

**Meeting Call for Regular Meeting of the Santa Cruz Division**

**Friday, November 20, 2020 at 2:30 p.m.**

**ZOOM LINK:** <https://ucsc.zoom.us/j/91432650207>

**ORDER OF BUSINESS**

1. Approval of Draft Minutes
  - a. Draft Minutes of May 15, 2020 (AS/SCM/326)
2. Announcements
  - a. Chair Brundage
  - b. Chancellor Larive
  - c. CPEVC Kletzer
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports  
CONSENT CALENDAR:
  - a. Committee on Academic Freedom (AS/SCP/1971) p. 1
  - b. Committee on Admissions and Financial Aid (AS/SCP/1972) p. 8
  - c. Committee on Affirmative Action and Diversity (AS/SCP/1989) p. 17
  - d. Committee on Career Advising (AS/SCP/1973) p. 22
  - e. Committee on Courses of Instruction (AS/SCP/1974) p. 29
  - f. Committee on Development and Fundraising (AS/SCP/1975) p. 36
  - g. Committee on Educational Policy (AS/SCP/1976) p. 41
  - h. Committee on Emeriti Relations (AS/SCP/1977) p. 57
  - i. Committee on Faculty Welfare (AS/SCP/1978) p. 61
  - j. Committee on Information Technology (AS/SCP/1979) p. 76
  - k. Committee on International Education (AS/SCP/1980) p. 80
  - l. Committee on Library and Scholarly Communication (AS/SCP/1981) p. 86
  - m. Committee on Planning and Budget (AS/SCP/1982) p. 92
  - n. Committee on Privilege and Tenure (AS/SCP/1983) p. 103
  - o. Committee on Research (AS/SCP/1984) p. 107
  - p. Committee on Rules, Jurisdiction and Elections (AS/SCP/1985) p. 111
  - q. Committee on Teaching (AS/SCP/1986) p. 117
  - r. Graduate Council (AS/SCP/1987) p. 135
5. Reports of Special Committees (none)
6. Reports of Standing Committees
  - a. Committee on Educational Policy: Academic Literacy Curriculum (ALC) Report (AS/SCP/1988) p. 147
  - b. COT Oral Report on Student Evaluations of Teaching – BLUE (AS/SCP/1990) p. 154
7. Report of the Student Union Assembly Chair
  - a. CLASS Survey Results for the 2019-2020 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

11/13/2020

Academic Senate  
Santa Cruz Division

Dear Colleagues,

I write to invite you to the Fall Senate meeting on Friday, November 20, from 2:30 to 5:00pm, via ZOOM. The agenda for the meeting may be viewed on the [Academic Senate website](#).

As always, both the Chancellor and CPEVC will offer remarks, followed by Q&A. If you were not able to join us for the fall Budget Forum, the recording of that meeting can be found [here](#).

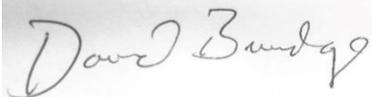
The agenda includes several notable committee reports, including a Committee on Educational Policy (CEP) Academic Literacy Curriculum (ALC) Report, a Committee on Teaching (COT) oral report on the Student Experience of Teaching Surveys (SETs), and the results of the Student Union Assembly's CLASS Survey for the 2019-20 academic year, which will be presented as an oral report, with the data to be shared after the meeting.

The budget situation will undoubtedly be a topic of discussion at our meeting. Many of you probably responded to the October 19 request from President Michael Drake and the UC Office of the President for feedback on the proposed systemwide curtailment and salary reduction plan. The Santa Cruz Division of the Academic Senate also provided a response. Our views were widely shared in the Academic Council as a whole, which declined to endorse the current version of the plan. Both our letter and that of the Academic Council can be found [here](#).

Although it is not on the agenda for our November 20 meeting, I would also encourage you to provide input for the UC systemwide draft Carbon Offset Policy. Background information and the feedback collection form can be found on [this page](#).

I look forward to seeing you at next week's meeting. I hope all members of the campus community are staying safe, and I want to recognize the hard work of the faculty, researchers, staff, and students across the University in this difficult year.

Sincerely,  
David Brundage, Chair

A handwritten signature in cursive script that reads "David Brundage". The signature is written in black ink on a light-colored background.

Academic Senate  
Santa Cruz, Division

**SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES**  
**May 15, 2020 Senate Meeting**

The draft minutes from the May 15, 2020 Senate meeting were distributed via email on August 19, 2020 will be presented for approval at the Senate Meeting on November 20, 2020. After being approved, these minutes will be posted on the Senate web site (<http://senate.ucsc.edu/senate-meetings/agendas-minutes/index.html>).

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

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

To assist the Senate staff, proposed changes should specify:

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

Please submit all proposed changes to arrive in the Senate Office **no later than 12:00 noon, Tuesday, November 17, 2020**. They should be addressed to the Secretary, c/o Academic Senate Office, via email to [senate@ucsc.edu](mailto:senate@ucsc.edu).

Nancy Chen, Secretary  
Academic Senate  
Santa Cruz Division

## **COMMITTEE ON ACADEMIC FREEDOM Annual Report 2019-20**

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 in between meetings. This year the committee responded to issues that emerged in relation to an extended graduate student strike, the transition to remote instruction due to the COVID-19 pandemic, and both national and local protests around issues of policing, racism, and anti-blackness. We also reviewed policy changes locally and systemwide and initiated discussion and proposals for action with the administration and other Senate Committees on the issues described below.

### **COMMITTEE ISSUES**

#### **I. Graduate Strike and Canvas**

In November 2019, graduate students initiated a wildcat strike seeking a cost of living adjustment (COLA) increase. Participating graduate students organized grade withholding for fall quarter across multiple divisions and departments. The grading strike took many forms, including not posting grades to Canvas, removing grades from Canvas and storing them in alternate media/platforms (e.g., external spreadsheets), delivering grades via alternate, non-electronic means, etc. Some graduate students who had moved grades from Canvas to another storage location received student conduct summonses.

CAF discussed the language of these conduct summonses at our meeting on February 3, 2020, as the language included in those conduct summonses seemed to imply that instructors could not change their use of Canvas during the quarter and that grades posted in this system were the property of students. On February 12, 2020, CAF wrote to Kimberly Lau (“RE: Conduct Summons and Canvas) expressing “concern about the university’s claim...that grades belong to students and thus may not be removed from Canvas.” CAF contended that the university’s actions and messaging constituted a “serious infringement on faculty rights,” and asked that Chair Lau communicate the committee’s concern “to relevant parties in the administration in whatever manner you think is best.”

#### **II. Tattlebot**

The committee was extremely concerned about messaging that went out on February 7, 2020 from Public Affairs regarding the “Unsanctioned strike by some graduate students.” The email included a link to a Google form titled, “Notification of class and section disruption,” ostensibly designed to permit students to “notify the campus of canceled classes so that the university can help make sure they are getting the education they deserve.” Students were asked to provide information describing where and when any “disruption” occurred, the “type” and “concern” of the disruption, and the names of any responsible member(s) of the teaching team.

Public Affairs responded to campus criticism by removing the question, “What type of disruption occurred?” and its corresponding multiple choice answers that included actions within faculty

members' classroom purview, such as, "Held, but the topic was not as described in the syllabus." CAF felt that the Google form—dubbed the "Tattlebot" by the campus community—infringed academic freedom by both unfairly calling on students to police the teaching practices of their instructors and by implying that faculty did not have the right to make changes to their class syllabus. CAF felt that the very existence of this form, regardless of how the data was used, would have an overall chilling effect on academic freedom.

CAF sent a response ('RE: "Notification of Class and Section Disruption" Google Form) to Chair Lau on February 18, 2020 recommending that UC Santa Cruz Administration "rescind the form altogether and publicly commit to not using any collected data." We wrote that "The UC policy on Academic Freedom (APM-010) upholds the principles that 'protect freedom of inquiry and research, freedom of teaching, and freedom of expression and publication.' Course syllabi, content, and delivery are protected under the purview of "freedom of teaching." Likewise, the Faculty Code of Conduct (APM-015) unequivocally states that faculty maintain the professional right "to present controversial material relevant to a course of instruction" and "address any matter of institutional policy or action when acting as a member of the faculty." These documents, as well as the American Association of University Professor's (AAUP) 1940 statement on academic freedom that undergirds them, grant faculty the freedom to teach our subjects as we see fit, according to our shared professional and ethical standards. Such protections not only give faculty the right to change the material and/or order of activities in order to respond to unexpected circumstances, but also to introduce new or unplanned topics (i.e., those not in the syllabus) that we deem relevant to our courses."

CAF noted: "The form also infringes on academic freedom by being needlessly intrusive about classroom activities. First, there are numerous pedagogical reasons why classes might move to an alternative location, change their delivery methods, cancel exams or assignments, or be taught by another teacher. Second, without proper vetting or oversight, students might use the form to amplify harassment of specific faculty or TAs—harassment that disproportionately targets women, minorities, and other marginalized groups. The very existence of this form contributes to a culture of surveillance that is antithetical to the free exchange of ideas in the classroom."

CAF members also read a portion of this statement on at the February 19<sup>th</sup> Academic Senate Meeting supporting a separate resolution (proposed by Prof. Gail Hershatter) requesting that the administration "disable the links to the reporting form," "refuse to allow the use of any data collected as grounds for disciplinary measures against any faculty or students," destroy the data, and consult the Senate before using any similar correspondence in the future. On February 21, the Academic Senate reported that the resolution had passed by secret ballot with 105 in favor and 18 opposed.

### **III. Faculty and online harassment**

CAF has had ongoing concerns about a lack of campus preparedness for instances of targeted online harassment of faculty. Around the country, faculty have been subject to [organized smear campaigns and threats](#)<sup>1</sup>, and campuses responses have ranged from supportive and helpful to actively damaging to the targeted faculty member and to academic freedom as they seek to distance

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<sup>1</sup> <https://onefacultyoneresistance.org/>

themselves from controversies. Here at UCSC, many faculty are increasingly being encouraged to make their scholarship more public-facing, but some faculty, especially faculty who study more politicized subjects, faculty of color, and women faculty, have expressed concerns that they might become subject to a targeted harassment campaign. Further, they are unsure if and how the campus would support them if such harassment were to take place. CAF therefore undertook an assessment of systemwide procedures on this and found very little information from other UC campuses. We did, however, identify several helpful resources, including this [curated page](#)<sup>2</sup> from Sociologists for Women in Society and this thorough set of [policies and procedures](#)<sup>3</sup> developed by the University of Iowa.

We had intended to begin the process of proposing something similar to the University of Iowa document and discussed recommending that the campus develop template language for expressing support for both academic freedom and individual faculty members in advance of any particular crisis. However, with the wildcat strike and COVID-19, we were unable to move these agenda items forward. We hope that the 2020-2021 committee considers taking up this important topic.

#### **IV. Policing of student protest**

In light of both the graduate student strike and nationwide activism to defund police, CAF continued to discuss the intersections of free speech, academic freedom, policing of student protest, and the student conduct process. CAF remains concerned that our student conduct process disproportionately harms those students who are facing challenging conditions on our campus and who are, therefore, seeking to have these issues addressed through nonviolent direct action and replicates police racial bias by relying upon police reports and arrests as an initiating factor for disciplinary proceedings. Like the Council of Provosts and CAAD, who have also spoken out on this issue, we have serious questions about the logic of treating political protest the same way that we treat student misconduct such as noise violations, burglary, and hate crimes. CAF has requested data on the conduct process from the Dean of Students Office so that we can better assess if and how the academic freedom of individuals and the overall campus climate for academic freedom are being impacted by the policing of protest and the disciplinary procedures that often follow from such policing. Further details on next steps for addressing this issue are outlined below in the “Carry Forward” section of this report.

#### **V. New Academic Freedom Complaint form**

In response to conversations at UCAF regarding the need for greater clarity in how academic freedom complaints are handled across the system, CAF updated our procedures. In consultation with the Committee on Privilege and Tenure (P&T), we created a new google form on CAF’s website for the submission of such complaints with the following statement:

The full committee will meet and discuss the submitted form and any documentation; this process is completely confidential. If the committee decides further review is warranted, the membership will consult with the complainant and make a recommendation on potential remedies including but not limited to Senate consultation with the administration

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<sup>2</sup> <https://socwomen.org/public-targeted-online-harassment/>

<sup>3</sup> [https://provost.uiowa.edu/sites/provost.uiowa.edu/files/Faculty\\_Support\\_Safety\\_Guidance.pdf](https://provost.uiowa.edu/sites/provost.uiowa.edu/files/Faculty_Support_Safety_Guidance.pdf)

or a recommendation that the complainant file a grievance with the Committee on Privilege and Tenure per established system wide policy.

## **VI. Online courses:**

On June 8, 2020 CAF sent correspondence to the Campus Provost and Executive Vice Chancellor (CP/EVC) and the Vice Provost for Academic Affairs (VPAA) expressing concern about the May 11 call for online course proposals for Fall 2020. Specifically, CAF articulated concerns with the following provision in the call for course proposals: “Faculty whose proposals are awarded agree to share their course materials with instructors of future offerings of the course.”

We noted that U.S. Copyright law holds that lectures, syllabi, and other non-patentable work done in the context of a course offering belong to the instructor, not the university. The policy outlined in the May 11 email violates the spirit, and possibly also the letter, of copyright provisions and we urged the administration to withdraw the proviso or at least make it optional. We argued that serious principles of academic freedom are at stake, in that faculty who sign away rights to the rebroadcast of lectures will have no control of material being disseminated under their names, whether or not the positions expressed within are still those of the author. Nor, for example, would faculty have any say in the matter were their lectures bundled with some others in a course offering, a choice the faculty member might not make. There are also circumstances wherein unanticipated changes to a course’s structure may not suit the course materials’ initial design. For instance, course materials made for a small seminar course are often unsuitable for a large lecture course. Control over course materials is central to the integrity of a faculty member’s teaching, and thus to faculty academic freedom.

CAF received a response on this issue from VPAA Lee on June 11th that indicated that a clearer articulation of this provision was included in the award letters for faculty whose proposals were accepted. VPAA Lee indicated that the university only expects faculty to share their materials with other instructors who request those materials, not with the university writ large and that the requirement to share (if asked by a fellow instructor) sunsets at the end of 2022. While CAF appreciates these newly indicated limits, we continue to disagree with the administration’s effort to legislate peer-to-peer sharing and collegiality. We believe that the administration could, rather than *requiring* faculty members to agree to share all course materials, simply articulate an expectation that faculty members would be willing to work with future instructors for the course toward a mutually-acceptable agreement regarding the use of these materials. We recommend that next year’s CAF ask the VPAA’s office to consult with them before issuing a call for funding online course proposals and that they remain vigilant about this subject, especially as we continue with increases in remote and online instruction due to COVID-19.

## **VII. Other Issues**

CAF, along with other Senate committees, reviewed proposed divisional and systemwide policies or revisions to policies including the Systemwide Revised Native American Cultural Affiliation and Repatriation Policy; Proposed Presidential Policy on Travel Regulations; Proposed Presidential Policy on the Protection of Human Subjects in Research; Proposed Revised Presidential Policy on Copyright Ownership; Proposed Revisions to CAPM 514.285; and the Proposed CCI GSI Appointment Criteria. We also reviewed the Student Success Division Report; the Chancellor’s Memo on ODEI Restructuring; the Draft Campus Internationalization Plan; and

a set of UCAF statements on academic freedom. In these reviews, we expressed especially significant concerns about the Presidential Policy on Copyright Ownership and the Presidential Policy on the Protection of Human Subjects in Research.

Regarding the Presidential Proposed Policy on Copyright Ownership, we noted that the proposed policy would give the University the power to “grant” copyright to academic authors despite the long-standing legal precedent of the “teacher exemption” to the “work for hire model” that gives employers copyright ownership to works created by their employees. Under such precedent, academics hold and maintain the copyright to their own work without implicit or explicit grantorship by the University. This is upheld by law rather than “academic tradition.” An inversion of that relationship is a potential threat to academic freedom if, at some point, the University decided to rescind their “gentleman’s agreement” and enforce their implied copyright ownership. We therefore recommended that the “teaching exemption” be specifically stated, along with clarifications for how and when a “work for hire” exception applies, and that the overall policy language better conform to legal precedent rather than assumed University magnanimity. We also noted that the proposed Policy uses “significant university resources” as a metric for copyright ownership, but significant resources are defined as those that go “beyond the usual support provided by the University and generally available to similarly situated Academic Authors or, as applicable, students.” With such wide variance in support across divisions, departments, labs, and even individual faculty, we wondered how the baseline for “usual support” would be determined? We were concerned that the ambiguity of language could later permit the University to exclude certain works or authors—especially those with less institutional power—from rights to their copyright.

On the Presidential Proposed Policy on the Protection of Human Subjects, CAF noted both national scholarly associations and local concerns about Institutional Review Boards (IRBs) stifling academic freedom and creating undue barriers to research -- even when that research conforms to disciplinary ethical standards, follows conventional research procedures, and presents little to no risk of harm to human subjects. We noted that pursuing the “exemption” to IRB review has become an increasingly arduous process, even for research activities that represent minimal risk and that involve only standard disciplinary research practices. CAF therefore reiterated that when the IRB engages in its review, it should recognize faculty and disciplinary expertise regarding field-appropriate ethical practices so long as the research is in line with the ethical principles outlined in the proposed policy. The IRB could support academic freedom by making its procedures as minimally intrusive and streamlined as possible. CAF therefore made the following specific recommendations:

1. Explicit acknowledgement of academic freedom and the need for IRBs to recognize faculty and disciplinary expertise.
2. Faculty and Senate involvement in development and revision of all local procedures related to the protection of human subjects.
3. Divisional or Departmental Responsibility for Review of Non-Common Rule Human Subjects Research.

## **VII. Carry Forward**

In addition to continued attention to the ongoing academic freedom issues discussed above (targeted harassment of faculty; ownership of online course materials; human subjects policy

revisions; copyright policy revisions), the 2020-2021 CAF should expect responses from a June 8 consultation with Associate Vice Chancellor and Dean of Students Naiman and Chief Campus Counsel Peñaloza. A post-consultation memo sent to these individuals on July 6th outlined the following agreements:

1. **Data on the student conduct process:** Dean of Students Naiman indicated that the planned equity review of the process may begin this summer. CAF requests copies of both the raw equity review data and the final report from the equity review. CAF also requests any other currently available aggregate data on the student conduct process, including the student survey of their experiences with the conduct process. Dean of Students Naiman will look into what data is available and will share the results of this with CAF.
2. **Major Events Policy revisions:** CAF notes that the revision of the major events policy on other UC campuses has included their local CAFs and requests inclusion in the UCSC process. Dean of Students Naiman will reach out to Lucy Rojas about the status of these revisions and will connect her with CAF.
3. **Canary Mission:** In 2018-2019, CAF raised concerns about Canary Mission, a website, largely anonymous, which identifies faculty and students viewed as holding views about Israel which it views as anti-semitic. The views under attack, whether one agrees with them or not, fall clearly within free speech and academic freedom. The site seeks to damage student and faculty reputations and careers. The 2019-2020 CAF requested updates on the action items from both the 2019 Academic Senate Resolution and the May 19, 2019 post-consultation memo on this topic. Campus Counsel Peñaloza will follow up with the Chancellor regarding her response on the pending Chancellor's Cabinet-level issues. Dean of Students Naiman will look into all of the action items from last year's memo. These items are listed again here:
  - Prepare template letter for job files etc. using CAF input (sent last year in the post consultation memo), and publicize its availability to students.
  - Publicize campus resources in relation to doxing (psychological services, hate bias response team, etc.)
  - Include information about doxing in the slide deck for the incoming student orientation.
  - Discuss with Vice Chancellor of Information Technology Van Williams how ITS might assist students in awareness and management of their online profile, and make concrete information available to students about this.
  - Consult with Global Engagement about the effect of Canary Mission website (and others as necessary) in affecting students' access to visas for study abroad.

The next two years promise to be challenging, due to the pandemic, the university's fiscal environment, and other factors, and it will be crucial to give continued emphasis to preserving academic freedom in the face of what may seem to be more pressing concerns. Special attention should be paid to issues around online instruction and course content, as outlined above. The Trump administration's recent attacks on university instruction are also reminders that our academic freedoms are not guaranteed in perpetuity, but must be continually defended.

Respectfully submitted,

COMMITTEE ON ACADEMIC FREEDOM

Nathan Altice  
Chris Connery  
Michael Dine  
Tanya Merchant  
Jessica Taft, Chair

Robin King, NSTF Rep.  
Rowan Powell, GSA Student Rep.

August 31, 2020

## **Committee on Admissions and Financial Aid 2019-20 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 (2018-19) admissions cycle and adapting its consistent priorities to changing circumstances in shaping the class entering in fall 2020. As always, we worked closely with Undergraduate Education (UE), Enrollment Management (EM), and Undergraduate Admissions (UA), whose energy and creativity provided us with both information and options for setting policy.

### **I WORK OF CAFA IN 2019-20**

#### **A. Committee Foci**

##### ***1. Response to COVID-19***

Students who perform poorly or drop multiple intended classes during their senior year can be subject to cancellation of their offer of admission. Because of the severe -- and variable -- problems caused by the COVID-19 pandemic in the spring 2020 high-school semester, CAFA instructed the office of admissions not to cancel students for poor performance or missing courses that were isolated to the spring semester, and not to request an explanation of the reasons for the shortfall.

The decision not to look at standardized test scores during the admission process for fall 2021 enrollment (see below) was also influenced by the lack of access -- and lack of equity in access -- to standardized test offerings this year caused by the pandemic. Holistic review readers, in evaluating individual grades in student transcripts (particularly in math and English) have been instructed to ignore any problems that seem isolated to spring 2020.

CAFA also agreed to encourage Admissions to be more lenient than usual in granting deferrals of enrollment for up to a year for students admitted for fall 2020 -- these deferrals are usually restricted to reasons of health, military service, or religious/cultural reasons. Students deferring would be allowed to take college credits elsewhere and enter as advanced-standing frosh.

##### ***2. Holistic Review and selection of frosh applicants***

For the 2019-20 cycle, the holistic review instructions were rewritten in the fall to make the evaluation of test scores, GPA, and number of a-g courses completed much more strictly contextual. Readers were not shown the actual values of these metrics for each applicant, rather they were shown only a percentile rank relative to a group of peers. For most students, the peer group was applicants from their own school to all UC campuses. This practice opened up the top holistic review categories (1 and 2) to a much more diverse group of students from a broader sampling of California schools.

For the selection process, members of the Data Subcommittee (Carlos Dobkin and Laura Giuliano) developed new metrics that could be used to improve both predicted student success and expand access to the campus for economically disadvantaged, Black, and Latinx students, using census data and other datasets. They also provided new software to EM that would allow many selection scenarios to be run more easily than in the past. The predicted “success” parameter was changed this year from first year GPA to the probability of return to the second year, in acknowledgement of the expectation that first-generation college students may need a year to adapt to academic culture and therefore two much consideration of predicted first-year GPA could disadvantage them.

For the first time in recent years, the holistic review instructions for the next admissions cycle were approved in advance during spring quarter, allowing Admissions to better prepare for the training of readers. The new instructions were written to be blind to standardized test scores, with English and math grades being given somewhat higher prominence in the criteria beside overall GPA. There were no other major changes. Responding over the summer to the Regents’ approval of President Napolitano’s plan to make UC admissions test-optional for two years and test-blind for two years following, CAFA voted to proceed immediately to a test-blind policy for all admissions decisions for the 2020-21 cycle, in order to provide clarity to applicants, their counsellors, and families, in acknowledgement of uneven access to testing, and in order to get a head start on a successful transition to test-blind procedures.

### ***3. Nonresident Admissions - Compare Favorably***

Systemwide policy of the Academic Council, on the recommendation of BOARS, requires campuses to assure that non-resident (including international) students “compare favorably” in their academic preparation to California resident students. By common practice this is taken to mean the comparison of average metrics of preparation among the different residency categories (California resident, out-of-state, and international). CAFA (and EM/UA) believe that the most reliable metric for comparison is standardized test scores, so CAFA asked EM/UA to prioritize making sure that the average standardized test scores for nonresident admits exceeded that for California residents. This was successfully accomplished, although GPA averages (which is harder to compare accurately, particularly for international students) did not meet the compare favorably standard.

### ***4. Early Consideration***

With UE/EM/UA, CAFA closely reviewed our procedures for early consideration of students brought forward by Athletics (with the same rules applying to any students who might be brought forward by academic deans and other authorized principal officers). In addition to the normal annual discussion of this process, there was particular scrutiny this year in the context of the audit following the “Varsity Blues” scandal. We considered the audit’s recommendations in the unusual context of being the only Division III campus in the UC system. CAFA voted to continue our current policy of extending early offers to students brought forward under the formal process for early consideration whose academic preparation is comparable to that of admitted students from the general applicant pool. For this cycle, that was defined as either having a holistic review score of 1-3 or a 77% or higher predicted probability of return to the second year. Students who aren’t approved for early consideration still have a chance to be admitted through the normal process later on, which is blind to the fact that they had been put forward for early consideration. We also adopted a policy of review and investigation by the Athletics compliance

officer in the event that a recruited student does not participate for a year in the team whose coach put them forward.

