (VPDGS) Lori Kletzer during fall quarter. Given that then-VPDGS Kletzer was new to the position, the committee took the opportunity to consult with her about her vision for the Graduate Division overall, as well as her plans for international graduate education specifically. The committee also consulted with Vice Provost of Student Success (VPSS) Jaye Padgett during winter quarter for an update on the work of the division and its collaborations with Undergraduate Education and the Graduate Division on international student success, as well as

critical issues, challenges, and opportunities in advancing and promoting success for international students. The committee has been working with Student Success to obtain data on differences between international and domestic students on typical measures of success (retention, time to degree, GPA), but has also shared some publicly available data for discussion. VPSS Padgett was able to provide the committee with updates on several efforts underway from his office, some of which include collaborations with Undergraduate Education and Global Engagement.

The committee also learned that the Division of Student Success, Division of Graduate Studies, and Division of Global Engagement supported Graduate Student Veronica Zablotsky's work as a Graduate Student Researcher (GSR) on her "International Graduate Student Needs Assessment Study" (May 2019). The report, based on data gathered during focus group discussions, focused on the experiences of international graduate students about their complex needs and the challenges they face, and provided a set of recommendations to address these needs. Ms. Zablotsky provided her report to the committee near the end of the year, and will plan to consult with the committee during fall quarter 2019. The committee is looking forward to continued partnership with the appropriate divisions about how it can advance support for international student well-being on campus, for both graduate and undergraduate students.

CIE Representation

CIE members were active serving as representatives on other planning committees this year. Member Camilo Gomez-Rivas served during the 2018-19 year as CIE's representative on the Student Success Division Assessment Task Force (co-chaired by Senate Vice Chair David Brundage and VCIT Van Williams). Chair Jeremy Hourigan took a lead role in the campus ACE Internationalization Lab efforts, serving as Co-Chair of the Steering Committee and serving as participant and convener for subcommittees and several ACE Lab related activities, including ACE Lab visits/meetings with academic departments. Chair Hourigan also served on the systemwide UCIE committee, including serving as Chair of UCIE during spring and summer 2019.

Local and Systemwide Issue Review

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

- Systemwide Review of Proposed Revision to SR 636.E (April 2019)

Continuing Issues for CIE in 2019-20

- Continue to participate in and monitor campus plans for internationalization, including campus ACE Lab progress and initiatives
- Continue collaboration with administration (and CCI as needed) in review of faculty led proposals
- Monitor campus efforts (Graduate Division, Student Success, Undergraduate Education) to address issues of international graduate student welfare and success

Respectfully submitted,

COMMITTEE ON INTERNATIONAL EDUCATION

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August 31, 2019

Committee on Library and Scholarly Communication Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) is charged with advising the campus administration on local and systemwide library and scholarly communication policies. Scholarly communication refers to the multi-faceted modalities by which research and creative work are made public and encompasses issues related to publishing, technology, archiving, and copyright. The committee also advises on the administration of campus libraries and on matters concerning acquisition and management policies for collections. The committee meets biweekly to support this charge and to better understand and learn about the challenges and opportunities facing our libraries. Below we summarize our actions for the 2018-19 academic year.

I. Results of Journal Cancellation Survey

In November 2017, University Librarian Cowell announced an impending change to the UC systemwide cost sharing model for library-licensed resources. The change in the cost sharing model increased the UCSC library's costs for systemwide-licensed journal subscriptions by \$170,000 and necessitated a cut to the library's collection budget. It was anticipated that these cuts would be met by cancelling some of the library's subscriptions to journals and databases. Most of the journal subscriptions to which the UCSC community has access are negotiated on behalf of UCSC and the other UC campuses by the California Digital Library (CDL) and so the candidates for cancellation were therefore the subset of journals and databases with local subscriptions.

To inform the cancellation decision, the library sought to gather information regarding the importance of local journal and database subscriptions to the UCSC community. A key component was the University Library Journal Cancellation Survey, an online survey of journal utilization and importance to UCSC faculty, graduate students and staff. The survey was formally launched with an email announcement on October 11, 2018, with until January 23, 2019 to complete the survey.

Associate University Librarian (AUL) Kerry Scott invited the participation of COLASC in reviewing and providing feedback regarding the content of the survey launch announcement email. COLASC was also asked on October 10, 2018 to test the survey. COLASC feedback was incorporated into both the email communication and the survey wording.

Later in the year, the Library received additional funding to fill the gap in the journal subscription budget, which was a welcome outcome! The survey results will still be highly useful though to deal with future journal cost increases. The survey results are scheduled to be analyzed and communicated to the university community in the summer-fall of 2019.

II. Consultation on Library Budget

COLASC constituted a subcommittee to review the library budget. The subcommittee met with John Bono, Associate University Librarian for Planning and Resource Management. Mr. Bono and the subcommittee reviewed the library budget and the annual process that generates it. Among the documents shared were:

1. Senate Executive Library Budget Overview Dec-2017
2. University Librarian (UL) Monthly Financial Dashboard (June 2018)
3. UL Financial Dashboard Process Map

This meeting was followed by a presentation to COLASC and a commitment to provide an annual fall quarter orientation on the library budget. COLASC expressed a special interest in understanding the budget surrounding collections management and expansion.

III. Advice to future COLASC to schedule Kerry Scott, John Bono and Greg Careaga for Annual Orientations to the Library Collections, Budget, and Space

During the 2018-19 academic year, COLASC met several times with Kerry Scott and John Bono, learning many valuable things about the library collections and budgets. We also had an informative tour of the libraries with Greg Careaga. We strongly recommend that future COLASCs regularize these three meetings, so that COLASC members are oriented to the library in the most efficient way possible. Kerry, John, and Greg could also provide some written materials so that members who start midyear can be brought up to speed. These librarians would welcome this idea from our conversations with them and University Librarian (UL) Cowell.

IV. Elsevier Actions

In fall 2018, California Digital Library (CDL) and Elsevier underwent contract negotiations, with a goal of securing universal open access to UC research while containing the rapidly escalating costs associated with for-profit journals. Elsevier did not immediately embrace the suggested ideas. This decision brought about several rounds of negotiations, but no contract by the time the Elsevier license lapsed at the end of December, 2018. To make sure the UCSC community understood the situation, COLASC developed a short report on journal license negotiations to frame our position on the negotiations--linked [here](#) and the specific points listed below. We then got the word out by presenting at multiple senate committee meetings (CAF, COR, CFW and COT), all Divisional Chairs meetings (with the UL and other librarians), and at the fall quarter academic senate meeting (which was postponed to Jan. 9, 2019). In addition, a message was sent to the campus on February 28, 2018 from UL Cowell and Senate Chair Lau.

COLASC's short report on journal license negotiations stated:

1. UC's belief in Open Access (OA) is rooted in the idea that the work of UC faculty and staff should be accessible to everyone, not just those who subscribe. COLASC is fully behind OA publishing, believing it to be an important goal to work towards.
2. The current journal subscription system is unsustainable, with ever-increasing subscription fees that have exceeded inflation. Cost containment is critical. Without it, authors will be required to subscribe to journals from their own pockets given a fixed library budget. Libraries cannot continue to accede to publisher demands, and so need to negotiate for lower costs. COLASC agrees with this vision.

3. The CDL is negotiating with a principle of “off-setting”, agreeing to a subscription— ideally with lower costs— combined with lower OA author processing charges (APCs). COLASC supports this general idea.
4. If lower subscription charges are obtained, one idea is to redirect savings toward helping authors pay the OA APCs. COLASC supports this model.
5. COLASC expresses concerns about any models that shift journal subscription expenses on to authors. In the current strategy, the CDL is negotiating lower OA APCs, which is a good outcome. Authors are not required to choose the OA option or to pay OA APCs. In other words, it’s optional for authors to chose OA, and so there is not a required increase in the author's cost. Indeed, if the current negotiations are successful, the OA APC will be lessened, and thus authors that choose the OA option will pay a lower fee. However, COLASC strongly advises that there be continued faculty engagement and input around this issue, to ensure that costs do not fall unfairly on authors.
6. During negotiations, there may be short-term inconveniences if licenses lapse. Typically, CDL licenses include perpetual access to old content, but in the case of a lapse new content may require researchers to use interlibrary loan, direct author request, tools such as Unpaywall, author-deposited copies, or other options to view new content. COLASC encourages the library to be very active in developing and supporting a variety of options.

V. OA2020

The 2017-18 COLASC sent a letter to Senate Chair Ólöf Einarsdóttir on June 1, 2018 requesting that UCSC sign on to the OA2020 Expression of Interest. The late-year timing did not allow adequate discussion so the issue was postponed to the 2018-19 year. COLASC revised the letter slightly, and sent it to Senate Chair Lau on February 20, 2019. Senate Chair Lau brought it before the Senate Executive Committee (SEC), who endorsed it, and she then relayed that information to Campus Provost and Executive Vice Chancellor (CP/EVC) Tromp on May 29, 2019. CPEVC Tromp expressed delight at receiving the letter, but it was down to the wire as she only had signatory authority until June 6, 2019. At the June 6 COLASC meeting, members voted by acclamation that CPEVC use her last authority to sign, and she promised to check in with outgoing Chancellor Blumenthal that day. Shortly after that, the new acting CPEVC, Lori Kletzer, signed the OA2020 expression of interest form on behalf of UCSC. The joining of UCSC completed the full set of all UC Campuses signing this pledge. The library was planning a piece for Tuesday Newsday to inform the UCSC community of this exciting development.

VI. De-selection Criteria

The committee suggests that there be public procedures and criteria for deselection of library materials during any future large-scale materials removal event, periodically reviewed by COLASC in consultation with the Senate. This document would allow the Senate to rest assured that any such events would proceed along the lines that the faculty have approved. COLASC emphasizes that there is no such removal plan in the works.

Such guidelines might, for example, address:

1. The data to be used in making decisions (e.g., circulation data, frequency of online downloads, in-house use, availability for lending from NRLF, SRLF, or other UC campuses).
2. Criteria for keeping material physically on site vs. relying on online access.
3. How material related to different disciplines is to be treated differentially.
4. A process which would ensure adequate-time consultation with COLASC and input from the faculty in general before and during any future large scale removal event.
5. Possible methods for disposal of deselected material.

On February 14, 2019, COLASC discussed this idea with Associate University Librarian Kerry Scott. Scott emphasized multiple times that no such large scale removals are currently planned. She also emphasized that the recent Science and Engineering library consolidation project was in some ways unique. Having said that, she reported that, in that case, titles that were kept on site met at least one of the following criteria: they had been checked out in the last 5 years, had internal use data (e.g. were re-shelved), were purchased within the last 5 years, or were unique to the UC Libraries or beyond.

At the time, the committee asked AUL Scott to produce a draft of criteria for review by COLASC in the spring. However, it later became clear that the library would need more time to consider this request, both because they need to consult more fully with stakeholders and because they are concerned that announcing such guidelines now might give the false impression that further large-scale removal events are planned. The committee appreciates both of these concerns, but we encourage future COLASC to continue working with the library on this matter.

VII. Renovation of S&E Library

Plans for the renovation of the 3rd floor of the Science and Engineering Library were shared with COLASC by Greg Careaga in May 2019, after a preliminary report presented in January 2019. The renovations, which utilize private donor funds, are intended to modernize the electrical and HVAC systems, provide individual and group study spaces, and upgrade other infrastructure elements. These renovations are one phase of a broader renovation of the SEL, as described in a 2017 business case analysis. Relevant to the third floor renovations, the library hopes that a future phase will improve ingress and egress, possibly by expanding stairwells, allowing for an increase to the seating capacity on the third floor.

VIII. Systemwide Proposal of Presidential Policy on Theses/Dissertations

The UC presented its revised systemwide proposal on theses/dissertations, and at COLASC's January 31, 2019 meeting, the committee reviewed the draft after comments were drafted by Graduate Student Association (GSA) Representative Alessia Cecchet, additional comments she passed on from the GSA Council, and comments made by COLASC members.

The proposal allows for the student to request an initial two-year embargo, with two-year extensions to be approved as follows:

A Graduate Dean (or delegate of the Dean) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair (or other

appropriate authority overseeing the thesis or dissertation at issue) for each two-year embargo extension request.

The comments on this policy were as follows:

1. two years is too short a time frame for publishing a book; the initial embargo and/or the extensions should be longer
2. the (former) students should be able to advocate for themselves; there is no reason the dissertation chair must be involved (and in some cases this might be problematic)
3. there should be a specific policy dealing with dissertations that contain a “creative practice” component, because, for example, film festivals require that submitted work not be available online
4. there should be an initial default embargo (perhaps 30 days) during which the student can weigh alternatives
5. there should be a prominent warning, when the student uploads the dissertation, that it will become open access unless steps are taken.

The committee as a whole supported all five of these points, and sent correspondence to that effect to Chair Lau (dated 2/20/19). Most but not all of these concerns were passed on by Chair Lau in her letter (date 3/12/19) to Academic Council Chair May.

IX. Response to the Emeriti Letter

On October 15, 2018, the UCSC Emeriti Association published an article in its newsletter titled “A cautionary library tale from UC-Santa Cruz.” The article described the process by which the UCSC library planned for and undertook a culling of shelf volumes in its Science and Engineering Library in 2016. The major themes of the article were a criticism of the process of consultation with the faculty, as well as a criticism of the overall plan to repurpose library floor space away from shelved collection to other space uses, such as study and group projects. Of special concern were the decisions made regarding which volumes to save and which to remove, and the fate of the removed volumes, which for the most part were shredded and recycled. In January, 2019, The UCSC Emeriti Association published in a subsequent newsletter article (Volume 1 Issue 3) titled “How UCSC Lost Two-Thirds of its S&E Library Print Collection in 2016.” This newsletter article provides additional details from the perspective of the Association.

COLASC reviewed the initial article, interviewed the University Librarian, and studied the history of Senate consultation on the project, and then wrote a letter to the Emeriti Association, dated January 10, 2019. The COLASC letter noted inaccuracies in the portrayal of the process that resulted in culling of library materials and generating designs for the resulting available space. It noted that Senate consultation had been requested by the EVC when a steering committee had been established, but the Senate did not appoint a member to the Committee. COLASC found that the Library had identified and placed volumes of value into the library’s Special Collections, and studied usage data, retaining volumes that had been used in recent years. The letter also pointed out that shredding unused volumes was by far the least costly method of

culling a library collection and other approaches, such as book sales or book donations were costly in dollars and staff time.

The Emeriti article raised three important themes that played a central role in 2018-19 COLASC activities:

- *Communication between the Library and faculty, students, and the broader campus community.* The strategy of communicating with Department Chairs was shown to be unsuccessful in reaching a larger faculty audience, and the actual text of the messages was not very clear. Many discussions of how the Library would communicate on issues like Open Access negotiations and redirecting budgets for online journal subscriptions ensued between the Library and COLASC, with the Library seeking advice and integrating COLASC suggestions into their communication strategies.
- *Consultation between the library and the Senate.* The Library expanded its range of topics to be regularly discussed in COLASC meetings to include Library annual budgeting issues, and any non-standard collections management decisions.
- *The proper and best use of space in library buildings.* COLASC was regularly consulted on the ongoing Science and Engineering Library renovation project, and considered the issues from the broader question of how the conversion of study lounges in Colleges increased the need for study space in libraries and how the online world is influencing the use of physical materials in libraries, to detail issues such as types of furniture and their physical arrangement in library spaces.

X. Strategic Academic Plan (SAP) Responses

In February 2019 COLASC reviewed the Strategic Academic Plan (SAP) and offered feedback on Five Design Principles, and in particular emphasizing committee support for “Open Access” initiatives that might help the university move beyond what we believe to be an increasingly costly and unsustainable subscription-based model of research dissemination.

At its May 9, 2019 meeting, COLASC identified the initiatives that were top priorities from a COLASC perspective, and briefly elaborated the reasons for our selection of these initiatives:

1. Drive research and creative work that transform our world.
1.3 Initiative: Promote and increase open access publication to bring research into view

COLASC felt this initiative was a top priority as a way to promote a large and diverse readership, as well as greater awareness of scholarly work. Greater access to research findings and creative work, we believe, will help to achieve the first and second goals of this design principle: to maintain (or even improve) our institutional stature and to increase extramural funding. We suggest the University Library (UL) be included as one of the responsible parties.

2. Create enriching experiential learning and research opportunities for students.
2.2 Initiative: Increase access to experiential learning and internships for students, including those with higher financial need.

COLASC reminded the University about the many experiential learning opportunities for students at the library, e.g. the Center for Archival Research and Training (CART) Fellowships for graduate students, students working in special collections and the digital scholarship commons, and UG employment at the library have led to many library and archive careers, and advanced degrees in the humanities and other disciplines.

3. Engage and support a diverse faculty, staff, and student body.

3.1 Initiative: Develop additional educational opportunities to assist instructors in enhancing inclusive curriculum and pedagogy

3.2 Initiative: Improve first-year experience for undergraduate frosh and transfer Students.

COLASC believes that these initiatives could benefit from library involvement. The library can provide an extensive introduction to the library and its resources. We suggest the UL be included as one of the responsible parties.

4. Support generative interdisciplinary connections in research and teaching.

4.a Goal: Develop infrastructure to support faculty and graduate students working/spanning divisions/departments.

COLASC believes that libraries could play a key role in providing greater access to resources and technologies across a range of disciplines.

Overall, we had a productive year with continued engagement and collaboration with the university library staff and movement toward more open and sustainable publishing.

Respectfully submitted;

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2019

COMMITTEE ON PLANNING AND BUDGET
Annual Report, 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) worked on a wide range of issues this year, including (a) the campus Resource Call requests; (b) divisional faculty FTE requests; (c) the campus Strategic Academic Plan (SAP) process; (d) and work in collaboration with other Senate committees and/or the administration on the campus budgetary framework, undergraduate impactation, and TA allocations. In addition, the committee continued to address planning issues, including capacity planning and capital planning. The report documents the committee's ongoing requests for better organized financial information from the Office of Planning and Budget and CPB's consultation process in the context of shared governance principles. Extensive routine business for the committee included review of non-degree program proposals, participation in external reviews of departments, and review of off-cycle and waiver of open recruitment FTE requests. A detailed summary of CPB's work in 2018-19, as well as a list of anticipated issues for 2019-20, is provided below.

Resource Call Review

A primary focus of CPB's work in the latter half of the academic year was the review of responses to the CP/EVC's Resource Call (December 11, 2018), and the development and submission of a complete set of recommendations for funding. The Call offered up to \$3M in permanent and \$5M in one-time funding; CPB offered recommendations within two envelopes: full funding, and funding at 80% of the Call. The response to the Call included 138 requests from fifteen divisions/units, including all five academic divisions, and each division provided its own ranking within its list of requests. The total of all requests amounted to over \$27M of permanent and \$13.8M of one-time funding.

CPB began its review by re-classifying any requests involving greater than three years of one-time funding as requests for permanent funding. The committee then divided all of the requests into eleven categories:

1. Academics: Academic programs, professional development, academic components of student success, associated M&S
2. Academic support units: IT, Academic Senate, etc., but in direct support of the academic & scholarly enterprise
3. Diversity initiatives (faculty, staff and students)
4. Academic awards / incentivizers (e.g. research fellows program)
5. Research and Scholarship (support for conference hosting and travel, new equipment, etc.)
6. Student Life (mental health, basic needs, organizations, etc.)
7. Mandates (Title 9, DRC, compliance)
8. Capital / Physical Infrastructure, including operation/maintenance
9. Local Community (concerts, outreach, etc.)
10. Business and Operations (HR, DivData, General IT, etc.)
11. Investments with future promise (UR, international engagement, etc.)

Proposals were ranked within each category, taking into account divisional rankings as well as CPB's own assessments of (not in order of priority) critical need, alignment with the principles of the Strategic Academic Plan, impact on students, contributions to diversity and inclusion, and initiatives that provide tangible incentives. CPB evaluated the relative merits of each proposed use of resource-call funding, and made a recommendation on each of the 138 requests, often recommending funding at a level below the request, and providing justification for the reduced level. The full set of recommendations, for 100% and 80% of the level of the Call, was provided to CP/EVC Tromp on May 29, 2019.

Faculty FTE Review

This year's Faculty FTE Call from the CP/EVC (November 27, 2018) offered an injection of 12-15 new centrally funded faculty positions, as well as entertaining requests to authorize vacant divisionally held FTE positions. According to the Call, positions were to be prioritized according to their alignment with the Strategic Academic Plan's priority areas, their capacity to enhance the research stature of the campus by supporting doctoral growth or new programs with high growth potential, their contributions to the undergraduate student experience, and their contributions to promoting diversity and inclusion within the faculty ranks. CPB also considered the principle of divisional balance in forming its recommendations.

CPB consulted widely as it developed its recommendations. Each of the five academic deans was invited to discuss her/his recommendations during a 60-minute visit to the committee during its regular meeting time. All of these visits were attended by Graduate Council (GC) Chair Gina Dent, while Chair Onuttom Narayan of the Committee on Educational Policy (CEP) did not attend but provided written perspectives. In addition, Chairs Dent and Narayan visited CPB for a half-hour discussion after the conclusion of the decanal consultations. While Graduate Council provided its own perspectives and recommendations, CPB's thinking was advanced by the collaboration with the GC and CEP chairs, and our resulting recommendations and perspectives were reflective of their contributions to our process. We also made use of publicly available workload data compiled by the office of Institutional Research Assessment and Policy Studies (IRAPS), and a summary of open searches provided by the Office of Planning and Budget. Finally, three members of CPB were privileged to a lengthy discussion of budget projections with Planning and Budget staff members Kimberly Register and Galen Jarvinen.

When considering the number and nature of possible new positions, CPB felt that each such position had to be justified by a tangible and pressing institutional need, and/or a clear alignment with the conceptual and implementation framework of the SAP. CPB also took into account the general principle of institutional balance, although this factor weighed less heavily in CPB's final recommendations than the principles of workload or scholarly need and the pursuit of compelling strategic goals. Quite generally, but with one notable exception, CPB saw little manifestation yet of broad engagement of the SAP in the deans' FTE requests. The exception to this - the cluster hire in Global Health Sciences put forward by Deans Koch and Mitchell - matched well with several important themes of the SAP's Design Principles and Academic Priority Areas, including attention to addressing problems with diversity and inclusion within the faculty ranks. However, CPB felt that even that initiative lacked core elements, in that there was no graduate degree programming associated with the identification of faculty lines, nor an explicit framework, such as a joint seminar series or visiting scholar program. CPB hopes that such important aspects of the motivation for and application of faculty cluster hires are considered in future cluster hire proposals.