### ***5. Standardized Testing***

CAFA provided extensive feedback to the systemwide Standardized Testing task force and to BOARS on the topic of standardized testing. Our principal recommendation was that if standardized tests were maintained, UC should use the average composite score rather than the highest score for all applicants, removing some of the advantage enjoyed by students from wealthier families who are more likely to take the tests many times. We were disappointed that this wasn't adopted in the task force's final recommendation, which favored maintaining standardized testing for several years without this measure to reduce inequity; however, events overtook both our recommendations and the task force's, and now UCSC will be test-blind for all admissions decisions beginning in the next cycle.

### ***6. Admission by Exception***

Systemwide policy requires that no more than 6% of *enrolled* students be admitted by exception ("AbyE", usually related to missing coursework from the a-g pattern). Because the policy refers to enrolled rather than admitted students, it is not as easy to be confident in hitting the target. At the start of the academic year, it was understood that this 6% must include international students, and UCSC had been much stricter than most campuses in coding international students, whose high-school curricula are often significantly different from California standards, as AbyE. For this reason, we had exceeded the 6% number in prior cycles and instructed EM/UA to make significant progress this year toward the 6% mark both by admitting fewer international students marked AbyE and having senior readers review the AbyE classifications to see if any were not appropriate to begin with. Later in the cycle, BOARS issued guidance that the AbyE classification should only apply to California students, allowing us to concentrate on the purposes for which the AbyE classification was really intended, notably for California students who had been given fewer opportunities in high school to take academically-oriented (a-g) coursework.

## **B. Sub-Committee Efforts**

### ***1. Appeals Subcommittee***

The Appeals Subcommittee continued to meet occasionally throughout the year to consider cases of cancellations of admission offers from the prior cycle, although there were fewer than in former years due to more flexible cancellation policies adopted by the prior CAFA.

### ***2. Data Subcommittee***

The Data Subcommittee successfully performed a great deal of data analytic work in generating a new measure of predicted persistence to the second year, and new measures of the economic and racial/ethnic makeup of students' neighborhoods (see above). As usual, this subcommittee also worked closely with EM during the winter quarter to create and optimize multiple alternate scenarios for final selection, choosing several to bring to the full CAFA for the final choice.

## **II ISSUES FOR THE NEAR FUTURE**

### **A. Transfer and 2:1**

CAFA will work with UA and department chairs to streamline the process of assessing major preparation for transfer students in screening majors (those that require specific preparatory courses and certain grades in these courses). This has caused difficulty in situations where departments require major preparation courses that are offered by other departments, complicating the process of assessing the students' coursework when those prior courses are not articulated in ASSIST, which only articulates courses from California community colleges.

### **B. Major Impaction**

This year EM underestimated the yield of Computer Science transfer students, resulting in an excess of students compared to the impaction agreement. CAFA will work with EM to approve a more conservative method for the coming cycle to avoid this outcome. If impaction status is approved for any other program this year, CAFA will work with the sponsoring department to design an effective and equitable admissions strategy.

### **C. Compare Favorably**

In the absence of near-universal standardized test scores, there will have to be a different metric used to define academic preparation in comparing California resident students with nonresident domestic and international students. High-school GPA is the other metric usually used, but it is difficult to calibrate across different grading systems (internationally) and average statewide levels of grade inflation (domestically). CAFA will consult with UA/EM in order to bring recommendations to BOARS for how to make this comparison this year.

### **D. Selection Process For Frosh In Winter/Spring**

CAFA (in particular the Data Subcommittee) will work with EM/UA to devise selection criteria -- centering, as always, Holistic Review scores -- that accomplish all of our goals for student preparation, social mobility, and diversity without consideration of standardized test scores. 2019-20 Data Subcommittee members Dobkin and Giuliano -- the latter returning to CAFA for 2020-21 -- are making a data request of UCOP that will help them design improved predictors of student success.

If California voters approve Prop. 16 to repeal Prop. 209 in the fall, CAFA will work with our partners in the administration to determine whether and how to use students' self-reported race and ethnicity to reach our goals in shaping the entering class.

### III Admissions and Financial Aid for Fall 2020

#### 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 67,639 applications for fall 2020. Frosh applications totaled 55,073 (CA = 43,895, out of state = 4,004, and international = 7,174) and transfer applications totaled 12,566 (CA = 11,032, out of state = 351, and international = 1,183). 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 632 applications for winter 2021 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 35,935 frosh for fall 2020, including 27,212 California, 3,300 out of state and 5,423 international. The frosh admission rate was 65.2%. The average high school GPA of admitted frosh was 3.91 (on a 4.4 weighted scale), slightly lower than fall 2019 (3.94). The average SAT score taken under the new test system is 1295, slightly lower than fall 2019 (1316). The campus made a decision in May to increase the CA frosh enrollment target given the anticipated total CA undergraduates for 2020-2021 and the expected impacts of COVID-19. We used waitlist and referral pool strategies to manage enrollment outcomes within an ever-changing environment. We were able to effectively predict the behavior of the computer science students and will not exceed the capacity constraint.

UC Santa Cruz admitted 7,964 sophomore and junior transfer students, including 7,133 California, 132 out of state and 699 international. The admission rate for all transfers was 63.3%. The total number of admits increased from last year and California admits increased by 12% 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. We will not reach 2:1 this year given the significantly increased CA frosh enrollment target, though we do expect to reach the CA transfer enrollment target. We anticipate being closer to 2.4:1. Our enrollment modeling for computer science transfer students significantly underpredicted the number of students who would accept our offer of admission. The yield increased by 5% over last year and the melt was 6% lower than last year, likely due to changes across the UC system. Adjustments will be made in the future to allow for such significant changes from year to year.

Frosh Statements of Intent to Register (SIRs) total 5,772, including 5,198 California, 227 out of state and 347 international students. California SIRs from students identifying as African American reached 5.3%, increasing from 4.2% in fall 2019; Hispanic/ Latino reached 28.4%, steadily increasing over the three two years (27.1% in fall 2019 and 26.5% in fall 2018).

Transfer SIRs total 2056, including 1,949 California, 29 out of state and 78 international students. California SIRs from students identifying as African American reached 5.6%, similar as the past two years (5.7% in fall 2019 and 5.5% in fall 2018); Hispanic/ Latino reached 32.2%, increasing from 31.9% in fall 2019 and decreasing from 33.0% in fall 2018. Continued close collaboration among Admissions, EM, UE, CAFA, CEP, programs and the disciplinary divisions helped to maximize transfer admission offers to qualified transfer applicants. Our 2:1 ratio is expected to be 2.34 based on current enrollment projection for the fall and enrollment target of 100 in the winter. (Data from UCSC Data Warehouse as of June 30, 2020)

## **B. Financial Aid and Scholarships**

In 2019-20, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 12,530 undergraduate students (72% of undergraduate population) and 1,890 graduate students (96% of graduate population). A total of \$318M was disbursed in grants, scholarships, fellowships, loans and/or work-study assistance.

### *1. Award Program Updates*

2019-20 is the second year of a two-year program, the Transfer Transition Scholarship. With 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. In the Fall of 2019, an additional 431 transfer students were awarded \$540K.

2019-20 was the third 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 2019, eligible entering Frosh were offered \$1,500 each to cover the gap created by the absence of Perkins. There were 606 students who accepted University Loans during the 2019-20 year, with \$873K loans disbursed.

The legislature continues to work on a number of proposals impacting the state Cal Grant program in the current legislative session, although the current economy may put this process on hold. 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 Cal Grant recipients. UCSC is disbursing our share of the funds (\$308K) to approximately 1,400 students in Summer 2020.

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 take the form of grants provided to non-resident students in emergency situations. The total funding in 2019-20 was

\$148K. With the fund established in January 2020, we were able to disburse \$25K to 5 non-resident students during the latter half of the academic year.

In April 2020, UC Santa Cruz was allocated \$9,663,601 through the Federal CARES Act to provide Emergency Financial Aid Grants to students for expenses related to the disruption of campus operations due to coronavirus (including eligible expenses under a student’s cost of attendance such as food, housing, course materials, technology, health care, and child care). As of 8/18/2020, for the 2019-20 academic period, UCSC has awarded 93.5% of the funds (\$9,037,150) to 12,721 Undergraduate and Graduate students. The balance of the funds will be awarded to eligible students on an appeals basis.

**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 2020-21 will be \$39,243. Non-residents will have an additional \$29,754 tuition charges, bringing the non-resident on-campus budget to \$68,997. Under EFM, 2020-21 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 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 2019-20 the Financial Aid and Scholarship Office administered \$269 million in financial assistance to about 72% of our undergraduates, as compared to \$277 million / 72% in 2018-19.

2018-19 Source of Aid	Percent Undergraduates	of	Amount Received	Average Award
Gift Aid (all sources)	70.2%		\$197,533,658	\$16,068
UCSC Scholarships*	19.6%		\$11,201,237	\$3,270
Federal Pell Grants*	34.0%		\$29,270,828	\$4,918
Student/Parent Loans	38.8%		\$69,068,174	\$10,157

Federal Work-Study	6.6%	\$2,240,570	\$1,947
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor’s degrees in 2018-19, 56% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$21,375. 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 2018 had student loan debt, with an average of \$29,200 per borrower (<https://ticas.org/our-work/student-debt/>). National Data for students graduating in 2019 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 10.1% for 2016 (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
2013	3.1%	3.1%
2014	3.1%	3.1%
2015	3.6%	3.6%
2016	3.7%	3.7%
2017	2.9%	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	164	\$769,254	\$4,691
Campus Merit Scholarships	312	\$597,611	\$1,915
Pister Leadership Opportunity Awards	26	\$199,272	\$7,664

The Office of the President maintains numerous reports regarding student financial support on the following website: <https://www.universityofcalifornia.edu/infocenter/financial-support>

## **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,  
**COMMITTEE ON ADMISSIONS AND FINANCIAL AID**

Carlos Dobkin  
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Jennifer Taylor  
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August 31, 2020

## COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY Annual Report, 2019-20

To: The Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) undertakes studies of policies and practices regarding affirmative action, diversity, and equity, makes recommendations to appropriate campus bodies, and regularly confers with other administrative units and Senate committees about a broad range of issues related to diversity, equity, and inclusion.

### Issues Addressed

#### I. CAAD 2019-2010 Summary on UC Santa Cruz's Diversity Landscape Document

In academic year 2018-19, Universitywide Committee on Committees Chair Patty Gallagher volunteered to do an initial landscape document of diversity issues on campus. She engaged a Graduate Student Researcher (GSR) to comb through as many websites and catalogs as possible for what might count as a diversity initiative. The resulting document is a hyperlinked Google document that lists diversity initiatives across the campus, organized by division and department.

For academic year 2019-2020, Senate Chair Kim Lau advised CAAD Chair Abrams that CAAD should decide what they would like to do with this document before bringing it to Chief Diversity Officer (CDO) Linda Scholz. In particular, CAAD was asked to review (1) what purposes this document could serve and for whom and (2) how it could be improved to serve these purposes.

While working on these questions, members of CAAD contributed to the original document by adding initiatives from their own divisions and departments and making hyperlinks more visible. Overall, CAAD felt that the document, if reorganized, could serve several important purposes. For example, it could be a landing point for people interested in getting a sense of the diversity initiatives on our campus; it could be a source of information for candidates who are working on their own contributions to diversity statements; it could be a place for students to search for scholarships, services, or to find statistics about the demographics of our campus.

Although the current organization of this document by division and department is useful for finding and filling in missing information, it is not ideal if it is meant to be out-facing. CAAD members thought it would be more useful if the information were provided in a searchable database format that could be cross-organized and searched in different ways -- for example filtering just for scholarship opportunities, or classes, or statistics. To make this document easy to find, CAAD members suggested it could be hosted within the Office of Diversity, Equity and Inclusion (ODEI) website (<https://diversity.ucsc.edu>), since this is the first Google result when searching for "diversity at UCSC". CAAD members felt that transforming the current document into a searchable database is a worthwhile project that CDO Schulz's office could take the lead on, with CAAD's guidance.

#### II. Consultation with John Tamkun: Existing Academic barriers to the Retention of Traditionally Underserved Students in the Life Sciences

John Tamkun, Professor of Molecular, Cell and Developmental (MCD) Biology, shared results from a study he undertook funded by a Hispanic Serving Institution (HSI) Semilla Grant. In this

study, he aimed to identify and address the existing academic barriers to the retention of traditionally underserved students in the life sciences.

Tamkun tracked 1438 intended life science majors over 5 years (who entered UC Santa Cruz in Fall 2012), looking specifically at course enrollment patterns, academic performance, major qualification and declaration, major migration, retention and graduation. A data analysis tool developed at UC Davis (UCD) was used to sort data based on gender, race and other factors. The demographics of Tamkun's sample group were as follows: 60% female, 30% White, 30% Asian, 30% LatinX, 47% first generation college students, 46% Educational Opportunity Programs (EOP).

In summary, as a result of the study, Tamkun concluded that underrepresented students were disproportionately disadvantaged when compared to their white male counterparts. These disadvantages were evident in lower graduation rates (14% vs 38%). The main factor that led to these lower graduation rates were identified to be disproportionately higher migration rates away from a proposed Life Sciences major for underrepresented students. Tamkun further studied the potential reasons for this trend and identified key core classes, that he hypothesizes, serve as academic barriers to continuing a Life Sciences major for underrepresented students.

In general, there was a significant GPA difference between White and LatinX students in CHEM 1A, and also in some Math and Physics courses. Additionally, Tamkun created a heat map of courses with a high failure rate, showing significantly higher failure rates amongst LatinX students in BIO 20A, CHEM 1A, MATH 3, and MATH 11A. For LatinX students that successfully continued their major past these critical courses, disparities in grades were minimized in upper division courses.

These could be beneficial data, identifying the main barriers and having the potential to encourage a better advising plan for enrolling potential MCD students in the MATH 11A, CHEM 1A and BIO 20A sequences. Some reasons for higher failure rates, in part, are due to under preparedness at the time of enrollment, which can be addressed. One solution is advising a postponement in enrollment for example. Students largely tend to enroll in the courses they are advised to take.

The committee found that data visualization is useful in identifying factors that affect student success and diversity of academic programs. These types of studies can guide decisions on where resources should be invested to increase diversity. Departments should examine the potential impact of all changes to courses, requirements and policies on diversity.

Investment of resources might include increasing support in courses identified as "academic barriers." For example, there are dramatic drops in success in courses with a TA to student ratio of 1:80. Most TA and advisor allocations do not take diversity into account. Should TA ratios be shifted to reflect the diversity of certain courses? MCD Biology currently has a 1:78 TA to student ratio regardless of whether the class is all White males or predominantly LatinX. Same goes with advising.

It would be wise to have departments report on the diversity impact of major qualification courses annually. The department can offer course-specific reports for all course offerings to show

instructors the diversity achievement gaps in their courses, using IRAPS to track data and use dashboards. Can CAAD make a set of recommendations to the Center for Innovations in Teaching and Learning (CITL) based on what we have learned? Can a similar study of this nature be implemented university wide? CAAD could propose to the Committee on Educational Policy (CEP) to include these types of studies as part of the course approval process, revisions to programs, and request for new programs.

Based on this presentation and subsequent discussions, CAAD realized that in order to enhance the diversity within each department, and the campus as a whole, there is a great need to capture the diversity of students, staff and faculty in each department. To this end we created one-page template that provides a department diversity “snapshot”. The goal of these templates is to enable the campus to apply resources to URM students and faculty where they will have the greatest impact.

The first section of the template includes the number of faculty in the department, their gender distribution and the percentage that are URM. Also included is the number of proposed and declared majors, as well as the number of student advisors. The second section provides information on the entering class for each department: number of freshman, number of junior transfer, and information on ethnicity, 1<sup>st</sup> generation and gender distributions. The third section provides information regarding the graduating class in each department: degrees awarded, retention rate, time to degree, number senior research projects, undergraduate authorship. For each of these categories information will be provided on gender, ethnicity and 1<sup>st</sup> generation status. The next section will provide URMS ratios: URM/Faculty, URM/Advisor, URM/Average lower division class size, URM/Average upper division class size.

Also included is a section that provides information on the most challenging classes in each department based on the pass/fail rates and URM/TA ratios in these classes. Finally we ask each department to list URM programs sponsored. By sharing these lists, departments can be made of additional URM resources. Finally we would like each department to provide a list of outstanding alumni and brief highlights of their achievements.

We envision these templates being updated once and year and available to the entire UCSC community.

### **III. Recommended revisions to CAPM 101 and Partner Hire Procedures**

Recommendations included input on a new plan which establishes a working model for forward-funding partner hires. Specifically, CAAD raised questions about potential impacts that partner hires may have on diversity in hiring (the proposal identifies potential positive impacts; we also want to raise potential negative impacts), as well as impacts on receiving departments. These issues may be outside the scope of the narrow financial planning issues the proposal was designed to address. However, they tie to ongoing concerns that CAAD has had about CAPM 101.000. The Forward Funding Model makes it explicit that an outside offer is not required in retention partner hire cases. In some respects, this is advantageous for keeping high caliber faculty members, as having an offer in hand increases the likelihood that they will leave. However, approving waivers of open recruitment based on the likelihood of a future competing offer--which the committee has done in several recent cases--nevertheless makes CAAD uneasy, as exceptions to the fair hiring

protections provided by an open search should be used sparingly. CAAD concurs with Graduate Council that it seems unsound to create a juxtaposition of retention case requirements based on whether or not a partner hire is involved.

#### **IV. Campus climate**

CAAD monitored closely and communicated with the administration proactively regarding the multiple campus climate issues which were ongoing in 2019-20. These included the campus protests, campus climate, and disproportionate effect on students and faculty of color

- a. University/police relations during protests on campus
- b. George Floyd murder

#### **Issues, Policies, and Programs with Diversity Implications Reviewed**

##### *Systemwide*

Systemwide reviews in which CAAD contributed input to the divisional response include: the proposed Presidential Policy on Native American Cultural Affiliation and revisions to Academic Personnel Manual section 230.

##### *Divisional*

Divisional reviews in which CAAD contributed input to the divisional response include: a proposal for a Partner Hires - Forward Funding Model and a brief but important Academic Programs and Units (Academic Affairs administrated policy) Update - Diversity Plans for Grad Proposals.

##### *Waivers of Open Recruitment*

CAAD reviewed seven (5) waiver of open recruitment proposals; one (1) Target of Excellence and six (4) Spousal/Partner proposals.

#### **Considerations for 2020-21 CAAD**

- Revising guidelines/process in CAPM re Partner Hires and TOE
- Consider process to evaluate how campus is doing with diversifying faculty
- Diversity Landscape Plan (previous CAAD had surveyed departments to gather a sense of diversity resources and initiatives)
- Follow-up with administration on spring 2020 CAAD memo on systemic racism
- Take stock of the “diversity” initiatives happening at other UC campuses
- Statement regarding Inequities in Remote Learning
- Campus Policing Issue
- CAPS & Increased Mental Health Issues
- UCSC Rubric to Assess Candidate Contributions to Diversity, Equity and Inclusion

Respectfully Submitted;

COMMITTEE      ON      AFFIRMATIVE      ACTION      AND      DIVERSITY

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Elizabeth Abrams, Chair

August 31, 2020

## **COMMITTEE ON CAREER ADVISING Annual Report, 2019-20**

To the Academic Senate, Santa Cruz Division:

### **Introduction**

The Committee on Career Advising 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 six members, one from each academic division, one from the School of Engineering and the Provost of Cowell College. Starting this year, the Academic Senate controls the CCA budget. CCA had an administrative commitment for the next three years of funding at the end of 2018-19, as well as funding for the Innovative Mentoring Pilot program. The committee implemented several initiatives which were started in 2018-2019, although some of our plans were disrupted due to the 2020 pandemic. A brief overview of the committee's notable work in 2019-20 is provided below, with suggestions for the new committee.

### **New Faculty Orientation**

In September 2019, Chair Scott and CITL Director Jody Greene continued to refine the New Faculty Orientation (NFO). Holding it in the Seminar Room in the Coastal Biology Building worked very well. We decided to emphasize the NFO as part of a New Faculty Academy consisting of the Teaching Academy offered before the NFO as well as a series of workshops throughout the year designed to help new faculty succeed at UCSC. This orientation seemed to increase participation at the other workshops. At the NFO, we also emphasized the development of a sense of community, with an informal family BBQ after the event.

The evaluation forms collected before the BBQ provided valuable feedback. Overall, the event was positively received. CCA was in charge of the Research portion of the day, and Chair Scott worked with Dr. Greene to provide an overview of the structure of the university, emphasizing the role of the Academic Senate and shared governance. On 12 of the 21 returned evaluation forms, participants mentioned that opportunities to meet with the divisional research development specialists and Deans in roundtable sessions were particularly valuable. Ten of the evaluations said that the information about the structure of the university, key administrative officers, Senate committees and the SCFA, was "most valuable." Seven indicated that there was significant overlap between the sessions on teaching and the Teaching Academy that they just attended and found that to be "least valuable." Seven also said that they would like to learn more about tenure requirements and merit evaluations, with others asking for more information regarding biobibs, proposal submissions, pitfalls to avoid the first year, and a practical survival guide for living in Santa Cruz. Overall the comments were very positive, with one person asking for an additional "put it into practice" day of orientation. The CCA analyst has the full set of evaluations for the incoming Chair and committee to explore.

## **Faculty Mentorship Program**

### Mentor Matching Process

CCA oversees the Faculty Mentorship Program (FMP) in which all new faculty are matched with volunteer faculty mentors. This year we continued the process started last year. CCA presented information on possible mentors to mentees so that they were able to submit their mentoring preferences to CCA for consideration in the creation of mentoring pairs. Mentees were invited to submit up to five mentor choices, and we used 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. Mentor/mentee assignments were sent to mentors before they were finalized to allow them to weigh in on decisions. This year we had more volunteer mentors than new faculty needing mentors, so we suggest that this is considered in making matches for 2020-21, with priority for matches without stated preferences going to those mentors who volunteered and were not matched last year. In 2019-20 we had 26 incoming faculty. Mentees who have not yet received tenure were invited to continue in the FMP. In total, we had 189 participants consisting of 52 mentors and 137 mentees. Eight Lecturers with Security of Employment (LSOE) were included in the FMP this year, and we reached out to the senior LSOEs as mentors to address feedback received from 2018-2019. In the letters to mentors and mentees, we strove to make the relationship and expectations clear for both parties.

### Analysis of 2018-19 FMP Survey

While we conducted a survey of FMP participants last year, we didn't have time to fully analyze it. One of our first tasks in fall was to perform an analysis of the feedback we received from participants in the 2018-19 Faculty Mentorship Program. Of 26 responses, 11 were from mentors and 15 from mentees. The majority of mentors (8/11) felt they had appropriate resources to support their mentees; one suggested that an online questionnaire to mentees in the Fall could better facilitate mentor-mentee interactions. A few mentors that felt they didn't engage well with mentees cited busy mentee schedules, but were enthusiastic about trying to have at least one meeting per quarter.

From the mentee perspective, the vast majority (11/15) felt 'strongly' or 'extremely strongly' that they had a worthwhile experience with their mentor; those that didn't were in the small group that did not meet with their mentors or had mentors that were non-responsive. There were many positive comments about the program, such as "X is a committed, incredibly thoughtful, and generous mentor who has consistently provided me with invaluable support and advice, especially with regard to the specific issues facing female faculty of color" and "Y routinely had my best interests in mind, worked to make my transition to faculty here smooth, and checked in with me frequently. She went out of her way to make sure I felt supported, heard, and prioritized as junior faculty." Most mentees felt that they were matched with a mentor that was appropriate to their needs and preferences, but for those that did not feel that way, (3/15), there were varied reasons: 1) There was no senior LSOE to mentor a pre-tenure LSOE, or 2) they were assigned a mentor that was either not on their preferred list or one who already had two mentees and was reluctant to take on more. We also asked questions about FMP events throughout the year (e.g., workshops, socials) and the responses were overall positive, with those attending saying that it was worth their time.