Strategic Academic Planning

CPB reviewed drafts of the Strategic Academic Plan (SAP) on two occasions, with the first draft accompanied by an implementation "playbook," and a second "final draft." CPB provided responses to the first revised draft on February 12, 2019 and on the revised, final draft on May 9, 2019. Quite generally, CPB was surprised by the lack of emphasis on new academic initiatives, finding this component of the plan and its implementation prospects couched in terms of, while reasonably well-devised, still rather abstract principles that provided only vague guidance as to what clusters of faculty, graduate degree programming, and centers of excellence might be enabled by available central resources (accounted, at times, as dozens of new FTE positions). In this sense, as well as in its avoidance of addressing resource issues, CPB felt that the document fell short of an implementation plan. One of CPB's primary recommendations was to focus the implementation of the academic initiatives component of the SAP on a small number of well-conceived and fleshed out initiatives growing out of the prior years' planning exercises, supported by the full weight of the campus' organizations (academic divisions, University Relations, Office of Research, etc.). CPB generally supported the component of the SAP implementation plan related to barrier reduction, and

provided some feedback on prioritization of the various barrier reduction initiatives, as well as identifying some further barriers for consideration.

CSE Enrollment Management (Impaction) Plan

CPB reviewed enrollment management plans for the Department of Computer Science and Engineering (one for 2019-2020 and the second for 2020-2021), following up on earlier proposals within which Computer Science requested and was declared to be an impacted major beginning with the 2018-2019 academic year. CPB supported the major's continued designation as an impacted program, and maintaining the cap at 600 admitted first-year Computer Science (CS) students, arguing that it is too soon to evaluate whether this cap should be adjusted. CSE proposed a cap of 200 admitted CS transfer students; citing prior enrollment levels and the systemwide mandate to enroll one transfer per every two native first-year students, CPB encouraged the department to target enrollment, rather than admission, of 200 CS transfers. A proposal to also cap first-year Computer Engineering admissions at 200, but then allow unlimited transfers between the CS and CE majors, was discouraged for 2019-2020 due to not having been advertised early enough in the catalog, but received majority support for 2020-2021. Dissenting members argued that data from InfoView suggested that the cap wasn't necessary. Finally, while not statistically definitive, the disaggregation of the trend in enrollment of under-represented groups raised some concern about the effect of the impaction mitigation measures on equity and inclusion, and CPB recommends that a close eye be kept on these statistics as they accumulate over the next year or two.

Capital Planning

In 2018-19, CPB participated in the capital planning process via its representatives on capital planning committees, including the Advisory Committee on Campus Planning and Stewardship (CPS), the Kresge College Project Committee, and the Classroom Subcommittee. The CPB representatives provide a channel through which the committee can be kept informed of capital planning issues; the presence of a CPB representative on an administrative committee is distinct from formal administrative consultation with CPB. CPB's reviews related to capital planning issues focused on consultations with VCPB Delaney and CPSM Director Smith on the Capital Financial Plan (CFP) prioritization process.

CPB representatives to capital planning committees were updated on academic space issues via these committees. Current campus policies and culture make it extremely difficult to reassign academic space, and current utilization information is often unavailable to the administration. The Advisory Committee on Campus Planning and Stewardship (CPS) discussed the campus-wide space survey that began last year. The magnitude and difficulty of the task has prevented significant progress. Current plans are to form a space task force, and representatives were informed that the first step of creating the task force's charge is in process.

CPB has representation on the Campus Planning and Stewardship (CPS) committee, which advises the administration on capital planning and projects. This year CPS has discussed and approved its restructuring, with the approval of smaller (less than \$10 million) projects being delegated to the Capital Improvements Program (CIP) Subcommittee, allowing the full CPS committee to focus on the larger projects.

On major activity discussed by CPS was the Kresge expansion plan that will add a large lecture hall, new classrooms, and 400 student beds. Construction is expected to start summer 2019 with tree harvesting, and is planned for two 2-year phases. The Kresge Committee is monitoring the plans and progress, and includes a CPB representative.

The campus Capital Financial Plan (CFP) is updated on an annual basis and then submitted to the UC Office of the President. The Capital Financial Plan ranks new construction and major renovations based on their need, desirability, and feasibility. This ranking is somewhat complicated by the variety and uncertainty of funding sources (including donations, student fees, seismic safety bonds, campus central funds and debt

capacity, and funds from future state bond initiatives) and the fact that not all fund sources are appropriate for all of the proposed activities. This Capital Financial Plan is used to help determine where the campus will invest its planning resources. Although the planning phase is expensive, it is essential for creating budgets and timelines, and when the campus must compete for UC-wide funds.

The spring 2019 CPS meetings attended by the CPB representatives focused on presentations of many projects proposed for inclusion in the campus' Capital Financial Plan. Different projects on the plan would use different funding sources, such as student fees, general obligation state bonds (pending a ballot measure), funds for seismic upgrades, and philanthropic gifts, so one should not view all the projects as being in direct competition. Presented projects included an urgently needed student health center expansion, renovations to the Science Library, major expansion of the Ocean Health building (at the Coastal Science Campus), major renovations to Thimann, a new SOE 3 building, a new Social Sciences 3 building, a new student center, an Engineering integrated teaching and learning center, and reconfiguration of the Division of Global Engagement's space. At the end of spring, CPS voted on a preliminary ranking of these and other projects (about 30 in total) to inform the discussion of their ranking in the campus' Capital Financial Plan.

CPB consulted with Vice Chancellor for Planning and Budget Peggy Delaney and Capital Planning and Space Management Director Karen Smith twice during the 2018-19 year. The first consultation (February 14, 2019) was intended to provide an overview of the capital planning process as well as an update on the submitted Capital Financial Plan, including a list of current, planned, and potential construction projects. At that time, VCPB Delaney and CPSM Smith inquired about the possibility of additional CPB member representation on CPS, however CPB decided to continue with the two CPB members serving on CPS, and full CPB review of CFP materials later in the year. A second consultation with VCPB Delaney and CPSM Smith took place on May 30, 2019. This year, the timing of campus review and prioritization of the CFP did not allow for CPB review. The consultation thus focused on an overview of the CFP process and timeline this year, and how CPB might work with VCPB Delaney to review materials in future cycles. CPB has, over the last two years, sought to participate more meaningfully in the CFP process. CPB understands that part of the issue this year had to do with shifting UC Office of the President deadlines. VCPB Delaney noted that she expects that fall 2019 will be critical to getting capital planning discussions underway. The committee expects to work closely with VCPB Delaney to develop a plan and will advocate for a process that allows for meaningful input into the CFP process. CPB will follow up on this issue early in the 2019-20 academic year.

Office of Research Consultations

During the 2018-19 year, CPB consulted with Vice Chancellor for Research (VCR) Scott Brandt. The committee was interested in learning more about the Office of Research, including its challenges and aspirations. The first consultation took place on December 6, 2018. VCR Brandt provided an overview of the Office of Research (OR) day to day operations, a sense of strategic direction, as well as budgetary constraints. During his second consultation (March 14, 2019), VCR Brandt provided more information about his strategic plan and budgetary issues faced by OR. Overall, VCR Brandt highlighted the success of his group handling intellectual property, and his goal of making his office more efficient and more effective in supporting faculty pursuit of external research funds. The committee is interested in following up with VCR Brandt on updates to his strategic plan. Given the transitions in process at the Office of Research, and VCR Brandt's statement that he would welcome Senate feedback on his priorities for improving the campus research enterprise, the committee will follow up with VCR Brandt in 2019-20.

CPB Review of CAPM 101.000 Waiver Requests

During the 2017-18 academic year, CPB developed guidelines for CAPM 101.000 (waiver of open recruitment) requests in an effort to create greater consistency among the divisions and to ensure that requests included all the necessary information, which helps expedite the review process. Based on the

requests we reviewed this year, CPB believes that these guidelines have largely accomplished the committee's goal of thorough information and greater consistency. Our guidelines, however, did not anticipate requests for "pre-emptive" spousal hires, which we were asked to review this year, and CPB feels strongly that this is an area in need of careful deliberation among the CP/EVC, the deans, and the Senate.

CPB understands that spousal/partner hires are important for our campus in terms of faculty satisfaction and morale, in terms of costs for both the institution and faculty member, and very likely in terms of diversity. In terms of "costs," the institution bears the costs of conducting searches, bringing on new faculty, training them, and in many cases providing start-up packages that include individualized/specialized equipment and/or lab renovations; on the faculty side, there is an obvious cost to teaching, research, and service when faculty members must regularly go on the market in order to secure a position for their partners.

The lack of campus policy regarding pre-emptive spousal/partner hires increases the likelihood of individual inequities. Whenever there is an absence of policy, people are (or can be) treated differently. In the case of pre-emptive spousal hires, differential treatment may fall along any number of lines, including determinations about who is deemed worthy of retention and by whom; what kind(s) of work/research is/are valued (e.g., Is research that brings in external funds prioritized over research that, structurally, does not? Is more "marginal" research less likely to be supported with a pre-emptive spousal/partner hire and, if so, does that have a bearing on UCSC's diversity efforts?); and who even knows to ask for a pre-emptive spousal/partner hire (which very likely disadvantages first-generation faculty).

At the same time, the lack of campus policy—together with differential resources across the academic divisions—introduces (or increases) institutional inequities. Without a campus policy, divisions are likely to treat their faculty differently, especially if the divisions are responsible for funding pre-emptive spousal/partner hires. It seems quite likely that the divisions with fewer provisions (e.g., Arts, Humanities, and Social Sciences) will be unable to make such pre-emptive spousal/partner hires. This will obviously create (or exacerbate) inequities across the divisions, compound faculty morale issues, and very probably negatively affect diversity initiatives since women and underrepresented minority (URM) faculty are more often in the under-resourced divisions that are least likely to be able to afford such pre-emptive spousal/partner hires. Even more, allowing pre-emptive spousal/partner hires in the absence of campus policy—and without close attention to the funding mechanisms for such hires—could potentially reshape the disciplinary balance of the campus.

For all of these reasons, CPB raised these concerns in one of its meetings with CP/EVC Tromp and incoming iCP/EVC Kletzer; Senate leadership also followed up on the topic. We hope that we can partner in the coming year to discuss the implications of pre-emptive spousal/partner hire requests in greater detail and, ideally, to create a uniform campus policy that doesn't disadvantage under-resourced divisions.

Review of Proposed Campus SSGPDP Financial Planning Guidelines

CPB reviewed draft campus financial planning guidelines for Self-Supporting Graduate and Professional Degree Programs (SSGPDPs) put forward by the office of the VPAA. While as of yet we have no examples of such programs on campus, CPB felt it wise of the VPAA to begin this dialog now, which allows for a collegial and un-rushed consideration of the development of SSGPDPs on our campus - an activity that has generated significant discussion, and at times significant points of disagreement, within the larger UC community.

CPB's response (December 6, 2018) began with an enumeration of what it saw as the pros and cons of SSGPDPs. Foremost among the benefits of SSGPDPs was the potential to meet societal need for graduate and professional study without further burdening scarce state resources, and even generating further resources that could be used to bolster state-funded instructional activity. Foremost among the concerns

was the potential impact upon fair and inclusive access to post-graduate education, and what CPB perceives to be the University’s failure to put in place evaluative tools that will allow for the assessment of the burgeoning slate of student-supported programs’ impact on access to the highest levels of education. CPB also expressed concern about the unevenness of access to SSGPDP opportunities across the disciplines and divisions. Within CPB’s recommendations to the VPAA was a consideration of whether some of the “profit” garnered by successful SSGPDP programs might be distributed into a general campus fund earmarked, for example, to support graduate education more broadly across the campus. CPB was also concerned about financial pressures and incentives that might encourage the reduction of standards in filling the seats needed to make the programs financially viable.

CPB recommended that the office of the VPAA keep itself closely apprised of the system-wide Academic Senate’s ongoing review of SSGPDPs as it develops our campus’ financial planning guidelines for their introduction. CPB expects to review the VPAA’s revised guidelines during the 2019-20 academic year.

Shared Governance and Consultation Process

Shared governance is the cornerstone of the University of California and represents the foundational belief that university governance is strongest when faculty, staff, and students join with campus administration and systemwide leadership to shape, influence, and implement the university’s mission. As the Academic Senate committee with the broadest purview—campus planning and budget—and the most comprehensive understanding of how UCSC’s often competing priorities interrelate and affect each other, CPB takes shared governance very seriously. As such, the committee invites deans, vice provosts, and vice chancellors to meet with us in both structured and unstructured contexts: unstructured meetings generally provide opportunities for administrators to share their ideas and concerns with CPB and for CPB to understand the vision and priorities for various divisions, while structured consultations focus on specific topics, such as the deans’ FTE requests and other principal officer resource requests.

In addition to meeting with deans and principal officers, CPB meets weekly with the CP/EVC, and these regular meetings highlight the positive and productive possibilities at the heart of shared governance. The committee is grateful for CP/EVC Tromp’s deep understanding of—and obvious commitment to—shared governance. We have benefited tremendously from the opportunity to converse and consult with her throughout the year, and we very much appreciate the seriousness with which she takes our opinions, perspectives, questions, and recommendations, even/especially when she makes decisions that differ from our positions. During the final months of CP/EVC’s tenure at UCSC, incoming interim CP/EVC Kletzer joined CP/EVC Tromp for these meetings, and we have every confidence that iCP/EVC Kletzer will continue this strong commitment to shared governance, especially given her previous experience as Senate Chair. The committee remains hopeful that CP/EVC Tromp’s and iCP/EVC Kletzer’s clear investment in shared governance, together with iCP/EVC Kletzer’s ongoing collaborations with CPB and Senate leadership, will contribute to a campus culture in which shared governance is valued as one of the university’s most important and unique principles.

Subcommittee and/or Cross-Committee Reports

Budgetary Framework

Building on work initiated the prior academic year, a group including members Singh and Clapham, Chair Schumm, and Senate Director Mednick continued to work with divisions/units and the Office of Planning and Budget, to try to help codify, shape, and share budget practices across the campus. The goals of the group were to help shape stakeholder input into the development of the annual budget summary presented to the campus by the Office of Planning and Budget (the replacement for the now-defunct “Bird’s Eye View” document) and to catalyze a cross-campus dialog between fiscal experts that would aid them in their work and in the validation of their budgetary summaries and projections by Planning and Budget. Members Singh and Clapham, often accompanied by Schumm and/or Mednick, had numerous meetings with Office

of Planning and Budget and with financial officers and leadership of various units, including all five academic divisions, BAS, ITS and Library. Findings of the group include:

Consistency and Clarity: Overall, there is a desire for a consistent set of reports, used at multiple operational levels (e.g., by Office of Planning and Budget and by Divisions/Units), that include, for example, (a) the ability to track carry forward funds, permanent and non-permanent budgets, and actual allocations/revenues and expenditures; (b) the ability to track and separate out contracts and grants; and (c) the ability to track and separate out operational and capital funds (as well as funds for maintenance). Many units feel that a lack of uniformity leads to inefficiencies in communication and planning among themselves and with Planning and Budget, because two different unit heads can be looking at information aggregated in different ways, or including/excluding different categories.

Capabilities: Almost every unit currently resorts to creating their own reports outside campus financial systems (e.g., Infoview), typically using Excel, for financial management within the unit. This can involve the creation of tacit knowledge, and decision processes that are vulnerable to changes in personnel. We learned that BAS has largely overcome these problems by developing powerful yet flexible Infoview reports, which suggests that relatively minor software extensions, combined with focused training efforts, can improve financial planning capabilities and lead to more transparent, robust and well-focused decision processes. The BAS process, which involved robust engagement within the unit to develop new Infoview reports, could serve as a model for consistent reports at broader campus levels.

Specific Cases: Areas of more specific interest included tracking graduate student funds (both sources and expenditures, primarily relevant to Academic Divisions and Graduate Division); or tracking the flow of funds through recharge (relevant to many but especially so to service units in BAS, or to ITS). Graduate student funds are challenging due to the heterogeneity of channels of inflow and outflow, of time periods, and of accounting levels. Recharge is complicated to track and has additional policy complexities (both in understanding and enforcing adherence). This is outside the scope of the current project, but there might be some interest in reconsidering recharge policies.

Timelines and Timeliness: A lack of clarity and knowledge about timelines (e.g., Legislature, UCOP, or campus) and funding/allocation models (e.g., TAS allocation model) creates uncertainties when units are engaged in strategic planning or developing funding projections. Units sometimes feel that they are receiving information too late for effective planning of expenditures. These issues are also outside of the scope of our current initiative. Planning and Budget described a nascent project to review and streamline the method of making allocations, which would likely be greatly appreciated across the units.

Projections and Planning: The ability to make financial projections varies quite a lot among the divisions (some admitted to not knowing how to make projections at all), so codifying an approach and providing tools for budgetary projections would be extremely beneficial.

Communication: All units placed great value in retaining both open and structured communication.

This work will continue over the summer and likely throughout the 2019-2020 academic year, with increased collaboration between CPB and the Office of Planning and Budget, and likely including the explicit participation by iCP/EVC Kletzer.

Undergraduate Impaction

At the suggestion of CPB, a group consisting of four Senate faculty proposed that a formal study be undertaken of the effects of impaction upon UCSC undergraduate programs. This group consisted of two members of CEP (Chair Narayan, Physics, and member Thomas, Politics) and two members of CPB (Chair Schumm, Physics, and member Helmbold, Computer Science and Engineering). With the enthusiastic

support of VCPB Delaney, the group worked with campus IRAPS (Institutional Research, Assessment, and Policy Studies) to develop and propose a set of metrics that would be used to assess the degree of impact in selected undergraduate degree programs, and identified an initial list of programs to be studied. The proposal was submitted for review by various campus leaders, including all five divisional deans, who were encouraged to share it with their faculty. The proposal was also submitted for review to a number of student leaders, who were encouraged to share it with their constituencies. The proposal was refined to incorporate feedback received during the review period, and a final set of metrics and programs to be studied were identified. Funding was obtained from the CP/EVC to support an intern to help carry out the studies; as of summer 2019, the intern (a 2019 graduate in Politics and Legal Studies) is working with the Senate group to carry out the study. The group hopes to have a draft report available for review in early fall 2019, and have a final report available as input to the review of FTE requests for the 2020-2021 hiring season. A list of programs under study is presented below.

1. Art
2. Art and Design: Games and Playable Media
3. Computer Science
4. Economics
5. Film & Digital Media
6. Molecular, Cell and Developmental Biology
7. Philosophy
8. Psychology
9. Sociology
10. Technology and Information Management

Several other programs that are somewhat more challenging to evaluate methodically due to less direct association with an academic department are also proposed for study, although with a somewhat more limited set of metrics. These include Biomolecular Engineering, Cognitive Studies, Computer Game Design, Creative Writing, Critical Race and Ethnic Studies, and Legal Studies. The group will attempt to include as many of these programs as possible, although the methodology will be a little more ad-hoc than that applied to the ten programs listed above.

Teaching Assistant (TA) Allocations

At the recommendation of CEP chair Narayan, CPB joined CEP and GC in an evaluation of the history of TA allocations from the CP/EVC to the divisions since the establishment of institutional targets in 2008 (see GC, CEP, CPB to CP/EVC 2/22/19). Chairs Dent (GC), Narayan (CEP) and Schumm (CPB) collaborated with the office of Planning and Budget to uncover the history of TA allocations in the intervening decade. The researched period included voluntary “give-backs” by several divisions, offered to meet mandatory budget pare-backs during the Great Recession. The period also included later “buy-backs” by these divisions that shifted some of the annual resource allocation from the EVC back into TA support and partially restored the TA allocations towards the 2018 targets. A program of offering additional TA support as incentives to increase doctoral, MFA and summer term enrollments.

The group found that, accounting for all these adjustments, allocations for the 2011-2012 academic year were very close to the targets established in 2008. It was also found that for the proposed TA funding levels for the 2019-2020 academic year, three divisions (Arts, Engineering, and Humanities) were at or above their target funding level (as defined in terms of TA positions per undergraduate FTE) but the remaining two divisions (Social Sciences and Physical and Biological Sciences) were significantly below targets. This, however, was not inconsistent with the parity achieved in 2011-2012, since these two divisions relied most heavily on give-backs to meet their required budget reductions. However, the group felt that, while

formulaically justified, it didn't necessarily make sense to hold these two divisions to the letter of the funding formula that had propagated decisions made in difficult economic times forward into the current budgetary scenario, particularly given the fungibility of funds between various divisional categories (faculty FTE, I&R support, TAS funding, etc.) that can blur the lines of accountancy. Thus, the group (after consultation with its committee membership, as well as SEC) proposed a partial restoration of TA funding for Social and PBSci to the 2008 target levels, amounting to an awarding of \$150K and \$300K of permanent funding to the Divisions of Social and of P&B Sciences, respectively. Later in the academic year, in view of the full set of resource demands facing the campus provided by the response to the CP/EVC's Resource Call, CPB reduced the recommendation to \$80,000 and \$150,000, respectively. After review of the group's position, and CPB's revised recommendation, the CP/EVC decided not to directly increase these two division's TA budgets, but instead provided funds to the Graduate Division that will mitigate the cost of converting divisional resources into TA positions by providing flexible funding to cover the benefits for such positions. This approach, at least in principle, provides equal opportunity among the divisions, but provides no direct relief for the deficits experienced by the Divisions of Social Sciences and PBSci.

Regular Committee Business

External Reviews

CPB submitted specific questions to supplement the universal charge for upcoming external reviews in Art, Computational Media, Philosophy, and Psychology. The committee prepared responses to the external review reports for closure meeting discussion for Linguistics, Chemistry. CPB also reviewed mid-cycle reports and made recommendations on the length of review cycle for Digital Arts and New Media, Education, Ocean Sciences, Politics, Biomolecular Engineering, Film and Digital Media, Sociology, Feminist Studies, and Community Studies. The committee also reviewed external review deferral requests for History of Consciousness and Art.

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests

CPB reviewed and made recommendations on one second hire request, two Presidential Postdoctoral hire requests, one Target of Excellence (TOE) waiver of open recruitment requests, and six Spousal/Partner waiver of open recruitment requests. In addition, CPB reviewed three requests for authorization for off-cycle recruitments for departments that had experienced losses from faculty FTE transfers. This cycle raised other issues for the committee that will continue to be taken up next year, and which are also addressed elsewhere in this report: the administration's plan to develop a policy for forward funding spousal/partner positions, which began to be put into practice this year ahead of the formal policy, as well as the issue of pre-emptive spousal/partner requests. Review of the requests also signaled to CPB the need to update policies on salary upgrades, which the committee understands will be taken up as part of the Office of Planning and Budget's review and revision of broader allocation policies, with participation and input from the Senate. CPB looks forward to following up on these issues in 2019-20.

Local and Systemwide Issue Review

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

Local

- Employee Housing Program Resale Pricing Proposal (2019-20) (April 2019)
- Proposed Revisions to CAPM 416.220 (April 2019)
- Proposed Discontinuance of Bioengineering B.S. and Proposals to Establish Minors in Bioelectronics and Assistive Technology (April 2019)
- Review of University Relations External Review Materials (March 2019)
- Astronomy & Astrophysics Ph.D. Dual Degree Proposal (October 2018; February 2019)
- Proposal to Establish UCSC Genomics Institute (GI) Organized Research Unit (March 2019)

- Proposal to Consolidate Computer Engineering, Computer Science, and Electrical Engineering Graduate Programs (Chair Review: March 2019)
- Proposal to Establish Undergraduate Concentrations in Environmental Studies (Geographic Information Systems; Global Environmental Justice; Conservation Science and Policy) (January 2019)
- Draft Procedures for UCSC Implementation of the Negotiated Salary Trial Program (January 2019)
- Proposal from History of Art and Visual Culture Department to Suspend the Religion and Visual Culture and Establish the Curation, Heritage, and Museums Concentration (December 2018)
- Proposed UCSC Financial Planning Guidelines for Self-Supporting Graduate Professional Degree Programs (SSGPDPs) (December 2018)
- Proposal to Discontinue the Chemistry Department’s Environmental Concentration (November 2018)
- Draft 2019-20 FTE and Resource Calls (November 2018)
- Revised Campus Proposed Guidelines for Improving Curricular Capacity and Capping Program Enrollment (November 2018)
- Four Faculty FTE Transfer Requests (November 2018, April 2019, June 2019)
- Review of Proposal to Reorganize Statistics and Applied Mathematics M.S./Ph.D. (October 2018)

Systemwide

- Research Grants Program Office Report (June 2019)
- UC Center Sacramento Report (June 2019)
- Proposed UC Transfer Admissions Guarantee (March 2019)

Consultations

The committee has a standing consultation with the CP/EVC at its weekly meetings, and schedules formal consultations with VCPB Peggy Delaney annually for overviews of the campus budget and budget outlook; operating budget of academic and academic support divisions, institutional support units, and auxiliary units; FTE resources, capital planning; and other topics as needed. The campus formally consults with the academic deans every fall informally, then again in winter on their division’s faculty FTE requests to the CP/EVC. In 2018-19, CPB also consulted with the following administrators on issues under their respective purviews: VPAA Lee (October 2018), then-VPDGS Kletzer (October and November 2018), VPDUE Hughey and AVCEM Whittingham (November 2018), VCR Brandt (December 2018, March 2019), VCBAS Latham (May 2019), and VCIT Williams (May 2019).

Continuing Issues for CPB 2019-20

- Continue to collaborate with the Office of Planning and Budget on campus financial information sharing and management frameworks, via the work of the CPB budgetary framework subcommittee
- Campus Capital Planning Prioritization—work with the Office of Planning and Budget on an optimal process for committee participation and review
- Office of Planning and Budget review of allocation models—monitor progress and participate in review
- Silicon Valley—monitor progress of programs being developed
- Space Planning—monitor progress of task force and participate in Senate review
- Strategic Academic Plan (SAP) Implementation
- Undergraduate Impaction—continue cross committee and collaborative work with administration, and complete report.
- Monitor status of UNEX as new Dean begins their tenure.

- Engage process of potential re-organization of current University Relations division as the Chancellor re-thinks its configuration and the Vice Chancellor search gets underway.

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET

Zsuzsanna Abrams

Matthew Clapham

Lisbeth Haas

David Helmbold

Lindsay Hinck

Pradip Mascharak

Dard Neuman (*S*)

Nirvikar Singh

David Brundage, *ex officio*

Kimberly Lau, *ex officio*

Bruce Schumm, Chair

Katie Hellier, Graduate Representative

Prajit Saravanan, Undergraduate Representative (*W*)

August 31, 2019

Appendix A: How CPB Functions

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

Committee on Privilege and Tenure Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

I. Grievances

Five grievances were filed with the committee during the 2018-19 academic year, three of which were resolved without a hearing, and two of which are ongoing.

II. Charges

Charges were presented by the administration against two members of the faculty this year. One was resolved after a hearing and the second postponed indefinitely for good cause.

III. Review

A. Senate Review of Proposed Amendment to Academic Personnel Manual Section 11

The Committee on Privilege and Tenure (P&T) discussed the proposed amendments to APM section 011 and raised concerns about the proposal regarding grievances under the policy. Specifically, members had misgivings regarding the following language “Grievances concerning academic freedom shall be adjudicated according to the privilege and tenure procedures specified by Senate Bylaw 335.” Although P&T appreciates the reasoning that the Academic Senate is the natural arbiter of what counts as a violation of academic freedom, and consequently the natural auditor of a grievance concerning such a violation the committee is concerned about the extension of P&T's responsibility into an entirely new range of potential cases. To address this, P&T suggested that the proposed new policy, if adopted, should be reviewed after about three years, to evaluate its effect on P&T committees.

B. Review of Proposed Policy on Consensual Relationships and Conflict of Interest

P&T reviewed the proposed policy on Conflict of Interest Related to Consensual Relationships. Members noted that the policy is of direct relevance to the concerns of P&T, and were surprised that P&T was not invited to review the proposed policy in the first round of review. It was not clear to the members of P&T why UC needs an additional policy on top of the policies already in place; the proposed policy seems to mix issues of conflict of interest with issues of sexual violence and sexual harassment; and it is not clear why the Title IX officer is at the center of implementation of the policy. P&T suggested that first, it should be carefully explained exactly where the gaps are that are not covered by existing policies governing faculty, student, and staff interactions. Where existing policies are applicable, there is no need for a new or overlapping policy. Second, the confusion between Sexual Violence Sexual Harassment (SVSH) issues and conflict of interest issues should be removed; third, if a need for an additional policy is still evident, the location of the agency responsible for implementation of the policy should be carefully re-thought. It seems to us that locating responsibility for implementation of a policy on conflict of interest in the Title IX office is a category mistake. Emphatically, we believe that no policy along the proposed lines should be promulgated until these concerns are satisfactorily answered.

C. Proposed Revisions to Investigation and Adjudication Frameworks for Senate and Non-Senate Faculty and for Staff and Non-Faculty Academic Personnel under the Presidential SVSH Policy

The committee reviewed proposed revisions to the Investigation and Adjudication Frameworks for Senate and Non-Senate Faculty and for Staff and Non-Faculty Academic Personnel under the Presidential SVSH Policy. P&T did not find anything objectionable in the proposed revisions.

D. Systemwide Review of Proposed Revisions to Senate Bylaw 336

the Committee on Privilege and Tenure (P&T) reviewed the proposed revisions to systemwide Senate Bylaw 336 and raised concerns that the proposed compressed timeframe for P&T hearing processes may a) damage the core purpose of the hearing process, which is to give both sides a fair opportunity to present their cases; and b) be impossible to comply with. The requirement that a hearing be held within 60 days of the issuance of charges appears to have been snatched out of the air, and not appear to be based on comparable processes elsewhere. To address this, the committee suggested that the University might try to find out whether there are comparable processes elsewhere that might be cited for comparison. Absent that, the committee commented that it will do everything that it can to comply with the proposed timetable and carefully document every step, noting the reasons for any delays. P&T recommended that the Senate determine to revisit this bylaw in three years to assess whether it has been possible for the divisional P&T committees to comply with these new requirements.

E. Presidential Policy on Sexual Violence and Sexual Harassment

P&T reviewed the proposed draft Policy on Sexual Violence and Sexual Harassment (SVSH) and found some aspects of the proposed changes concerning, and noted that parts of the draft were poorly written. The Committee suggested that some definitions should be revised or clarified, such as those of “sexual assault”, “responsible employee”, and “complainant”. The committee commented that unless the terminology is cleaned up, this is going to be a difficult policy to implement. P&T also noted that the proposed treatment of cases where there is interaction between the SVSH/Title IX process and other complaint/grievance processes may require a revision to other policies, in particular Senate Bylaw 335.

IV. Title IX Training

During the winter quarter P&T members participated in a Title IX training led by Isabel Dees, Title IX Officer for UCSC.

Respectfully submitted;
COMMITTEE ON PRIVILEGE AND TENURE

Elizabeth Beaumont
Roberto Manduchi
Julie Guthman
Muriam Davis
Carol Shennan
Jorge Hankamer, Chair

August 31, 2019

COMMITTEE ON RESEARCH Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) is charged with reviewing campus and system-wide policies and issues related to UCSC's research mission. The committee also advises and collaborates with the Office of Research to promote faculty research. COR directly supports faculty researchers by awarding Faculty Research Grants (FRG), Special Research Grants (SRG), New Faculty Research Grants (NFRG), Scholarly Meeting Travel (SMT) and Inter Campus Travel (ICT) grants, and works to develop policy and strategy that assist with broad research goals, like increasing multi-principal investigator initiatives.

I. Summary

In 2018–19, the Committee on Research reviewed a range of proposed policies and initiatives created at the campus and UC wide levels. We consulted with Vice Chancellor for Research (VCR) Scott Brandt on long-term goals of supporting or creating new vibrant research communities across the campus that can produce high-quality research and potentially collaborate. We also discussed issues around improving experiences of submissions of proposals for extramural funding to support the research and our students.

To increase the amount of available funding for COR grants, this year COR worked with Associate Chancellor Ashish Sahni to provide additional funding for COR grants. To this end, COR put an extra effort to facilitate the Chancellor's Office to support new faculty and assistant professors, while not interfering with COR review process. The overall effort was worthwhile allowing COR to increase the total amount of COR funding and award 106 grants (80% of submitted proposals) distributed as 14 New Faculty Research Grants, 68 Faculty Research Grants (FRG), and 24 Special Research Grants (SRG), with the total amount of \$286,066.

Throughout the academic year, COR discussed shaping a survey that would give faculty the opportunity to provide feedback to COR and the Office of Research (OR) on important issues such as perceived quality of service and support from the Office of Sponsored Project (OSP) during proposal preparation and submission, satisfaction with proposal handling, as well as campus support for research. Given the departure of the Campus Provost/Executive Vice Chancellor Marlene Tromp, and the decision of Herbie Lee, Vice Chancellor of Academic Affairs (VPAA), to establish an SAP-related research committee, COR and OR have put this project on hold unless the committee is advised otherwise by VPAA Lee or Senate Executive Committee (SEC) in the upcoming academic year.

There is agreement between COR and VCR Scott Brandt that faculty support for research should be increased and our bi-weekly discussions centered on how this could be achieved. Several ideas, such as providing all faculty access to an annual \$1500 stipend, were somewhat contentious but deemed to have merit. The committee lamented that a disproportionate amount of time is currently spent on preparing and reviewing proposals for a modest sum of money, and suggested that rather

than apply for FRG grants, needy faculty could simply request funds. This may actually be sustainable if faculty with sufficient support voluntarily opt out. Again, COR and VCR Brandt warmed to this idea but the means by which to implement it remained unclear. COR would do well to request feedback from all faculty on this issue, not just the Senate Executive Committee. It was decided that the topic will be revisited in Fall 2019.

COR also pondered the lack of support for faculty computing needs. Conversations with Academic Council Chair Robert May and Vice Chair Kum Kum Bhavnani confirmed that this is a gaping hole in faculty support at UCSC relative to other campuses in the UC system. COR is delighted to be working with Vice Chancellor for IT Van Williams on bridging this gap and supports him in his endeavours to facilitate campus computing at all scales for faculty, students and staff.

One final aspect of COR's proactive agenda was to improve the FRG and SRG online portals for faculty submitting the grants, as well as the COR members adjudicating them. Along with analyst Chad Silva, COR worked to align the proposal requirements and expectations (PI submission) with the proposal evaluation (COR). Proposal content and style differ considerably among the disciplines and without a standard, clearly articulated set of proposal guidelines as well as matching set of criteria by which to decide whether or not the proposal is meritorious, it is difficult to consistently evaluate proposal quality. We hope our work facilitates the submission and peer review process in Winter 2020.

Regarding COR's work, it is worth mentioning that besides all other activities, COR is responsible for the evaluation of proposals for faculty research grant programs (FRG, SRG, NFRG). Therefore, the committee spent a considerable time in the Fall and Winter quarters evaluating the 132 submitted proposals. Here below is an overview of COR's work in 2018–19.

II. Strategic Consultations with the Office of Research

A. Overview

The committee continued to extend a standing invitation to Vice Chancellor for Research (VCR) Scott Brandt to attend relevant COR meetings and consult on issues of mutual concern regarding research policy and culture on campus. Those consultations were also the main vehicle through which COR members could learn about the administrative structure and responsibilities of the Office of Research units, as well as brainstorm potential directions which could improve institutional support for research and creative activities.

As part of the consultations, this year Director of the Office of Sponsored Projects (OSP) Kate Aja helped COR to update COR grant award letters to be compliant with the most recent campus policies. This helped COR to focus its grant review work only on the quality of the proposed research and creative activities. Later in the academic year, Director Aja provided COR a brief overview of the OSP, which has delegated authority to submit proposals and accept awards on behalf of the Board of Regents. Director Aja provided information about the modes of communication with faculty and the OSP operation, the number of the OSP personnel and grants they process to illustrate that the OSP is short-

staffed for the scale of its operation. Finally, during that consultation COR also learned about regulatory challenges that the OSP was dealing with and Director Aja highlighted the openness to informal feedback on how to improve the OSP processes.

COR had three consultations with VCIT Van Williams to discuss support for faculty computing needs, such as scheduled computer replacement, software licensing as well as the implementation of increased server storage and advanced computing clusters.

COR consulted with Susan Gillman, the Chair of the Committee for Development (CDF) and Fundraising to learn more about this committee, its mission and to consider ways in which COR and CDF could work together to leverage our respective strengths. Over the years, the committees have worked separately despite sharing the common goal of increasing resources for research, and other scholarly activities. Chair Gillman suggested that highlighting faculty research accomplishments in Alumni publications may be the first step to help bridge this gap.

The Committee met with Bill Bowman, Chair of the Committee on Emeriti Relations to discuss adjudication of FRG and SRG proposals by Emeriti faculty. Chair Pittermann expressed concern that despite their best efforts in preparing grant applications, even highly productive Emeriti faculty will always rank below junior or established faculty for COR funds, and that this represents a form of discrimination. However, Chair Bowman did not see an urgent need to create a separate pool of COR funds for active retired faculty.

Last but not least, the consultation with the OR enabled VCR Brandt to present insights into:

- *White Paper on Research Development Unit*
The committee next reviewed an outline for a white paper on the need for a Research Development unit within OR. The white paper presents a concrete mission and plan for operations and development of staff and support capacity at OR, and will be a useful guide as the office develops over the next few years.
- *Draft Late Proposal Policy*
The Office of Research has proposed to amend their policy on the timeline for submitting grant proposals to the Office of Sponsored Projects (OSP). Specifically, the policy outlines how late proposals will be dealt with. A stated goal is to bring campus practice in line with other R1 schools across the country.

III. Research Grants

A. Funding Overview

The committee has two funding sources, the Education Fund and University Opportunity Fund. This year the COR Grant program was funded at \$279, 608. Compared to \$328, 099 for 2017–18 for a percent change of 8.5%. Due to glitches in the COR grant webpage the

program overspent by \$6,458. The committee analyst worked with the Office of Information Technology update the site.

Each year, the committee solicits applications for its three research programs, New Faculty Research Grants (NFRG), Faculty Research Grants (FRG) and Special Research Grants (SRG). To increase the amount of available funding for COR research grants, COR Chair Pittermann discussed with Associate Chancellor Ashish Sahni a proposal that allowed the Chancellor's Office (CO) to provide additional funding of \$50,000 for NFRGs. Towards this, COR put an extra effort to facilitate the Chancellor's Office priority to support new faculty and assistant professors, while not interfering with the review process.

This year there were 132 FRG, SRG and NFRG proposals, of which 80% were funded. For reference, last year the number of proposals was about the same 148 of which 72% were funded. Our approach followed the prior COR policy in funding the majority of FRGs, which tend to be for smaller amounts. Furthermore, as noted above, this year the CO provided additional funding for COR research grants and we consulted with the CO on spending their funding in alignment with their goal to support new and more junior faculty. In consultation with the CO, out of their provided funding (\$50,000), the amount of \$39,383 was used to augment New Faculty Research Grants (NFRG). Therefore, the total award budget for FRG and SRG grants was \$288,716 and overall effort allowed to award 107 grants (72% of submitted proposal) distributed as 15 New Faculty Research Grants (NFRG), 68 Faculty Research Grants (FRG), and 24 Special Research Grants (SRG), with the total amount of \$286,066.

COR encouraged faculty to submit a proposal for COR grant funds in 2018–19. A note about each type of COR grants and the list of spending are provided below.

New Faculty Research Grants (NFRGs): The NFRG program provides new faculty with access to funding in the current fiscal year. It has proved helpful to new faculty as they establish their research careers. Of the 15 NFRG requests, 14 were funded. The award amount increased from last year's \$19,000 to \$39,383 while the number of the NFRG applications increased from last year's 10 to 15. All NFRG proposals were reviewed by COR and, in consultation with the Chancellor's Office, the NFRG grants were fully funded by the office.

Faculty Research Grants (FRGs) and Special Research Grants (SRGs). The number of grant applications in this category was 83 which is 19 proposals down from 102 applications in 2017–18 as it can be inferred from the annual report for that year. However, this year COR was able to fund about 81% of the FRG proposals and approximately 48% of the submitted SRG proposals.

Travel Grant Budget (\$123,930) is used for support of *Travel Grants*. Through these grants, the committee supports faculty travel to scholarly meetings and intercampus travel to research facilities, field stations, and sister UC campuses. Senate faculty may apply for the \$700 (scholarly meetings) or \$250 (inter-campus) travel grant, respectively.

Research Grant Program	Funded	Amount
New Faculty Research Grants (NFRG)	14	\$53,551
Faculty Research Grants (FRG)	68	\$105,124
Special Research Grants (SRG)	24	\$127,391
Travel Grants	189	\$123,930
Total		\$409,996

B. Amendments to COR Grant Guidelines

Over the past several years, faculty were dissuaded from purchasing computing equipment (desktops, laptops, back-up storage) with COR funds unless their reasons were particularly compelling. The members of COR, along with many informally polled faculty, feel that given the university’s general lack of support for academic computing, this exception places a burden on our faculty and presents a considerable barrier to research.

To this end, the members of COR unanimously agreed that Section E of the COR Grant Guidelines should be modified thusly:

3. Computer-Related Expenses: ~~COR does not support general replacement of faculty computing equipment.~~ Computer equipment is an allowable expense provided that it is an essential component of the research project and is well justified in the application. Upgrades to basic computers, or specific programs that are essential for the applicant’s research are an allowable expense. All inventorial equipment must be ordered through the PI’s divisional business office (see the link above for university policy).

All N/S/FRG proposals submitted to COR will still be evaluated on their intrinsic merit – COR will not fund simple computer replacement requests – but decisions regarding the level of funding will now take faculty computing needs into consideration.

COR hopes this shift in proposal policy will help our faculty in their academic endeavors and we look forward to adjudicating the 2019 - 20 submissions.

As well COR simplified the FRG application template to better reflect the modest funding level of this grant as compared to the SRG which is funded at a much higher level and thus requires more of the applicants. The FRG criteria was aligned more closely with the template used by reviewers to evaluate the grant proposals.

IV. Reviews of Policy and Process

A. COR Fact Finding Analysis of Support for Faculty Across the System

This year Chair Pittermann embarked on a fact-finding mission to determine the level of faculty research support across the UC system. A compilation of these data from 2016 was provided by UCORP analyst Joanne Miller. The document shows that support for faculty is uneven across the UC system, and lacks commonality. In other words, a comparative literature professor at one UC campus will receive substantially different research support than a faculty member in the same discipline at another UC campus. UCORP will revisit this issue in Fall 2019.

B. Other Committee Business

The committee discussed and provided feedback on various issues related to the Academic Senate and research related proposals, including:

- Final Draft of the Strategic Academic Planning process
- Systemwide Review: Proposed Presidential Policy on Open Access for Theses and Dissertations
- Systemwide Review: Research Grants Program Office
- Systemwide Review: of proposed revisions to APM-230, Visiting Appointments
- Genomics Institute Organized Research Unit Proposal
- Proposed leadership of the Institute of Marine Sciences (IMS)
- Humanities FTE Transfer

C. Upcoming Agenda for 2019-20

The committee will further explore the following topics in 2019–20:

- The 2017–18 COR survey analysis
- Follow-up of COR budget for 2018–19 and consultation on how to reverse the negative trend in the budget for support of COR grants
- Consultation with Associate Chancellor Ashish Sahni about the possibility of the Chancellor’s Office funding towards COR research grants
- Continued discussions on how to improve support for faculty research and computing needs on our campus

Respectfully Submitted;

COMMITTEE ON RESEARCH

Chelsea Blackmore
Charles Hedrick
Karlton Hester
Darrell Long
Marilou Sison-Mangus
Ben Storm
Slawek Tulaczyk
Yu Zhang
Jarmila Pittermann, Chair

Brent Limyansky, Graduate Representative

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
2018-19 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Rules, Jurisdiction, and Elections (RJ&E) met two times during the Fall and Winter quarters and once during the Spring quarter in 2018-19. This report summarizes the Committee's work during the year.

I. Advice and Interpretation of Legislation

Proposed Amendments to Santa Cruz divisional Regulations (SCR) 10.1.3A, 10.1.3.D(1)&(2)

Committee on Rules Jurisdiction and Elections (RJ&E) reviewed the proposed changes to Santa Cruz Divisional Senate regulation (SCR) 10.1.3A, 10.1.3.D(1)&(2). The members commented that there should be some reference to the list of approved off-campus study programs in Systemwide Senate Bylaw 630 in SCR 10.1.3.D, since that list is being removed from the Divisional regulations. The committee also noted that 10.1.3.D.2 is a variance and, as such, must be approved by the assembly.

Proposed Amendments to Santa Cruz divisional Regulation (SCR) 10.2.3.1.a & 10.2.3.3

RJ&E reviewed the proposed changes to Santa Cruz Divisional Senate regulations (SCR) 10.2.3.1.a and 10.2.3.3, and found no issues of compliance or conformance with existing policy.