Based on the analysis, the following areas were identified as areas of targeted improvement and we feel they should be continued:

- Improve the CCA website and provide better resources for mentors and mentees: Only 16% of respondents had accessed the CCA website (note: the website has been updated and improved, and emphasized as a valuable resource at our events).
- Strongly recommend that mentors initiate a quarterly meeting with mentees: Mentees that seemed most content with the program met at least once per quarter and had some overlap in research focus; mentees that were the least content did not meet in person with mentors. Check in with mentors in the Fall (especially when assigning > 1 mentee) to make sure they are willing to mentor their assigned mentees (note - this was done in 2019-20 and seems to work well).
- Make sure to recruit tenured LSOE mentors for LSOEs: A different focus on priorities for tenure means they should be matched with a knowledgeable mentor. Recruit senior LSOEs if needed (note - this was done in 2019-20 and seems to work well).
- FMP events seem generally valued across the board: Both mentors and mentees alike were positive about workshops and socials at the Provosts' houses, although varying the time of day they are held (*i.e.*, not all in the late afternoon) was suggested.
- Consider networking with other groups on campus to facilitate mentoring of underrepresented faculty: One Latinx mentee commented that they would appreciate having access to mentoring resources and/or communities for underrepresented groups (note: The Innovative Mentoring Program and some of the Faculty Community Networking groups are working to fulfill this need).

### Social Events

During the 2019-2020 academic year, the committee organized several social events to bring together junior faculty and to enable interactions among mentors and mentees on campus. The first event consisted of a Meet and Greet on November 4, 2019 at the University Rotunda. This first event was well-attended with 34 participants, and proved to be a great opportunity to initiate valuable contacts and introductions at the start of the academic year.

In the winter quarter on February 5, 2020, we organized our second social event at Oakes College, with 13 participants. We had two other social events scheduled for the Winter and Spring quarters (Cowell and Crown) that unfortunately had to be cancelled due to COVID-19. The committee reached out to Faculty Mentorship Program participants to enquire if there was interest in a virtual happy hour via zoom, but the response was that faculty felt "zoomed-out".

### Quarterly Workshops

#### *Research Resources Workshop*

The 2020 Research Resources for Faculty Workshop was held December 9, 2019, the Monday of finals week, from 1-4pm. We organized it with the Office of Research, moving much of the material presented in past years during the NFO to this more extensive workshop, and providing an opportunity for new faculty to ask questions. The first part of the workshop introduced the overall grant submission process at UCSC, new research

development support, SEED funding initiatives, tools for finding grant opportunities, tools for submitting and managing funding requests, information about grant management and grant regulations, and the role of the Office of Corporate and Foundation Relations in securing foundation funding. The second part consisted of round table Q & A with the presenters and divisional research personnel. The event had about 35 attendees (with approximately 10 presenters) in a packed room. It would be a good idea to choose a larger venue for next year's event (assuming it can be held in person). The message to attendees from presenters was clear – “Call us with your questions and concerns, we are here to help you with your research!” Presentation slides are available on the CCA website. Most of the feedback from attendees was positive, however, it was noted that there was a lack of information available for faculty in the Humanities.

#### *Path to Tenure Workshop*

The 2020 Path to Tenure workshop, originally scheduled as an in-person event in March, was held online on May 18th via Zoom due to restrictions around COVID-19. We extended the time to a two hour workshop, since the Q&A session was cut short last year. The format was kept the same, but the extended time for Q&A was appreciated. Forty-six total participants attended the event, including speakers and panelists. The panelists who graciously volunteered their time were Lynn Westerkamp, (Chair, Committee on Academic Personnel), AVPTL Jody Greene (CITL), Ibukun Bloom (Academic Personnel Office), and the following tenured faculty: Angus Forbes (Baskin School of Engineering (BSOE)), Carrie Partch (Physical and Biological Sciences), Camilo Gomez-Rivas (Humanities), Nicolas Davidenko (Social Sciences) and Soraya Murray (Arts). Although the workshop was held on Zoom, there was a vigorous Q&A session, and positive feedback was received from the attendees. Analyst Gordon posted the Zoom recording and chat from the event on the CCA website for those who were unable to attend.

#### *Mentoring Workshop (suspended)*

The third workshop planned for the year was suspended as the Path to Tenure workshop was postponed from March to May. We felt that this additional workshop would be poorly attended given the pandemic and the rapid switch to on-line learning. However, we recommend holding it, or another workshop of interest, next year.

### **Non-Routine Business, New and Continuing Concerns**

#### Development of the Innovative Mentoring Pilot Program

In spring of 2019, CCA submitted a proposal to create an alternative form of mentoring based on the University of Massachusetts Mutual Mentoring program. This proposal was built on several years of discussion regarding the benefits of alternative forms of mentoring, particularly for young and other new faculty. The pilot program for Innovative Mentoring (IMP) was funded for \$6,000. CCA developed a call for proposals for untenured faculty for grants of up to \$1200 each. The grants could provide resources facilitating alternative forms of mentoring, including but not limited to travel to conferences to meet existing or potential mentors, bringing mentors to campus, coordinating on-campus activities between untenured and tenured personnel, and childcare for faculty parents to engage in mentoring activities.

CCA received 12 proposals from untenured faculty in every division except the Arts (4 from BSOE; 4 from SS; 2 from Humanities, 2 from PBSoci) asking for a total of \$12,534. We funded 9 of the applications (3 fully and 6 partially), at least one from each division. The applicants (10 assistant professors and 1 assistant teaching professor) were equally divided among those who had been here 1-2 years and those here for 3 or more years. The projects were wide-ranging, although 50% asked for funding to attend a conference to engage in mentoring activities, speaking to the critical need for more conference travel funds for our assistant professors. At least eight of the applicants are scholars of color and many spoke to mentorship from that perspective.

Unfortunately, due to the pandemic, only one award was spent before the end of the fiscal year. We were hoping to collect more data about the activities engaged in during spring quarter, and at the end of the funding period, initially the end of fall quarter 2020. With most relevant activity put on hold, CCA extended the deadline for using the funds to June 2021, and all awardees who responded to the announcement plan to try to engage in the same activities next year. CCA is thrilled to be able to offer this valuable opportunity to untenured professors and hope it can continue to be funded in the future. Specific results will be determined next year when final activity reports are received from the award recipients.

#### Departmental Survey on Mentoring and Personnel Practices

In 2018-29, the committee created, distributed, and evaluated a survey on personnel practices to look at variations in mentoring practices and the enactment of Bylaw 55 between departments and schools. CCA analyzed the results this year, and, with Herbie Lee, Vice Provost Academic Affairs (VPAA). Lee met with two divisions, Arts and BSOE, to discuss best practices in mentoring and to encourage departments to allow untenured faculty to attend discussions regarding promotion and tenure. The survey indicates that while most departments allow untenured faculty to attend/vote on personnel cases, some departments still do not allow untenured faculty to attend discussions of merit and promotion reviews. CCA feels that access to the review process (whether to vote, or simply observe) is a valuable component of success at UCSC and understanding the path to tenure. Both the BSOE and the Arts division meetings were held on Zoom during spring quarter.

#### *Office of Diversity, Equity, and Inclusion (ODEI) and the CDO position*

CCA addressed Chancellor Larive's request for feedback on her plan to revise the leadership structure of the Office of Diversity, Equity, and Inclusion (ODEI) and the Chief Diversity Officer (CDO) position at our October 29, 2019 meeting. While we commended the Chancellor for looking carefully at issues of equity, inclusion and diversity on campus, and for her leadership in this area, we felt we could not support the proposal without greater clarity regarding how the change might affect faculty diversity efforts within the shared governance structure of the campus and how the mandates of EEO/AA would be met.

#### *Draft Internationalization Goals and Action Plan*

CCA discussed the Draft Internationalization Goals and Action Plan during its meetings on November 19, December 10, 2019, and January 14, 2020. In reviewing the document, we paid particular attention to the section assigned to our committee regarding faculty mentorship for international funding opportunities (e.g., Fulbright Fellowships), and other aspects of the plan that relate to the purview of our committee. In our response letter, we

applauded the effort to enhance international scholarship and emphasized the need for greater overall support for engaging graduate students, postdoctoral fellows, new faculty, and associate professors in international scholarly pursuits. CCA recommended the prioritization of the following proposals outlined in the plan: 1B) Incentivize international engagement by faculty, such as through seed funding for new initiatives in research, service, and teaching; 1C) Develop and support interdisciplinary faculty clusters focused on key regions to enhance curriculum, mobility, and research partnerships; and 5A) Broaden and deepen partnerships with international institutions. In the letter we wrote, we delineated several ideas for expanding support that can fruitfully engage graduate students, postdoctoral fellows, new faculty, and associate professors in international scholarly pursuits.

#### *Faculty Promotion and Tenure Concerns Amidst the COVID-19 Pandemic*

On March 17, 2020, CCA sent a letter to SEC and CAP regarding Faculty Promotion and Tenure Concerns Amidst the COVID-19 Pandemic. In the letter we asked them to advocate for relief addressing concerns from Assistant Professors regarding promotion and tenure, and proposed a freeze of tenure clocks. This, and other advocacy measures, apparently helped the administration decide to grant tenure clock extensions of up to three quarters for faculty whose research, teaching, and/or service have been significantly impacted by the COVID-19 situation.

#### *Proposed Changes to Graduate Student Instructor (GSI) Appointment Criteria*

CCA discussed CCI's Proposed Changes to Graduate Student Instructor (GSI) Appointment Criteria at our June 8, 2020 meeting. In our letter, we expressed grave concern about the proposed changes, and the timing of the requested response, and called for a moratorium on their implementation with further discussion during the 2020-21 academic calendar year. Substantial points raised in the letter were that the proposed changes do not address the situational and particular needs of various departments, especially those in the divisions of Arts, Humanities and Social Science; that the proposed changes would impact the resources available to all faculty for supporting their students; and that the changes could also impact the workload of untenured faculty, particularly if a course that they usually teach is the one requiring a mentor, and they are the only senate faculty allowed to oversee the course. Last but not least, CCA committee members opposed a blanket ban on hiring anyone who has had an academic integrity claim raised against them.

#### Proposal for Supporting Untenured Scholars with Prestigious Awards

In April and May 2019, CCA worked with SEC to present a letter to EVC Tromp raising a range of concerns related to faculty research awards and the lack of consistent campus policy for augmenting such awards so that faculty members could take advantage of the research time afforded by these fellowships. With the change of leadership, the strikes, the pandemic, and the lack of immediate concern, the issue dropped off the table this year. Chair Scott brought it back to the attention of EVC Kletzer in July 2020, and it will hopefully be addressed in the near future.

#### **Recommendations for 2020-21 CCA**

We feel that the 2019-2020 CCA has built a solid foundation for mentoring our untenured colleagues on campus, although there is always room for improvement. As the 2020-2021 CCA convenes, the global pandemic and on-line learning will impact the type of activities and mentoring available.

As a committee, we suggest the following:

- Retain the idea that new faculty are getting a year-long New Faculty Academy with the orientation, teaching academy and workshops, and strive to create a strong sense of community among the new recruits.
- Continue supporting the FMP through workshops, social events and encouragement to meet regularly.
- Encourage the use and updating of the CCA website.
- Formalize networking opportunities with other groups on campus to facilitate mentoring of underrepresented faculty.
- Follow-up with SEC and the EVC regarding divisional equity in support of scholars with prestigious awards.
- Continue to encourage departments to practice effective mentoring in addition to the opportunities provided by CCA.
- Finally, we hope that the 2020-21 CCA committee will continue to foster innovative mentoring opportunities. We suggest that CCA survey the IMP grant recipients to explore how these grants helped them succeed at UCSC. The CCA will need to advocate for additional funds for this program if it warrants continued support. In addition, a large number of early career faculty applying for IMP grants requested funds to attend meetings with the intention of building professional networks, either by meeting with specific individuals or attending career development workshops. Given that our initial budget was only \$6000, we decided to prioritize applications that focused on building specific mentoring relationships that were lacking on campus or brought mentoring opportunities to campus. However, we recognize the critical need for enhanced travel funds for pre-tenure faculty to support attendance at professional meetings for this purpose. We suggest that the committee either consider asking for additional funds specifically for this purpose through IMP grants, or advocate for increased funds for the COR Scholarly Meeting Travel Program.

Respectfully submitted,  
COMMITTEE ON CAREER ADVISING  
Judith Scott, Chair  
Anna Friz  
Carrie Partch  
Alan Christy  
Mark Amengual  
Michael Wehner

August 31, 2020

**COMMITTEE ON COURSES OF INSTRUCTION**  
**Annual Report, 2019-20**

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) met bi-weekly throughout the academic year to review campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consultation with other committees and administrative units, as well as the consideration of graduate student instructors, undergraduate teaching assistants, student petitions and grievances. A smaller cohort of committee members continued to meet bi-weekly during summer 2020, prompted by Interim CP/EVC Kletzer and VPAA Lee's May 2020 Call for Online Course Proposals (more on this below under Course Approvals).

The 2019-20 year was certainly out of the ordinary for CCI, as a multitude of new issues arose in light of the graduate student strike and the sudden switch to remote instruction for the spring 2020 quarter due to the COVID-19 pandemic.

**I. Routine Business**

Course Approvals

Between September 30, 2019 and July 8, 2020, the committee reviewed 462 course approvals. Of those, 236 were proposals for new courses, and 226 were course revision proposals.

Throughout the course approval process, CCI routinely requested that instructors update course syllabi in accordance with the list of syllabus requirements noted on the course approval forms in the Curriculum Management System (CAT) to promote the inclusion of important elements in each course syllabi, particularly learning outcomes, course pacing, and grading structures, student disability resources, academic integrity and course citation and collaboration policies.

*Summer 2020 Review of Online Course Proposals*

In light of the remote teaching and learning challenges presented by the COVID-19 pandemic, on May 11, 2020, Interim CP/EVC Lori Kletzer and VPAA Herbie Lee issued a call for online course proposals for fall 2020. The idea was that revamping courses to be taught as online classes, rather than just teaching an in-person class remotely, would better prepare instructional capacity and quality of education for the continuation of remote instruction in the fall. Forty course proposals were selected, with priority given to course proposal submissions that addressed degree completion, have high enrollment, or are for types of courses (e.g., labs, studios) that have presented greater challenges in being offered remotely. Courses were developed in cohorts of roughly ten faculty led by

an instructional designer, supporting staff, and a faculty fellow. Each cohort worked together for six weeks.

Due to the large number of course proposals being submitted during the summer months, a smaller cohort of CCI met biweekly between June and September 2020 to review the online course proposals, as well as other routine business. CCI members who chose to serve over the summer were told to track their time spent in CCI meetings and doing committee work, and will be compensated for their time at the end of the summer.

While this summer work proceeded smoothly and most of the courses were approved, CCI carefully considered whether learning outcomes for a course could be achieved in an on-line format. At least in one instance, BIOL 101L, CCI determined that the online format was incompatible with achieving the learning outcomes and did not approve the course, prompting CEP to discuss this point and issue a unanimous opinion that courses, for which an important element is direct hands-on experience, should not be approved as online courses.

#### Teaching Appointments

Between September 30, 2019 and July 8, 2020, the committee considered 224 requests for Graduate Student Instructor (GSI) teaching appointments and 17 for Undergraduate Teaching Assistant (UTA) appointments.

#### Student Petitions and Grievances

Between September 30, 2019 and July 8, 2020, the committee made decisions on 298 student petitions. Of these, 234 (79%) were approved and 64 (21%) were denied. The majority of petitions reviewed were for substitutions of GE requirements (73 petitions, 25%), followed by grade option changes (66 petitions, 22%), withdrawal grade requests (58 petitions, 19%), late add/drop requests (41 petitions, 14%), waivers of credit (17 petitions, 6%), Disciplinary Communication (DC) substitutions (15 petitions, 5%), waivers of senior residency requirements (13 petitions, 4%), catalog year rights (9 petitions, 3%) and writing requirement extensions (6 petitions, 2%).

The committee reviewed five grade grievances. Three were denied, one was withdrawn, and one is on hold pending a meeting between the student, instructor, and provost.

## **II. Streamlining the UNEX Course Approval Process**

Chair Hinck and Analyst Gordon met with UNEX staff (Alix Keener, Mayan Udoetuk, Claudia Terrizzano) to discuss roadblocks that have occurred in obtaining UNEX course approval through departments at UCSC. Chair Hinck also reached out to department chairs who are regularly delegated these reviews (Martine Schlag, Computer Science and Engineering and Sri Kurniawan, Computational Media) to determine their perspective on the process. With this

information, procedure was streamlined. CCI also asked that UNEX provide faculty with an acknowledgement letter of the work performed for their personnel files.

### **III. UAW Request for Information on Courses with a Pedagogical Requirement**

CCI was tasked with auditing experiential learning courses in response to a grievance raised by the United Automobile, Aerospace and Agricultural Implement Workers of America (UAW) (Case No. BX-03-1718-05). Jennifer Schiffner (Employee and Labor Relations) was our contact person. Through course descriptions, CCI identified classes, requested syllabi and reviewed the syllabi, and found that all the classes satisfied the negotiated principles. Courses from the list given to CCI were: CMMU 189, CMMU 102, EART 196C, EART 109, ECON 191, ECON 191, PSYC 1). Similar courses that CCI identified were: ART 191, CLNI 191, CLTE 191, CRWN 191, MATH 188, LIT 191, PHYS 191 and COWL 192, which is a student directed seminar.

### **IV. GE Pre-Approvals on the UCSC Campus Credit Abroad Database**

CCI was contacted by UCEAP about reviewing general education (GE) pre-approvals for UCSC Campus Credit Abroad courses that had expired. Many of the courses listed in the UCEAP database had not been taken by a UCSC student in many years. CCI discussed this issue, and decided that any GE pre-approvals that have been approved within the last 3 years should remain on the UCEAP credit database. CCI Analyst Gordon created a CCI UCEAP GE Preapprovals spreadsheet to document all GE substitution approval decisions CCI made on UCEAP courses in academic year 2019-20. Analyst Gordon will continue to update the spreadsheet each time CCI approves a new UCEAP course. The courses will be valid for the GEs indicated on the spreadsheet for three years from the date of CCI approval.

UCEAP was told by CCI to advise students that are seeking a GE for a course taken abroad through UCEAP (that isn't on the current pre-approval list) to petition CCI directly for a GE substitution for the course (indicating it was taken through UCEAP), and CCI will continue to update the spreadsheet with those decisions.

### **V. Reviewing Special Enrollment Restrictions on First and Second Pass Enrollment**

CCI reviewed requests from departments to allow for the Office of the Registrar to attach special major restrictions to classes during First Pass and Second Pass Enrollment. These special restrictions are applied to AIS and then removed at set times during First and Second Pass enrollment. This year CCI approved courses in CSE (the majority), ECE, BIOE and BIOL.

### **VI. Clarification of Syllabus Requirements for Course Approval Submissions**

In 2018-19, CCI met with Associate Vice Provost for Teaching and Learning (AVPTL) Jody Greene of CITL to discuss best practices for course and syllabi development. This led to the requirement that all syllabi notify students of Campus Advocacy Resources and Education (CARE) and Title IX support resources, in addition to Disability Resource Center (DRC)

resources and policies on collaboration, citation and academic integrity. CCI received feedback that the inclusion of all these policies in every syllabi was cumbersome.

In 2019-20, CCI decided to remove the requirement for CARE and Title IX notification, and instead only recommend inclusion of this information. CCI also realized that many professors never see the list of syllabi requirements in the UCSC Curriculum and Approval Tracking (CAT) system. Therefore, CCI sent a letter to all divisional deans, college provosts, and department chairs and managers clarifying syllabus requirements for course approvals and revisions. The committee hoped that clarifying the syllabus requirements could help to cut down on the (often) multiple rounds of revisions between course sponsors and CCI in the course approval process.

Currently, syllabus requirements are as follows:

- Learning outcomes or objectives (it is recommended that at least one align with the program's learning outcomes)
- Nature of assignments/assessments (projects, homework, written assignments, quizzes, exams, etc.) and how these connect to the course learning objectives
- How assessments add up to a final grade
- Nature of final exam or project
- Weekly schedule for course materials
- No examinations, tests, assignments, papers, final projects or final performances that result in more than 12.5% of the final grade (other than individual makeup exams) may be given during the last week of instruction. This does not include the collection of materials produced throughout the quarter, such as final portfolios.
- Student hours for class: Systemwide Senate Regulation (SR) 760 specifies that one academic credit corresponds to a total of 30 hours of work over a quarter (e.g. 3 hours per week for a 10-week quarter).
- Policies on collaboration, citation and academic integrity with links to resources on correct practice
- The following notification for student support resources is required: DRC
- The following notifications for student support resources are recommended: CARE, Title IX

## **VII. Moving to CARS as the Platform for Reviewing and Submitting Petitions**

Throughout the 2019-20 academic year, CCI utilized Google forms for the submission of student petitions, grade grievances, GSI requests and Undergraduate Teaching Instructor requests, with a workflow system called Form Workflow Plus that sent notifications of petitions needing review to the applicable reviewers. CCI received numerous complaints throughout the year about both the functionality of Form Workflow Plus, which was constantly plagued with glitches, and security concerns about the access to user's email and calendar that the program required. UCSC

ITS Manager Leslie Geary developed an in-house application and workflow system called CARS, which will be replacing the Google Forms and Form Workflow Plus functions in the 2020-21 academic year. Analyst Gordon spent much of summer 2020 building out the new forms and workflows in CARS. CARS began accepting applications for student petitions on August 21, 2020, and should be ready for grade grievances, GSI requests and Undergraduate Teaching Instructor requests by the beginning of the 2020-21 academic year.

#### **VIII. Approving SOMeCA (SOAR, Student Media, Cultural Arts and Diversity) courses that are sponsored by colleges.**

Senate Chair Kim Lau consulted with CEP and CCI regarding who can sponsor courses at UCSC. Chair Lau was specifically asking about classes taught by SOMeCA, that had been offered as independent studies courses, sponsored by individual faculty members. Senate leadership was interested in whether SOMeCA or other independent organizations could sponsor the courses themselves. CEP responded to this query, clarifying the following: 1) Santa Cruz Regulation (SCR) 2.2, SCR3.1 and SCR 4.2 authorize only colleges, divisions and departments, and programs of study to sponsor courses -- not organizations such as SOMeCA. 2) The first line of defense ensuring course quality is always the instructor, followed by the course sponsoring agency, followed by CCI.

To ensure clear communication of this information, CCI wrote to the provosts of sponsoring colleges (Elizabeth Abrams, Merrill and Ben Leeds Carson, Kresge) and explained that once a course is approved, CCI does not periodically re-review them. Therefore, college provosts need to be aware of any changes in SOMeCA staff and leadership, especially the staff who teach the sponsored courses. Staff teaching these courses are temporarily appointed simultaneously as non-Senate faculty, and are subject to the same decanal review as other non-Senate faculty. Thus, teaching staff review, along with provost oversight, are the two key safeguards that ensure the quality of these classes taught through organizations and not directly by senate faculty.

#### **IX. Proposed Changes to the Approval Process and Criteria for GSI Appointments**

CCI is tasked with the responsibility of overseeing the appointment of graduate student instructors (GSIs) in undergraduate courses. The purpose of these appointments is to provide graduate students the opportunity to teach independently, while under the supervision of mentors who aid in the pedagogical development of these students. Such opportunities offer valuable professional development that is increasingly important for the future success of our graduate students, both in the job market, and in their respective fields. At the same time, it is essential that the quality of instruction in undergraduate courses meet minimum standards; the interests of graduate students or institutional priorities cannot override this requirement.

In recent years, there has been a growing concern that GSI appointments are transitioning from being strictly a learning experience, which also respects the needs of undergraduate instruction,

to one that is subject to the competing interests of balancing the University's budget and/or increasing graduate student growth. To maintain the quality of the GSI experience, CCI proposed to department and program chairs, divisional deans, college provosts and key university administrators six additions to the existing criteria for the approval of GSI appointments for undergraduate courses.

CCI received a lot of feedback from departments, other committees, and the administration, most of which objected to the changes. Several responses questioned CCI's, rather than CEP's, jurisdiction over these matters. Consequently, CEP took over the changes to the criteria in consultation with CCI, and drafted a revision of the six proposed CCI criteria. In this letter, CEP clarified that the criteria for GSI appointments only apply to blanket approval. The revised proposal will not be finalized until fall 2020, and will be applicable starting in fall 2021 (with a later start date proposed for GSI training). In summer 2020, CCI is working on changes to the GSI Faculty Oversight and Mentoring Agreement with the goal of formalizing the process and ensuring that faculty acknowledge this agreement when they consent to supervise a GSI.

#### **X. Recommendations for 2020-21 CCI**

- Return to the issue raised in 2018-19 about GE petitions, and discuss and implement refinements for substitution criteria.
- Train new members on accessing records of previous decisions so they can use this information to guide and regularize future decisions on student petitions. Consider documenting discussions and generating a best practices document.
- Allow the committee flexibility to make decisions quarter-by-quarter due to the very unusual circumstances around remote instruction.
- Consider having faculty commit to a 3-year term on CCI because continuity in membership will better ensure policy decision uniformity over time.
- Obtain more information from advisors and provosts concerning their decisions on student petitions. The new CARS reviewer form has a much larger text box that requests additional information to ensure the flow of decision logic to CCI. Please note that the Writing Program has an extensive internal system, which they use to make decisions concerning student petitions to extend the writing requirement. If questions arise on these petitions, CCI can request this decision thread from the Writing Program.