Proposed Amendments to Santa Cruz divisional Regulation (SCR) 10.4.1

RJ&E reviewed the proposed changes and found no issues of compliance or conformance with existing policy. Members suggested that wording "third year (or equivalent)," should be replaced with "seventh quarter." This would cover all students no matter the quarter of admission (including winter admits) and would also match the spirit and letter of the "second term" requirement for transfer students. The final legislation included the suggested wording.

Proposed Amendment to Bylaw 13.10.1 – CAP Committee Charge

RJ&E reviewed the proposed changes and found no issues of compliance or conformance with existing policy. The committee pointed out that if at least part of the intent is to ensure representation from each Division or School, then a statement to that effect could be added explicitly to the charge. For example, the Graduate Council charge (Santa Cruz Bylaw 13.21.1) provides that "there are at least one, but no more than three members from each academic division and the School of Engineering."

Proposed Changes to divisional Senate Regulations 10.1 & 10.1.6

RJ&E reviewed the proposed changes and found no issues of compliance or conformance with existing policy. Members raised an issue regarding the choice of language in the proposed amendment to divisional regulation 10.1.1. The proposed amendment read: "Not more than three credits in Physical Education activities may be counted toward the Bachelor's degree." Members pointed out that the vague term "activities" was used rather than a more well-defined term like "courses." The final language of the legislation was "courses."

Charge for new standing Committee on Development and Fundraising

RJ&E observed the membership of the committee is described in the first clause of the proposed charge and includes the Senate Chair "ex officio." RJ&E noted that systemwide Senate Bylaw 4.1 already provides

“The Chair may participate in a non-voting capacity in the deliberations of any committee of the Division unless the matter under consideration is not to be reported directly to the Division.” In our Division, only the Committee on Planning Budget includes the Chair “ex officio.” The authors adopted this suggestion in the final draft of the committee charge.

The proposed charge provides, “The committee reports annually to the Senate”, which members found to be unnecessary since divisional Senate Bylaw 13.7 already requires this: “Reports of Standing Committees. Standing Committees prepare written annual reports which are circulated to the members of the Santa Cruz Division along with the Call to the first regular Santa Cruz Division meeting of the fall term. (SCB 13.7).” No other committee charge includes such language.

Lastly, the Vice Chancellor of University Relations is listed as “sits with.” The committee noted that a principal officer may be invited to consult with a standing Senate committee at any time, without implying a standing invitation or membership in the committee.

Systemwide Review of Proposed Revisions to Senate Bylaw 336

RJ&E reviewed the proposed revisions to systemwide Senate Bylaw 336. The members understood these revisions to be a response from the University Committee on Privilege and Tenure (UCPT) to the State Auditor’s report entitled “The University of California Office of the President: It Must Take Additional Steps to Address Long-Standing Issues With Its Response to Sexual Harassment Complaints.” After a thorough review and discussion of the legislative intent and accompanying mock up, members were left with some questions and concerns, all related to the expedited time frame for adjudicating disciplinary hearings.

II. Comments on Senate Policy and Process

Proposed Presidential Policy Principles of Accountability with Respect to Financial Transactions

RJ&E reviewed the Proposed Presidential Policy “Principles of Accountability with Respect to Financial Transactions” submitted to the Academic Senate for comment by the University of California Office of the President (UCOP) and offered suggestions that would bring clarity to the written policy.

Proposed Presidential Policy BFB-RMP-7 Protection of Administrative Records Containing Personally Identifiable Information

RJ&E reviewed the Proposed Presidential Policy “Proposed Presidential Policy BFB-RMP-7 Protection of Administrative Records Containing Personally Identifiable Information” submitted to the Academic Senate for review by the recommendation of the Policy Advisory Committee (PAC), and provided suggestions focused on improving the clarity of the proposed policy.

Presidential Policy on Sexual Violence and Sexual Harassment

RJ&E reviewed the proposed Presidential Policy on Sexual Violence and Sexual Harassment (“SVSH Policy”), submitted to the Academic Senate for comment by the University of California Office of the President, and offered comments and suggestions to improve clarity and consistency.

Review Rewrite of Strategic Academic Plan (SAP) and Implementation Playbook

The Committee’s discussions focused on the concrete implementation of the design principles. In general, members found that many of the initiatives are laudable, but they did not clearly support the goals that define the SAP.

Members pointed out that the highlighting of certain academic areas under “Expand excellence and innovation” intrudes on the framework of the Academic Priority Areas (APA). The APAs have been carefully crafted to foster widespread innovation and excellence, not only in the few scattered areas highlighted in this document. The goal to “increase research activity in social justice, diversity, and sustainability” is even more specific, in direct contradiction to the general trend of the APAs. The committee suggested that the goals should more closely support the first part of this design principle “Expand excellence and innovation” instead of focusing narrowly on the second part.

Proposed Revisions to Investigation and Adjudication Frameworks for Senate and Non-Senate Faculty and for Staff and Non-Faculty Academic Personnel under the Presidential SVSH Policy

RJ&E had the opportunity to review the proposed revisions to the investigation and adjudication frameworks for Senate and non-Senate faculty and for staff and non-faculty academic personnel under the Presidential SVSH Policy, and suggested minor editorial changes to improve clarity and consistency to Section II – Initial Assessment.

III. Updates of the Santa Cruz Division Manual

The following updates were made for the 2019-20 manual of the Santa Cruz division. There are two classes of changes.

1. Changes due to divisional legislation.
 - SCR 10.1.3A
 - SCR 10.1.3.D(1)&(2)
 - SCR 10.2.3.1.a
 - SCR 10.2.3.3
 - SCR 10.4.1
 - Senate Bylaw 13.10.1

2. Conforming changes
 - Senate Bylaw 13.14, et seq.

IV. Elections and Ballots

Committee on Committees Elections

RJ&E reviewed COC nomination petitions, wherein three nominations were received for three open seats by the February 8, 2019 petition deadline. Pursuant to SCB 11.4, a ballot election was unnecessary, and RJ&E certified the three members as elected to COC on March 8, 2019.

Chair Pedrotti along with the Senate Secretary counted and certified the secret ballot vote taken on a resolution proposed during the May 17, 2019 Senate meeting.

Respectfully submitted,

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

David Dunn, Music

Kate Edmunds, Theater Arts

Eleanora Pasotti, Politics

Bali Sahota, Literature

Jason Nielsen, Physics, Chair (F, W)

Ken Pedrotti, Electrical Engineering, Chair (S)

August 31, 2019

COMMITTEE ON TEACHING Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met every other week throughout the academic year to conduct business regarding their charge to foster and promote effective teaching. COT revised processes surrounding its annual student-nominated, Excellence in Teaching Award and began the process of creating a campus-wide faculty-nominated award, The Distinguished Teaching Prize.

A significant amount of time was dedicated to the replacement of the campus's Student Evaluation of Teaching (SET), which COT renamed as Student Experience of Teaching (SET). COT also participated with the working group overseeing the administration of the What Do You Think (WDYT) platform. Chair Helmer met weekly with this working group throughout the academic year, which included Associate Vice Provost for Teaching and Learning (AVPTL), Center for Innovations in Teaching and Learning (CITL) Director Greene, and Director for Learning Technologies, Jim Phillips.

This workgroup focused on keeping abreast of and problem-solving SET and WDYT issues, messaging to students and faculty regarding SETs administration and student participation, creating on-line materials to help teachers use the WDYT system, selecting a WDYT replacement, and presenting a WDYT training at a Senate Town Hall Meeting, led by COT member Nicholas Brummell, Rebecca Peet, SET Service Manager from Information Technology Services (ITS), and AVPTL and CITL Director Greene. (see [link](#)).

In sum, it was a highly productive year for the committee. Below includes a more detailed description of the year's achievements. Outreach and Consultation with key stakeholders and committees was a major focus throughout the SET replacement and WDYT administrative processes. In 2018-2019 Chair Helmer and committee members consulted regularly with the AVPTL and CITL Director Greene, as well as key Senate committees including Academic Personnel (CAP), Affirmative Action and Diversity (CAAD); and Rebecca Peet, the WDYT administrator, regarding WDYT messaging, support materials, revised SET questions, and SET administration and piloting of the new SET instrument. Chair Helmer and AVPTL Greene also presented the revised SET instrument to the Senate Executive Committee (SEC) for feedback before presenting the new SET to the larger Senate. Chair Helmer gave a more formal version of this presentation at the February 6th Senate meeting for campus comment; AVPTL and CITL Director Greene and Rebecca Peet were also present to answer questions.

I. SETs Revision and Fall 2019 Quarter Implementation

The 2017-18 COT Annual Report provides background information regarding the initial charge and impetus for revising SETs, including initial faculty surveys to assess faculty needs. During AY 2017-18, the first iteration of the revised SET was created and piloted spring 2018 by COT members. With this pilot information, and additional feedback from academic units, the 2018-19 academic year began the final SET revision process; its implementation initially planned for spring 2019, but rescheduled for fall 2018 due to WDYT technical difficulties.

The SET revision process was a major undertaking that entailed: continuing to revise SET and finalize SET questions that included stakeholder consultations, piloting revised drafts with COT members to check instrument validity, and working collaboratively with CAP to create a revised “Teaching Table” for personnel reviews (see below). Throughout this process, COT and AVPTL Greene shared instrument iterations with Institutional Research, Assessment and Policy Studies (IRAPS), Academic Personnel Office (APO), CAAD and CAP. The second phase of this process will begin AY 2019-2020 to include further piloting of the SET instrument with the aim of measuring SET validity. COT and IRAPS need to ensure that the new SET questions measure what the questions were designed to elicit.

This second phase needs to be further planned and developed during the fall 2019 COT meetings in collaboration with IRAPS. COT discussed that either whole departments or randomly selected faculty across divisions, who agree to participate, could take part in a validity study similar to the one conducted by IRAPS with COT members (see Appendix 1 for this report). The number of faculty participants would depend on IRAPS capacity. Additionally, a qualitative study could be conducted with faculty, using focus groups to discuss how faculty are experiencing the new instrument. Follow-up questions could ask faculty if how they are experiencing the new SET, including if they are experiencing bias, how useful they find the new instrument for informing teaching in comparison to the older instrument, or if they found any particular questions problematic and or useful. These interviews should be videotaped for further reference and conducted with standard questions across focus groups.

A. The Revised SET Instrument

After COT (including SET executive sponsor AVPTL Greene) and IRAPS reviewed the fall 2018 COT-member SET pilot, we concluded that the primarily open-ended format would not work well for all campus units, including CAP’s ability to manage personnel reviews (See Appendix 2 for first SET iteration). COT and IRAPS then worked through numerous SET drafts, with over 150 revisions. The final version comprises 80 percent Likert-scaled questions and 20 percent open-ended. The Likert-scaled questions largely use a frequency scale (i.e., Never---Very Frequently, including “unable to comment”) as opposed to an agreement scale (i.e., Disagree Very Strongly---Agree Very Strongly). The revised questions fell into the following domains (See Appendix 3 for the revised SET instrument):

1. STUDENT INFORMATION (Questions 1-4) (i.e., Student’s major, percentage of classes attended, including if the student had withdrawn from the course, and the amount of hours per week devoted to the class.)
2. FEEDBACK ON INSTRUCTION (Questions 5-10) (Question 10 is open-ended)
3. FEEDBACK ON COURSE (Questions 11-20) (Questions 16,17,18, & 20 are open-ended)
4. PREPARATION FOR THE COURSE: A subsection of “Feedback on Course” (Questions 19 & 20; 20 is open-ended)

Within the above domains, we designed SET questions to reflect more direct student learning experience, eliminating questions that had students assess pedagogical approach or teacher effectiveness, as students are not pedagogy experts. However, students *are* able to assess their

experience with *specific* course elements and design. Thus, in order for the SETs to be more useful to faculty, we designed the questions to be as specific as possible so faculty would be better able to pinpoint and assess what was working in their courses and what was not. Through this specificity, we intended to help reduce positive or negative biases related to faculty personality, gender, student grade expectation, and so forth. Of course, these biases will persist no matter the quality of SET questions and thus, all faculty who review other faculty must be mindful of SET limitations. COT and CITL would recommend that faculty provide more reliable artifacts of their teaching for personnel reviews and that personnel reviewers heed these sources of teaching evidence with greater weight and attention.

The domain, “Feedback on Instruction” (Qs 5-10), using a frequency scale, asks students specific questions regarding their instructor. These include: instructor’s use of time to support learning; the instructor’s ability to communicate and explain course concepts; the instructor’s feedback usefulness (if applicable); the instructor’s ability to communicate evaluation expectations; and the instructor’s ability to help students engage with course content, followed by an open-ended field for students to explain how this engagement was or was not actualized.

The domain, “Feedback on Course” (Qs 11-15), primarily using a frequency scale, asks students specific questions regarding course elements such as the students’ understanding of the course’s learning goals; lecture/presentation clarity (if applicable); in-class activity structure and purpose (if applicable); usefulness of low-stake assignments to prepare for high stakes examinations, papers, and projects (if applicable); usefulness of assigned reading (if applicable). Questions 16-18 ask related open-ended questions, described below, and Q19 and Q20, also described below, ask about students’ prior preparation for the course. For all of these questions students can select “unable to comment” if the question is not applicable.

Though the majority of the new SET contain Likert-scaled items, it still retains five open-ended questions. Two of these, Q10 and Q20, follow a Likert-scaled question, asking students to explain their answers to Q9 and Q19. Question 10 asks students to explain how the instructor helped them engage with course content while Q20 asks students about their degree of preparation before entering the course, including high school work, if relevant. Question 20 came out of consultation with CAAD with the purpose of contextualizing students’ previous knowledge vis-à-vis their SET question responses while also providing curricular information. For example, if a student were taking a course series or curriculum (e.g., College 1, Writing 1, Writing 2), department/program chairs or provosts could see by students’ responses if prior coursework was adequately preparing students for the course series. If not, revisions to the curriculum could be made. The Q10 follow-up originally was part of the COT-member SET pilot study to check to see if students understood Q9 (i.e., if low stake assignments help with high stakes assignments). We found student responses enlightening for this question and thus chose to adopt it as part of the standard campus SET instrument. Open-ended Q16 asks students to provide explicit examples of helpful or unhelpful teaching practices and materials, while Q17 asks students to provide suggestions for course improvement and Q18 asks if students have “anything else to add.”

As may be apparent by the above SET description, COT (with AVPTL Greene) and IRAPS also decided to eliminate the two “omnibus” questions in the previous SET that asked students to rate

“overall teacher effectiveness” and “overall course experience.” These two questions had been part of the “Teaching Table” used in personnel reviews. We made this decision to eliminate these two questions because the SET literature explains that student responses to such broad overarching questions cannot accurately measure or capture what students actually mean when they rate professors; students could be referring to any number of things. The questions’ lack of specificity renders them ineffectual for assessing or improving teaching. If faculty were to receive either high or low marks, they would not know what caused that particular rating. Further, SET research in two large-scale studies (see Appendix 4 for the annotated bibliography of SET research) found that low marks actually indicated *good* teaching as the most demanding teachers received low marks because students’ grades were lower than the students had expected; these same students, however, performed better in their subsequent classes in the course series. Related, such hard-to-interpret questions have been found to also correlate with gender (i.e., biased toward males), physical attractiveness, enthusiastic affect, student ability (similar to grade expectation), weather conditions (!), and so forth.

COT piloted these revisions winter quarter 2019, with special attention to SET items that faculty, who provided feedback, found questionable, including COT-member concerns. To test these concerns, the winter pilot included additional open-ended questions following these potentially problematic SET items to check for validity, as mentioned above. Student written responses allowed us to see if students were answering these questions in the ways intended. For example, faculty had raised the question if students would be able to understand the difference between low stakes and high stakes assignments when answering the following question, using a frequency scale: “Problem sets, writing assignments, and other homework, over the course of the quarter, helped me feel prepared for examinations, papers, and projects” (Question 14). Student responses indicated that they were able to distinguish between preparatory work (e.g., practice exercises, journal entries) and culminating work (e.g., exams, research papers). Additionally, the analysis showed that we could consolidate two of the questions into one that asked students very similar questions. This became Q16, an open-ended question that combined “teaching practices and materials.” On revision it reads: “Please describe any specific **teaching practices and materials** (lectures, seminar discussions, small group activities, demonstrations, instructional videos, homework, individual conferences, study guides, papers, etc.) the instructor used that you found helpful or unhelpful to your learning in this course.”

For full validity analysis, please consult IRAPS’ report (Appendix 1) and/or the footnoted version of the final SET (Appendix 3).

B. Return Rates

Throughout the academic year, COT and the WDYT working group monitored student return rates, which ranged from an overall rate of 47.2% in fall to 38.2% in spring (see Table 1 below). The major challenge to overcome were TA response rates, which were very low due in part to issues with the WDYT platform: Students had difficulty locating their TAs’ names. Eventually Rebecca Peet was able to reconcile these issues by the end of winter quarter.

Table 1: SET Return Rates AY 2018-19

Standard SET Form	Overall	Colleges	Arts	SoE	Humanities	PBSci	SocSci
Fall 2018	47.2	54.95	44.47	40.19	53.57	46.95	52.05
Winter 2019	42.9	44.38	40.4	35.68	48.76	41.12	53.08
Spring 2019	38.2	33.9	35.48	35.34	41.85	35.02	46.98

Relatedly, with SETs executive sponsor AVPTL Greene, we worked on better messaging to students regarding SET’s importance for improving courses and SET’s role in the personnel process, which was included in student emails and part of the SET survey’s opening instructions. Faculty, primarily through CITL outreach, have also been told that they should explain to students how SETs are used for improving teaching and how they are used in personnel decisions, while also explaining SET’s inherent biases. We believe these efforts will help students to take their commenting more seriously. Additionally, spring quarter, students received “Game of Thrones” memes with messages reminding them to participate and submit their SET responses (see Appendix 5). Our aim was to make email announcements and reminders less text dense and more appealing for students during exam periods. However, return rates remained around 38%. Despite this lower than expected response rate, COT would recommend this approach with future messaging to students as it is a “friendlier” communication style.

In communication with faculty, COT has recommended that faculty provide incentives for increasing response rates. COT members this year experimented with telling students if they had met X% response rate, that the entire class would receive extra credit points. All COT-members found that their response rates rose after providing this grade incentive. Faculty can monitor response rate through the WDYT/Canvas portal. This suggestion could be more widely presented to faculty as it proved effective, if, of course, the new platform to replace WDYT affords response-rate checking.

II. COT-CAP-IRAPS Negotiated Teaching Table for Personnel Reviews

As explained above, research shows that overarching “omnibus” questions are problematic. However, providing a snapshot of teaching through such a table can be useful when assessing personnel files. Thus, COT and IRAPS worked with CAP to ultimately agree upon a set of questions from the revised SET instrument that would be most useful for this purpose. At the initiation of this process, AVPTL and CITL Director Greene and Chair Helmer compiled an annotated bibliography and its full-text articles regarding SET omnibus question validity and other related problems, to prepare CAP for our initial consult on March 7, 2019 (See Appendix 4). At the consultation, COT suggested that CAP consider using the final revised SET to select one or two questions to form a new teaching table as a compromise in lieu of retaining the omnibus questions that we found problematic. We planned to meet again to further discuss the issue once the SET had been finalized, which we did.

Toward the end of spring quarter, once COT had reached its final SET version (with explanatory footnotes), we shared it with CAP (See Appendix 3). After reviewing the final SET, CAP Chair Westerkamp consulted with COT (including SET executive sponsor AVPTL Greene), IRAPS (Anna Sher), and APO (Cris Imai). In that consultation, we selected the following three SET questions that both committees believed would best indicate an instructor's teaching performance. The scale for Q5 and Q6 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently.

- The instructor used class time effectively to support my learning. (Question 5)
- The instructor communicated clearly and explained concepts effectively. (Question 6)

The scale for Q12 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently. With the following instruction to the student: Please only comment if the course contained the specific activity addressed in questions 12-14. Otherwise select "unable to comment."

- Lectures and other instructor-led presentations were well structured and had clear goals. (Question 12)

Of course, with time and experience, this Teaching Table could be revised once CAP has had experience with the actual new SET instrument.

III. WDYT and WDYT Platform Change

A. Senate Town Hall

On November 7, COT with VPAA Greene and WDYT Program Administrator Rebecca Peet, held an instructional Town Hall to introduce WDYT, present SET best practices, and the value of collecting midterm and end-of-term feedback and how WDYT can assist. A WDYT feature allows instructors to create custom questions at midterm and end-of-term, which can only be viewed by the instructor. These questions are instructor-designed so that they can better target their specific courses and teaching styles. (Links for the [slides](#) for this presentation or click to view [the video](#).) In the Town Hall, we also explained how to best form these questions to elicit student information (see [slides](#)). Later in the academic year, with WDYT manager Rebecca Peet, Chair Helmer produced a scripted screencast tutorial for how to use the platform for midterm feedback [linked here](#).

B. WDYT Platform Change

Soon after the rollout of WDYT, it became evident that the parent company CollegeNet decided to no longer develop the WDYT product. Further, CollegeNet indicated that they are no longer actively selling the WDYT platform. ITS continues to work with CollegeNet to determine if they have any intentions to "end-of-life" WDYT. The business risk associated with continuing to use WDYT has increased. This prompted the campus to consider other alternatives in anticipation that there may be a need to move to a replacement for WDYT should CollegeNet decide to discontinue the WDYT service permanently. Currently, a committee has formed to investigate alternative platforms to replace WDYT, including the collection and analysis of "user stories" of various campus units and their managers. Included in this assessment, during the 2019 winter

quarter, Chair Helmer, Rebecca Peet, and Cris Imai (Academic Personnel Systems Manager), met with CAP, to elicit their “user story,” to elicit their needs with the new platform.

IV. Excellence in Teaching Awards

COT is charged with the administrative oversight of the Excellence in Teaching Awards (ETA). In adjudicating these awards, we look for evidence that the nominee has thought deeply about teaching and learning and effectively applies that thinking in the classroom. ETA winners are based on student nominations, augmented by statements of teaching approach and letters of support from department chairs or another faculty member who can speak to the nominee’s teaching. COT reviews these materials to create a short list of finalists. In 2018-19 COT evaluated nominations by 450 students, for over 250 different instructors. We see this as evidence of the extraordinarily strong commitment by UCSC faculty and instructors to students and their learning. COT and UCSC Chancellor present the inscribed award at a spring-quarter luncheon, this year held in the Sentinel Room at the University Center. Faculty also received a \$400 cash award. The recipient of the Ron Ruby award from PBSci received \$750.