Respectfully submitted,  
COMMITTEE ON COURSES OF INSTRUCTION  
Narges Norouzi  
Kevin Karplus  
Albert Narath  
Yat Li

Cecilia Rivas  
Juned Shaikh  
Jon Daehnke  
Amanda Rysling  
Lindsay Hinck, Chair

August 31, 2020

## **COMMITTEE ON DEVELOPMENT AND FUNDRAISING**

### **Annual Report, 2019-20**

This was the first year of the formally approved Committee on Development and Fundraising (CDF). CDF was formed by the Senate in fall 2014 to meet the need for a more active and diverse faculty voice in fundraising. Our charges are 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 to identify faculty clusters that represent current untapped opportunities for collaborative research at UCSC. The usual process was to forward these small faculty groups to University Relations for help with development of a public message and targeted audience. We changed our strategy from working with individual groups, chosen from among the Themed Academic Working Groups (TAWG) in the Strategic Academic Planning Process, to developing a broader net, for comprehensive campaign priorities. We conducted a survey of campus research institutes and centers to maintain an updated list for the committee and to identify those not yet ready for large-grant applications. With small seed funding, the aim is to support them in preparation for the next larger-scale phase (grant-development with targeted applications to federal agencies and foundation).

The centerpiece of this new direction was our work in winter and spring with the Office of Research (OR) on their Seed Funding for Center-Scale Research Initiatives. This was part of an ongoing Senate-administration partnership committed to better coordinate campus research development and fundraising by bringing together the four units charged with those missions (Committee on Research [COR], CDF, UR and OR). We want a transparent process to ensure Senate-administration joint participation when the campus allocates limited discretionary seed funds to support specific initiatives.

CDF has historically had no funding-source of its own, so we joined forces with OR in the Center-Scale Seed Funding review-process, in a series of regular consultations with both Vice Chancellor for Research Scott Brandt and Associate Vice Chancellor John MacMillan. Our purview within the total of 45 applications received was the 16 proposals in the Arts, Humanities, and Social Sciences, which we reviewed and ranked using our own criteria and questionnaire. Because of Covid-19 the whole review process was paused, we recommended additional projects for OR funding when the process is reinitiated. In the interests of keeping it alive, CDF pursued another, more innovative relationship with the UCSC Foundation Board. We developed a proposal for the Board Opportunity Fund (BOF), an experimental one-year pilot for the 2020-21 academic year, in which the BOF would reserve a total of \$36,000 to be dispersed in amounts up to \$12,000 for three to four projects, with CDF functioning as a faculty vetting-review committee. The Board voted to approve the proposal, and we were able in record time to offer funding to three groups. (See the proposal and campus announcement of the awards.)

Among the benefits to the campus of this exciting new program: rather than addressing one-time needs of a single project, a pipeline of projects would be created, in varying stages of development before being eligible for large-scale government or foundation grants. Through our three-way Senate-administration partnership with the BOF, we would identify ideas from across campus that as a group we think could lead to something bigger, including new research centers or institutes as promising interdisciplinary incubators with the potential for both undergraduate and graduate student research experience. This would substantially extend the BOF's reach to a new pool of ideas across campus.

Finally, CDF worked on several nuts-and-bolts projects to raise faculty research visibility and strengthen the faculty role among all the largely uncoordinated fundraising and development groups. 1) We contributed information on best practices that have worked in engaging alumni and fostering a donor base at the departmental level to a Faculty UR Fundraising Handbook that is being developed by Prof. Melissa Caldwell, a participant in the Faculty Administrative Leadership Program. 2) We updated the Faculty Experts List (a standard resource in most large universities, which we developed in 2015-16 with campus IT) 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, and we are aim to expand this to all 596 Senate faculty.

As part of the committee's oversight and advisory role for UR, CDF participated in the search for a new Vice-Chancellor for University Relations, and we look forward to working with VCUR Mark Davis. It will be important to monitor whether and how the recommendations from last year's UR Review are implemented, as well as their effectiveness, especially critical as the campus prepares for the next comprehensive campaign.

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, creating metrics that can be used for regular assessment and active monitoring of the state of development and fund-raising at UCSC.
  - a) expanding consultation to 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 Campus Provost and Executive Vice Chancellor.
  - b) advancing our ongoing partnership with the Graduate Council and the Graduate Division, to collaborate on a potential funding proposal for central planning, coordinating and codifying of professional development programs across campus, and to create a comprehensive internship program that links graduate students with local organizations, businesses, raises campus visibility, and cultivates potential supporters, donors.
  - c) helping with the development of the next campus comprehensive campaign.

Respectfully submitted,

**Committee on Development and Fundraising**

Ben Carson  
Karen Holl  
Jimin Lee  
Sikina Jinnah  
Soraya Murray  
Enrico Ramirez-Ruiz  
Jeff Shilling  
Steve Whittaker  
Susan Gillman, Chair

August 31, 2020

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

April 30, 2020

FOUNDATION BOARD  
University of California, Santa Cruz

**Re: A New Granting-Funding Model for the Board Opportunity Fund, in Partnership with the Senate Committee on Development and Fundraising**

Dear Foundation Board Members:

I write as chair of the Senate Committee on Development and Fundraising (CDF), a committee charged with working with University Relations (UR) to promote faculty engagement in campus fundraising and development. We are comprised of faculty members from all academic divisions, along with the Council of Provosts and the Vice Chancellor of University Relations (as *sits with*).

We have joined forces with UR and the Office of Research (OR), groups dedicated to the UCSC fundraising enterprise, to launch what we hope will be a fruitful new partnership. Our aim is to enhance research funding, targeted to promising, interdisciplinary projects that are consistent with the goals of the Foundation Board. This partnership would allow us to think creatively about innovative, small-scale seed-funding, while increasing the visibility of the Foundation on campus and in outreach to faculty. We are all committed to the same cause, as articulated in the terms of the Board Opportunity Fund (BOF) application: to further fundraising success and/or to strategically raise awareness and visibility for UC Santa Cruz.

We turn to the BOF because of its history of seeking out promising ideas that, if seeded, have a good chance to blossom into impactful new initiatives. These are faculty-led research initiatives that offer potential undergraduate and graduate student research experience as well as mentorship. The BOF's early support for the Genome Project is a good example. Knowing that the BOF has traditionally reviewed and funded projects on an individual basis, we propose a different funding model in which the BOF would be the source and CDF the reviewer-grantor. This would enable the BOF to fulfill its goal—to give back to the campus a portion of its funds and to identify the highest and best possible use for them—while relieving trustees of some of the vetting responsibility regarding those projects for which they may feel underequipped.

We would like to propose the following experimental one-year pilot: for the 2020-21 academic year, the BOF would reserve a total of \$36,000 to be dispersed in amounts up to \$12,000 for three to four projects, with CDF functioning as a faculty vetting-review committee. Each proposal would be forwarded with the traditional sponsorship of a trustee.

What are the benefits of this new funding model?

A. Benefits to the campus:

1. Rather than addressing one-time needs of a single project, a pipeline of projects would be created, in varying stages of development before being eligible for large-scale government or foundation grants. UR would provide the logistical support to train faculty in making effective presentations and identifying potential audiences, public and private. The aim would be to nurture these nascent ideas, coordinate and help them move forward.
2. A cooperative ecosystem of campus funding possibilities would be developed in order to move forward projects from across campus divisions and disciplines in an efficient, coordinated fashion.

9/10/2020

Three interdisciplinary projects receive seed funding from UCSC Foundation

## NEWSCENTER

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### Three interdisciplinary projects receive seed funding from UCSC Foundation

June 30, 2020

By Public Affairs

Three interdisciplinary projects have received seed funding from the UC Santa Cruz Foundation following a campuswide call for proposals issued by the Office of Research.

Each project will receive \$12,000 during the 2020–21 academic year as part of an experimental, one-year pilot project designed to build relationships between faculty and trustee “sponsors” of each project. The larger goal is strengthening the faculty role in campus fundraising, and putting faculty-initiated research projects at the center of campus philanthropy, said Susan Gillman, professor of literature and chair of the Academic Senate Committee on Development and Fundraising (CDF).

After applying for a \$36,000 Foundation Board Opportunity Fund (BOF) grant, the CDF reviewed 17 proposals, identified three, and presented them the BOF committee at its meeting last month. On June 6, the foundation approved the grant proposal.

The three projects are:

- **Center for Monster Studies:** Michael Chemers, professor of dramatic literature, says a Center for Monster Studies will provide a vehicle for the interdisciplinary study of how societies define and decide how to frame and punish difference and deviance. In their application for funding, Chemers and co-principal investigators Elizabeth Swensen, assistant professor of art and design in Games and Playable Media, and Noah Wardrip-Fruin, professor of computational media, wrote: “The benefits of taking monsters seriously have been long acknowledged by anthropologists and psychologists, but we locate our critique firmly within cultural studies insofar as its central emphasis is an inquiry into cultural practices, seeking to unlock the mechanics of identity construction.”
- **Community-Engaged Scholarship at UCSC:** The seed funding for this project, which is led by Rebecca London, assistant professor of sociology, will be used to help establish a Campus + Community Center on campus. The center will serve as a central hub of resources for scholars and organizations that participate in community-engaged scholarship. Based in the Institute for Social Transformation, the center will identify best practices for community-engaged scholarship, including establishing a set of values and support systems for faculty and community partners that will foster productive collaborations. Seed funds will specifically support the hiring this summer of graduate and undergraduate students to help write grants. The larger aim, London says, is to further “embed community-engaged research into the UCSC fabric.”
- **Building a Culture for Health:** Politics Professor Matt Sparke is leading an interdisciplinary team that will investigate health inequalities with a focus on the health of underserved LatinX migrant communities. The team’s goal is two-fold: to research the health needs of vulnerable migrant and homeless populations, and to develop a pipeline for health-worker training from high schools through community colleges and UCSC. Sparke says “This larger vision of a health worker education pipeline will build on community connections that UCSC researchers have already been fostering in our local Santa Cruz and Pajaro Valley communities,” said Sparke. Seed funding will cover the cost of workshops that will bring together community-based organizations and community health workers, fostering relationships and collaboration that will lay the foundation for subsequent applications for significant funding.

Gillman, called the seed funding effort “the start of a new direct faculty-Foundation partnership.”

## COMMITTEE ON EDUCATIONAL POLICY Annual Report 2019-20

To the Academic Senate, Santa Cruz Division:

### I. Introduction

The Committee on Educational Policy (CEP) had an exceptionally challenging year in 2019-20, having a key role in the twin crises that affected UC Santa Cruz. The issues discussed by the committee, and decisions that were made, are discussed in this report.

In the fall term, CEP presented [a report](#) (AS/SCP/1960) to the Senate, showing that undergraduate education at UC Santa Cruz is under-resourced compared to even those UC campuses — such as UC Riverside — which we would hope to be comparable to or better than. This is the root of many of our problems related to undergraduate education. To our knowledge, there has been no progress on this issue.

In the winter term, CEP dealt with the impact of the strike launched by graduate teaching assistants, which resulted in a large number of grades for Fall 2019 and Winter 2020 not being submitted in time. CEP issued a series of letters providing guidance to departments and adaptations of standard policies, balancing the need to maintain academic standards with the need for students to get their grades in time. These letters are published on CEP's correspondence [website](#)<sup>1</sup> and are therefore not repeated here.

Near the end of the winter term, in response to the COVID-19 pandemic, the campus abruptly moved to remote instruction. In collaboration with other Senate committees, and sometimes with the Administration, CEP issued another set of letters clarifying which policies were being waived or loosened, and which were not. Many decisions were delegated from CEP to the departments. This correspondence is also available on the committee's [website](#).

### II. Classroom Utilization

Availability of classrooms on campus continues to be a problem, temporarily masked by the transition to remote instruction. For Fall 2019, the initial demand for small classrooms was more than 100% of the number of available time slots. Due to cancellations, this eventually dropped to less than 100%. This situation will be made worse when the Kresge Classroom Project is launched, since it will eliminate one classroom in this size range. CEP presented the Administration with a set of possibilities that might quickly increase the supply of such classrooms. The committee has not heard back from the Administration about this. The availability of classrooms with 100-199 seats will also face a severe crunch when the Kresge Classroom Project is launched, since a classroom in this size range will also be eliminated.

Faced with this challenge, knowing that it takes time for new classrooms to be developed, and not seeing any action from the Administration on this front, CEP decided that it would not approve any new academic programs that place additional demands on classrooms in a term (i.e. Fall, Winter or Spring) and a size-range for which the utilization is already at or above 90%. We hope

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<sup>1</sup> <https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/cep-correspondence/index.html>

that the Administration will take action to solve this problem, allowing CEP to reverse this decision instead of going still further.

### **III. Quality of Academic Programs**

According to the bylaws of the Academic Senate, CEP's primary charge is "the quality of academic programs". Accordingly, CEP looked into major programs in four departments to see if their requirements were within the range expected from other UC campuses, or if they needed upgrading. In the case of two departments, changes were made that partly or fully addressed CEP's concerns. In the case of a third, the department will propose a curricular upgrade in Fall 2020, failing which the program will be suspended. In the fourth case, the department was open to the idea of making the change needed to bring their program within the UC norm, but the lack of classroom space prevented this from being explored further. We recommend that this effort be continued with other departments.

There was no progress with the efforts to strengthen the College Scholars Program. The additional resources required are not insignificant, but they should not be prohibitive. Considering that there was no progress before the current budget crisis, it is unlikely that there will be any improvement in the near future.

### **IV. Impaction and the CSE Department**

CEP also worked with the Committee on Planning and Budget (CPB) to release a [report](#) (AS/SCP/1964) on which departments are particularly "impacted", i.e. have their academic programs under strain because of insufficient resources to deal with the number of students in their programs. This is obviously related to the previous item, since departments under pressure are in the most danger of seeing their academic programs degraded.

The CPB-CEP report identified several departments that are, to varying degrees, impacted. Among these, the Computer Science and Engineering Department was clearly the worst off. (This is the only department that has officially been designated as impacted, resulting in controls on the number of students admitted each year.) CEP advised the Administration about what resources would be needed for the department to be able to manage its academic programs, failing which the Major Qualification GPA for the Computer Science B.S. would be raised from 2.8 to 3.0, with further steps possible in 2020-21. The qualification GPA has been raised to 3.0 in the 2020-21 General Catalog. With 900 students expected to enter the Computer Science B.S. in Fall 2020 instead of the annual target of 800, expected — with the dearth of faculty — to result in the quality of classes and students' access to them to suffer, it is likely that further steps will be needed.

The situation with the Psychology Department and the MCD Biology Department is expected to be much improved in 2020-21 compared to 2019-20 because of a large number of faculty hires. Continued monitoring of these departments will be desirable.

### **V. Preparatory education and placement**

#### ***a. Academic Literacy Curriculum***

The Academic Literacy Curriculum (ALC), providing instruction in basic reading, comprehension and writing skills, was introduced in 2018-19. Reports about its effectiveness have been reviewed

by CEP, and are discussed in detail in a separate report (see Appendix I).. Overall, the ALC seems to be working well, but with some concerns:

- International multilingual students are struggling with College 1 and subsequent writing courses. CEP has requested that the Administration fund the development of an online language course that can be taken by these students in the summer prior to matriculation. This course can be developed by the Department of Languages and Applied Linguistics, in consultation with the colleges and the Writing Program. (At this point, CEP does not support adding another required course to the ALC in the fall, lengthening the chain of courses that have to be completed by Senate deadlines.) There has been no progress on this front so far.
- The budgeting for the ALC remains an unresolved issue. The Humanities Division contends that it is not provided sufficient funds for the Writing Program component of the ALC, even though this is supposed to be a budget line-item distinct from the rest of the Humanities Division. This claim has been pending for more than a year with the central Administration. Students have to complete ELWR by the end of their first year and the Composition (C) requirement by the end of their second year according to Senate regulations, and it would be unfortunate if inadequate funding were to result in students having to leave the University. This problem has worsened because of the outcome of Directed Self Placement (see next paragraph).
- The Writing Program and the Humanities Division have to plan properly so that enough sections of each of the Writing courses in the ALC are offered each year. Although there have been no major problems, students sometimes have to struggle to get into the courses they need. Although the curricular planning is complicated, it is essential.

### ***b. Directed Self-Placement***

With the uncertainty surrounding the systemwide Analytical Writing Placement Examination (AWPE) in the year 2020 as a result of the COVID-19 pandemic, campuses have moved to their own placement systems to channel students into the appropriate writing courses. Even before this happened, the AWPE was critiqued by the deans of undergraduate education at the UC campuses as being a poor placement mechanism. At UC Santa Cruz, the 2020 placement has occurred through Directed Self Placement (DSP), where a student is guided through a process that enables them to make an informed choice about which writing course would be most appropriate for them. DSP was developed by the Writing Program, and endorsed by CEP in Spring 2020. From September 1, 2020, when the oversight responsibilities of the Committee on Preparatory Education (CPE) will be formally transferred to CEP, the committee should work with the Writing Program to confirm that DSP is working properly.

For Fall 2020, DSP has had the unexpected outcome that approximately two-thirds of students have chosen WRIT 1, including a substantial number of ELWR-satisfied students. Normally, one-third of the students are placed in WRIT 1. This situation needs attention and careful planning early in the fall, by the Writing Program, the Humanities Division, CEP and the central Administration.

### ***c. Math Placement and Instruction***

A CEP subcommittee reviewed UC Santa Cruz's mathematics placement system and the teaching in introductory mathematics courses, and made recommendations. After discussion in CEP, a letter

was released to the relevant deans and department chairs for comments, so that CEP — overseeing placement systems under Senate bylaws — can reach a decision. The letter has been published on CEP's correspondence [website](#).

## **VI. Graduate Student Instructors**

CEP participated in preparing the proposal from the Committee on Courses of Instruction to strengthen the criteria for blanket approval of Graduate Student Instructors (GSIs). After feedback was obtained from departments and the Administration, primary responsibility for this project was transferred to CEP, and an updated proposal circulated to departments in the summer. The proposal included training for GSIs, limits on class size and supervision of teaching assistants, proper mentoring support from the faculty mentors, and a provision that GSIs must not have academic integrity actions on their record. Final decisions will be made by CEP in Fall 2020, to be implemented partly from Fall 2021 and partly from Fall 2022.

CEP also proposed a limit of 25% for the fraction of upper division courses from a course sponsoring agency that can be taught by GSIs. In Spring 2020, when CEP learned that the percentage of GSI-taught upper division courses in one department was well above this threshold, the committee suspended their academic program while allowing their courses to continue. If the department is able to fix this problem in the near future, the program can be reactivated.

In Spring 2020, CEP approved a policy that faculty mentors of GSIs should be given co-instructor status in the Canvas shell for the course.

## **VII. Courses and course-sponsoring agencies**

In response to an inquiry from the Vice Provost and Dean of Undergraduate Education and the Council of Provosts, CEP stated that a (Senate approved) course must

- Provide sufficient interaction with an instructor (i.e. a person holding one of the instructional titles<sup>2</sup> in the University of California for the course)
- Involve evaluation of the work of students
- Consist of material or skills taught that has value going beyond UC Santa Cruz.

The number of credits for the course must be appropriate for the amount of academic activity associated with the course, consistent with systemwide Senate regulation SR 760. CEP later further clarified that Senate approved courses must be sponsored by a group of Senate faculty with the resources available to offer courses.

In Summer 2020, CEP wrote a letter to the Senate Chair expressing concern about the proliferation of “certificate programs” that are not clearly distinguishable from Senate approved certificates, which is problematic in view of the exclusive authority over certificates given to the Senate by Regents’ Standing Order 105.2.a. This will have to be pursued at the systemwide level in 2020-21.

## **VIII. Credit for unarticulated courses**

In response to a query from the Admissions Office, CEP clarified that when a student has completed a course at another institution which is not articulated to a UC Santa Cruz course,

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<sup>2</sup> See APM 110-4.15 and APM 112.

departments are free to accept the two courses as being equivalent for the purpose of fulfilling the course requirements for their academic programs or for the purpose of their transfer screening requirements, but this should not be entered as “Other Credit” in the Academic Information System. “Other Credit” results in the student being treated as having completed the UC Santa Cruz course for all purposes, including as a prerequisite for courses offered by other course-sponsoring agencies, and this can only be approved by the course-sponsoring agency for the UC Santa Cruz course.

CEP recommended that Admissions explore whether it can post accredited courses for incoming transfer students before they enroll for their first term, reducing unnecessary workload for departmental staff and allowing them to spend more time on unarticulated courses. CEP further recommended that a database be created, where information about courses outside California community colleges (i.e. not on ASSIST) could be entered when they are reviewed, whether the outcome was favorable or unfavorable, so that the same course would not have to be reviewed twice. This would reduce the workload for the Admissions Office and departments.

### **IX. General Catalog and Navigator**

This was the second year of the Curriculum Approval and Tracking (CAT) system. After a challenging launch in 2018-19, the process was much smoother this year. It was possible to release the draft catalog before continuing students enrolled in classes for Fall 2020 because enrollment was delayed (due to COVID-19), enabling them to see new course offerings and new programs. It would be desirable if this could become a regular feature.

CEP and Graduate Council continue to request improvements to the CAT system. These fall in three categories: changes that would benefit faculty and staff entering course proposals and program statements, changes that would benefit Senate committees reviewing these proposals, and changes that would help the end-users reading the published catalog. Several of these requests have been fulfilled; others are still pending.

One of the significant improvements is to allow external web pages to link to a specific section in a program statement in the catalog, instead of the top of the program statement. It should now be possible to phase out the common practice of departments duplicating catalog information on their website, which after a few years can lead to inconsistencies between the two versions.

There is a lot of information about undergraduate programs that is useful for students but is not in the General Catalog. The Division of Undergraduate Education (UE) has started a project to revive an upgraded version of the UCSC Navigator, which would contain all this supplementary information in an easy-to-read form. The project was at a preliminary stage in 2019-20, but CEP should consult with UE about it in 2020-21. Having multiple, sometimes inconsistent, sources of information for undergraduate students was identified as a significant source of extra work for advisors and of confusion for students.

As a related venture, UE is proposing to reorganize the advising clusters for students who, when they enter UC Santa Cruz, are not clear about which major they wish to pursue. First-year academic planners that give students in a major a picture of the different majors in their cluster will be developed, so that they can choose between them. The four-year graduation rate at UC Santa Cruz

is weighed down by students who are undeclared at the time of matriculation, and helping them to make up their minds quickly will be beneficial.

## **X. IRAPS Dashboards**

At CEP's request, the Institutional Research and Academic Policy Studies unit (IRAPS) developed a set of tools that allow various aspects of how a department's courses and curricula are functioning to be analyzed and visualized. These include migration between majors, course outcomes, and when students take courses. There is also a dashboard that shows student success in a major based on their performance in certain courses in their first year. Final adjustments are being made to these dashboards, after which CEP should decide in the fall who should have access to these. We hope they will be useful to departments and CEP for analysis and planning.

IRAPS is also developing a dashboard to assess proposed or existing major qualification policies. The design of this dashboard is based on CEP decisions during the last few years. It should be ready in 2020-21.

## **XI. Academic Program Establishment, Modification, Suspension and Discontinuance**

- The committee participated in the review of the latest revision of the policy "Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment and Change" (the APU). CEP made extensive revisions to Appendix C, which specifies the structure of undergraduate degree program proposals, to simplify and reduce the requirements wherever possible.
- A new Applied Mathematics B.S. was approved, after the Administration provided the resources that the department said they would need to launch the program.
- A new Mathematics B.S. was approved, and the Mathematics Education concentration in the Mathematics B.A. program was converted to a separate degree program.
- A new Education, Democracy and Justice B.A. was approved, with the provision of limited enrollment per year because of classroom availability constraints. (See Item II in this report.) This limit will be reviewed more broadly in Fall 2020.
- A new Biotechnology B.A. program (sponsored by the Biomolecular Engineering Department), aimed at students with a broad range of interests with biomolecular engineering content, was approved.
- The Agroecology concentration in the Environmental Studies B.A. program was converted to a separate degree program with a greater emphasis on agroecology.
- Two new concentrations in the Music B.A. were approved: Global Music, and Contemporary Practices. The existing B.A. was converted into a concentration in Western Art Music. As part of this process, CEP also reviewed the academic requirements for the Western Art Music Minor and the Jazz Minor, and asked for changes. These changes were made, and the Jazz Minor renamed as the Jazz, Spontaneous Composition, and Improvisation Minor.
- A new concentration in Accounting was approved in the Business Management Economics B.A. Students who are aiming for a career as a Chartered Public Accountant take these courses at present, and the concentration gives their efforts recognition.
- A Black Studies Minor was approved. This program was sponsored by the Critical Race and Ethnic Studies program. In the process, CEP sought and received assurances from the

Dean of Humanities about the adequateness of funding levels for Critical Race and Ethnic Studies.

- A proposal from the program faculty to suspend the Technology and Information Management B.S. because of inadequate resources was received by CEP. The committee endorsed the faculty's stand, and asked the Administration to provide additional resources and an improved governance structure if the program was to continue. The resources have been provided, and the governance structure is still being finalized. We expect this to be resolved in 2020-21.
- The History of Consciousness Minor was suspended by CEP due to a lack of faculty-taught courses at the upper division level.
- CEP requested that a proposal to upgrade the Neuroscience B.S. program be submitted in Fall 2020, failing which the program would be suspended from Fall 2021. CEP informed the Committee on Admissions and Financial Aid (CAFA) about this. After discussion, CAFA determined that it would be best to admit students to the program for Fall 2021 with the expectation that it would continue; if it was suspended, the students could move to one of the other majors in the MCD Biology Department.
- The German Studies B.A., which had been suspended two years ago because of insufficient faculty in the discipline, was discontinued because the situation had not been corrected.
- The Environmental Geology concentration in the Earth Sciences B.S. program was discontinued by CEP, in accordance with the recommendation of the External Review Committee as something that should be done after the Environmental Science B.S. was established.
- The 3+3 Juris Doctorate program with the UC Hastings College of Law was discontinued, following lack of interest from Hastings College.

## **XII. Other Business**

CEP met with Interim Vice Chancellor of Student Affairs and Success, Jennifer Baszile. This was in connection with the committee's push for an improved Career Center, which is detailed in the 2018-19 Annual Report from the committee. The discussion was preliminary but productive. Next year's committee is urged to continue this engagement.

CEP participated in the external reviews of the following departments: Computational Media, History of Art and Visual Culture, Theater Arts, Languages and Applied Linguistics, Mathematics, Psychology, History of Consciousness, Philosophy, Art, Astronomy, Earth and Planetary Sciences, Music, History, and Anthropology. Different departments were at different stages of the external review process.

CEP reviewed several universities abroad for inclusion in the UC Santa Cruz Global Exchange program. The inclusion of these universities was proposed by the interim Vice Provost of Global Engagement. CEP approved most of the universities, but rejected a few. For the future, it stated that it would attach weight to the international rankings of universities that are proposed, and only approve universities that are better than UC Santa Cruz.

The CEP Policies [website](#) continued to be updated. Most of the adjustments were minor. The Catalog Rights [policy](#) was reworded to clarify that catalog rights only guarantee that if a student completes the requirements for a program as published in their catalog, they will have completed

the program. Catalog rights do not guarantee the availability of courses; departments, CEP and the Administration try to ensure reasonable availability of courses so that students are not stuck in the middle of a program.

As in previous years, CEP was invited to participate in the annual FTE allocation process through CPB. For the first time, the entire committee was able to discuss the FTE requests, instead of only the CEP Chair. The CEP Chair also participated in CPB's consultations with the divisional deans. The committee made its recommendations to CPB.

CEP participated in Senate review at the divisional level of the restructuring of the Office of Diversity, Equity and Inclusion, the restructuring of the Division of Student Success, the Partner Hire Policy, the ACE Internationalization Draft Goals and Action Plan, and the 5-Year Perspectives for academic programs. At the systemwide level, CEP participated in reviews of the UCDC Center and the report on standardized tests.

Respectfully submitted,

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August 31, 2020

## **Appendix I: Report to the Senate re The Academic Literacy Curriculum (ALC)**

To: Academic Senate, Santa Cruz Division

The Academic Literacy Curriculum (ALC) was introduced at UC Santa Cruz in the Fall of 2018. The components are

- A restructured College Core course (called College 1, with “College” replaced with the appropriate course code for each of the ten colleges). This is a one-quarter 5-credit course in each college. The multiple versions for students with different levels of writing skills have been eliminated. The course teaches critical reading and critical thinking skills, and is a prerequisite to the Writing courses in the ALC, enabling them to be taught more efficiently. However, College 1 does not teach writing.
- A course, WRIT 1, that is for students who enter UC Santa Cruz without satisfying the Entry Level Writing Requirement (ELWR). An alternative version of this course, WRIT 1E, is aimed at multilingual students. College 1 is a prerequisite to both these courses.
- A course, WRIT 2, that is taken by all students after satisfying ELWR and completing College 1. An alternative honors version of this course, WRIT 2H, caters to students who wish to go beyond the level of WRIT 2 and are (by various measures) considered suitable for the course.
- A “Multilingual Curriculum,” consisting of WRIT 25 and WRIT 26, for multilingual students who need extra training in academic reading, writing, listening, and speaking. These students are asked to start in WRIT 25 or WRIT 26, depending on their level, after which they take WRIT 1 or 1E. College 1 is not a prerequisite for these courses. The Multilingual Curriculum existed before the ALC, but it was limited to international students with F1 Visa status; it is now open to all students for whom it is appropriate.

With such a major restructuring of a foundational part of the curriculum, it is important to see what the outcomes are, and to make adjustments where needed. The Committee on Educational Policy (CEP) has reviewed the assessment studies for the Academic Literacy Curriculum (ALC), specifically for College 1 (fall 2019) and Writing Program courses (fall 2018-fall 2019). These studies were conducted by the Institutional Research and Academic Policy Studies (IRAPS) unit. The following report

- Summarizes the major findings from the assessment studies and offers recommendations for the Colleges and the Writing Program.
- Discusses the special provision endorsed by CEP for the winter-term core course STEV 2 at Stevenson College.
- Describes the change from 2020 in how students satisfy ELWR before coming to UC Santa Cruz; this change was triggered by the challenges associated with the pandemic, but it is possible that the change will not be temporary.
- Touches upon the budgetary challenge to provide adequate funding for the ALC.

### **College 1 Assessment Findings**

Based on its 2018 assessment of College 1 (Academic Literacy and Ethos), the Colleges revised the College 1 curriculum for fall 2019 to better serve international students. In this effort, the Colleges implemented new specialized programs, including a multilingual tutoring program at College Nine and College Ten and the use of “Class Captains” at Crown College. IRAPS generated

two assessment studies for College 1, one that measured the success of these programs and one that compared fall 2018 international students' academic proficiencies in College 1 with the fall 2019 cohort.

Overall, the studies show that (1) the Colleges' specialized programs positively benefit international students; (2) international students in fall 2019 developed higher proficiencies in understanding the relationship between genre and context than the fall 2018 cohort; and (3) international students in fall 2019 developed slightly higher proficiencies in analyzing texts to identify main ideas and use a range of strategies to understand texts. Further, the studies indicate that the fall 2019 cohort had an increase in an academic sense of belonging to their college as a result of College 1, as well as a higher frequency of interaction with course faculty and course assistants.

With respect to (1), students who participated in Crown's Class Captain program and College Nine and College Ten's multilingual tutoring program experienced more success in applying reading strategies to difficult readings, felt more connected with the course readings, and were more engaged in College 1 overall. These students were also more likely to make use of campus academic resources and to communicate with their peers, faculty, and course assistants. Thus, these programs positively impacted students' learning experiences in College 1.

With respect to (2) and (3), while international students improved in all criteria assessed, students' rubric results demonstrated language-based differences for both the fall 2018 and fall 2019 cohorts. For instance, late bilingual students (those who started learning English after the age of five), demonstrated lower proficiencies across all criteria than their peers who learned English and another language before the age of five. Additionally, students who placed into the Writing Program's Multilingual Curriculum (WRIT 25 or WRIT 26) demonstrated some improvement in analyzing texts and understanding the relationship between genre and context, and fewer students generally or fully met expectations for use of reading strategies. These findings indicate the need for additional language support for late bilingual students overall and for students who place into the Multilingual Curriculum.

### ***Recommendations***

1. Overall, international students' improved experiences in College 1 in fall 2019 suggest that the curricular interventions at Crown College, College Nine, and College Ten are serving students well. These programs should be continued and expanded to other colleges to the extent that there is student demand.
2. To continue supporting international students' language development, Global Engagement should work with the Department of Languages and Applied Linguistics to develop an online language course appropriate for students who are late learners of English, to be offered in the summer, ahead of the academic year. Such a course would help these students develop the speaking, listening, and reading skills needed to better acclimate to the demands of College 1.

### **Writing Program Assessment Findings**

The Writing Program collaborated with IRAPS to assess the fall 2018 cohort of ALC students and evaluated students' proficiencies in four courses: WRIT 25, Writing about Place, and WRIT 26, Writing about Language (courses that comprise the Multilingual Curriculum); WRIT 1, Introduction to Composition; and WRIT 2, Rhetoric and Inquiry. Each of these assessment studies focused on the course learning outcomes and evaluated students' performance across subpopulations, with attention to equity. The overall target for students who met or exceeded expectations in any given criteria was 75%.

In the **Multilingual Curriculum** (MLC), students were assessed for all learning outcomes, and most students met or exceeded expectations, with the exception of one criterion, "use of language." Only 73% of students who began their ALC pathway in WRIT 25 met or exceeded expectations in this criterion, indicating that these students need more time to develop their use of language and that they may benefit from additional language support.

In **WRIT 1**, students were assessed specifically in their cognitive and metacognitive abilities, and a majority of students met the 75% threshold, with the exception of one criterion, "developing a strengths plan," where only 71% of students met or exceeded expectations. Of note in this study were the following findings: (1) With respect to metacognition, MLC students outperformed their peers, which suggests that the MLC effectively introduced students to these important skills and that they were able to build upon them in WRIT 1. Additionally, across the criteria, MLC students who took WRIT 1 demonstrated similar proficiencies to their non-MLC peers, indicating that WRIT 25 and WRIT 26 adequately prepare MLC students for their work in WRIT 1. (2) Winter quarter WRIT 1 students outperformed spring quarter WRIT 1 students in all criteria except "developing a strengths plan. The lower results in spring reflect students who repeated WRIT 1 or were not enrolled in the MLC. (3) 81-89% of students with AWPE scores of 6 (highest level of preparation) demonstrated developing/advanced proficiency across the criteria, compared with 65-69% of students with scores of 2-5, 2-5E, and 6E.

The Writing Program also offers WRIT 1E, designed for heritage speakers and multilingual students (international or domestic). Overall, students in WRIT 1 and 1E displayed similar proficiencies, but no analysis was conducted to determine if the students the course was designed for are better served by WRIT 1 or WRIT 1E. Thus, future assessments may focus on this aspect.

In **WRIT 2**, students' proficiencies in information literacy were assessed. Overall, a majority of students met or exceeded expectations (81-88%). Additionally, in a survey-based assessment, most students indicated improvement in information literacy over the course of the quarter.

The assessment results reveal differences in student performances based on curricular pathways and student preparation levels. For instance, ELWR-Satisfied students performed consistently better across all categories than ELWR-Required students who took WRIT 1 before WRIT 2 and ELWR-Required students who took WRIT 25 and/or WRIT 26 before WRIT 2. These differences were most notable in two criteria: (1) in "appropriately cites source material," only 75% of students who took WRIT 1 and 67% of MLC students met or exceeded expectations, compared with 84% of ELWR-Satisfied students; and (2) in "appropriately attributes source material," only 71% of MLC students met or exceeded expectations, compared with 89% of ELWR-Satisfied students and

83% of WRIT 1 students. As a whole, however, MLC students performed similarly demonstrated similar competencies as their ELWR-Required peers who took WRIT 1 before WRIT 2.

The overall differences in student performance based on curricular pathways in the ALC indicates that information literacy outcomes should be articulated and scaffolded in College1 and WRIT 1 to better prepare students for WRIT 2. Specifically, this includes the explicit teaching of digital research skills and the integration of library resources into class assignments and instruction.

WRIT 2 students were also evaluated according to curricula: legacy students who took WRIT 2 in their second year of enrollment and were part of the old writing curriculum and ALC students who took WRIT 2 in their first year of enrollment. Overall, there were statistically significant differences in ALC students' performance vs. non-ALC students' performance, indicating that the ALC better prepared students for WRIT 2. However, with respect to incoming preparation levels, the ALC provided only slightly better support for ELWR-Required students, compared with the old curriculum.

With respect to WRIT 2 Honors, no assessment data was provided.

### ***Recommendations***

1. WRIT 1E and WRIT 2H should be assessed in the future to determine how well these courses serve students.
2. Similar to the College 1 recommendation, international students, especially those in the MLC, may benefit from additional instruction in the summer ahead of the academic year. Such a course may better prepare students for the MLC, WRIT 1, and WRIT 2.
3. There is concern about the Writing Program's ability to offer enough seats of each course each term. While the program has bolstered its summer course offerings of WRIT 2 (10 sections) and WRIT 1 (1 section), the program needs to investigate potential bottlenecks for students who need to complete the C Requirement by the start of their seventh quarter.

For instance, in the 2020-2021 AY, there are roughly 25 students who will start their seventh quarter of enrollment without having met the C Requirement; while a blanket petition has been submitted to CCI to resolve this issue, this number is compounded by an additional 2100 returning students who will need WRIT 2 in the 2020-2021 AY (in addition to the new cohort of ELWR-Satisfied ALC students in 2020-2021 AY). As a result, the Writing Program needs to hire additional lecturers to provide enough seats in WRIT 2, specifically, to ensure timely progress to degree.

### **Overall Assessment of the ALC**

The ALC is a joint program administered by two academic units (the Colleges and the Writing Program), each of which oversee specific courses in the curriculum (College 1 for the Colleges and Writing 25, 26, 1, and 2 for the Writing Program) and provides assessment of those courses. Thus, formal evaluation of the ALC has been conducted on a course-by-course basis, rather than holistically across all courses.

However, IRAPS conducted a correlation analysis of the learning outcomes in College 1, WRIT 25, WRIT 26, WRIT 1/1E, and WRIT 2, focusing on metacognition and genre awareness. This analysis demonstrated the following: (1) For MLC students who took College 1 and then moved to WRIT 1 and WRIT 2 respectively, most students continually met or exceeded expectations as they advanced in the curriculum; (2) Most MLC students who underperformed in College 1 and the MLC improved their proficiencies in WRIT 1; (3) Most ELWR-Satisfied students who underperformed in College 1 met or exceeded expectations in WRIT 2; and (4) entering students who were most prepared in College 1 and exceeded expectations tended to exceed expectations in WRIT 2.

These results show that students do appear to improve their proficiencies over the course of the ALC, at least in some criteria.

### ***Recommendations***

In the future, the Colleges and the Writing Program should coordinate their assessment efforts to better understand student migration through the ALC and the overall proficiencies students develop as a result of the ALC. Such assessment efforts may paint a better picture of the extent to which the ALC prepares students for their disciplinary communication courses.

### **Stevenson College Core Course**

In 2015-16, when CEP was specifying the conditions that the proposals from the colleges and Writing Program for a revised curriculum would have to satisfy, it stated that the college core courses would all be limited to one term. Colleges had a variety of different systems at that point, as detailed in [this](#) report. With the exception of Stevenson College, these were all aimed at students who had not satisfied ELWR prior to matriculating at UCSC. Stevenson College, on the other hand, had had a two-quarter core course requirement for all its students for many years.

When the ALC was proposed in 2017, it had a one-quarter College 1 core course for all colleges. It was then approved by CEP and presented to the Academic Senate, where the enabling legislation was approved. With the exception of Stevenson College, all the variants of the college core course — which were aimed at ELWR-required students — were discontinued. However, the second quarter of the Stevenson College core course, renumbered as STEV 2, remained as a college requirement.

This situation was reviewed by CEP in 2019. Following discussion with the college, CEP asked IRAPS to survey Stevenson College alumni about their two-quarter core course. The results were available to CEP in early 2020. Although the response rate was not very high, the key conclusions of the survey were that

- Nearly 90% of the respondents said that the core course was essential or helpful for their academic growth.
- Approximately one-third of respondents said that Core influenced their choice of major, and approximately one quarter of respondents said that it influenced their choice of career.
- Approximately 80% of the respondents said that a multi-term Core was essential or helpful for them to gain academic skills and social connections.

Keeping these in mind, CEP decided to approve the continuation of STEV 2 as a college requirement at Stevenson College, with the following provisions:

- Stevenson College students in the Multilingual Curriculum, i.e. students who place into WRIT 25 or WRIT 26 upon matriculation at UC Santa Cruz, would be exempt from being required to take STEV 2.
- On the Stevenson College website describing the core course, and in the program statement for the college in the General Catalog, students in major programs with a large number of requirements would be advised to consider carefully if a second core course would fit their schedule.
- Entering frosh would only be placed in Stevenson College if they listed it as their first or second preference. That is, a student who did not list any college, or listed Stevenson College as their third preference (or lower), would not be placed in Stevenson College.

These were agreed to by the college and the Vice Provost and Dean of Undergraduate Education.

### **Changes to Writing Course Placement for 2020-2021**

On March 12, 2020, the University Committee on Preparatory Education (UCOPE) sent a memo to all UCs announcing that the in-person Analytical Writing Placement Exam (AWPE) would not be offered. Because this exam, in conjunction with other standardized tests, is used to determine whether or not incoming students have met the system-wide Entry Level Writing Requirement (ELWR), all UC campuses were asked to develop localized placement processes to serve students who would have otherwise taken the AWPE.<sup>3</sup> For UCSC, the total number of students who would typically take the AWPE for placement into developmentally appropriate writing courses is ~1900.

After consulting with colleagues at UCD, UCSB, and UCI — all of whom had started developing localized placement processes modeled on directed self-placement — UCSC designed and implemented Directed Self-Placement (DSP). DSP, as a whole, is a placement process that guides students in selecting the course that is right for them. Research shows that it empowers students, and that with support, students typically do pick the courses that are best for them. There is also evidence that students are more invested in courses when they participate in the decision-making process (Gere, et al. 2010; Toth and Aull 2013). Finally, DSP provides an alternative to placing students in writing courses using standardized testing and test scores, which do not consistently reflect writing ability. Given that the ACT and SAT will no longer be required for admission to a UC, this model seemed most appropriate for our local campus context.

Roughly 4000 students completed DSP in Course 2 of Slug Orientation (July 6-July 16). They were provided a survey made up of three main parts: Introduction, survey, and recommendation:

- **Introduction:** Students were offered information about what DSP is, why the Writing Program uses it, the steps of the process, and basic Writing Program course information.
- **Survey:** Students were asked to review authentic Writing Program course materials and answer questions about their readiness for and needs around that material. This portion was not a writing exam, but students' responses were scored and mapped onto the student learning outcomes of Writing Program courses.

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<sup>3</sup> Subsequent to the issuance of this memo, an online version of the AWPE was developed and administered in July 2020, and all students who intended to SIR at a UC were invited--not required--to take this exam for placement purposes.

- **Recommendation:** Within a few weeks of completing the survey, students received a course recommendation, along with detailed information about the day-to-day expectations and support structures of each course. Students weighed this information and responded with their course selection. Multilingual students who placed themselves higher than the recommended course and student who selected a course more than one level higher than their placement recommendation were offered advising from Writing Program faculty to help inform their decisions.

In this model, ELWR satisfaction is determined by the course student self-select, based on their placement recommendation. For ELWR-Satisfied students who did not complete DSP, we accepted standardized test scores and credits (e.g., SAT, IB, ACT, AP credit, community college credit) or online AWPE scores (if applicable) for placement.

Results from this process--not taking into account student deferrals, summer melt, and other unknown enrollment factors--were as follows:

Course	Students
Writing 25	1%
Writing 26	3%
Writing 1E	3%
Writing 1	59%
Writing 2	34%
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Total	100%

These results show that 34% of students will move from College 1 directly into WRIT 2, a significantly lower percentage than in previous years (for reference, roughly 65% of students place into WRIT 2 after College 1). The Writing Program Chair is collaborating with the Humanities Dean on curriculum planning for the 2020-2021 academic year in light of these placement results.

### ***Recommendations***

Since these results were not available until August, CEP has not discussed them or come up with recommendations. The incoming committee, which will also have the responsibilities hitherto assigned to the Committee on Preparatory Education, should look into this early in Fall 2020.

### **Budgetary Concerns**

When the Academic Literacy Curriculum was reviewed by the Academic Senate, it came with a statement from the Administration that it was within the resource envelope to which the Administration had committed. In Spring 2019, the Humanities Division made the case that they were not adequately funded for the Writing Program courses in the ALC. Both CEP and the Committee on Planning and Budget were consulted on this, after which it has been pending with the Administration. (One-time supplementary funding was provided to the Humanities Division in 2019-20.) The appropriate funding for the Writing Program part of the ALC should be determined as soon as possible, and provided on a permanent basis to the Humanities Division. This is especially important in the light of the big increase in students placing into Writing 1 under Directed Self Placement, discussed in the previous section of this report. CEP recommends that the funding for these courses be based on the actual number of students enrolled in these courses, similar to the way College 1 is funded, instead, of basing it on the number of students matriculating at UCSC each year and using formulae that predate the ALC.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

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## Committee on Emeriti Relations Annual Report 2019-20

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met three times during the 2019-20 academic year. This year, CER continued to make improvements to the timeline and call of the Edward A. Dickson Emeriti Professorship Award, it petitioned successfully for representation on the Retiree and Emeriti Center Steering Committee, worked with the Committee on Information Technology (CIT) on the feasibility of developing new campus policy regarding email access post mortem, and proposed that an annual memorial be included the Senate Agenda Call. In addition, CER reviewed a draft proposal from VPAA Lee's office for a *Pathways to Retirement* program, as well as proposed changes from UCOP regarding the *Emeritus/Emerita* title. The Chair of CER is an *ex-officio* member of the Committee on Faculty Welfare (CFW) and attended meetings throughout the year.

### Retirement Benefits

There were no campus-level changes to benefits for emeriti this year. Systemwide, a popular HMO health plan for retirees (*HealthNet Seniority Plus*) was eliminated in 2019-2020 and replaced by *UC Medicare Choice*, a Medicare Advantage PPO administered by United Healthcare. The new plan has a \$00.00 premium, making it attractive to emeriti, especially because the premiums for the *UC Medicare PPO* plan (administered by Anthem Blue Cross) rose substantially this year. It is too early to evaluate *UC Medicare Choice*, but it will be important to assess how well it is serving UCSC emeriti and retirees after a few cycles.

### Pathways to Retirement

CER reviewed a draft proposal for a *UCSC Pathways to Retirement Program* developed by VPAA Lee's office.<sup>1</sup> Modelled on existing programs at several UC campuses, the program aims to provide a framework to smooth the transition to retirement for both faculty and departments. Under the program, faculty enter into a binding contract which commits them to retire within a fixed period in exchange for benefits intended to incentivize retirement. For departments and divisions, this arrangement facilitates future planning. Possible negotiated benefits might include, for example, a reduction in teaching in the year preceding retirement and/or a recall to teaching in the year or two following retirement. As envisaged, the program includes a *faculty liaison* (an emeritus or emerita faculty member) who is available to meet confidentially with faculty considering retirement and to advise on elements of the contract. CER strongly supported the proposal and recommended that

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<sup>1</sup> Aissen to Lau, 2/26/20, Re: Proposal for a Pathways to Retirement Program

it be implemented on a trial basis with evaluation of the program after three years. The program has now been funded and the process of appointing a faculty liaison has begun.

### **Retiree and Emeriti Center (REC)**

In fall 2019, CER petitioned then Interim Campus Provost and Executive Vice Chancellor (CP/EVC) Kletzer for representation on the REC Steering Committee. CP/EVC Kletzer has approved this request. Emeriti are now represented on the Steering Committee by two members, one from the Emeriti Association and one from CER. Beginning in April, 2020, the CER Chair represented CER.

### **Email Access Post Mortem**

CER is exploring the possibility of policy that would allow a faculty member to authorize access for one or more individuals to his or her UCSC email account after death. At present, there is no campus policy in place which permits this. When a faculty member dies, their account is immediately closed. Access to the account involves a lengthy process which requires the involvement of University Counsel, and the intervention of ITS staff to curate the account. In the absence of any other policy, this makes sense as it protects the privacy of the individual. There may be situations, however, in which the faculty member would have wished a family member and/or someone else to have access to their account.

CER asked the Committee on Information Technology (CIT) for feedback on the feasibility of a policy in which one or more individuals designated by the faculty person in advance could have access to the account for a limited period of time, during which time the designated individual(s) could download or migrate material that they wished to preserve. CIT has agreed to work with Vice Chancellor for Information and Technology (VCIT) Van Williams's office to draft a policy proposal which would then go through a formal review process.

### **Memorial**

CER endorsed an informal suggestion by Senate Chair Lau that the Academic Senate recognize its recently deceased members through a memorial to be included annually in the Senate Meeting Call. CER is working with Senate staff and leadership to develop this initiative.