A. Development of Revised Selection Process and Messaging for the Excellence in Teaching Award

As COT had not reflected upon its nomination and selection process over the past several years, we believed that it was time to rethink our work in order to improve upon. We also considered if the selection process included any inherent biases related to discipline, class size, or gender. As a result, we modified some of our practices, described below.

To begin, COT members created a list of criteria of what we considered “good” teaching (e.g., active learning, mentoring students and colleagues, revisions or innovations in teaching, etc.) to help us clarify our vision of exemplary teaching during the selection process. We also examined our prompts given to nominating students, nominees, and their faculty recommenders, and we determined that they needed revising. For example, we believed the student prompt to be too vague. We revised the prompt and asked students:

Dear Students,

Every year, UC Santa Cruz wants to hear from you, the students, about an instructor who had a positive influence on you, your learning, and your overall educational experience. We want to hear from you about UCSC instructors who should be recognized and applauded for a job well done.

Please take the time to nominate an instructor who challenged you and who made you a better student during fall quarter 2018. Nominate an instructor who shows a commitment to teaching and works to create a supportive classroom environment.

Take the time to recognize an instructor who has positively impacted your learning and nominate this person TODAY for the Teaching Excellence award.

[Click here to submit your nomination.](#)

Guidelines for nominations submissions:

- Only current UCSC students are eligible to vote.
- Graduate students cannot nominate their advisors.

- OPERS instructors are not eligible to receive an award.
- Faculty and instructors who have won an award within the last five years are not eligible to win an award, please see the [list of recent winners](#).

Please submit your nomination by Sunday, Month, Day 2019. Thank you for taking the time to recognize your instructor!

Thank you,
Committee on Teaching

This prompt elicited greater specificity and examples than we had received in previous years. We then asked nominated faculty not to write an abstract “teaching philosophy” but instead a “teaching statement” that more concretely showed how their teaching was distinct from others in their unit or how their teaching went above “normal expectations.” This prompt again was designed to help instructors write with greater specificity about their teaching-mentoring practices—a statement that “showed more than told.” Through these prompt changes, COT intended that they would help us to better narrow and discriminate amongst nominees, which we believe they did.

COT also decided to broaden possible faculty recommenders who write the nominees’ letters of support. In the past, department/program chairs or college provosts were asked to write nominees’ letters of support. For this year’s ETA we gave nominees the option to select any faculty colleague whom they believed to have the best knowledge of their teaching to write in support of them. Nominees can continue to ask their chairs or provosts to write letters, but we wanted nominees to have more choices while also potentially diminishing chair/provost workload.

Finally, COT decided on a new way to sort nominees in order to eliminate any potential biases according to class size—a bias that we could greater control. In the past, faculty who taught larger class sizes would receive a greater number of student nominations and thus garnered a greater degree of attention in the selection process. That being the case, COT decided to sort nominees into three short lists, sorted by class size: small (50 students or fewer), medium (51-100 students), and large (100+). These short lists were compiled in Google Docs tables with each COT members name. Chair Helmer then tabulated “the votes” of the selected faculty by class-size category. The refined lists of nominees were then discussed and ranked in person at an in-person COT meeting. During this ranking, we also looked at parity representation across divisions as well as gender for determining finalists. In the past, the selection process was rather cumbersome and time consuming. COT determined the new process to be more democratic and efficient while providing a more representative sample of award winners across class size.

In the end, through the above process, based on student nominations, teaching statements and faculty support letters, COT created a short list of fourteen instructors. From these, COT selected seven to receive 2019 teaching awards, with an additional two chosen to receive letters of Honorable Mention. Chancellor Blumenthal presented the awards to the ETA recipients at a June 7, 2019 luncheon hosted by the Chancellor’s Office at the University Center. Below is the list of award recipients:

2018-19 Excellence in Teaching Award Recipients (in alphabetical order):

1. Noriko Aso, History
2. Nathaniel Berman, Music
3. Rebecca Covarrubias, Psychology
4. Robin Dunkin, Ecology and Evolutionary Biology
5. Sean Keilen, Literature
6. Adam Millard-Ball, Environmental Studies
7. Shelley Stamp, Film and Digital Media

Honorable Mention

1. Peter Alvaro, Computer Science and Engineering
2. Jerry Zee, Anthropology

V. Create and Fund New Campus Teaching Prize: The Distinguished Teaching Award

This past year, COT decided to create a campus-wide faculty-nominated teaching award in addition to the student-nominated Excellence in Teaching Award. COT will award “The Distinguished Teaching Award” to a single instructor. The details are still being determined, but tentatively, the winner will receive an inscribed award and a thousand-dollar prize. Additionally, the winner will also deliver a Distinguished Teaching Award Public Talk. The details of this public talk are still to be worked out, though the following ideas have been discussed:

1. The DTA Talk would be delivered during alumni weekend as a fund-raising event that includes a dinner. This fund-raiser could be done in conjunction with another campus unit (potential fundraising had been raised in the 2017-18 annual report);
2. The DTA Talk would be delivered at a campus faculty breakfast or other meal in which the winner would start off or cap off a day of pedagogy workshops presented by faculty volunteers, prior ETA recipients, or CITL Fellows, which could be co-sponsored with CITL;
3. The DTA Talk would also include an invited outside speaker, speaking on a related topic, which could also be co-sponsored with CITL.

In order to raise money for the award, the DTA sub-committee, led by COT member Jim Phillips (Director of Learner Technologies), participated in campus’s Giving Day. In order to participate in Giving Day, a video explaining the campus organization and its financial request needed to be produced. Jim Phillips, working with a student videographer, produced an effective video that included CITL Director Greene and Chancellor George Blumenthal (see [linked video](#)). This Giving Day “ask” yielded close to 500 dollars and the Senate will make up the difference per Chair Helmer’s discussion with Senate Director, Matthew Mednick, once event details have been established. COT will also pursue additional funding through the UCSC Foundation who provide grants year-round. It was decided however, that the amount of work needed to produce the video may yield too little reward for the amount of effort required. It was discussed that asking funds from the UCSC Foundation may be a better avenue.

An initial award’s call has been drafted by CITL Director Greene, but the finer details and award’s processes need to be worked out in the following academic year.

V. **Campus Strategic Academic Plan (SAP)**

In February 2019 COT responded to the Vice Provost for Academic Affairs (VPAA) request for Senate feedback regarding the rewrite of the SAP's Design Principles. In relation to the scope of COT, the committee found that none of the principles directly involved teaching and learning, and recommended that the SAP's pedagogical principles should provide more ambitious goals and integrate UCSC's teaching-learning mission with the same transformative aims that the SAP puts forth. Additionally, the committee found that the development of Academic Priority Areas (APAs) were another location where teaching-learning should play a critical and imperative role in further developing interdisciplinarity.

COT remarked that, Design Principle 2: Creating Enriching Experiential Learning and Research Opportunities for Students, had too narrow of a definition of "experiential learning" with its primary focus on internships. Design Principle 4: Support Generative Interdisciplinary Connections in Research and Teaching, also questioned how team teaching would work in practice. COT suggested that campus also research other models, including Learning Communities.

In May 2019, COT responded to the review of the Final Draft of the SAP. COT remarked that their previous suggestions were not included in the final draft and that this was a missed opportunity. The committee again reiterated the importance of them in strengthening the teaching vision for UCSC. COT further recommended that CITL and COT be included in the conceptualization and assessment of what constitutes high impact teaching practices, including the implementation of, and innovations in instructional technology.

VI. **Upcoming Proactive Agenda for 2018-19**

Though our major initiative of revising SET was accomplished this year, there is still work to be completed once the SET instrument goes "live." This would include further instrument validity testing, as mentioned above. Also, finalizing the Distinguished Teaching Award (DTA) documents and processes needs to be central goals of 2019-20 proactive agenda. Depending on time constraints, the actual call for the DTA may have to occur AY 2020-21. Specific action items discussed by COT members included:

- Determine with IRAPS the best and most efficient SET reliability-validity study, with the possible inclusion of qualitative measures (see above)
- Use SET study results and findings to further refine the SET instrument in collaboration with IRAPS and Director Greene.
- Develop Distinguished Teaching Award:
 - Finalize "call" for soliciting DTA nominees (begun by Dir. Greene)
 - Write grant proposal to UCSC Foundation, requesting funds for the award and related events
 - Seek funds from Senate for the award and related events
 - Develop and plan DTA event-talk (discussed above)
- Continue in progress sub-committee work:
 - *New SET platform search.* John MacMillan will represent COT in the new platform selection. COT Chair most likely will also take part in this sub-committee.

- o *Student Response System (chaired by Lesley Kern)*: Nicholas Brummell will continue to represent COT on this committee charged with evaluating current “iClicker” devices and platforms with the aim of selecting a “universal” system, making it less burdensome and complicated for students.
- Update COT website: Note, work on creating additional materials for SETs and WDYT were put on hold as WDYT would become obsolete. COT hopes to collaborate with a FITC student worker to develop a stronger web presence and resource materials for the upcoming new SET platform. A COT sub-committee may want to form regarding an updated website.
- Continue to discuss COT’s next “project”: Possible future work could center on possible collaborations with DRC and CITL surrounding best practices with working with students with accommodations. However, many students who need accommodations do not seek them in college for various reasons, thus educating faculty around student disability is important. COT could launch a study around best practices in working with students who have various learning and psychological needs. This work could coincide with CITL’s third cohort of CITL Fellows who will be working in these areas. A possible “roundtable” featuring CITL Fellows or white paper could come from this collaboration. There is student interest to work with COT to educate faculty on accommodation issues from the students’ point of view. A DRC student representative met with Chair Helmer spring quarter to discuss student concerns.
- As mentioned in the COT 2017-18 report, understanding how COT and CITL can best complement one another should be considered and discussed. The above initiative could be a good opportunity for understanding various roles. The final COT meeting made it clear that COT does not want to only participate in policy related matters, but would like to have a more active role with pedagogy initiatives.

Respectfully Submitted;
COMMITTEE ON TEACHING
Nicholas Brummell
Sylvanna Falcón
John MacMillan
Boreth Ly (W,S)
Kimberly Adilia Helmer, Chair

Stephanie Bailey (NSTF)
Jim Phillips, sits with, Director of Learning Technologies
Jody Greene, sits with, CITL Director
Chessa Adsit-Morris, Graduate Student Rep

August 31, 2019

Appendix 1. COT SET questions administered in Winter 2019

METHODS

IRAPS survey and assessment analyst conducted statistical data analysis. The goals of the analyses were two-fold: to verify that the new SET questions have reliability (same or similar courses produce similar SET results), and to verify that the new SET questions have validity (questions measure what we expect them to).

Reliability of the new SET questions can only be measured based on SETs done in two sections of the same course taught by the same instructor (since we cannot ask students to evaluate the same course twice). We examined SETs results from two sections of a large course taught by the same instructor in the same quarter. We found the results to be very similar (based on chi-squared tests).

Validity of the new SET questions is established when we find consistency (1) across quantitative questions, (2) in relation to the class type (subject) or size, and (3) in the interpretation of the quantitative questions by students based on follow-up questions. We compared the results of two relatively large STEM courses, math (M) and physics (P), as well as a small writing class (W). A total of 181 students submitted SETs for M course, 152 students – for P course, and 14 students – for W course. It is important to note that these courses were taught by different instructors, and had different student populations, both in terms of their class level and their preparation.

KEY FINDINGS

- The new SET questions (quantitative) have **reliability** in terms of producing consistent results for similarly taught courses (in our case, the same course by the same instructor in the same quarter).
- Quantitative analyses of the new SET questions examined how students' responses were distributed in each course (frequencies and cross-tabulations) and the relations between different questions (crosstabulations and correlations). These analyses **did not reveal any anomalies**. This suggests that the new SET questions have a reasonable degree of validity, including **convergent validity** (the questions we expect to have consistent responses are indeed significantly correlated).
- Analyses of follow-up explanations for several questions found that students responded consistently with their quantitative responses. Based on the qualitative analyses, COT made a **few minor revisions to improve clarity** (for example, Q21) and **to shorten the form** (by combining two open-ended questions Q16 and Q17 in one).
- In selecting questions for **a teaching table**, we recommend to consider Q5, Q6, and Q12, which focus on the instructor's overall organization of class time (Q5), clear communication of disciplinary knowledge (Q6), and delivery of instructor-led in-class activities (lectures, demonstrations etc.) (Q12) respectively. All three questions are well correlated, which is a good indicator of the questions' quality and consistency in students' responses. One or two of these questions could be sufficient.
- We also considered Q13 a possible candidate for a teaching table. The analysis shows that Q13 is distinct from Q12, and more useful for instructors of courses with elements of active learning during class time (in other words, may be not uniformly useful for all class types).
- **All three background questions** are sufficiently clearly articulated, produce meaningful responses, and have a sufficient number of response options (very few students selected "other").
- **All three student engagement questions** are sufficiently clearly articulated, produce meaningful responses, and have a sufficient number of response options.

CONSISTENCY IN QUESTIONS BASED ON TWO SECTIONS TAUGHT BY THE SAME INSTRUCTOR

We examined the reliability of the new SET: whether students responded similarly in two sections taught by the same instructor in the same quarter. Two sections of the course included very similar students in

terms of their class level and reasons for taking the course. We compared student responses in section one with section two using chi-squared analysis. We analyzed every question in the three sections of the SET: student background, student engagement, and instructor/instruction questions.

We found that students in two sections responded to each question similarly, which suggests that the new SET questions are reliable. There were no statistically significant differences among students in the two sections of the course.

BACKGROUND QUESTIONS

There are three questions that provide information on student background:

- student’s current class standing (Q1),
- reason for taking the class (Q2), and
- feeling prepared for the work in the course by their previous coursework (Q21); this question may also provide feedback on curricular cohesion in the major (depending on the course).

Based on our analysis summarized below, we concluded that all three background questions are sufficiently clearly articulated, produce meaningful responses, and have a sufficient number of response options (very few students select “other”).

Q1. What is your current class standing at UCSC?

The composition of two courses differed significantly. The majority of students in course M were freshmen and sophomores (77%), whereas in course P the majority (90%) were juniors and seniors.

Q2. Why are you taking this class?

Almost all (90-94%) students in P and M courses are taking the course because it is required for the major. The list of reasons seems to be comprehensive; every option was selected, and overall, very few students in each course (1-7%) selected “other.”

Q21. Did you feel prepared, by prerequisites or prior coursework, for the work required in this course?

Almost all students (89%) in M course felt at least somewhat prepared for this course, compared to 77% of students in P course. The differences in these results reflect the type of course P, which is a considerably more self-contained, difficult course, than M course. Based on the analysis of the follow-up responses from students we made a small revision to the phrasing of the question.

Table 1. Feeling prepared, by prerequisites or prior coursework, for the work required in this course

	Course M	Course P
Unable to comment	9%	3%
Not at all prepared	2%	20%
Somewhat prepared	29%	47%
Prepared	60%	30%
Total	178	148

STUDENT ENGAGEMENT QUESTIONS

They include three questions:

- about class attendance (Q3),
- hours spent on studying for the course outside of class (Q4), and
- readings completed for the course (part of Q16).

Our analysis focused on finding meaningful patterns in student responses to examine validity of these questions and of the questions about the instructor.

Q3. What percentage of class meetings taught by this instructor (in person or remotely, not counting sections or labs taught by others) did you attend? (Note: 1 week = 10%)

For example, we found that exactly the same proportion of students (59%) of both large STEM courses attended 75-100% of classes, but over a quarter (28%) of students in P course and only 15% in M course attended under 50% of classes. This seems to be a reasonable variation given both similarities (large STEM lecture courses) and differences between the two courses, possibly related to student engagement as P course had more seniors than M course.

More importantly, the amount of classes attended (Q3) was significantly related to how students responded to questions about the instructor: Q5 (effective use of class time) and Q6 (communicated clearly). Students who attended fewer than 50% of class meetings were significantly less likely to rate highly the instructor’s use of class time and communication skills than students who attended 75-100% of class meetings ($p < .001$). The same pattern was found in their ratings of instructor-led presentations (Q12) and in-class activities (Q13). Low class attendance also reduced the instructor’s impact on student engagement (Q9) ($p = 0.56$).

Table 2. Percentage of class meetings attended and ratings of the instructor (Q5 and Q6), instructor-led presentations (Q12) and in-class activities (Q13) in large STEM courses, N=333

	Percentage of class meetings attended			
	0-24%	25-49%	50-74%	75-100%
<i>Q5. The instructor used class time effectively to support my learning. Very frequently</i>	15%	23%	33%	41%
<i>Q6. The instructor communicated and explained concepts clearly. Very frequently</i>	13%	19%	42%	37%
<i>Q12. Lectures and other instructor-led presentations were well structured and had clear goals. Very frequently</i>	15%	19%	35%	35%
<i>Q13. In-class activities were well structured and had clear goals. Very frequently</i>	13%	13%	34%	33%

Q4. About how many total hours per week, outside of class meetings, did you spend on work for this course?

There were course-specific differences in the number of hours spent on studying outside of class: 22% of course M students and 43% of course P students spent 7 or more hours studying outside of class weekly. Yet a similar proportion (20-23%) spent only 0-3 hours.

Table 3. Number of hours spent weekly on studying outside of class

	Course M	Course P
0-3 hours	23%	20%
4-6 hours	55%	36%
7-9 hours	17%	23%
10-12 hours	4%	14%
13 hours or more	1%	6%
Total	181	152

Q16. I found the assigned reading I completed to be useful to my learning in the course.

Students varied in their evaluation of assigned readings. Students in M course were more likely to find the readings useful/very useful than in P course. Yet, 55% of students in P course and 50% - in M course did not do the readings or said there were no assigned readings. (These results are not shown in tables). Students who found the assigned reading useful or very useful were significantly more likely to rate highly the instructor’s use of class time compared to students who did little to none of the assigned reading (see Table 4).

Table 4. Completing the assigned reading and % of “very frequent” use of class time and clear communication

	Reading completed				
	No assigned reading	I did little to none of the assigned reading	I found the reading somewhat useful	I found the reading useful	I found the reading very useful
<i>Q5. The instructor used class time effectively to support my learning. Very frequently</i>	33%	27%	21%	49%	63%

Q6. The instructor communicated and explained concepts clearly. <i>Very frequently</i>	36%	16%	27%	39%	73%
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QUESTIONS ABOUT THE INSTRUCTOR AND INSTRUCTION

They included two sets of questions, with all questions on a 5-point scale, and an option “unable to respond” (don’t know or not applicable). Please note that the **scale is designed to measure the frequency** with which the instructor had done X or a given activity has occurred. The 5-point scale has a balanced range with two low ratings (“never” and “occasionally”), one rating in the middle (“somewhat frequently”), and two high ratings (“frequently” and “very frequently”) to allow students respond without forcing them to select a too high or a too low response.

Set 1.

- Q5. The instructor used class time effectively to support my learning.
- Q6. The instructor communicated and explained concepts clearly.
- Q7. The instructor provided useful feedback on my assigned work (put “unable to comment” if you received feedback on your assignments only from a Teaching Assistant).
- Q8. The instructor clearly communicated how assignments would be evaluated and/or graded.
- Q9. The instructor helped me find ways to engage with the course materials. (*with follow-up).

Set 2.

- Q11. I understood the learning goals or learning objectives of the course. (*has a different set of responses)
- Q12. Lectures and other instructor-led presentations were well structured and had clear goals.
- Q13. In-class activities were well structured and had clear goals.
- Q14. Problem sets, writing assignments, and other homework, over the course of the quarter, helped me feel prepared for examinations, papers, and projects. (*with a follow-up).

CORRELATION ANALYSIS OF Q5, Q6, Q12, and OTHER QUESTIONS

We conducted correlation analyses of the SET questions to explore whether students tended to respond similarly, but not identically which would be redundant (identical items have correlation $r=1.00$). Please note that we need the questions to be correlated because they are measuring different aspects of teaching. Only questions with the same scales were included in this analysis.

We found that **Q5 and Q6 are well correlated with each other ($r=0.8$) and with Q12 ($r=0.7$)**. The next level of correlations is around $r=0.5$: Q5 and Q6 are correlated with Q12 and Q14.

Table 5. Correlation analyses (all significant at $p<.001$), M, P, and W courses, $N=343$.

	Q5	Q6	Q8	Q9	Q12	Q13	Q14
Q5 Use of class time	1.00						
Q6 Communicated concepts clearly	0.82	1.00					
Q8 Communicated grading policy	0.45	0.47	1.00				
Q9 Helped engage with course	0.52	0.54	0.49	1.00			
Q12 Instructor-led presentations	0.69	0.69	0.41	0.51	1.00		
Q13 In-class activities	0.42	0.43	0.30	0.39	0.51	1.00	
Q14 Low stakes assignments helped prepare for high stakes	0.53	0.55	0.37	0.44	0.57	0.37	1.00

Another way to **examine relations between the questions is to look at the discriminatory power of an individual question**: for example, do students with low responses to Q5 also give low ratings across the board, not just to one question? So for our purposes, we examined the responses of a subsample of students (from two courses) who gave low ratings. The second column in Table 6 shows the responses of students who selected “never” or “occasionally” about the instructor using class time effectively. The majority of these students (80%) gave the same low rating to Q6 (effective communication) and 73% to Q12 (instructor-led presentations).

This finding suggests that if there were more unsatisfied students like these 12%, the majority of them would give low ratings to Q5, Q6, and Q12. To confirm this we would need a more diverse selection of courses.

Table 6. Analysis of low ratings across the questions

	Q5 responses: Never or occasionally (n=46)	Q6 responses: Never or occasionally (n=47)	Q12 responses: Never or occasionally (n=49)	Q13 responses: Never or occasionally (n=44)
Q5 Use of class time	-	79%	67%	61%
Q6 Communicated concepts clearly	80%	-	77%	68%
Q8 Communicated grading policy	52%	55%	50%	58%
Q9 Helped engage with course	70%	70%	65%	77%
Q12 Instructor-led presentations	73%	83%	-	67%
Q13 In-class activities	59%	64%	60%	-

In addition, we also calculated Cronbach’s alpha, a measure used to identify survey items with internal consistency describing one broad characteristic of a phenomenon. If considered as a set, Q5, Q6, and Q12 have the highest Cronbach’s alpha (0.893). At the same, Q13 is also closely related to this set but in a distinct way, measuring a different aspect, the one that is more dependent on the students own engagement. For example, only 60% of students who rated low the instructor’s use of time would also rate low how the in-class activities were organized (See Table 6).