### **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 CP/EVC of each campus to recognize the teaching, service, and research of UC emeriti. In 2015-16 by request of former CP//EVC Alison Galloway, CER assumed management of the award and collaborated with the UCSC Emeriti Association to re-envision the award and create a new process and guidelines for the award on our campus.

The 2020-21 Dickson Emeriti Professorship Award call resulted in seven proposals. A call for 2020-21 proposals went out to Senate Faculty, divisional deans, and department chairs on October 15, 2019 with a deadline for submissions of January 10, 2020. The submissions were forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which passed its recommendation to CER. CER in turn sent a final recommendation to the CP/EVC for approval. CER is pleased to continue its collaboration with the Emeriti Association in this endeavor.

The 2020-21 Dickson Professorship was awarded to **John Brown Childs, Shelley Errington, and Andrew Szasz.**

John Brown Childs, Department of Sociology

Project Title: Transcommunal Peace-making and Learning across Difference

After working for several years with incarcerated men at Soledad Prison, Dr. Childs organized a pilot course in 2018-19 which involved both a group at Soledad and a group of students from Colleges Nine and Ten at UCSC. With support from both the prison and Barrios Unidos, the two groups met mostly in parallel, but there were three meetings in which they met together. In Dr. Childs' words, the course is “fundamentally about redemption, transformation and compassion towards others”. Dr. Childs will use the Dickson Professorship to organize a second iteration of this course in 2020-2021.

Shelly Errington, Department of Anthropology

Project Title: Pre-production Research and Preliminary Footage for a New Documentary Video

Dr. Errington is preparing a short documentary film on “heritage” food in Mexico (e.g., heritage corn, corn fungus, edible insects). The film will focus on the communities that produce such food, and their appearance on the menus of high-end restaurants in Mexico City, raising issues related to the sustainable food movement in Mexico, labor, climate change, and politics.

Andrew Szasz, Department of Environmental Studies

Project Title: A Climate Change Module for Introduction to Sociology Classes

Dr. Szasz has prepared a teaching module on climate change, which can be utilized in Introduction to Sociology courses. Dr. Szasz notes that over 800,000 undergraduates take an Intro to Sociology course each year, so that this module is an effective way to introduce students to this pressing issue. The Dickson Professorship will support Dr. Szasz's efforts to bring the module to the attention of sociologists through conference presentations and mailings.

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.

### **Acknowledgements**

The committee gratefully acknowledges the support of our analyst, Jaden Silva-Espinoza. We also thank the following people for their input and advice during the year: CIT Chairs Hamid Sadjadpour (F,W) and Leila Takayama (S), Barry Bowman (President of the Emeriti Association), Todd Wipke (former President of the Emeriti Association), Christy Dawley (REC Coordinator), and Jay Olson (Humanities Computing Services).

Respectfully submitted;

COMMITTEE ON EMERITI RELATIONS

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Judith Aissen, Chair

August 31, 2020

## **Committee on Faculty Welfare Annual Report, 2019-20**

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 2019-20 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. Addressing the unprecedented consequences of the COVID-19 pandemic, both immediate effects such as remote teaching and longer term consequences for tenure and promotion;
2. writing and passing a Senate resolution to improve the salary metrics used by the Academic Personnel Office as well as raising concerns about salary compression and inversion;
3. working closely with the Administration and the Employee Housing Advisory Workgroup to advocate for improved housing for faculty and staff;
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 parking and transportation, did not see as much activity since no major changes have occurred either on campus or systemwide.

### **Salary Analysis**

Over the last decade, CFW has monitored the effects of the special salary practice, or merit boost plan, initiated in AY 2008-9. The primary goal of this plan was to bring UCSC faculty salaries, once some of the lowest in the UC system, to systemwide median or better. This practice was restricted in AY 2017-18 when the Academic Personnel Office (APO) determined that most of the goals had been met. CFW has had two criticisms of APO’s analysis, 1) that a 7-campus median was used for policy making rather than a 9-campus one, and 2) above-scale salaries were not considered in these analyses. At the Fall Academic Senate meeting, CFW proposed a Senate resolution to change these practices and this resolution was passed. Unfortunately, due to COVID-19, the APO salary analysis was delayed and whether APO has adapted to the new salary metrics is unclear. Thus, in the spirit of these considerations, below is a brief comparison of faculty salaries

across the nine UC campuses engaged in undergraduate education as well as a brief discussion of possible salary compression and inversion effects here at UCSC.

In summary, we find some concern that salaries are low for those faculty on the regular scale at the Assistant Professor rank and for all faculty at the Full Professor rank. Low off-scale at the Assistant rank is problematic as off-scale values can follow a faculty member as they advance and large changes in salary are only achievable through retention actions. Low salaries at the Professor level suggest problems with salary compression where more senior faculty are not paid as well for their experience and responsibilities as compared to junior faculty, and further data provided support this conclusion. Salary compression makes it difficult to properly reward and retain our most distinguished faculty.

### *UC Systemwide Comparison*

UCSC continues to benefit from the special salary practice and is at or near the median salary values across ranks. While base salaries are determined by the Office of the President, the prolific use of off-scale salaries to boost base salaries results in inequities across campuses. Below we compare data compiled in October 2018 for Assistant, Associate, and Full Professor off-scale salaries, and total salary for above-scale Full Professors.

#### Assistant Professor

At the Assistant Professor level, the median UCSC off-scale is \$16,800 for faculty on the regular (REG) scale and \$23,000 for faculty on the business, economics, and engineering (BEE) scale. The systemwide medians are \$19,200 and \$21,050, showing UCSC off-scales to be 86% of the 9-campus median for the REG scale and 109% for BEE. Distributions and quartiles for each campus are shown in figure 1.

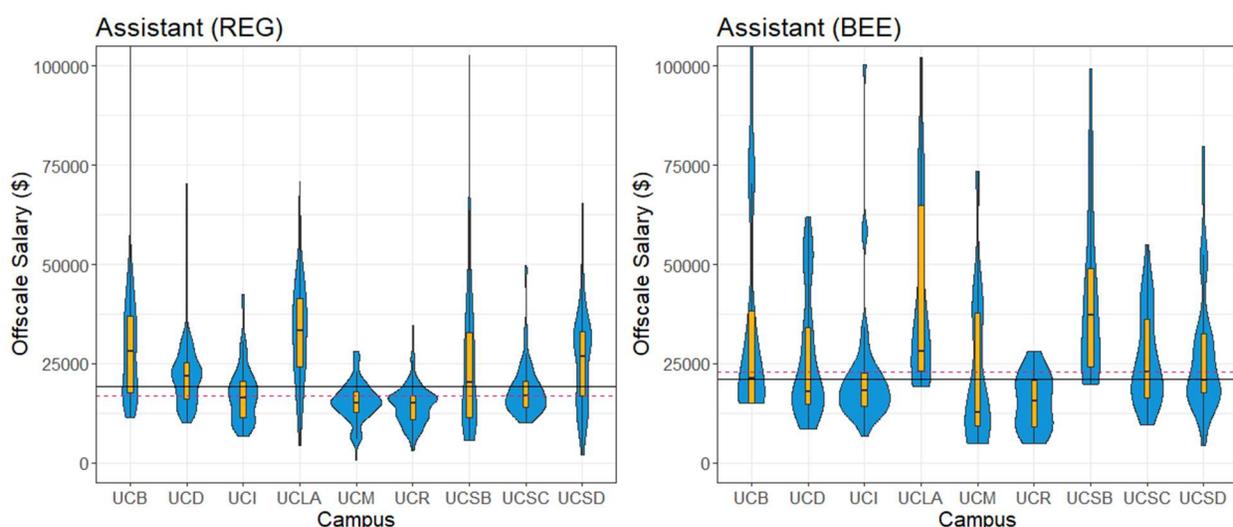


Fig 1. Violin plots showing off-scale salary distributions for the Assistant Professor rank in blue, with embedded box plots in yellow. The dark horizontal line shows the systemwide median value and the dotted pink line shows the

UCSC median value. The left panel shows faculty on the REG scale, right panel BEE scale. Some higher outliers are omitted from the figures.

### Associate Professor

At the Associate Professor level, the median UCSC off-scale amounts are \$22,550 for REG and \$31,800 for BEE. The systemwide values are \$22,000 for REG and \$24,804 for BEE. The REG scale numbers are near parity and the UCSC BEE median is 128% of the systemwide median. Distributions for each campus are shown in figure 2.

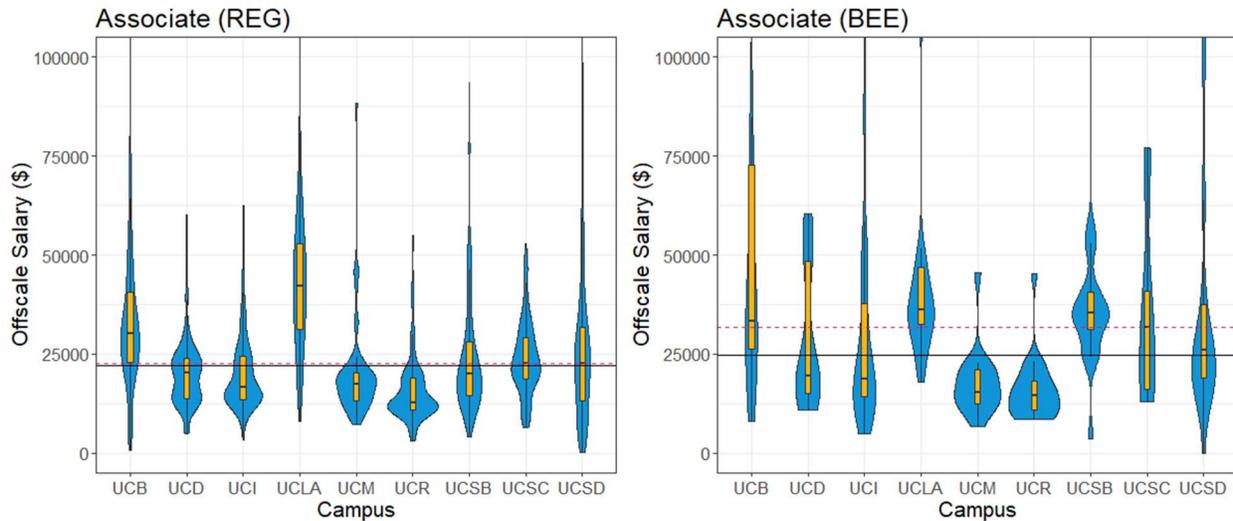


Figure 2. Violin plots showing off-scale salary distributions for the Associate Professor rank in blue, with embedded box plots in yellow. The dark horizontal line shows the systemwide median value and the dotted pink line shows the UCSC median value. The left panel shows faculty on the REG scale, right panel BEE scale. Some higher outliers are omitted from the figures.

### Full Professor (Steps 1-9)

At the Full Professor rank, the UCSC median values are \$23,600 for REG and \$21,450 for the BEE scales. The systemwide values are \$28,800 for REG and \$27,550 for BEE. UCSC off-scales lag for both scale types, 82% and 78% respectively. The full distributions are in figure 3.

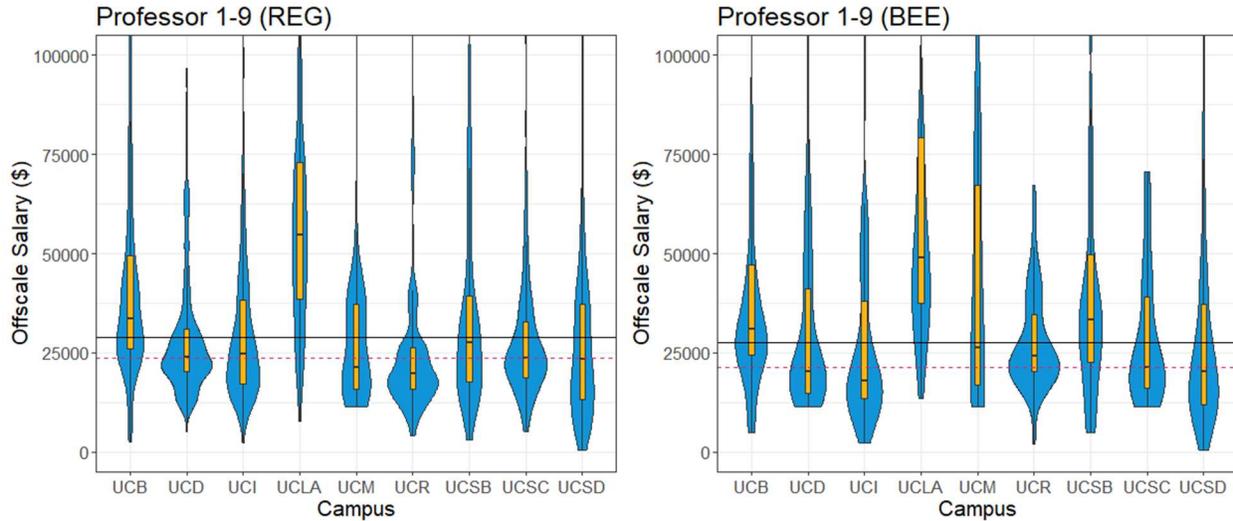
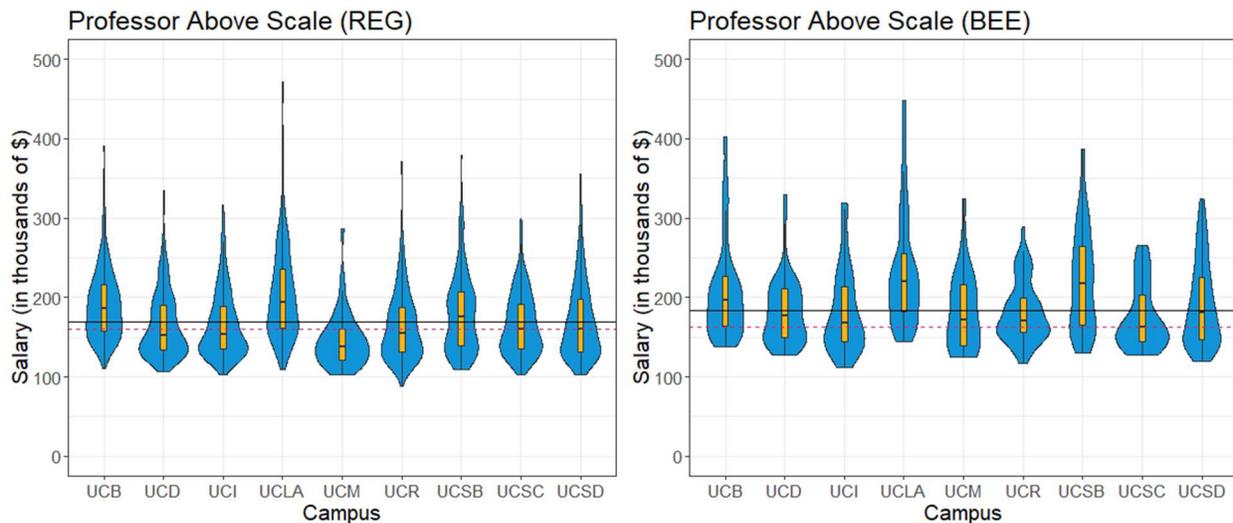


Figure 3. Violin plots showing off-scale salary distributions for the Full Professor rank in blue, with embedded box plots in yellow. The dark horizontal line shows the systemwide median value and the dotted pink line shows the UCSC median value. The left panel shows faculty on the REG scale, right panel BEE scale. Some higher outliers are omitted from the figures.

### Full Professor (Above Scale)

For Full Professors who are above scale we compare total salaries. As above-scale salaries are based at least in part on the faculty member’s Professor 9 salary and therefore different between the REG and BEE scales the faculty member had been on previously, we still separate faculty who were on the REG scale from those on the BEE scale. The median UCSC above-scale salary is \$160,100 for REG and \$162,600 for BEE. The systemwide values for these are \$169,800 for REG and \$184,000 for BEE. Thus, UCSC values are somewhat below systemwide, being 94% of the systemwide REG median and 88% of the systemwide BEE median. The distributions are shown in figure 4.



*Figure 4. Violin plots showing salary distributions for the Full Professor (above scale) rank in blue, with embedded box plots in yellow. The dark horizontal line shows the systemwide median value and the dotted pink line shows the UCSC median value. The left panel shows faculty on the REG scale, right panel BEE scale.*

*Salary Compression*

Salary compression is a phenomenon where senior faculty are not compensated adequately or promoted sufficiently compared to more junior faculty coming up the ranks. Essentially, senior faculty have smaller salaries than would be expected. The above analysis, and previous CFW analyses, suggest that this may be a concern at UCSC.

Two more bits of data point to a problem with senior faculty compensation. First, UCSC is ranked 7th out of the 9 campuses in number of above-scale faculty (see table 1). There is no obvious reason why UCSC would have fewer above-scale faculty than our sister campuses. Either outstanding faculty are leaving before they advance to the highest levels, or outstanding faculty are not being promoted at the rates on other campuses. Only UCI is ranked lower than UCSC on this metric. UC Merced is ranked last, but the low number of above scale faculty on the campus is explained by the youth of the campus, inaugurated in 2005.

Campus	n	% Above Scale
UCSB	130	15.6%
UCB	178	15.4%
UCLA	170	14.7%
UCSD	116	12.8%
UCD	81	8.3%
UCR	54	7.7%
UCSC	41	7.5%
UCI	68	7.3%
UCM	4	1.7%

*Table 1. Counts of faculty above scale and proportions of the total faculty above scale for each campus.*

The second series of data that points to a problem are historical data showing our more senior faculty receive lower off-scale salaries compared to more junior faculty and that this trend seems to be greater now than in the past (see figure 5).

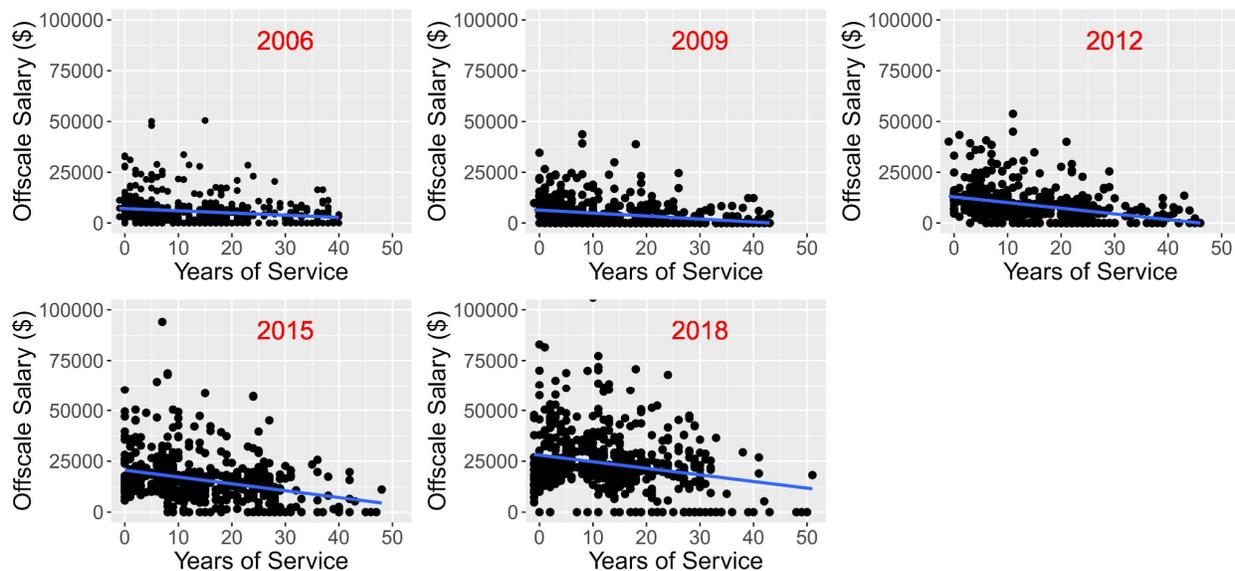


Figure 5. Off-scale salary in dollars by years of service.

All of these data suggest that more senior faculty are not being compensated as well as junior faculty, relative to their experience. There are numerous possible explanations for compression. The campus previously had a conservative culture in promotion and tenure that has liberalized recently. This is reflected in historically depressed salaries at UCSC compared to other UCs and the necessity of the special salary practice. The special salary practice itself may have inadvertently contributed to this as it has rewarded Assistant and Associate Professors more than Full Professors, who are reviewed less frequently. Finally, increased competition for junior faculty and the general stagnation in the salary scales has resulted in higher off-scale salaries for newly recruited faculty and the general abandonment of the Assistant 1 and 2 steps.

There is no obvious solution to correcting these discrepancies. Career Equity Review (CAPM 412.000) is available to faculty who believe their rank and step is “seriously inconsistent with their accomplishments in their discipline.” However, since this process only adjusts rank and step, the only increase in salary would be to the new on-scale amount. Increasing off-scale to an appropriate amount is not available using this process.

Recently, the Office of the President has had discussions of rationalizing the on-scale salary amounts to match the UC’s Comparison-8 salaries, eliminating the need for off-scale salary, except in exceptional cases. This would improve salary competitiveness at all ranks and steps, especially at the senior levels. However, the future of these adjustments is in doubt; outgoing President Napolitano has been the primary driver of adjusting the scales and it is unclear if her successor

will be as enthusiastic. Moreover, the COVID-19 budget emergency has put a hold on addressing any salary concerns.

While further study and more sophisticated metrics are necessary, there is cause for concern about salary compression. We urge APO and the Administration to address the issue and provide solutions.

### **Housing**

The Employee Housing Advisory Workgroup devoted much of this year to providing input and feedback on a comprehensive survey of faculty and staff, which received a response rate of 41%. The survey confirms the vital importance of housing in recruitment and, even more, in retention, documents UCSC's status vs. other UCs in providing housing, and collates a wealth of detail for future planning. Crucial information includes specific demographics for renters (on and off campus) and home buyers (on and off campus), importantly broken down by rank and years on campus, as well as the interest in particular kinds of housing and possible locales off campus, and the desired forms of university assistance for purchasing. The survey shows that newer hires have higher housing and income burdens, as well as a lack of stable leases, and that they are entering a limited market for both purchase and rental on and off campus, making new university housing a pressing necessity. The knowledge of the degree of importance of such things as on-site childcare, bicycle routes, outdoor and gym access, parking, and commute times, are all important indexes for future planning. This information gleaned from the survey, and additional market research, was analyzed by Brailsford & Dunlavey and presented to the Advisory Workgroup this spring, and will hopefully ensure that faculty housing is designed in accordance with the needs, wishes, and means of all campus employees. When the Employee Housing Advisory Workgroup has finalized its own report, CFW will be interested to review and comment.

Brailsford & Dunlavey shared preliminary results in an online presentation in June. Members of CFW, CPB, and Senate leadership were invited, and the outgoing and incoming CFW chairs were in attendance. The summary of findings noted that faculty and staff perceive high housing cost as a significant obstacle in securing an ideal housing situation, the off-campus market has limited ability to meet employee needs, and there is a high level of interest in university sponsored housing assistance, particularly subsidized housing options. The analysis additionally noted that new hires have a higher level of housing burden, compared with those who have been with the campus longer.

The outgoing and incoming CFW chairs raised concerns about the data set used to determine the level of housing burden experienced by employees that rent. Brailsford & Dunlavey reported that the data was provided by Costar Realty Information Inc. Costar gathers data through Apartments.com, which includes only multi-family commercial properties in the area who have contracted to list properties with the website. As such, CFW noted that the data set likely did not include privately owned multi-family or single family rentals, which make up a large percentage

of the rental market in the Santa Cruz and surrounding areas, and brought this to the attention of the Vice Chancellor for Business and Administrative Services (VCBAS) Sarah Latham. The exemption of these listings could mean that the level of housing burden calculated by Brailsford & Dunlavey in the analysis could be inaccurate, and, CFW contends, is likely higher than assumed. If so, it will be imperative for the campus to use a more accurate data set in future analysis and/or housing program planning. The committee is still waiting to hear how best to report these concerns.

It should also be noted that due to administrative error the Academic Senate (CFW and the Committee on Planning and Budget specifically) was not invited to provide feedback on the 2020-21 UCSC Re-Pricing Program Recommendation before it was approved by the CP/EVC as is standard practice. The proposal included a 2.27% pricing increase. CP/EVC Kletzer has restated the importance of Senate consultation on the Re-Pricing proposals, and has assured Senate leadership that the 2021-22 Re-Pricing Program Recommendation will be sent to the Senate with a request for feedback next academic year.