Q7: USEFUL FEEDBACK ON ASSIGNMENT BY CLASS SIZE

We analyzed students’ responses to Q7 (useful feedback on assigned work). We found that students in the small class where the instructor rather than the TA was providing feedback responded to the question as expected. In this case, the vast majority of students (93%) received useful feedback throughout the course. This finding suggests that this question is useful for small classes where the instructor grades student work. It is not useful for classes where TAs grade student work.

Table 7. Useful feedback on assigned work

	W (N=14)	M (N=180)	P (N=140)
Very frequently	79%	12%	5%
Frequently	14%	17%	10%
Somewhat frequently	7%	9%	7%
Occasionally	0%	5%	9%
Never	0%	4%	21%
Unable to comment	0%	53%	48%

Q9: USEFUL FEEDBACK ON ENGAGING PRACTICES

We analyzed the follow-up responses to Q9. The instructor helped me find ways to engage with the course materials. Most students provided short, reflective comments on what aspects of the instructor’s teaching style (e.g., enthusiasm for the subject, caring about students), assignments, and projects they enjoyed or increased their enthusiasm for the course. These comments were distinct from all other follow-up questions (e.g., about helpful aspects of the course or what needs to improve). Q9 (with quantitative responses) will allow instructors to compare their results over time; but without the qualitative detail (Q10), it won’t be useful for identifying practices that work particularly well in respect to increasing student engagement. We recommend keeping both Q9 and Q10 to support instructor’s improvement of teaching.

Q14. Problem sets, writing assignments, and other homework, over the course of the quarter, helped me feel prepared for examinations, papers, and projects.

Students provided short thoughtful responses regarding low stakes assignments vis-a-vis high stakes assignments.

Open-ended questions Q16, Q17, Q18 at the end of the SET

A close reading of student comments provided in Q16 and Q17 revealed that students could consistently distinguish teaching practices and course elements. For example, they would comment about in-class demonstrations in both questions. At the same time, the comments overall provided a lot of useful detail about what worked for students.

Here is the revised, consolidated question to replace Q16 and Q17:

Please describe any specific **teaching practices and materials** (lectures, seminar discussions, small group activities, demonstrations, instructional videos, homework, individual conferences, study guides, papers, etc.) the instructor used that you found helpful or unhelpful to your learning in this course.

Q18. “Is there anything else you would like to add?” provided distinct comments about the instructor and instruction. Many students thanked the instructor for doing a very good job while others expressed their frustration. Overall, it contained potentially very useful information that could provide context for student responses in the rest of the SET form. We recommend to keep the question as is.

Q20 (test Q21). Did you feel prepared, by prerequisites or prior coursework, for the work required in this course?

Analysis of the follow-up responses show that some (about 2%) students did not understand the question. They said that the course had no prerequisites while other students in the same class responded that they felt prepared by the AP course they took in high school.

Since the analysis shows this question to be informative (it shows whether students feel similarly or differently prepared to do the work in the class, as well as the extent to which the prerequisites and other courses in the curriculum prepare students to do the work), I suggest to revise the question as follows:

Did you feel prepared, by ~~prerequisites or~~ prior coursework **at UCSC, community college, or high school,** for the work required in this course?

1. Unable to comment
2. Not at all prepared
3. Somewhat prepared
4. Prepared

Appendix 2. Pilot Version of the SETs Administered in Fall 2018

Note: In this pilot we decided to focus on the learner and their learning experience and have omitted one question on instruction and replaced it with student's experience of intellectual challenge as a measure of teaching quality and student engagement.

Another change, in an attempt to separate students' dissatisfaction with grading and conflating those comments with their learning experiences, we have created a separate question at the end. **These changes are a pilot.**

CLASS LEVEL

Q1. What is your current class standing at UCSC based on your units?

- Freshman/first year
- Sophomore/second year
- Junior/third year
- Senior/fourth year
- Fifth-year senior or more
- Master's student
- PhD student
- Other, please explain _____

MOTIVATION

Q2. Are you taking this class to meet one of the following requirements?

- Required for major/minor
- Elective for major/minor
- GE requirement
- I need units to graduate
- None of the above

Q3. Do you have other reasons for taking this class? If yes, select the most important reason.

- No
- Yes, to prepare for job market or graduate school
- Yes, because of personal interest in this topic
- Yes, to get a good grade
- Other, please explain _____

If you answered "Other" please explain: _____

PERCENTAGE OF CLASSES ATTENDED

Q4. What percentage of class meetings (in person or remotely) did you attend?

- 75-100%
- 50-74%
- 25-49%
- 0-24%

TOTAL HOURS, OUTSIDE OF CLASS MEETINGS

Q5. About how many total hours a week, outside of class meetings, did you put into this course?

- 0 hours
- 1-3 hours
- 4-6 hours
- 7-9 hours
- 10-12 hours
- 13 hours or more

LEARNING: MAIN SKILLS AND KNOWLEDGE

Q6. What main skills and/or knowledge did you learn or improve in this course?

INSTRUCTION: SPECIFIC COURSE ELEMENTS

Q7. Please comment on specific learning elements of the course such as lectures, syllabus, films, in-class activities, field trips, homework, or projects (excluding grading scheme). Which was the most effective/helpful for your learning?

LEARNING: AMOUNT

Q8. How intellectually challenging was your learning experience in this course?

- Exceptionally challenging
- Very challenging
- Moderately challenging
- A little challenging
- Not challenging

Q9. Please restate your answer and briefly explain it. For example, “My learning experience was very intellectually challenging because ...”

Q10. How much do you feel you learned in this course, including in-class activities and learning you did on your own?

- Exceptional amount
- A lot
- A moderate amount
- A little
- Almost nothing

Q11. Please restate your answer and briefly explain it. For example, “I learned a lot because ...”

SUGGESTIONS

Q12. Do you have any suggestions for improving specific course elements to help students like you learn in this course (excluding grading)?

Q13. If you have any comments regarding how your performance was graded in this course, please explain below.

Appendix 3. Final SET 5/21/19

Student Experience of Teaching (SET) Survey

*A Collaboration of COT and CITL, in consultation with IRAPS,
Incorporating input from CAAD, CAP, CEP, APO, and SEC*

Please note that bolded questions 5, 6, and 12 were selected for the Teaching Table. Footnotes should be eliminated for students, but are preserved here as a record.

The purpose of this anonymous survey is:

1. To give you a chance to reflect on how your experience with your instructor influenced your learning in the course;
2. To give your instructor feedback that may be helpful in improving the effectiveness of their **instruction** or the **design** of this course.
3. To give university administration and instructor's department/program/college evidence of your instructor's teaching effectiveness for their personnel reviews.

The instructor will not see responses until after grades have been submitted.

Please **only comment on your experience with the primary instructor**. Please fill out a **separate survey for any teaching assistants** for this course.

STUDENT INFORMATION

1. What is your current class standing at UCSC?
 - Freshman/first year
 - Sophomore/second year
 - Junior/third year
 - Senior/fourth year
 - Fifth-year senior or more
 - Master's student
 - PhD student
 - Other
2. Why are you taking this class?
 - Required for my major/minor
 - Elective for my major/minor
 - Part of a proposed major/minor I am exploring
 - To fulfill a GE requirement (outside my major/minor)
 - General interest in the topic
 - Other reasons

3. What percentage of class meetings taught by this instructor (in person or remotely, not counting sections or labs taught by others) did you attend? (Note: 1 week = 10%)

- I withdrew from the course.
- 0-24%
- 25-49%
- 50-74%
- 75-100%

4. About how many total hours per week, outside of class meetings, did you spend on work for this course?

- 0-3 hours
- 4-6 hours
- 7-9 hours
- 10-12 hours
- 13 hours or more

FEEDBACK ON INSTRUCTION:

Instructions to students: Please respond as to how frequently the instructor did each of the following.

(Scale for 5-9 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently)

5.¹ The instructor used class time effectively to support my learning.

6.² The instructor communicated clearly and explained concepts effectively.

7. The instructor provided useful feedback on my assigned work (put “unable to comment” if you received feedback on your assignments only from a Teaching Assistant).

8. The instructor clearly communicated how assignments would be evaluated and/or graded.

9.³ The instructor helped me find ways to engage with course content.

Comments (OPEN ENDED)

¹ IRAPS report suggests that Q5 could be a possible teaching table question based on correlation (convergent validity) and qualitative analysis.

² IRAPS report suggests that Q6 could be a possible teaching table question based on correlation (convergent validity) and qualitative analysis. At COT’s 5.21.19 meeting, this question was further refined (i.e., communicated *clearly*, explained concepts *effectively*).

³ IRAPS report recommends that if Q9 remains that it should be followed by its explanation in Q10 because students responded in a variety of ways; qualitative detail is needed for the question to be useful to instructor. Question 9 could be useful for tracking improvement over time. Changes cannot be made unless you have specific qualitative feedback. Students understood the word “engaged.” At the COT 5.21.19 meeting “materials” was replaced with “content.”

10. Please restate your answer to Question 9 and explain it. For example, the instructor helped me engage with the course materials “somewhat frequently” because....

FEEDBACK ON COURSE:

(Scale for 11: never understood the goals/at the beginning of the course/at the end of the course)

11. I understood the learning goals or learning objectives of the course.

(Scale for 12-14 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently)

Instructions to students: Please only comment if the course contained the specific activity addressed in questions 12-14. Otherwise select “unable to comment.”

12. Lectures and other instructor-led presentations were well structured and had clear goals.

13. In-class activities were well structured and had clear goals.

14.⁴ Problem sets, writing assignments, and other homework, over the course of the quarter, helped me feel prepared for examinations, papers, and projects.

(Scale for question 15 is: no assigned reading/I did little to none of the assigned reading/I found the reading somewhat useful/I found the reading useful/I found the reading very useful)

15. I found the assigned reading I completed to be useful to my learning in the course.

Comments OPEN-ENDED

16.⁵ Please describe any specific **teaching practices and materials** (lectures, seminar discussions, small group activities, demonstrations, instructional videos, homework, individual conferences, study guides, papers, etc.) the instructor used that you found helpful or unhelpful to your learning in this course.

17. What suggestions, if any, do you have to improve this course? Please be as specific as possible.

18. Is there anything else you would like to add?

⁴ Students provided short thoughtful responses regarding low stakes assignments vis-a-vis high stakes assignments.

⁵ Question 16 is now a consolidation of two former questions: “teaching practices” and “course elements.” Many students could not differentiate between teaching practices and course elements in their comments. Please see the IRAPS report. As a result we combined these questions.

Preparation for the Course

19.⁶ Did you feel prepared, by prior coursework at UCSC, community college, or high school, for the work required in this course?

- Unable to comment
- Not at all prepared
- Somewhat prepared
- Prepared
- Very prepared

Comments OPEN-ENDED

20. Please restate your answer to Question 19 and explain it. For example, I felt somewhat prepared because

⁶ Question 19 has been made more specific based on the IRAPS study.

Appendix 4. Literature Review on SET Summary Questions

Abbreviated Literature Review on SET Summary Questions

Below and attached are five articles that can ground our conversation about the validity of summary questions regarding teaching effectiveness and course quality. Some articles deal directly with the validity of summary questions. Others consider the definition of teaching effectiveness. Still others consider the relationship between SET results and other indicators of student learning.

We hope that CAP will find these useful.

1. Summary questions and teaching effectiveness

Philip B. Stark and Richard Freishtat, "An Evaluation of Course Evaluations," *ScienceOpenResearch* 2014. (DOI:10.14293/S2199-1006.1.SOR-EDU.AOFRQA.v1)

<https://www.scienceopen.com/document?vid=42e6aae5-246b-4900-8015-dc99b467b6e4>

The top three items in the recap:

- a. SET does not measure teaching effectiveness.
- b. Controlled, randomized experiments find that SET ratings are negatively associated with direct measures of effectiveness. SET seems to be influenced by the gender, ethnicity, and attractiveness of the instructor.
- c. **Summary items such as "overall effectiveness" seem most influenced by "irrelevant factors."**

2. Relationship between SET results and actual learning

Kornell, Nate, and Hannah Hausman, "Do the Best Teachers Get the Best Ratings?" *Frontiers in Psychology* 7 (April 2016), Article 570.

<https://www.frontiersin.org/articles/10.3389/fpsyg.2016.00570/full>

This is a relatively well known study of the existing studies, and includes important information about the correlation between SET scores and first course performance vs subsequent course performance:

"Two recent studies found that when learning was measured as performance in subsequent related courses (i.e., when deep learning was measured), teachers who made relatively large contributions to student learning received relatively low teacher ratings (Carrell and West, 2010; Braga et al., 2014). **If a college's main goal is to instill deep, long-term learning, then teacher ratings have serious limitations.**" (6)

3. Definition of “effective teaching”

Hornstein, Henry A., “Student Evaluation of Faculty Teaching and the Mis-measurement of Performance,” *Cogent Education* (2017), 4:1304016.

<https://www.tandfonline.com/doi/full/10.1080/2331186X.2017.1304016>

There is no consensus among scholars concerning the definition of “effective teaching” or teaching competence (Spooren et al., 2013), so how is it reasonable to expect students who have little to no content knowledge to be able to evaluate it? Yet university administrators, and tenure and promotion committees act as if the relationship between SET and competent teaching is clear and unequivocal, and that therefore it is reasonable to require faculty to obtain “high” SET scores because that means that their teaching performance is superior. In fact, this relationship is anything but unequivocal (for example, Langbein, 2008).

4. Validity of summary questions

Marsh, Herbert W. and Lawrence A. Roche, “Making Students' Evaluations of Teaching Effectiveness Effective: The Critical Issues of Validity, Bias, and Utility,” *American Psychologist* Vol. 52, Iss. 11, (Nov 1997): 1187-1197.

<https://search.proquest.com/docview/614331247/fulltext/A9917674253C4E58PQ/3?accountid=14523>

The authors recommend rejecting a narrow criterion-related approach to validity and adopting a broad construct-validation approach, recognizing that effective teaching and SETs that reflect teaching effectiveness are multidimensional; no single criterion of effective teaching is sufficient; and tentative interpretations of relations with validity criteria and potential biases should be evaluated critically in different contexts, in relation to multiple criteria of effective teaching, theory, and existing knowledge. (PsycINFO Database Record (c) 2016 APA, all rights reserved) (Source: journal abstract)

Marsh and Roche explain: “Global or overall ratings cannot adequately represent the multidimensionality of teaching. They also may be more susceptible to context, mood, and other potential biases than are specific items that are more closely tied to actual teaching behaviors, leading Frey (1978) to argue that they should be excluded” (1188, par.5).

5. Evaluating students' evaluations of professors

Braga, Michela, Marco Paccagnella, and Michele Pellizzari, “Evaluating Students' Evaluations of Professors,” *Economics of Education Review* 41 (2014): 71-88.

<https://www.sciencedirect.com/science/article/pii/S0272775714000417>

This paper contrasts measures of teacher effectiveness with the students' evaluations for the same teachers using administrative data from Bocconi University. The effectiveness measures are estimated by comparing the performance in follow-on coursework of students who are randomly assigned to teachers. We find that teacher quality matters

substantially and that our measure of effectiveness is negatively correlated with the students' evaluations of professors. (Source: journal abstract)

"The interpretation of the students' evaluations as measures of the quality of teaching rests on the – explicit or implicit – view that the students observe the quality of teaching in the classroom and, when asked to report it in the questionnaire, they do so truthfully. Our results, however, contradict this view and seem more consistent with the idea that students evaluate teachers on the basis of their enjoyment of the course or, in the words of economists, on the basis of their realized utility... In order to support the claim that the students' questionnaires reflect the students' enjoyment of the class experience rather than the quality of teaching, Table 10 shows that the evaluations are significantly affected by weather conditions on the day in which they were filled. There is ample evidence that people's utility (or welfare, happiness, satisfaction) improves with good meteorological conditions." (84)

Appendix 5. Memes to Encourage SET Response

Test NEW Survey Messaging  Inbox x

 **course-evals@ucsc.edu**
to me ▾



Dear Kimberly,

Your voice matters! Go to sets.ucsc.edu and click the login button.

or you can access your surveys by clicking on the "SETS - was course evals" link in any Canvas site.

The following course surveys are available for you to complete in WDYT.
TESTTEST - TEST : Rebecca Peet

Surveys close on **12:45 AM on Fri, May 17, 2019 PDT.**

course-evals@ucsc.edu

to me ▾



The following course surveys are available for you to complete.

TESTTEST - TEST : Rebecca Peet

Go to sets.ucsc.edu and click the login button.

or click on the "Sets - was course evals" link in any Canvas site.

Surveys close on 12:45 AM on Fri, May 17, 2019 PDT.

GRADUATE COUNCIL 2018-19 Annual Report

To the Academic Senate, Santa Cruz Division:

Graduate Council (GC) worked on several issues this year. The Council's pro-active work included continued participation in the Senate's review of the draft campus Strategic Academic Plan; a focus on graduate growth and graduate student research, including consultation with the Campus Provost/ Executive Vice Chancellor (CP/EVC); participation with the Committees on Planning and Budget (CPB) and Educational Policy (CEP) on a historical study of Teaching Assistant (TA) allocations; and collaboration with the Vice Provost and Dean of Graduate Studies (VPDGS) on changes to fellowship review and the establishment of the Graduate Division as a course sponsoring agency. Other business included review of graduate program curricular changes and adoption of the new campus SmartCatalog system; review of new degree program and non-degree program proposals, including addition of pathways to existing degrees; participation in the external reviews for several departments; monitoring of graduate programs under GC review; reviewing and updating GC's delegation policy; review of divisional faculty recruitment requests; and review of applicants for the Cota-Robles Fellowships. The Council welcomed new Vice Provost and Dean of Graduate Studies Lori Kletzer this year, and formally consulted with her on several issues, including an orientation into the "state of graduate education" for members at the start of the year, Dissertation Year and Cota-Robles Fellowships, review of the block allocation formula, and graduate admissions applications and outcomes. A detailed summary of the Council's work in 2018-19 is provided below.

Strategic Academic Plan (SAP)

Graduate Council reviewed drafts of the Strategic Academic Plan (SAP) on two occasions during the 2018-19 year (winter and spring 2019). Council had limited time on its agendas to devote to SAP review, however, GC recognized the importance of weighing in given the limited space and specific attention devoted to graduate education in previous SAP documents. The first draft reviewed during winter 2019 was a "rewrite" of the SAP and Implementation Playbook, a revision of the draft presented to the Senate over summer 2018. The Council noted that this draft addressed the earlier lack of attention to graduate education, although there were many areas where graduate education was still missing or was not substantially integrated. In its response to this draft, Council emphasized how doctoral growth has proven an intractable campus problem, because it is both expensive and the most tied to excellence in research—with the capacity to contribute to interdisciplinarity and to further innovation in the Academic Priority Areas (APAs). The Council's feedback focused, as requested, on the design principles, ensuing initiatives, and plans for implementation. However, the Council also noted that a set of assumptions embedded within the SAP draft remained a concern to be addressed, including: the definition of student as a reference to all students, even when the intended referent is undergraduates; the relationship between different kinds of researchers—i.e. faculty and graduate student research not always aligned; and the need to recognize and plan for the resource commitments to support doctoral growth. Overall, the Council appreciated the ways in which the "rewrite" of the SAP draft included and integrated attention to graduate education, and the Council provided a set of targeted feedback where graduate education and graduate students might be even more meaningfully included, as well as specific goals and initiatives the Council endorsed, including ways in which inclusion of Graduate Council and the Vice Provost and Dean of Graduate Studies could play a critical role and be included in specific initiatives. Council also raised issues to bring more specificity to the broader goals of diversity, including expanding the ways in which we think about diversity to include what diverse students bring to the table (vs. operating within a model of deficiency) and calls for a broader decolonization of the curriculum. Graduate Council also raised questions about interdisciplinarity in context of graduate education, and suggested it may be time to re-engage with the discussion of graduate groups and fully

engage with the barriers that are organizational and logistical in supporting generative interdisciplinary connections in research and teaching. The Council noted that the spring revision (“Final Draft” of the SAP) did include further integration of initiatives focused on graduate education, and while, in Council’s view, there remains much work to be done to meaningfully engage graduate education issues, there was consensus among the Council that this draft had begun that process. As the campus’s new administrative leadership identifies plans to move forward with SAP implementation in the next year, Graduate Council looks forward to the centering of graduate education goals as a key component of implementation plans.

Graduate Growth: Growing and Sustaining Graduate Student Research

During the 2018-19 academic year, the Council decided that a re-focus on graduate growth was needed, and this year’s graduate growth subcommittee worked on the goal of furthering the committee’s previous work.¹ The Council began the year by inviting then-CP/EVC Marlene Tromp to consult with the Council, with the intent to focus on GC’s 2017 “Statement and Report on Strengthening Graduate Programs at UCSC,” and specifically to elicit the administration’s vision and thinking about graduate education as a central campus priority; funding for graduate education, including steps the campus could take to align funding with its stated focus on graduate education; and on how graduate education would figure as a priority in the 2019-20 faculty FTE process. CP/EVC Tromp noted her willingness to continue to consult with the Council and suggested a future consultation that would include the Vice Chancellor for Planning and Budget. The subcommittee’s work and focus this year ultimately culminated in a report to the Academic Senate, “Growing and Sustaining Graduate Student Research at UCSC” (May 2019). The report begins from the premise that research and Ph.D. graduate education are important parts of the UC/UCSC ecosystem, valuable and of high priority for the campus. However, the question of how UCSC will finance graduate student growth needs to be grappled with, and the report presented an analysis that clarifies the true cost of research, in essence highlighting that Ph.D. level research does not pay for itself and that therefore other funding sources must be created and redirected to make up the gap. The deficit, the report argued, is caused by both indirect cost recovery (ICR) that is not “on average” sufficient to cover the costs of Ph.D. research and the additional funds needed to support graduate students. Findings are in line with and support Council’s previous report that calls for central campus leadership and a central-administration driven comprehensive strategic plan for establishing and reaching graduate growth targets, and this report hopes to further efforts to plan strategically for graduate growth by modeling a clear picture of the financial costs. The Council expects that it will continue to engage with the issues presented in this year’s report in 2019-20 as part of the Council’s broader interest in strengthening graduate education on the campus. The subcommittee received much feedback that revealed interest from many parts of the campus in this year’s report, and Council is particularly interested, given recent transitions in campus leadership, in continued conversations with the administration about how graduate education figures as a priority for the campus.