### **Child Care**

We are pleased that an advisory committee focusing on child care has been reinstated and expanded to cover a wider range of family support needs for the campus. In 2019-20, the Child Care Family Services Advisory Committee was tasked to focus on four areas: (1) child care access policy, (2) third party vendor assessment, (3) request for proposals (RFP), and (4) survey of family needs. CFW representative Su-hua Wang attended bi-weekly meetings to work on these four areas and requested CFW members for information or suggestions when needs arose. The report of this year's charge was submitted to VCBAS Latham by June 30<sup>1</sup>. It covers the progress and recommendations of the above four areas and will be published for the campus community. A follow-up meeting was convened with CP/EVC Lori Kletzer in which selected members of the Advisory Committee participated, including Chair Dave Keller, Professor Emeritus Catherine Cooper, Staff Representative Judith Estrada, and CFW Representative Su-hua Wang. At this meeting, Representative Wang summarized the pressing needs of campus child care services for faculty, the negative impact of lacking such services on faculty, and other family care needs including the provision of back-up care for a faculty member's children and/or adult dependents in cases of unforeseen emergencies.

The establishment of the campus child care services as part of the Student Housing West project was paused in 2019-2020, due to lawsuits against the project. CFW continued to work on the planning of this essential campus support for faculty by way of the Child Care Family Services Advisory Committee, as summarized above. As UCFW's recent report pointed out, UCSC continues to be the only UC campus to have no on-site child care services for faculty and staff<sup>2</sup>.

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<sup>1</sup> UC Santa Cruz Child Care and Family Services Advisory Committee, Final Report, June 2020

<sup>2</sup> <https://senate.universityofcalifornia.edu/files/reports/kkb-jn-child-care-access.pdf>

Through UCFW, other UC campuses are pushing to strengthen their existing on-site child care services. UCSC must act quickly to establish the first on-site child care services and prevent further lag. CFW is eager to collaborate with campus constituencies towards this shared goal.

### **Back-up Care**

In spring 2019, Senate Chair Lau and the Senate Executive Committee (SEC) forwarded to the Chancellor and iCP/EVC<sup>3</sup> a joint CFW and Committee on Affirmative Action and Diversity (CAAD) letter<sup>4</sup> in support of the establishment of a back-up care program to support faculty members when existing arrangements of child and adult dependent care fall through due to emergency such as illness. The letter pointed out significant impacts of the lack of back-up care on faculty productivity and wellness. Indeed, the survey conducted this year by the Advisory Committee indicates that back-up care is ranked as one of the top family needs by faculty, as well as by staff and students. CFW urges the Administration to take actions in planning and establishing the back-up care service for the campus community.

### **Transportation and Parking**

The Advisory Committee for Campus Transportation and Parking (ACCTP: <https://sab.ucsc.edu/outreach-committees/committees-campus.html>) has the potential to generate innovative ways to serve the pressing needs of our growing campus and increase the overall transparency of campus transportation and parking services. A representative of CFW serves on ACCTP.

Although the institution of ACCTP is a step in the right direction, in spring 2020, CFW raised some concerns about the effectiveness of both the ACCTP and Transportation and Parking Services (TAPS)<sup>5</sup>. CFW has noticed a striking lack of overall vision and plans for the future, and we are concerned about the persistent reluctance of the ACCTP and TAPS to consider new issues and recommendations brought to the table by ACCTP members.

The primary objective of the ACCTP, as stated in the committee charge<sup>6</sup>, 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 to no room at the table for considering a broader vision of a model that serves current campus needs and makes preparations for the future. It is clear that there is debt that needs to be addressed, but it is unclear how any raise in parking fees (which is being considered) would solve the larger problems. While CFW recognizes that the budget deficit is binding and should be

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<sup>3</sup> Lau to Larive and Kletzer, 5/22/20, Re: UCSC Back Up Care

<sup>4</sup> Greenberg and Profumo, 3/01/18, Re: Campus Emergency Back-up Care Program

<sup>5</sup> McGuire to Lau, 6/08/20, Re: Concerns about Transportation and Parking Services (TAPS) and the Advisory Committee for Campus Transportation and Parking (ACCTP)

<sup>6</sup> Advisory Committee on Campus Transportation and Parking (2016-17 Charge/Membership)

addressed, it should not be the primary focus of consideration. Rather, an overall comprehensive strategy is much needed 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 is a serious issue of concern that 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 are unable to find parking upon return. Parking problems are only made more acute by the ongoing housing crisis with faculty and staff needing to live further from campus due to prohibitive living costs.

CFW recognizes that TAPS has planned to make some changes to address parking issues such as 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. 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 would like the ACCTP and TAPS to work together to create a proactive vision. We hope that the focus will not solely be on budget restraints or debt, but on mapping services to needs in a financially sustainable way. CFW plans to consult with Dan Henderson, Director of TAPS in the Fall of 2020.

### **Healthcare**

CFW has continued to monitor healthcare at UCSC. There are three serious issues of concern, 1) access, 2) cost, and 3) inclusiveness of care.

There are three primary options to access healthcare in Santa Cruz County, HealthNet HMO accessed through Physicians Medical Group (PMG), Kaiser Permanente HMO, accessed through Kaiser doctors, and the UC Care PPO through Palo Alto Medical Foundation (PAMF). Kaiser Permanente has been making inroads into the county starting in 2017, primarily taking patients from HealthNet. This plan is somewhat limited as one must go to the Kaiser Hospital in Watsonville to access the full range of services. While PAMF has served the campus community well, there has been a consistent threat of losing our relationship with them, with two protracted negotiations in the last four years. The loss of PAMF access would be catastrophic as PMG and Kaiser could not possibly absorb the number of patients and the campus would lose its only PPO option, a healthcare model that is preferred by faculty and staff who need better access to specialists and pediatricians. Many patients also appreciate that PAMF has better urgent care and weekend appointment options.

The access issue is complicated by the cost issue. The UC Care PPO is notably more expensive than the HealthNet and Kaiser HMOs and has seen major rate increases since its inception. This has resulted in fewer enrollments and thus higher costs--a classic “death spiral”. This forces many faculty who desire a PPO or to keep their current doctors to pay extremely high premiums, and those who shift to HealthNet and Kaiser have difficulty finding doctors due to oversaturation.

Living in Santa Cruz is already an expensive proposition and higher premiums compound that problem.

CFW continues to insist that an affordable relationship with PAMF is necessary. As UC Care increasingly seems unable to provide this, we ask that UCSC independently consider other healthcare plan options to maintain this access.

A final concern is UCSF's continued desire to partner with Dignity Health. While such an affiliation initially appears desirable by bringing UC Health Center style care to Santa Cruz, the affiliation is problematic as Dignity is a Catholic hospital and does not guarantee full access and healthcare to all individuals for religious reasons. In August of 2019, a task force was convened by President Napolitano to study this issue and give policy recommendations, the Working Group on Comprehensive Access (WGCA). As of this report, the WGCA has been unable to come to an agreement on the issue<sup>7</sup>. In 2018-19, CFW discussed the proposed affiliation and 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."<sup>8</sup> Additionally, CFW also agreed with the interim report of the UC Non-Discrimination in Healthcare Task Force<sup>9</sup> 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. The 2019-20 CFW committee continues to stand by these statements.

## Retirement

### *Pathways to retirement*

CFW reviewed the draft proposal for a *UCSC Pathways to Retirement Program* developed by VPAA Lee's office. Modelled on existing programs at several UC campuses, the program would provide infrastructure to smooth the transition to retirement for faculty and departments. Under the program, faculty would enter into a binding contract which commits them to retire within a fixed period, in exchange for benefits intended to incentivize retirement. For departments and divisions, this arrangement would facilitate future planning. Negotiated benefits might include a reduction in teaching in the year preceding retirement and recall to teaching in the year or two following retirement. The program would include a *faculty liaison* who is available to meet confidentially with faculty considering retirement and to advise on the elements of the contract. CFW supported the proposal and suggested that it be implemented on a trial basis with evaluation of the program after three years.

### *Retiree Healthcare*

A popular HMO health plan for retirees (*HealthNet Seniority Plus*) was eliminated for 2019-2020 and replaced by *UC Medicare Choice*, a Medicare Advantage PPO administered by United Healthcare. The new plan has a \$00.00 premium, making it attractive to Emeriti, especially

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<https://www.universityofcalifornia.edu/sites/default/files/WGCA%20Chairs%20Report%20and%20Responses%201.28.20.pdf>

<sup>8</sup> UCFW to May, Re: Possible Affiliation Between UCSF and Dignity Health

<sup>9</sup> Interim Report of the UC Academic Senate UC Non-Discrimination in Healthcare Task Force, April 2, 2019

because the premiums for the *UC Medicare PPO* plan (administered by Anthem Blue Cross) rose substantially this year. It is too early to evaluate *UC Medicare Choice*, but it will be important to assess how well it is serving UCSC emeriti and retirees after a few cycles.

### **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 the campus can effectively increase household income is to help partners of faculty members find the best jobs they can. A survey<sup>10</sup> 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 reviewed the University's proposed Forward Funding Model for Faculty Partner Hires<sup>11</sup>. CFW views the proposed model as a very positive step forward in recruitment and retention of high-quality faculty. However, CFW requested clarification and justification of the disparity between inter- and intra-divisional funding, in particular, the reasoning behind the allocation of "up to five years" of central funding for interdivisional hires, and "up to two years for appointments that occur within the same division". Noting that two years may not be enough time for departments who don't have upcoming FTE growth on the docket or a slated retirement, CFW contends that justification for this discrepancy should be clearly articulated in the plan.

While the Forward Funding Model is a positive step it will only help in special cases of dual academic couples, and CFW advocates for additional resources to assist faculty in securing employment for their partners in addition to the Forward Funding plan and Higher Education Recruitment Consortium (HERC) resources that are available. Members understand that there has been resistance to adopting and maintaining a partner contact list to aid faculty and their partners in learning more about specific employment fields in our area. CFW continues to call on the Administration to find additional low-cost resources to assist faculty with dual career needs.

CFW is very grateful for the support of members of APO and HERC on this important issue for faculty. We note that HERC was contacted with two inquiries surrounding partner hires this past year, though we do not know the outcome of those contacts.

### **COVID-19 Impacts**

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<sup>10</sup> Schiebinger, L. L., Henderson, A. D., & Gilmartin, S. K. (2008). Dual-career academic couples: What universities need to know. Michelle R. Clayman institute for gender research, Stanford University. [https://gender.stanford.edu/sites/g/files/sbiybj5961/f/publications/dualcareerfinal\\_0.pdf](https://gender.stanford.edu/sites/g/files/sbiybj5961/f/publications/dualcareerfinal_0.pdf)

<sup>11</sup> McGuire to Lau, 5/12/20, Re: Revised Forward Funding Model for Partner Hires

### *Teaching and research*

The 2019-2020 CFW committee acknowledges that the unprecedented steps taken to prevent the spread of COVID-19 are necessary, but raised concerns that their impacts on teaching and research will seriously degrade tenure and promotion cases, especially for junior faculty, and that these effects will continue far beyond the current crisis. In spring 2020, the committee submitted a letter to the Senate Executive Committee (SEC) and encouraged SEC to hold an active discussion on the following concerns and suggestions.<sup>12</sup>

The letter acknowledged that the most visible impact on faculty is the unavoidable transition to distance learning. Every class had to be redesigned to work appropriately online, creating an additional burden in the often chaotic transition from winter to spring quarter, and now further into fall. This additional workload is not evenly spread across instructors as some classes can make the transition more easily than others. Overall, there is a sad acknowledgment that the quality of instruction will inevitably suffer despite the incredible effort by our instructors.

The committee was also concerned about the extensive impacts on research productivity. In particular, laboratories and studios are shut down, in-person human subject research is halted, field research trips are cancelled, archives are unavailable, and galleries and performance venues are shuttered. The foreseeable impact will be profound for faculty across ranks, and it puts our junior colleagues in a very precarious position even with protocols of research ramp-up and campus reopening in place in the future. Moreover, faculty early in their career are very dependent on travel to conferences, workshops, and colloquia for professional development and for establishing their professional reputation. All of these are on hold for the foreseeable future. These impacts of the pandemic are not evenly spread among the faculty, and faculty caregivers, especially those with children, must deal with the closure of schools and daycare facilities and the loss of time previously committed solely to teaching, research, and service. These burdens too often fall disproportionately on female faculty members.

Furthermore, while faculty jobs are secure for the moment, most households rely on two incomes due to the high cost of living in Santa Cruz, and the ongoing, massive increase in unemployment due to the pandemic will result in financial distress for some of our faculty whose partners are furloughed or laid off. The systemwide furloughs that are almost certain to come will only aggravate this situation, as will likely increases in health insurance premiums caused by the stress to the healthcare system.

We also stressed that the difficulties caused by the pandemic are not only acute, but are likely to be felt for a considerable time. A loss of months of productivity, acutely so for summer months or into fall quarter, is extremely damaging, and could be catastrophic for junior faculty. And while effects such as laboratory closures are easy to document, others, such as loss of productive time,

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<sup>12</sup> McGuire to Lau, 4/17/20, Re: COVID-19 and Faculty Welfare

are less visible and disproportionately affect faculty with children. We urged the campus that planning for these eventualities should begin immediately, recognizing the future inequities that will emerge from the crisis.

To this end, we suggest a few policies and practices we hope the Administration takes under consideration.

#### Tenure and Promotion

- Decreasing the focus on Student Experience of Teaching surveys (SETs) as the primary mode of teaching evaluation during distance-learning quarters
- Pausing the tenure clock for seriously affected junior faculty
- Consider adjusted requirements for tenure and promotion, based on individual impacts

#### Financial Impacts

- Supplementing salaries for junior faculty if furloughs are required
- A commitment from the Administration and the housing office to ensure that no one will be evicted from the University's rental housing nor will they be seriously indebted due to rent burden during the COVID response interval

#### Mitigating Future Impacts

- Organize a joint Senate and Administration task force to address potential inequities in promotion and salary resulting from the current pandemic due to distinct impacts
- Commit to the construction of the childcare facility and emergency care for dependents
- Commit to the construction of RV2 in the near term
- Prioritize impacted departments for near-term hires if disproportionate impacts occur
- Continued support of staff positions. The previous recession saw a serious reduction in staff positions that never fully recovered; this seriously affects faculty productivity and the smooth running of departments

#### *Working Caregivers*

In August 2020, members of CFW held an informal emergency meeting to discuss the concerns of working caregivers. This was spurred by the decision by local elementary schools to go remote for fall instruction due to COVID-19. The committee was concerned with the inadequate response by the administration to the immediate, acute problems faced by faculty having to juggle child- and elder-care with work responsibilities. These problems tend to affect female faculty and faculty from underrepresented backgrounds disproportionately. The meeting resulted

in a letter<sup>13</sup> to the Chancellor and VP/EVC describing the concerns and offering a few remedies. Receipt of this letter was acknowledged, though it was received during the CZU Lightning Complex fire emergency and subsequent evacuation of the campus.

### **Acknowledgments**

The committee would like to thank those who consulted with and/or provided information to the committee this year: Interim CP/EVC Lori Kletzer, VCBAS Sarah Latham, AVP Grace McClintock, AVC Sue Matthews, Committee on Academic Personnel (CAP) Chair Lynn Westerkamp, Employee Housing and Capital Planning Director Steve Houser, Employee Housing Manager Jennifer Talusan, and UCSC Health Care Facilitator Marianne McIvor.

Respectfully submitted;

#### COMMITTEE ON FACULTY WELFARE

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Thorne Lay  
Nico Orlandi  
Jennifer Parker (F&S)  
Su-hua Wang  
Judith Aissen, *ex officio*  
Grant McGuire, Chair

August 31, 2020

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<sup>13</sup> McGuire to Chancellor Larive and VP/EVC Kletzer, 8/24/20, Re: Addressing the Needs of UCSC Working Caretakers

## **Committee on Information Technology Annual Report 2019-20**

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 2019-20 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. Representatives from CIT additionally participated in the Advisory Committee for Campus Planning and Stewardship, the Canvas Steering Committee, the University Committee on Academic Computing and Communications (UCACC), and the Chief Experience Officer (CXO) hiring committee for ITS.

### **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 2019-20 year VCIT Williams updated the committee on a variety of Information Technology Services (ITS) activities, including multi-factor authentication, plans for IT restructuring, DocuSign, central software licensing of software packages, and more extensive use of Google Gold password authentication. Additional discussions focused on issues arising from the springtime switch to remote learning including storage and posting of video for asynchronous learning. Following a briefing describing ongoing changes to ITS governance and overall restructuring, CIT requested that there be Senate faculty representation on the planned ITS Steering Committee. CIT recommended that this representative be a member of CIT, possibly with a multi-year appointment in order to preserve institutional knowledge. CIT would like to thank VCIT Williams for his collaboration and for being open to CIT feedback and recommendations.

### **Campus IT Resources for Faculty Instruction**

CIT consulted with Faculty Instructional Technology Center (FITC) Operation Manager Leslie Kern on campus IT instructional resources (both support and technology) currently available to faculty. The primary outcome of the consultation was a preliminary list compiled by Manager Kern of multiple technologies and sources for support that are available to all faculty. CIT and Manager Kern have agreed to collaborate in 2020-21 to make a comprehensive inventory of these resources available to faculty and the greater campus community.

Through the University Committee on Academic Computing and Communications (UCACC), the CIT Chair was informed that there are several new UC wide resources that provide a platform for open data publication, preservation, sharing, and reuse of UC research data. In particular, this initiative (the “UC Data Network” (UCDN)) led to a new partnership with Dryad, a data publishing service that was designed by research faculty to host the underlying data for peer reviewed articles. CIT will stay informed on UC wide technologies facilitating research activities and evaluate means to inform campus faculty about these resources.

Campus shared computation clusters such as Hummingbird are available when computing and software resources are needed for classes and/or research. For high-end computing, the new supercomputer, lux, should serve as a model for how to implement similar clusters. CIT encourages Information Technology Services (ITS) to consider expanding lux to serve all campus computational needs.

### **UCSC Website Redesign**

Rob Knight, University Relations Director of Digital Communications, consulted with CIT on October 30, 2019, and provided the committee with an update on the UCSC campus website redesign project. Director Knight shared that Phase II of the project, where target audiences and associated needs were assessed, was completed in June 2019 and that University Relations' next goal is to implement web design in a system platform similar to WCMS. Director Knight noted that the project is currently on hold by request of the Chancellor, pending budget approvals. As in 2018-19<sup>1</sup>, CIT requested that a formal request be sent to the Senate Chair for Senate feedback on the redesign project, large scale changes, and/or platform selection options.<sup>2</sup> To the committee's knowledge, such a request has not yet been sent. In 2020-2021, CIT will want to follow up to ensure that official Senate consultation occurs.

### **Online Copyright Ownership**

CIT was invited to comment on proposed revisions to the systemwide Presidential Policy on Copyright Ownership. In its response, CIT requested clarification about online course copyright ownership, specifically in relation to the use of "Significant University Resources"<sup>3</sup>, which could affect copyright ownership. CIT assumes that "Significant University Resources" do not include things like support from FITC and Learning Technologies, but noted that this ambiguity should be addressed in the policy. The committee encourages the Center for Innovations in Teaching and Learning (CITL) and other campus groups to raise awareness about the final revisions to the Presidential Policy on Copyright Ownership, particularly as it related to online instruction.

### **Postmortem Email Access**

During the spring quarter, CIT received a request from the Committee on Emeriti Relations (CER) inquiring about the feasibility of creating campus policies to govern faculty postmortem email access. CIT consulted with the VCIT on the topic, and were informed that drafting an IT procedure policy is feasible. However, CIT notes that such a policy is complex as it includes academic freedom/privacy considerations, etc. VCIT Williams has agreed to collaborate with CIT in summer and fall 2020 to draft a policy that will be submitted to the CP/EVC who may vet with Campus Council and send to the appropriate units for feedback and vetting, including the Academic Senate.

### **IT Remote Instruction and COVID-19 Concerns**

CIT shared their concerns regarding COVID-19 and remote instruction with the Senate Chair and Executive Committee (SEC).<sup>4</sup> During a time of potential budget cuts, CIT would like all IT work

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<sup>1</sup> Renau to Knight, 11/28/18, Re: CIT Consultation on 10/17/18

<sup>2</sup> Sadjadpour to Knight, 10/30/19, Re: CIT Consultation on 10/30/19

<sup>3</sup> Sadjadpour to Lau, 10/16/19, Re: Systemwide Review of Proposed Revised Presidential Policy on Copyright Ownership

<sup>4</sup> Takayama to Lau, 5/08/20, Re: Covid-19 and Remote Instruction Concerns

to be visible so that it may be appropriately evaluated and appreciated. CIT notes that we are all especially dependent upon IT staff and services during these times and would caution against removing or reducing budget from these essential services.

To help ITS make their work visible, CIT encourages faculty and staff across campus to consistently make use of the ITS ticket system. Especially during these pressing times, it is important for the ITS team to get credit for the critical work that they do in keeping our campus up and running.

Regarding remote learning and learning, CIT emphasized that: (i) CITL has been providing incredibly useful and necessary resources for faculty during this time of pivoting to remote teaching and learning. (ii) More best practices recommendations may be needed for faculty and staff conducting Zoom sessions. (iii) More best practices may be needed to assist faculty in designing and hosting synchronous and asynchronous lectures. CIT also expressed several broad concerns regarding video recording classes and discussion sections including privacy issues and compliance, as well as resource constraints on storage of recorded materials, and the lack of student engagement with online instruction, and how these engagement issues might persist if some teaching moves permanently online. CIT also expressed concerns about inequities with regards to access to technology and the impact on teaching and learning. In general, CIT recognizes that more support is needed for staff and faculty research continuity in handling the COVID pandemic, particularly as it pertains to the shift to remote teleworking.

#### **Additional Notable ITS Issues in 19-20**

During the 2019-2020 academic year, ITS rolled out many upgrades and new systems. The new multi-factor authentication roll-out of Duo did not have any notable issues across campus. In the future, CIT members would like to see information regarding how to troubleshoot possible DigiPass disconnection accompany the DigiPass when they are given to UCSC campus members. The committee may want to make this recommendation to the VCIT next year.

UCSC engaged in a major UCPath roll out this year, which may have caused some issues with graduate student payments. This year, CIT was made aware of issues with timeliness and incorrect check amounts. At this moment, it is unclear if those issues were caused by UCPath or by other steps in the payment pipeline.

Both members and the VCIT found graduate student representation on this committee incredibly helpful this year. Members deeply appreciated the representative's ability to bring in perspectives from the graduate student community. Unfortunately, there was no undergraduate representative assigned to CIT this year. Members hope that next year's committee will have the benefit of both a graduate and an undergraduate representative.

#### **Recommendations for 2020-21**

The 2019-20 membership encourages next year's CIT to consider the following topics for the 2021-21 agenda. Most importantly, we encourage next year's CIT committee to continue working closely with VCIT Van Williams to ensure that the new ITS Steering Committee includes

CIT/Senate faculty representation. We also recommend working with the VCIT to develop a Statement of IT Principles regarding data collection, retention, sharing, and deletion.

The regular CIT consultations and communications with VCIT Williams have been invaluable during the 2019-2020 year and we strongly recommend continuing that tradition in the coming years. Furthermore, based on our positive experiences with having a graduate student member of our committee and our vested IT interests, we encourage both the Student Senate and Graduate Student Association to appoint student representatives for CIT annually.

We also recommend that CIT follow through with collaborating with the VCIT and ITS on postmortem email policy development and implementation and participate in ServiceNow user testing for ITS (to provide faculty user perspectives on the new system).

Finally, we recommend that next year's committee work with ITS, FITC, the Center for Innovations in Teaching and Learning (CITL), and other campus groups to raise awareness about IT resources available to faculty. In light of our remote teaching this year (and beyond), we have learned that it is critical for us to raise awareness about the collection of metadata, access and use of data in the LMS (Canvas) and remote teaching tools (Zoom), and making those security and privacy policies clearer for faculty.

### **Acknowledgements**

The CIT acknowledges and thanks VCIT Williams, UR Director of Digital Communications Rob Knight, ITS Enterprise Systems Team Lead Glenn Blackler, and FITC Operations Manager Leslie Kern for their collaboration this past year and looks forward to a continued working relationship in the 2020-2021 academic year. We would also like to thank Luca de Alfaro for consulting with CIT while on sabbatical, and for sharing his experiences with teaching technologies. CIT would especially like to thank Senate Analyst Jaden Silva-Espinoza for her invaluable guidance and support throughout the 2019-2020 academic year.

Respectfully submitted;  
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August 31, 2020

## **COMMITTEE ON INTERNATIONAL EDUCATION 2019-20 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 focused on collaboration with the administration on faculty-led study abroad proposal review process, engagement with the campus's strategic planning for campus internationalization, and issues related to international student welfare, and the specific needs that emerged during the course of the graduate student strike and the impacts of COVID-19.