Curriculum Management: Implementation of SmartCatalog

In 2018-19, the campus implemented SmartCatalog, a new curriculum management system. The Graduate Council Chair and Graduate Council staff analyst worked actively with the Curriculum Management Project (CMP) team and in collaboration with the Committee on Educational Policy (CEP) Chair and analyst this year, coordinating logistical issues related to program statement review in the new system. From Graduate Council’s perspective, the implementation of SmartCatalog did not go as smoothly as expected, however, CMP Manager Don Moonshine generously offered his time and support throughout this year’s process. Delays in implementation of the new system translated into program statements that were submitted on a later timeline than during normal years, which did not allow the usual pre-review of statements and reduced Graduate Council’s overall time to review proposed changes. In addition, a number of problems and system bugs were discovered during the review; systemic issues are expected during implementation of any new system, and the Council is hopeful that the issues that most negatively impact Senate review will be

¹ This work includes, most recently, Graduate Council’s Statement and Report on Strengthening and Growing Graduate Programs at UCSC (May 2017).

remedied in future cycles. Overall, the Council perceived that the system was built with less focus on the specific needs and relative knowledge of end-users/Senate faculty reviewers in mind. With the first cycle of SmartCatalog complete, the Graduate Council Chair and CEP Chair identified a number of issues that they would like to see remedied during next year's process (GC and CEP to CMP 7/19/19). The Council will continue to work with CMP Manager Don Moonshine and his team during the summer, as well as into 2019-20, as the second year of implementation gets underway. GC expects that next year will see improvements in both the system and review process timeline that will have a positive impact on Senate review.

Delegation Policy

The Council's "Delegations of Authority" document is intended to provide a comprehensive list of routine administrative decisions delegated to the Vice Provost and Dean of Graduate Studies, as well as those decisions delegated to the Council Chair and other administrative officers. The document also states, as established in GC bylaws, that the Council will annually monitor and review its delegations of authority and consult with the VPDGS, who will report annually on 1) the formulation of general procedures established in conformity with the delegations of authority, and 2) any re-delegations of authority.

The Council reviewed its delegation document during winter 2019, and amended the document to include the delegation of review of graduate courses of instruction (including new courses, changes in existing courses, and course discontinuations) to the Committee on Courses of Instruction (CCI). This delegation was additionally extended for the 2019-20 year, and will be reviewed at the end of the next academic year.

VPDGS Consultations

There are a number of issues on which Graduate Council and the Graduate Division formally consult throughout the year. To facilitate communication and review of key issues, the Council maintains a formal consultation calendar with the Vice Provost and Dean of Graduate Studies, produced collaboratively during the summer. Consultation topics, anticipated to occur annually, focused on the following:

"State of Graduate Education" Overview: The Council welcomed newly appointed Vice Provost and Dean of Graduate Studies (VPDGS) Lori Kletzer. This orientation overview for the Council focused on a general overview of the Graduate Division, VPDGS Kletzer's mission and vision for the Graduate Division, as well as her key goals for graduate education. VPDGS Kletzer also presented data related to graduate enrollment growth (number of applicants and yield for the campus and by department/program and division) and funding trends over the last five years.

Dissertation Year, Dissertation Quarter, and Cota-Robles Fellowship Report: GC requested a consultation with VPDGS Kletzer on process and outcomes for the Dissertation Year Fellowships (DYF) and Cota-Robles Fellowships. The consultation focused on review of the Cota Robles review process, including review of data on outcomes from the previous year. Members later received information about divisional review of the DYF. However, during the consultation, VPDGS Kletzer raised the matter of best practices for divisional committees and the need for further Council discussion of that issue. This will be taken up in fall 2019, when the Council will also review DYF divisional review data.

Review of Block Allocation Formula: This consultation focused on the general annual overview of the block allocation formula, including the factors considered, how it is determined, and how allocations are made across programs, as well as a general overview of the Master's Incentive Funds (MIP) program. VPDGS Kletzer shared with the Council that the full block allocation spreadsheet, for the first time, was shared with all departments/programs, and noted that most appreciated the transparency.

GC requested, in its pre-consultation memo, that VPDGS Kletzer provide her annual report on graduate academic integrity cases for the previous year and a report on delegations and re-delegations of authority

as an information item. Due to time constraints, these items were not discussed and will be followed up on next year.

Graduate Admissions Report: VPDGS Kletzer presented a graduate admissions report, including applications, admissions, and acceptances for the coming year. Graduate Council also requested, and received, an update on racial/ethnic diversity and gender statistics in application, acceptance, and admission data in the context of the Graduate Division's goals for increasing diversity. These data were presented by division over the last three years and included reasons for declined offers over this same period. At last year's consultation on this topic, then-VPDGS Miller expressed concerns about racial/ethnic diversity, noting low numbers from applicants through accepted offers, particularly for African American and Latinx students. VPDGS Kletzer noted that underrepresented minority (URM) trends are up for applications, but down for acceptances. The Council discussed barrier issues, including housing and lack of competitive offers for the campus. Members noted the need to have stronger discussion based on data about diversity *within* the "URM" category.

The consultation calendar, now in its third year, has strengthened communication and sharing of information on several key issues between Graduate Council and the VPDGS, who serves as *ex-officio* member of the Council. The Council looks forward to continued collaboration with the new Acting Vice Provost and Dean of Graduate Studies Quentin Williams in the coming year.

Additional Collaborations:

Graduate Council and VPDGS Kletzer collaborated on two additional matters this year. First, Graduate Council and VPDGS Kletzer, over a number of Graduate Council meetings and initiated by VPDGS Kletzer, discussed the role of the Graduate Record Examination (GRE) in both the Cota-Robles and the Chancellor's fellowship review process. This discussion was precipitated by the knowledge that departments/programs on campus are increasingly not requiring GRE scores for consideration of admission (consistent with national trends), in the context of research that has called into question the predictive ability of the GRE for graduate student "success" and especially its limitations in predicting success for underrepresented minority students. The Council decided that beginning with the 2019-20 cycle, the Cota-Robles will no longer consider GRE scores as part of the fellowship selection process. In addition, beginning the 2019-20 cycle, divisions are encouraged to consider blocking the GRE information in reviews for the Chancellor's fellowship for entering doctoral students. This decision was communicated to Deans, department chairs, faculty graduate directors, and staff graduate advisors in joint correspondence from the GC Chair and VPDGS (12/13/18).

Second, the Council supported VPDGS Kletzer and collaborated with her to bring about a change to establish the Graduate Division as a course sponsoring agency. This status initially allows the Graduate Division to sponsor and administer coursework for the Graduate Preparation Program for incoming first year international students (non-credit bearing courses). Approval as a course sponsoring agency will also allow the Graduate Division, in the future, to offer additional courses that span the disciplines and are more logically situated within the Graduate Division, such as courses on professional development. The Council noted that several of our UC sister campuses already have Graduate Divisions approved to offer such professional development courses.

Review of 2019-20 Divisional Faculty Recruitment Requests

Graduate Council has participated in the review of divisional faculty recruitment requests since 2012-13, in context of campus planning for and implementation of graduate growth. The Graduate Council Chair attended all of the Committee on Planning and Budget's (CPB) consultations with the academic deans, and the Council reviewed CPB pre-consultation memos and dean responses, where available, to inform its review.

Council's recommendations this year did not opine or rank all requests. The difficulty in arriving at recommendations stemmed from the fact that responses to the call did not always address how graduate education, in particular, would be affected by the new hires, even though the call specified doctoral growth as one of the four drivers. Graduate Council's recommendations, therefore, highlighted its understanding of how it viewed the FTE process with respect to graduate education, commenting on divisional plans where the impact on graduate programs was clear, and not commenting where there was insufficient evidence to form a conclusion. Graduate Council underscored its sense that the Strategic Academic Planning process could help correct for one of the persistent problems in addressing graduate education on this campus—the problem of driving faculty hiring through undergraduate educational demands or siloed research agendas, although the Council also recognized that graduate education has not yet been fully integrated into the SAP and into campus planning. The Council outlined several issues related to graduate criteria that might be highlighted in future calls and might be more clearly articulated in divisional responses, including in the following areas: masters vs. terminal degree programs, graduate metrics and analysis, graduate training (i.e. how we capture labor and diversity implications), faculty involvement in graduate education, translation into APAs, and interdisciplinarity.

Council appreciates the opportunity extended by the CP/EVC to participate in the FTE review process. Next year's Council will consider how it can best participate in the review process, keeping in mind the need to balance meaningful review and its already heavy agenda, in the context of an assessment of impact.

Historical Study of TA Allocations and Proposal for Regularization: GC, CEP, CPB

During 2018-19, the Chairs of Graduate Council (GC), the Committee on Educational Policy (CEP), and the Committee on Planning and Budget (CPB), in collaboration with the Office of Planning and Budget, examined the recent history of TA allocations dating back to 2008, motivated by a concern that campus allocation of TA resources might not be equitable. The committees produced a brief report, and based on this work, the three Senate committees supported a proposal for additional funding to be allocated for TA positions in the Social Sciences and Physical and Biological Sciences divisions. This report was forwarded to the CP/EVC (GC, CEP, CPB to CP/EVC 2/22/19). CP/EVC Tromp responded that temporary augmentation had been or would be provided to Social Sciences and PBSci for 2019-20. CP/EVC Tromp also noted that the Office of Planning and Budget would be working on refining academic resource funding models, which would include starting a workgroup that would include the participation of Academic Deans and Senate committees. The Council looks forward to participating in that effort once it is launched.

Program Monitoring

Digital Arts and New Media M.F.A. Program

Graduate Council, over several meetings during winter and spring 2019, reviewed proposed curricular changes to the Digital Arts and New Media (DANM) M.F.A. program, and during that review, additional issues emerged related to program governance and impacts on the program. Graduate Council decided to continue monitoring DANM in the next year, and expects to work with the program in early fall as it continues to work on curricular changes (GC to DANM 6/21/19).

Education Ph.D. Program

Graduate Council has consistently praised the Education department for its thorough recent reports about the status of its Ph.D. program over the last few years, as well as the progress the department has made toward addressing the issues raised by the Council. This year, the Council provided a set of less data-intensive questions for the department's report to address (GC to Education 2/11/19), which the Council received and reviewed during spring quarter. The department's report was thorough, highlighting the strategic planning and visioning work of the department in context of its strengths and needs. The Council appreciates that this is an important time for department planning, with the recent transition in leadership and governance structure, and made the decision that no additional reporting is required at this time.

Feminist Studies Ph.D. Program

The Council reviewed and discussed a report submitted by the Feminist Studies Department during spring 2019, responding to a set of questions posed by the Council (GC to FMST 6/26/18) related to department climate and impacts on the Ph.D. program. Graduate Council monitoring of Feminist Studies began in 2016-17 during review of the 2015-16 External Review Committee report findings. Chair Gina Dent was recused from Council review of the program, which was led by Chair *Pro Tem* Lissa Caldwell.

While the Council commended the department on its efforts and progress to date, the report raised further questions for the Council. During spring 2019, the Council consulted with the Feminist Studies Chair and Acting Humanities Dean Bassi in order to better engage in dialogue about the issues faced by the department and impacts on the Ph.D. program. The Council commended the department upon learning of various successes in the department. It also noted lingering concerns and requested a follow-up report, to be submitted in winter 2020.

Regular Committee Business

New Degree Program Proposals

Graduate Council reviewed and approved a proposal for a new M.S. in Human Computer Interaction with PDST (December 2018).

New Non-Degree Proposals

Non-degree proposals include Designated Emphases (DE), Five-Year Contiguous Bachelor's/Master's paths, and non-SR 735 certificates. Graduate Council reviewed and approved proposals for Five-Year Contiguous Bachelor's/Master's proposed by the following: Statistical Science (April 2019), linking the M.S. with various related existing undergraduate degrees, with a fall 2019 launch; Science Education and Education MA/C (April 2019), planned launch in fall 2020; Ecology and Evolutionary Biology (May 2019) linking the EEB M.A. with related existing undergraduate degrees, with a planned launch of fall 2020. The Council also reviewed and approved two proposals for Designated Emphases: Coastal Science and Policy (April 2019), Computational Media (May 2019). Both are effective fall 2019.

Graduate Council also reviewed a proposal from the Astronomy and Astrophysics department to establish a Ph.D. dual degree pathway with Swinburne University of Technology Centre for Astrophysics and Supercomputing. After significant research and multiple consultations with CCGA and systemwide staff on the feasibility of dual-degree proposals, as well as any best practices to ensure success of programs, the proposal was not approved.

Discontinuances

GC reviewed and approved the proposal to discontinue the following: the Theater Arts certificate (October 2019); the Science Communication Graduate Academic Certificate (January 2019); and the Molecular, Cell, and Developmental Biology M.A. (April 2019).

External Reviews

The Council submitted questions for upcoming external reviews for Art, Computational Media, Philosophy, and Psychology. In addition, the Council prepared external review report responses for closure meeting discussion for Linguistics and Chemistry. The Council also reviewed mid-cycle reports and made recommendations on length of review cycle for Digital Arts and New Media, Education, Ocean Sciences, Politics, Biomolecular Engineering, Film and Digital Media, Sociology, and Feminist Studies. The Council also reviewed external review deferral requests for History of Consciousness and Art.

Program Statement Changes

GC reviewed graduate program statement changes for the 2019-20 catalog copy. In addition to the issues noted in the section above related to SmartCatalog implementation, Council also navigated many late

program statement change requests, and further, attempts by programs to make changes to program statements after Graduate Council approval and during the editing phase by the Catalog Editors. Graduate Council will be working with the Registrar's Office to communicate to departments and programs the expectation to adhere to deadlines in future cycles.

GSI Requests

The Council delegates to the Council Chair review and approval of Graduate Student Instructor (GSI) requests. Instances of graduate students assuming instructional roles for graduate courses are rare, and the systemwide University Committee on Educational Policy and the Coordinating Committee on Graduate Affairs have taken the position that no graduate student should take on an instructional role for which they can influence the grade of another student's performance unless faculty oversight of the assessment process is sufficient to prevent any semblance of conflict of interest. This year, the Council reviewed and approved eleven GSI requests from the Computer Science and Engineering, Economics, Education, Feminist Studies (reviewed by Chair *Pro Tem*), History of Consciousness, Literature, Music, Physics, and Statistics departments.

Fellowship Review

A Graduate Council subcommittee advised the Vice Provost and Dean of Graduate Studies on the selection of Cota-Robles Fellowships.

Local and Systemwide Issue Review

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

- Review of BSOE Course Codes and Course Code Renumbering (with CEP and CCI) (September, October 2018)
- Computer Science and Engineering Qualifying Examination Committees Request (November 2018)
- Systemwide Review of Revised Proposed Presidential Policy on Sexual Violence and Sexual Harassment (November 2018)
- Proposal to Reorganize Statistics and Applied Mathematics M.S., Ph.D. (December 2018)
- Review of VPAA's Draft UCSC Financial Planning Guidelines for Self-Supporting Graduate Professional Degree Programs (SSGPDPs) (December 2018)
- Four Faculty FTE Transfer Requests (December 2018, April 2019, June 2019)
- Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations (February 2019)
- Proposal to Establish UCSC Genomics Institute (GI) Organized Research Unit (March 2019)
- Proposal to Consolidate Computer Engineering, Computer Science, and Electrical Engineering Graduate Programs (March, April 2019)
- Second Review of Proposed Campus Policy on Conflict of Interest Related to Consensual Relationships (June 2019)

The Council deliberated a guest policy, and agreed to extend a formal invitation to Assistant Dean of Graduate Studies Jim Moore to attend Council meetings as a guest for 2018-19. The Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2018-19:

- Graduate program monitoring— Feminist Studies Ph.D. program, Digital Arts and New Media M.F.A. program

- Graduate Growth—the Council will continue to actively participate in and monitor campus planning for graduate growth
- Collaborate with VPDGS on issues related to graduate education, both pro-active and routine, including best practices for divisional fellowship review processes
- Collaborate with Curriculum Management Project team, jointly with CEP, during second-year of implementation of SmartCatalog
- Consider emerging CCGA and systemwide consensus with respect to self-supporting graduate programs and any unusual degrees (e.g., dual degrees).

Respectfully submitted,

GRADUATE COUNCIL

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Sharon Daniel

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Alex Pang

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Quentin Williams, *ex officio*

Gina Dent, Chair

Katharin Peter, LAUC Representative

Roy Sfadia, Graduate Student Rep (*W, S*)

Peng Zhou, Graduate Student Rep (*W*)

August 31, 2019

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Annual Report, 2018-19

To: Academic Senate, Santa Cruz Division

The key achievement of this academic year was the formal Senate approval of the Committee on Development and Fundraising (CDF) at the meeting on May 17, 2019 (see charge below).

13.14.1 There are six Santa Cruz Division members. The Vice Chancellor of University Relations (VCUR) is invited to sit with the Committee.

13.14.2 The Committee serves as a point of interface between the Academic Senate and the Administration to promote faculty engagement in campus fundraising and development as well as to collaborate with University Relations in those efforts. The Committee also consults regularly with the Vice Chancellor for Research.

13.14.3 The Committee advises the Chancellor, Campus Provost & Executive Vice Chancellor, and VCUR on priorities, policies and strategies related to fundraising and development.

The Special Committee on Development and Fundraising was formed by the Senate in fall 2014 to meet the need for a more active and diverse faculty voice in fundraising. Our charges were to: 1) advise the Chancellor and Vice Chancellor for University Relations (VCUR) on priorities, policies, and strategies in development and fundraising; 2) serve as a resource for the VCUR to identify and enroll faculty in development and fundraising. The overarching goal was better coordination of faculty-University Relations (UR) collaboration.

This year we focused on a new phase of our experimental program identifying faculty clusters that represent current untapped opportunities for collaborative research at UCSC, and then working with those clusters and UR to prepare and give a presentation to potential community and industry partners. We were especially interested in new or existing faculty-initiated research areas that might fall through standard funding cracks. Using as our basis the Themed Academic Working Groups (TAWG) from the Strategic Academic Planning (SAP) process, we issued several calls for faculty cluster proposals and chose to work with the pedagogy-oriented groups (Non-Traditional Research & Practice, Advancing Learning Sciences for a New Generation).

CDF along with the Committee on Planning and Budget (CPB) was one of two Senate committees to participate in the 2018-19 UR review as part of the committee mission to give us as faculty an oversight and advisory role for UR. We reviewed the report on UR produced by the consultants Marts and Lundy¹; given the report's failure to prioritize its many recommendations, we concentrated in our response on top priorities for improving UR's efforts (e.g., replacing the outdated UR data management system, hiring more pipeline personnel to free up higher-level UR

¹ Marts and Lundy, Advancement Review, September 2018

officers for donor cultivation). The next stage is to monitor whether and how these recommendations are implemented, as well as their effectiveness, especially critical as the campus prepares for the next comprehensive campaign.

We continued several projects to raise faculty research visibility and to achieve better cross-campus coordination and communication among all the largely uncoordinated fundraising and development groups.

First, we updated the Faculty Experts List (a standard resource in most large universities, which we developed in 2015-16 with campus Information Technology) to enable the media, campus administrators, campus visitors, and others to contact faculty with appropriate areas of expertise for interviews, information, consultation, etc. Following the initial phase in 2016, 462 ladder-rank faculty have added their areas of expertise to their Campus Directory sites. In 2019, we are aiming to expand this to all 612 Senate faculty.

Second, we initiated partnerships with both the Committee on Research (COR) and the Office of Research (OR) in order to work together on a new practical focus on research development for the campus. We met with COR Chair Jarmilla Pitterman and Vice Chancellor for Research Scott Brandt and will continue our joint Senate-Administration collaboration next year. Because of the changes in campus leadership over this year, we were unable to advance our ongoing partnership with Graduate Council and the Graduate Division, working to enhance graduate student professional development and maintaining connections with grad alumni as important contributors to development and fundraising, now and in the future. We look forward to picking up where we left off, collaborating on a potential funding proposal for central planning, coordinating and codifying of professional development programs across campus.

We will continue to work on several main fronts:

- 1) making the UCSC culture of philanthropy better suited to the intellectual interdisciplinarity of our research and teaching, less fragmented by departmental and divisional territoriality, and more responsive to overall campus needs and goals.
- 2) offering systematic advice to the administration on development policy for the campus and actively monitoring the state of development efforts at UCSC.
 - a) expanding consultation: we will take advantage of the changes in our own committee status and in administrative leadership to develop new protocols and timelines for consultation, especially with the Interim Campus Provost and Executive Vice Chancellor (in addition to #2 above, continuing work with the faculty research clusters identified through the SAP) and the Acting Vice Provost and Dean of Graduate Studies (working on professional development for graduate students in all disciplines that links them with local organizations, businesses, raises campus visibility, and cultivates potential supporters, donors).
 - b) helping with the development of the next campus comprehensive fundraising campaign (CDF will initiate and coordinate faculty input into the Campus Committee for Campaign Planning through Chair Gillman, Senate representative on that committee).

Respectfully submitted;

Special Committee on Development and Fundraising

Alan Christy
Sikina Jinnah
Soraya Murray
Enrico Ramirez-Ruiz
Susan Strome
Daniele Venturi
Susan Gillman, Chair

Keith Brandt, *sits with*
Kimberly Lau, *ex officio*

August 31, 2019

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy wishes to submit the following report on, “Four Year Graduation, Resources for Undergraduate Education, and the LDRP.”

Please see the following for the report.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

Douglas Bonnett

Kate Edmunds

Lindsay Hinck, CCI Chair, *ex officio*

Dongwook Lee

Ronnie Lipschutz

Pradip Mascharak

Richard Montgomery

Tonya Ritola

Tchad Sanger, University Registrar, *ex officio*

Matt Wagers

Onuttom Narayan, *Chair*

Joy Hagen, NSTF Representative

Manel Camps, Provost Representative

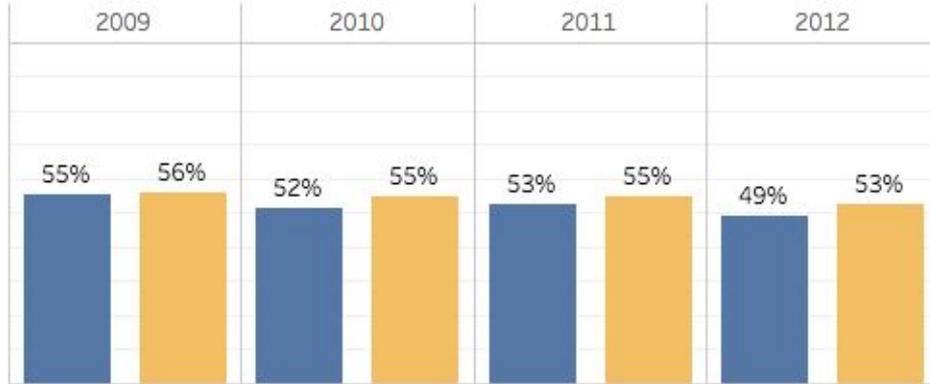
November 8, 2019

Four year graduation, resources for undergraduate education, and the LRDP

Committee on Educational Policy

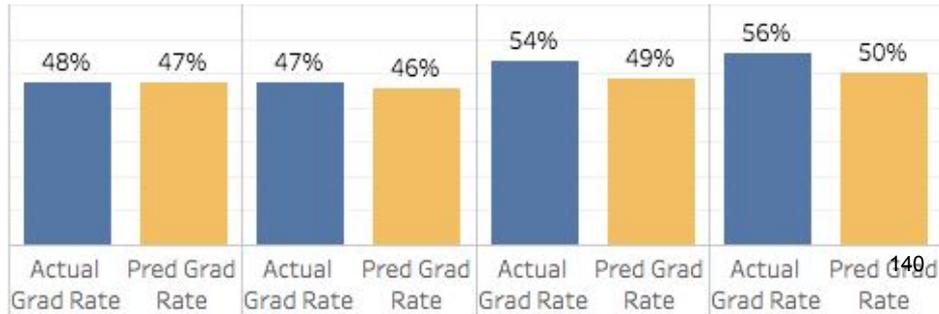
Four-year graduation rate

SANTA CRUZ



Actual and predicted 4-yr graduation rate at UCSC and UCR.

RIVERSIDE



UCR is doing much better than UCSC. Big improvement at UCR in recent years.

Steps taken by CEP

- New [policy](#) about major declaration (for majors with qualification policy)
- All CEP policies streamlined and clarified (on CEP [website](#)).
- Student petitions and resulting advisor workload reduced (senior residency, W grades).
- Catalog structured to provide information more clearly.
- Seek administration's (and departments') support for consistent message across multiple websites.
- Departments with low 4-year graduation or 6th-quarter major declaration rate asked to see if there are curricular barriers that should be removed

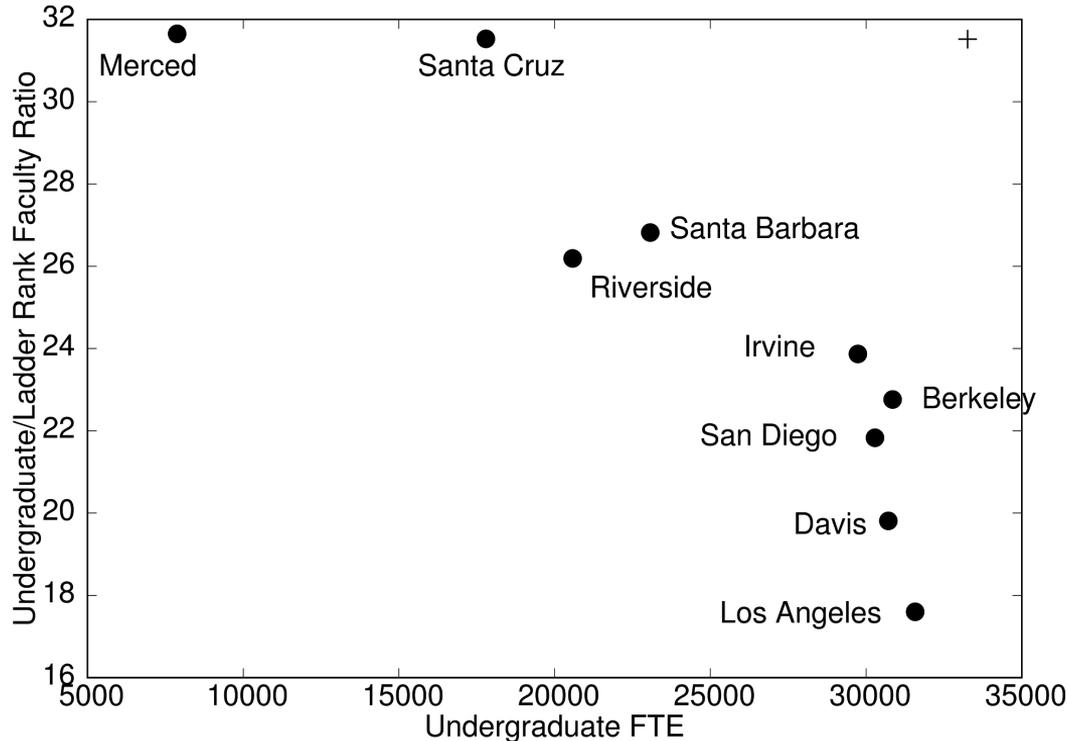
Steps CEP will not take

- CEP will continue to reject any proposal to dilute programs or lower quality below UC norms, even if it improves 4-year graduation rate.

(Will ask programs to come up to UC norms where needed.)

What else is needed?
Resources!

Instructional resources: faculty

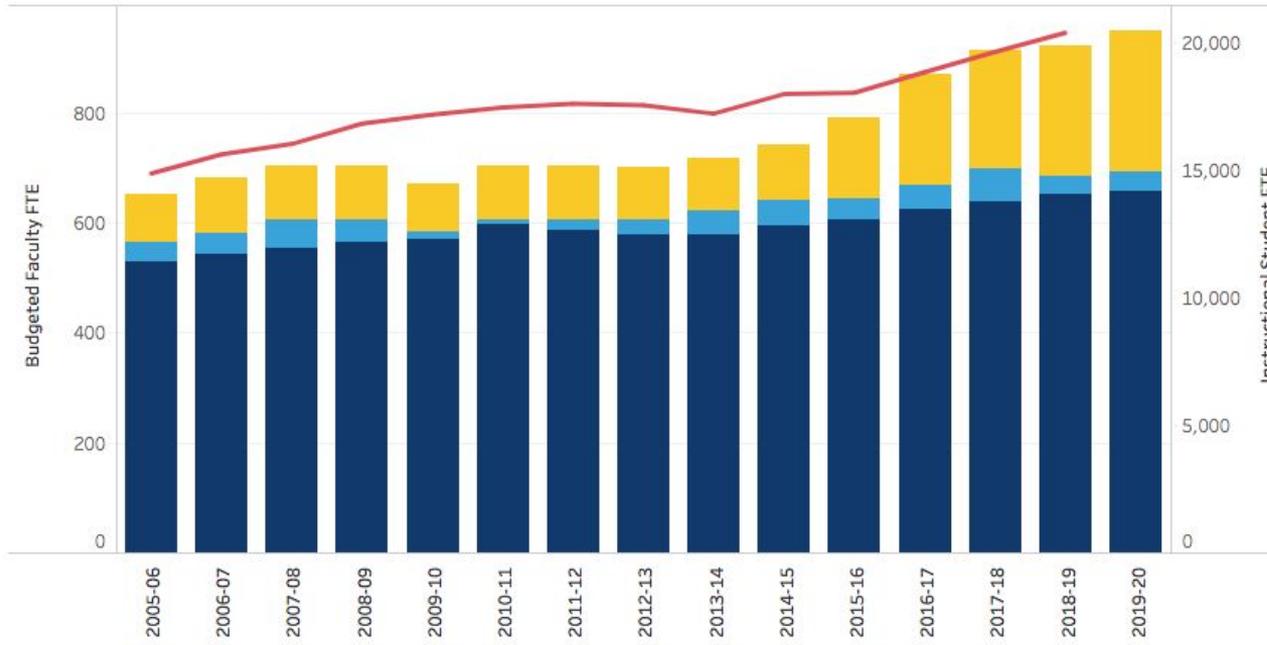


UCR has ~20% more ladder rank faculty per undergraduate student than UCSC

If we add 100 ladder faculty to match UCR, will we have a 4-year graduation rate that matches UCR?

Ladder rank faculty during current LRDP

Distribution of Budgeted Faculty FTE: Campus

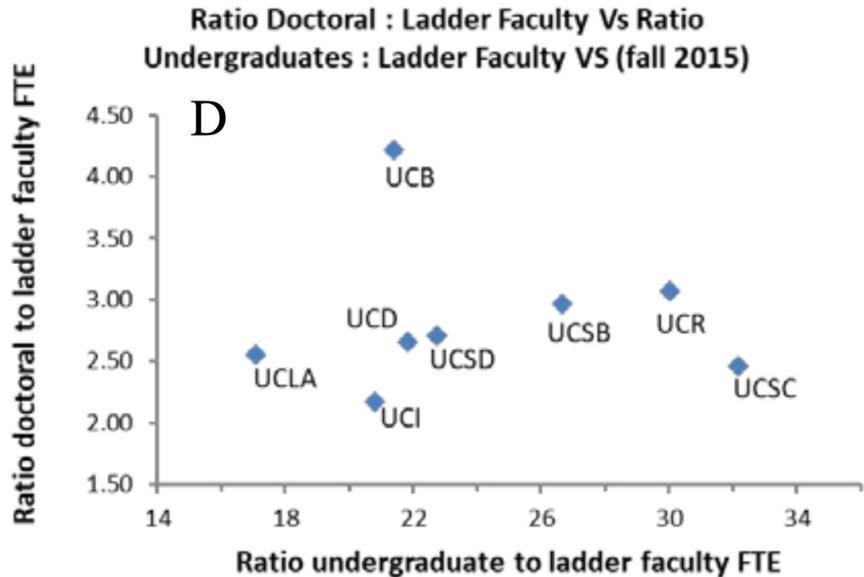


Filled + under recruitment faculty has increased slowly.

Sharp growth in open provisions in the last four years.

More ladder faculty → 12% grad ratio?

Grad Council Report, May 2017:



More faculty (for the same number of undergrads) → better doctoral:undergrad ratio?

Instructional resources: Classroom seats

UCSC classrooms are at saturation

# of seats	201-500	100-199	75-99	50-74	25-49
% utilization	96%	79%	90%	98%	98%

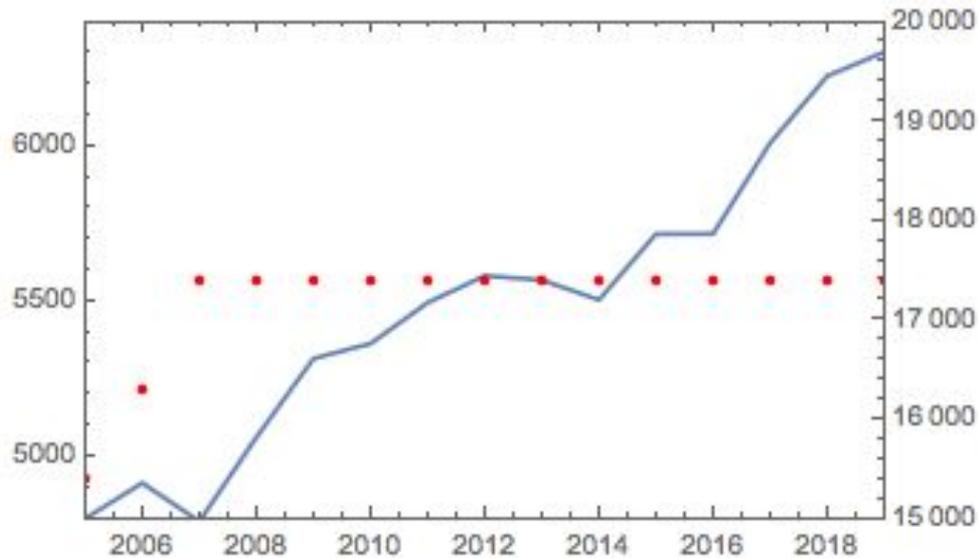
Fewer small classrooms than similar campuses

Campus	UCR	UCSB	UCSC
# of students	19799	21574	16962
26-50 seats	49	62	31

Classroom seats during current LRDP

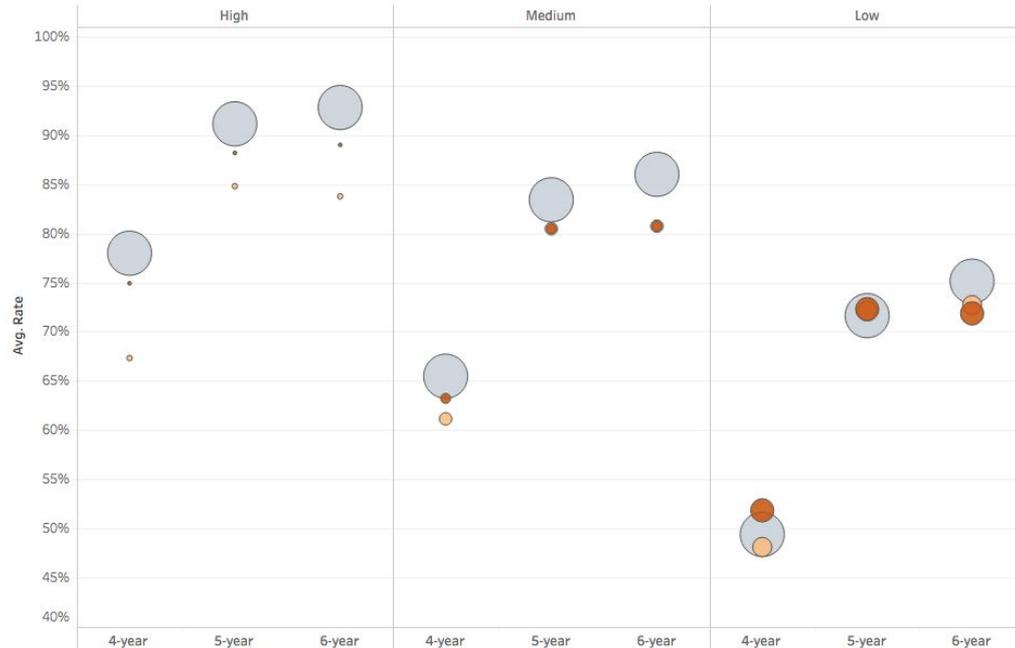
Student enrollment has grown by 31%

General assignment classroom seats has only grown by 13%; frozen for the past decade.



Which students are not graduating?

Systemwide Graduation Rates by Academic Index Score



UCSC lags behind systemwide and UCR most for students in top academic tier.

~50% of lag due to students staying for 5th year; 50% due to students quitting UCSC.

Why do more of these students want to leave UCSC than want to leave UCR?

Honors Program

UCR Honors Program

- Four year learning community
- Honors courses, special discussion sections in regular courses, contract courses
- Capstone project
- Special university scholarships

UCSC College Scholars Program

- Ends after two years.
- Only courses within honors program.
- No special university scholarships
- Last year, CEP requested permanent funding, designated space, and program expansion; as yet not provided

Why are students staying for 5th year?

Some students can't finish in 4 years

- STEM fields have 4-yr grad rates below UCOP model predictions
- UC Riverside has seen big improvements with “learning communities”
 - Students in groups of ~25 at the time of entry, based on major
 - Placed in major-required classes as a group during each term in the first year
 - Supplementary tutoring for each group in the most difficult course each term
 - Strong improvement in first year GPA, retention, four-year graduation
- Need to investigate how to apply to UCSC; some colleges are taking steps
- UCSC students entering undeclared also have unusually bad 4-yr grad rate

Why are students staying for 5th year?

Survey: confidence finding job related to career path?

	Soc Sci	PBSci	BSOE	Hum.	Arts
Have job	17%	18%	27%	14%	7%
Confident	30%	33%	37%	34%	39%
Unsure	53%	49%	36%	52%	54%

UCSC had less than a third as many on-campus interviews as UCSB

UCSC salaries comparable to UCR, though UCR students graduate faster & academically weaker

Undergrad salaries 10 yrs after graduation

	UCI	UCR	UCSC
Arts & Hum.	56474	52254	54934
Engg.	105631	99135	139743
Life Sci.	80000	76188	68684
Phys. Sci.	74034	74095	74992
Soc. Sci.	73089	60055	61023

CEP recommendations

- More ground level staff at Career Center
- Higher salaries (anomalously low even by UCSC standards)
- Provide dedicated space for campus interviews (perhaps at SVC).
- Improve availability and funding of internships
- More interaction between Career Center and departments; better services for Arts and Humanities students
- Colloquia by alumni about careers; alumni mentors for mini-internships
- Department faculty: look for curricular gaps to bridge campus to careers; engagement with alumni

No progress so far; new Assistant Vice Chancellor for Career Success.

Conclusions

- Undergraduate education under-resourced at UCSC. **Situation has grown worse in last 14 years during the current LRDP.**
- Administration should strategically provide enough resources to improve graduation rates. **(As good as Riverside?)**
- CEP has made numerous policy changes in the past 3 years to improve the clarity of policy for students, and remove barriers for students and departments.
- If the administration commits commensurate resources, CEP is willing to take further policy steps as needed.

Postscript: New LRDP being created



The campus benefitted from only marginal construction during the previous LRDP and does not have capacity to meet continued growth

No guarantee about required development accompanying growth.

Resolution on the Commitment to Ensure Salary Equity and Competitiveness within the UC System

To: Academic Senate, Santa Cruz Division

Background

In September of 2008, in response to the finding that UCSC salaries were often the lowest in the system, a Senate-Administration Task Force on Faculty Salaries called for an annual analysis on UCSC faculty salaries, and laid the groundwork for the UCSC Special Salary Practice.¹ In response to the recommendation to conduct routine analysis, the administration and the Academic Personnel Office began to produce an annual Report of Faculty Salary Competitiveness. This report is currently limited to a 7-campus comparison, and does not include Above Scale salaries or cost of living variables in its analysis.

The Committee on Faculty Welfare (CFW) has consistently advocated for including a 9-campus comparison and Above Scale salaries in the faculty salary analysis metrics. The aforementioned Senate-Administration Task Force Report begins with “the assumption that UCSC faculty are the equal of those anywhere in the UC system.”² In addition, the report notes that parallel “to the systemwide goal of moving faculty salaries up to the median of the Comparison 8 Schools³, UCSC’s goal is that faculty salaries should be competitive when measured against sister UC campuses.”⁴ Notably, we compare ourselves to our fellow eight campuses in terms of non-resident student enrollments, re-benching student aid, admissions standards, etc. Salaries should be no different, especially as the salary scales and the merit evaluations used to assign rank and step apply universally to all ladder rank faculty at all nine institutions. It is also important to evaluate Above Scale salaries as these faculty members are some of the most accomplished in our institution and should be valued as such. It is vital that we continue to recruit and retain the best faculty we can and maintaining salary parity is essential to this.

The cost of living in Santa Cruz County has greatly increased since the drafting of the Task Force Report in 2008, and this increase has had tangible effects on departments, divisions, and our campus’s overall ability to attract and retain quality scholars. As such, factoring in the cost of living is the only way to gauge the actual “competitiveness” (as the APO report is so titled) of UCSC faculty salaries. CFW’s 2017-18 cost of living analysis, showed that UCSC’s salary gap compared to other UC campuses continues to be at dramatically high levels, making our campus inherently less competitive on the job market, and severely impacting the welfare of UCSC faculty compared to peer campuses in the UC system. Information concerning cost of living is absolutely critical for our campus as we continue to create and refine remedies and programs (such as the Special Salary Practice) to maintain the exceptional quality and worldwide brand of our campus, and this variable therefore must be included in any analysis of competitiveness.

¹ Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008

² Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008, page 1

³ The “Comparison 8 Schools” are eight universities (four public and four private) with which UC regularly compares faculty pay scales and student fees. The list includes University of Illinois, University of Michigan, University of Virginia, SUNY Buffalo, Harvard, Massachusetts Institute of Technology, Stanford, and Yale.

⁴ Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008, page 1

The salary competitiveness reports and the Special Salary Practice have been crucial to closing many of the gaps to our peer institutions. Yet, while great strides have been made, we must realize the promise that initiated these practices and ensure that we are competitive within the entire system and at all levels, while also acknowledging that UCSC has its own unique challenges concerning the high cost of living.

Whereas: the University of California, Santa Cruz should be committed to providing its faculty with competitive salaries to the Comparison 8 Universities and sister UC campuses.

And whereas: the 2008 Senate-Administration Task Force on Faculty Salaries Report called for the establishment of a “regular annual report of faculty salary competitiveness”⁵.

And whereas: an annual report on campus faculty salaries should provide a comprehensive evaluation of salary competitiveness at all ranks and steps.

And whereas: there are 9 UC campuses that have similar educational missions and faculty that are evaluated for merit by the same metrics.

And whereas: 15% of UCSC faculty at the Professor rank are Above Scale, and these faculty are just as much part of UCSC as On Scale faculty and are some of the most accomplished.

And whereas: cost of living varies greatly by campus and has a direct effect on both the overall value of total remuneration for UCSC employees and the ability of the campus to recruit and retain exceptional faculty.

Therefore be it resolved: that the UCSC Academic Senate calls on the administration to include a 9-campus comparison, Above Scale salaries, and cost of living variable in the campus’s annual analysis of faculty salaries, and in the resulting Annual Report of Faculty Salary Competitiveness.

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

Vilashini Cooppan

Thorne Lay

Nico Orlandi

Jennifer Park

Su-hua Wang

Judith Aissen, *ex officio*

Grant McGuire, *Chair*

⁵ Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008, III.C.

Resolution in Support of Lecturers

To: Academic Senate, Santa Cruz Division

Whereas: Lecturers are essential members of the UC Santa Cruz community and they carry out their duties with energy, dedication, and professionalism;

Whereas: the teaching excellence on this campus and across the University of California depends in no small part on these lecturers;

Whereas: lecturers teach over 30% of undergraduate student credit hours on this campus and across the University of California;

Whereas: lecturers provide vital service to this campus and across the University of California in many forms including engaging in Senate committees, curriculum development, and program assessment;

Whereas: these lecturers, represented by the American Federation of Teachers (AFT), are currently engaged in bargaining over their next contract;

Be it resolved that: the UCSC Academic Senate supports the lecturers' calls for higher wages, compensation for service, and stability of employment and urges the University, in its negotiations with the AFT, to recognize, respect, and reward the vital contributions that lecturers make to our campus community and to the University of California.

Respectfully Submitted;

Mark Anderson

Noriko Aso

Christopher Connery

Susan Gillman

Jennifer Gonzalez

Deborah Gould

Ronnie D. Lipschutz

Richard Montgomery

Laurie Palmer