### **Strategic Planning for Campus Internationalization: ACE Lab**

The committee has, for a number of years, engaged with the administration around the need for strategic planning for internationalization. There has been discussion, at times spirited, about how to best engage in that process. The strategic planning process currently underway began at the end of the 2017-18, when the campus launched the American Council of Education (ACE) Internationalization Lab, intended to be an eighteen month process (with completion now delayed due to COVID-19). CIE Chair Jeremy Hourigan serves as co-chair of the ACE Lab Steering Committee, and has kept the committee up to date on its work in progress. Formally, the committee had the opportunity this year to review the campus ACE Lab Steering Committee's Draft Internationalization Goals and Action Plan, and during spring 2020, to consult with interim Vice Provost for Global Engagement (iVPGE) Richard Hughey and Associate Vice Provost (AVP) Becky George on the progress of these efforts.

The "Draft Internationalization Goals and Action Plan" (hereafter draft plan) was developed by the ACE Lab Steering Committee and transmitted to the Senate by iVPGE Hughey during fall 2019 for Senate review. During its review, CIE noted its support for campus efforts to develop a strategic plan for campus internationalization, guided by an examination of the specific needs and strengths of the campus. CIE's feedback was thus intended to help support campus strategic planning while advancing faculty research collaborations, international student growth, and international student well-being.

In its response to the draft plan (1/21/20), CIE emphasized its appreciation of the draft plan's focus on valorizing international students from varied backgrounds as well as the focus on supporting and retaining students already here. The draft plan, for example, articulated the need to support students with writing and language skills, and noted existing programs in place that provide support that should be expanded. The committee also appreciated the recognition in the draft plan that housing is critical for visiting scholars at all academic levels. CIE found, however, some areas of concern within the draft plan. First, the committee raised concerns about the introduction of "study away" programs. Members also discussed the potential negative impacts on international education, and the study abroad experience, for students who might choose "study away" in place of "study abroad." The committee was in agreement about the need to protect the international experience, noting that "study away" does not provide the same benefits that international study provides, in terms of exposure to cultures and knowledge garnered from outside of the United

States. CIE's position was that international education should be the primary focus for campus efforts for expanding "study away" options for our students. CIE also raised concerns that students who are less able to afford international experiences, or may be less familiar with options for international experiences, will be funneled into "study away" programs. Members suggested that the draft plan should articulate a definition of "study away," and how Global Engagement envisions that it fits within the broader mission of international education.

CIE was also concerned that the draft plan lays out many desirable potential activities and initiatives, some existing, some planned, others not yet in existence, without any discussion of a funding strategy. CIE therefore found it difficult to comment on the large number of activities and initiatives without more information on likelihood and sources of funding. It is clear that all of these activities and initiatives will require significant levels of funding, and CIE would like a clearer sense of what central resource commitments are in place and what funding is already available within Global Engagement and the academic units to support the draft plan.

CIE anticipated that it would have the opportunity to provide another round of feedback once the draft plan was revised, however, COVID-19 impacted the work of ACE Lab, and delayed planned activities, including the peer review site visit that was scheduled to take place in spring 2020, where campus stakeholders would have the opportunity to engage with the campus's ACE mentor, and where discussions about future work on internationalization could take place. CIE did have the opportunity to formally consult with iVPGE Hughey and AVP Becky George on the status and progress of ACE Lab (May 2020). During this consultation, the committee as a whole learned about the goals and plans the campus ACE group was most interested in driving forward. iVPGE Hughey and AVP George discussed their interest in seeing a global studies minor developed on the campus, however, this early in the process there were few details about how that might move forward. There was also discussion about collaborative online international learning (COIL) and the possibility of implementing on the campus, particularly as remote learning is less perceived as an obstacle in the current moment. iVPGE Hughey and AVP George described the opportunities that this might bring to the campus, including structured integration and engagement with other students abroad and the opportunity for skill development unique to online learning to navigate projects across time zones.

The committee looks forward to continuing to collaborate with the ACE Lab group in 2020-21. It is expected that the peer review site visit will take place sometime next year, that additional review will be sought on a revised draft plan, and that the committee will have the opportunity to review a final report that lays out actionable recommendations for moving forward, recognizing that these will be impacted by the budget constraints faced by the campus due to COVID-19.

### **Review of Faculty Led Study Abroad Proposals**

2019-20 was the fourth year of an extended "pilot phase" for the CIE and Global Engagement (GE)/Study Abroad review of faculty-led study abroad proposals. This year, the committee was pleased to see the implementation of another round of process changes that are expected to standardize the review, including the roles of CIE and GE, with a process now in place that can continue to be the basis for review in future cycles. The timeline for putting out the call, deadlines for faculty proposal submissions, and timelines for CIE and GE review are areas that remain in

need of additional planning to standardize for future review cycles, and is expected to be finalized in early fall quarter.

During the 2018-19 cycle, the committee requested process changes for implementation beginning with this year's review cycle, most notably to improve the communication to faculty proposers once the CIE and GE/Study Abroad review is completed. CIE requested that this communication should be sent out under the iVPGE's signature, to facilitate clarity and transparency about the role of CIE and the role of Global Engagement in the reviews. This process was implemented with this year's review cycle.

During fall 2019, CIE evaluated a request for additional changes to the faculty led study abroad process originating from Global Engagement to move toward a more collaborative review of proposals. CIE agreed to this collaborative review model, and will continue to provide a preliminary recommendation and summary of its independent review to GE/ Study Abroad before a joint advisory meeting to be held in winter quarter. CIE emphasized in its communication to iVPGE Hughey that it is an advisory rather than plenary committee, and does not have authority to approve courses. The joint session would lead to approval/disapproval for course development to proceed, and best conforms to CIE's advisory role. The committee acknowledged that the recommendations of CIE and Study Abroad may differ based on marketability and geographical prioritization. In this case, it is the committee's hope that the iVPGE will ask the instructors to amend their course based on the committee's recommendation prior to submission of course approval. All courses are reviewed by the Senate Committee on Courses of Instruction, which has plenary authority over approval of courses. CIE also updated the process flow chart and CIE review criteria and proposal forms, for inclusion in Study Abroad's informational materials to faculty proposers.

During winter 2020, CIE reviewed nine faculty-led study abroad proposals for summer 2021. Earlier in the year, CIE reviewed a change to a previously approved course as an off-cycle request. The nine requests came from faculty in the Humanities, Social Sciences, Physical and Biological Sciences, and from the Colleges. Each proposal reviewed by CIE has undergone an eligibility evaluation by the Study Abroad Office to ensure proposal completeness, preliminary risk evaluation, and department chair commitment, and a check that the proposal does not duplicate a UCEAP course. This year, most of the proposals came to CIE without the department chair commitment having been completed. Given the limited number of proposals received, proposals without a department chair commitment were reviewed, and if recommended for approval, this recommendation is contingent on the forthcoming department commitment/support. CIE agrees that support for faculty-led study abroad opportunities is an important way to facilitate broader international engagement, to increase the visibility of UCSC abroad, and to enhance undergraduate education through multicultural interactions. The committee considered each proposal's description of: (1) the target demographic and student selection criteria; (2) academic content and quality vis-a-vis campus and international learning objectives; (3) relevant faculty member experience and preparedness to lead a study abroad program; and (4) course feasibility as it relates to facilities and services at the proposed host institution. CIE is not equipped to evaluate risk and safety of the program; this will be evaluated comprehensively by the Study Abroad Office. Instead, CIE is looking for evidence that the faculty is aware of any ongoing safety concerns and the need for plans to address them. The committee then held a joint session with Global Engagement/ Study

Abroad leadership to discuss the proposals submitted. Two revised submissions were considered again during a special meeting held during the summer, along with an additional new “off-cycle” proposal.

CIE will begin working with Study Abroad in early fall quarter on timelines for the next review cycle, which the committee hopes to standardize moving forward, and will participate in proposal submission workshops in fall quarter. The committee looks forward to joint collaboration with GE/ Study Abroad for the next review cycle.

### **International Enrollment and Recruitment**

CIE annually consults with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. For this year’s consultation, the committee was particularly interested in learning about planning for international admissions within the context of campus goals for increasing international enrollment, the current pandemic, and the political climate. CIE had the opportunity to discuss with AVCEM Whittingham about the efforts of her office, in collaboration with Global Engagement, on continued outreach and recruitment planning. The committee strongly favors a more diverse international student body, and expressed concern about the limited geographic diversity of our international student body. CIE suggests there may be opportunity to leverage faculty led programs and university partnerships to enhance recruitment from a wider geographic area. In follow up to AVCEM Whittingham (6/30/20), CIE suggested they would like to engage further (and beyond the annual spring consultation) on the issue of promoting broader recruitment strategies. CIE appreciates its annual consultation with AVCEM Whittingham on issues related to international admissions.

### **International Student Welfare and Success**

Over several meetings, Chair Hourigan kept the committee abreast of issues related to international student welfare stemming from the graduate student labor actions and impacts of COVID-19, and which were related to discussions within the Senate Executive Committee and often informal discussions with Global Engagement/Study Abroad leadership. CIE for example, discussed concerns about the potentially tenuous visa status of international graduate student Academic Student Employees who withheld fall quarter grades, and as a result had their spring Teaching Assistantships rescinded or were not reappointed. Formal correspondence on this issue, to which Chair Hourigan contributed drawing from CIE discussions, was routed through the Senate Executive Committee (SEC) to the administration.

AVP George, during consultation in winter quarter, also provided updates to CIE related to potential impacts to study abroad programs and international students on campus related to COVID-19. This included the campus response to planning around returning study-abroad students, international students returning from leave of absence, and housing current international students whose home countries were experiencing high levels of COVID-19 cases. CIE discussed ways in which it could support AVP George and Global Engagement’s efforts. Chair Hourigan has also kept CIE abreast of conversations at the systemwide UCIE related to impacts to study abroad. The committee in the next academic year, will seek to collaborate with Global Engagement, the Vice Provost and Dean of Undergraduate Education (VPDUE), and the Vice

Provost and Dean of Graduate Studies (VPDGS) and will continue to monitor issues related to federal policies and any impacts on international travel and enrollments.

This year, the committee did not schedule consultations with the Vice Provost for Student Success or the Acting Vice Provost and Dean of Graduate Studies, and looks forward to reinstating consultations with leadership of Student Success and Graduate Division in the next year.

### **CIE Representation**

Chair Jeremy Hourigan continued serving in 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.

### **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:

- Review of Committee on Courses of Instruction Proposed Changes to GSI Criteria for Undergraduate Courses (June 2020)
- Systemwide Review of Proposed Presidential Policy: Travel Regulations (May 2020)
- UC Washington Center Review (February 2020)
- Review of Student Success Task Force Report (November 2019)

### **Continuing Issues for CIE in 2019-20**

- Continue to monitor ACE Lab progress and initiatives, and participate in conversations about potential collaborations to advance initiative related to internationalization, possibly including COIL type initiatives, incentivizing faculty participation in study abroad programs, and learning more about plans for the balance of “study away” and study abroad programs
- 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
- Consider emerging UCIE issues that might impact the campus (i.e. UCEAP grade conversion discussions)

Respectfully submitted,

COMMITTEE ON INTERNATIONAL EDUCATION

Rebecca Braslau  
Lars Fehren-Schmitz  
Camilo Gomez-Rivas  
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Jeremy Hourigan, Chair

Aryan D’Rozario, Undergrad Student Rep (*W, S*)

August 31, 2020

## **Committee on Library and Scholarly Communication Annual Report 2019-20**

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. Several unusual events have occurred this year and some have impact or relevance to issues concerning COLASC, which include the Graduate Student Wildcat COLA (Cost of Living Adjustment) strike, COVID-19, and Black Lives Matter (BLM) protests. Below we summarize our actions for the 2019-20 academic year.

### **I. Library Budget, Collections and Space Orientations**

Based on last year's precedent, the first meetings in the fall were orientations.

Associate University Librarian (AUL) for Planning and Resource Management John Bono. AUL Bono provided an overview of the library budget:

- How the library budget is organized and the yearly library budget allocation is determined and the structural issues that the collections portion of the library budget does not keep pace with the cost of library materials.
- The source of the library budget primarily comes from campus support (99% State funding) and is supplemented by revenue from the Cafe, public printing, and library fees. In addition to recurring funding, the library's operating budget includes one-time funds from various sources including gift/endowment income. The CPEVC allocates funding on a yearly basis. The library is classified as an academic support division (like ITS, BAS, etc.) while functioning in many ways like an academic division. It is similar to an academic/support division hybrid.
- How the library budget is organized (library collections versus everything else), how money is characterized (recurring versus one time funding) and how funding is allocated (collections, staffing, operations).

Associate University Library for Collections and Services Kerry Scott (AUL Scott) provided the committee with an overview of the library's acquisition (what the library buys or licenses) and access (how the library makes what we have not bought or licensed accessible to the campus community) strategies. She discussed three considerations when thinking about issues of acquisition and access:

- Budget: Constraints & Stewardship. 72% of the budget goes to the California Digital Library (CDL) with 28% remaining local to obtain books, DVDs, data requests and journals. The recurring collection budget is still lower than what it was in 2009, despite the 2019-20 collection needs. There are three standard services: Demand Driven Acquisition (DDA) - login to library search to see what titles are available for demand driven acquisition, Recommend a Purchase Form - used for books not available through DDA,

films, journal and database requests, Automatic Approval Plans (books received automatically from our book vendors).

- Collective Collection: Shared Print. Libraries work collaboratively through organizations like JACS, WEST and HathiTrust, to collectively preserve the print record. The UCSC University Library is an active participant in and beneficiary of these collective print archives.
- Scholarly Production & Communication: Open Access. UC faculty in partnership with the UC libraries are partnering to help effect the transition to sustainable and open access models.

Librarian Greg Carrega provided a tour of the renovated 3rd floor in the Science and Engineering Library now named the Sandra M. Faber floor. It opened on January 9, 2020. The tour presented the successful reconfiguration of the space in supporting students' needs on campus. The new space has 440 seats. 264 seats are programmed to support individual or pairs quiet study, and 176 seats are programmed to support group study. The floor has areas for individual study quiet spaces, as well as designated areas where group projects can meet and collaborate without concern of noise. The renovations included:

Quiet side:

- 78 rectangular reading carrel seats w/front and lateral privacy screens
- 18 semi-circular reading carrel seats w/markerboards
- 30 lounge seats
- 28 2-person booth seats
- 9 3-person study pods seats w/markerboards
- 56 large reading table seats w/front privacy screens
- 20 rectangular café table seats w/front privacy screens
- 22 laptop bar seats
- 3 computer catalog stations

Active side:

- 62 group study room seats
- 82 flex zone seats w/mobile furniture
- 24 round café table seats
- 5 lounge seats
- 3 computer catalog stations

Additional renovations included:

- new carpet
- new acoustic ceiling tiles
- whiteboard capacity
- new furniture include pods and carrels and a laptop bar glass wall
- expansion of standard AC and USB power ports.
- upgrades to the wireless network
- 2 gender-neutral bathrooms
- upgrade of the HVAC system

## **II. Endorsing UCSC University Library's Journal Cancellation Review Process**

In FY 2018, the University Library introduced COLASC to the conditions necessitating a journal cancellation review, describing the change to the UC Libraries' shared-resource cost model and the

impacts on the campus's access to academic journals and the Library's budget. University Librarian Cowell (UL Cowell) additionally shared this information with senate faculty outside COLASC by hosting a Library Budget Forum which outlined the library's financial status, its plan for managing a structural deficit, new shared-resource cost model, and the library's plan to conduct a survey to assist in their planned journal subscription cancelation review. In our view, the additional outreach provided by using communication channels beyond COLASC contributed to an increased awareness of the issues and faculty participation.

The University Library leadership worked closely with COLASC in the lead-up to the survey. Committee members provided feedback about the survey set-up, the survey participants (faculty, graduate students and staff), and tested a draft of the survey ahead of its formal launch. The campus Institutional Research, Assessment and Policy Studies (IRAPS) unit designed and administered the survey based on the requirements developed by the University Library and COLASC. The survey ran from October 11, 2018 to January 23, 2019.

On November 7, 2019, UL Cowell and AUL Scott shared their analysis of the survey data and the library metrics used to assess each of the 346 journals reviewed for keep and cancelation consideration. Titles were designated as keep candidates if they were high use and high need based on an assessment of the survey results and the library metrics. AUL Scott also provided an overview of the analysis conducted and the metrics used to designate titles as cancelation candidates. COLASC was asked to consider the following options for all of the titles under review:

- Do Nothing - Keep all subscriptions active, continue to spend one time funds to support collection budget overages, spend the year getting the campus current about the budget situation and make cancelation decisions in 2021 or later (\$0 savings)
- Cancel only Duplicated Titles - Cancel only the titles that were fully duplicated in CDL resources (\$14,000 savings)
- Cancel All - Cancel all titles falling outside the "Keep" criteria from the survey and available data. - (\$63,000 savings)

COLASC recommended canceling all titles falling outside the Library's "Keep" criteria which would result in keeping 212 subscriptions and canceling 134 subscriptions. The committee viewed the titles proposed for cancelation as reasonable and defensible given the library's assessment, pressures on the library budget, our campus's very high utilization of journals licensed through the California Digital Library and the evolution of the campus's research and teaching needs. While the number 134 looks ominously high, the library's analysis demonstrates that 91 of those titles are both duplicated and utilized in CDL-licensed subscriptions (e.g., Wiley, JSTOR, Academic Search Complete). The remaining titles are largely print titles with limited usage making Interlibrary Loan the most appropriate and cost-effective option.

COLASC recommended that University Librarian Cowell and Associate University Librarian Scott meet with campus leadership, Senate leadership and the academic departments most impacted by the cancelation decisions. COLASC invites Senate leadership to share this information and submit any recommendations for effectively disseminating out to the faculty. COLASC appreciates and acknowledges the time and expertise the University Library applied to this review process, and the collaborative process that led to these recommendations. This is a

challenging topic for which consistent and repeated communication and collaboration are critical in ensuring that information is effectively transmitted.

### **III. Zero-Embargo Policy Regarding OSTP Request for Information: Public Access to Peer-Reviewed Scholarly Publications, Data and Code Resulting from Federally Funded Research**

COLASC reviewed the policy that was raised in the March 2020 UCOLASC meeting. The committee felt that, given the current trend and developments in Open Access (OA) globally, the approach taken by UC is appropriate and timely. Regarding the OSTP Request for Information,

COLASC supports a zero-embargo policy for author-accepted manuscripts. We believe that this will serve well the mission of the UC in the long run. We do recognize that there will be a period of transition and it will take some time for some authors and readers to adapt to the new OA system. We encourage the UC to support and facilitate such a transition by working closely with authors, readers, and publishers.

### **IV. Future Emergency Preparations**

Encouraged by the Committee on Research (COR), on April 14, 2020 COLASC Chair met with COR to discuss future planning and preparation regarding emergency situations that close the physical space of campus (e.g. COVID-19, power outages, earthquakes). COLASC discussed the following:

- How to better prepare for situations like COVID-19 when the library system is down for some time? The library has a local emergency manual for internal use for staff.
- How to collect and deliver library items to off campus sites like Long Marine Lab? Due to budget cuts and use, UCSC does not offer this service. For units that employ students, this could be a task for students via creating a proxy borrower. Videos have been a considerable issue during the pandemic due to licensing, and budget and staff constraints.
- How to digitize journals and books, film and media items? Films are currently not being digitized. 52% of UC Santa Cruz's print collection has been digitized. Library has been working to connect users to more search tools. ILL has been quick in responding to requests.
- Can the library still be accessed? There is no access to buildings or physical collections during shelter in place and is a directive from the Chancellor and County of Santa Cruz. The University Librarian suggests people to contact the library directly ([library@ucsc.edu](mailto:library@ucsc.edu)) if they are in need of specific items to see if library staff are able to help support their research request.
- Can faculty or students make a request to have things digitized (on demand)? UC Santa Cruz does not offer this service.

These issues will possibly be discussed further with COR in the future.

### **V. Remote Teaching & Library and Course Materials in Response to COVID-19**

On May 21, 2020, AUL Scott discussed how the library has engaged with remote instruction by organizing their website to make information accessible for content and course support with the homepage highlighting the information about the basics of remote access to the library's resources. It also provides information about HathiTrust ETAS. The library has updated their default search

option to search for online resources first (add print and physical resources back into the search by selecting “everything” from the drop down).

There are multiple resources the library is offering for course support. These include services provided by the research, special collections and archives, and digital scholarship librarians; the digital scholarship commons and course reserves services.

AUL Scott would like COLASC's input about how to make faculty aware of these library services and resources, discuss the most effective communication venues for sharing them and talk about what role COLASC and its committee website might play in raising awareness of these services and resources.

## **VI. Other Issues**

COLASC, along with other Senate committees, reviewed proposed divisional and systemwide policies or revisions to policies including the Systemwide Revised Native American Cultural Affiliation and Repatriation Policy; Proposed Presidential Policy on the Protection of Human Subjects in Research; Proposed Revised Presidential Policy on Copyright Ownership. We also reviewed the Student Success Division Report; the Chancellor’s Memo on ODEI Restructuring; and the iVPGE’s Draft Internationalization Plan.

The Executive Director from UC Press, Tim Sullivan, spoke about UC Press to the committee. His presentation and discussion included the following issues:

- History of UC Press: Started by the Office of the President in 1893 as a way to share knowledge and also the UC brand. Post WWII, it became more of a modern publisher. One of the largest university presses in the country and the only ones that is associated with a public institution.
- Open Access: Changing markets and subscription models for journals and monographs.
- Libraries: Budget cuts and space issues have forced libraries to think more broadly about creating collections in partnership with other libraries.

One issue that should be addressed next year is the de-selection criteria for large removals of journals and books. The committee and library would like to make explicitly clear that there are currently no plans for this type of large scale project. The committee has been discussing this since the 2018-19 academic year.

Overall, we had a productive year with continued engagement and collaboration with the university library staff.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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Elizabeth Cowell, *ex-officio*  
Brent Haddad  
Justin Marion

Ann Hubble (LAUC Chair)  
Jess Waggoner (LAUC Vice Chair)  
Alessia Cecchet (Graduate Representative)

Abe Stone  
Juncue Suh  
Jin Zhang, Chair

August 31, 2020

**COMMITTEE ON PLANNING AND BUDGET**  
**Annual Report, 2019-20**

To: Academic Senate, Santa Cruz Division

The Committee on Planning and Budget (CPB) worked on a wide range of issues this year, including: (a) divisional faculty FTE requests; (b) review of budgetary principles in the context of COVID-19; (c) campus compensation pressures and (d) work in collaboration with other Senate committees, faculty, and/or the administration on the campus budgetary framework, undergraduate impact, and cost of attendance for graduate students. The committee continued to consult on and address capacity planning and capital issues. 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 2019-20, as well as a list of anticipated issues for 2020-21, is provided below.

**Budgetary Review and Principles Statement, Impacts of COVID-19**

Towards the end of the spring term, CPB delivered two perspective sheets related to the impacts of COVID-19 on the campus's budgets and operations. The first, posted May 6, 2020 to Senate Chair Lau, discussed principles related to the disbursement of \$10M of unrestricted funding released by the federal CARES act, whether a tuition rebate was justified, the protection of non-represented staff salaries, and concerns about developing a false sense of success associated with the rapid move to remote instruction. The second, posted June 9, 2020 to iCP/EVC Kletzer, advocated for tapping reserves to avoid the greatest depth of budget cuts associated with pandemic-catalyzed revenue losses and for effective joint advocacy with the Regents and Legislature to bring the dire state of the UC budget more vividly into view.

**Faculty FTE Review**

This year's faculty FTE Call from the iCP/EVC (December 13, 2019), initially offered an injection of 12-15 new centrally funded faculty positions (identical to last year), as well as entertaining requests to authorize vacant divisionally-held FTE positions. However, as the deans' responses were generated and Senate review got underway, the effects of the COVID-19 pandemic upon campus budgets began to become a concern. Upon further consultation, then iCP/EVC Kletzer amended this offering to six or fewer central positions. Thus, CPB took a unique approach to generate its recommendations. Rather than developing a recommendation for authorizing a specific set of all requests, both divisional and new central positions, to be authorized, CPB instead developed a specific recommendation only for divisional authorizations. CPB then provided a rank-ordered list of six additional positions to be authorized pending then iCP/EVC Kletzer's decision on how many new central positions would be available for authorization.

According to the Call, requests were to be evaluated according to the extent to which they invest strategically in areas of campus strength and consistent with the deans' articulated multi-year divisional/school hiring plans and high-impact cross-divisional interdisciplinary initiatives; enhance the research and creative scholarship profile of the campus by supporting doctoral growth in existing programs or supporting new programs with high growth potential; improve the educational experience and outcomes of undergraduate students; and increase faculty diversity. 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 the Committee on Educational Policy (CEP) Chair Onuttom Narayan and Graduate Council (GC) Chair Donald Smith. In addition, Chairs Narayan and consulted with CPB after the conclusion of the decanal consultations. While Graduate Council provided its own perspectives and recommendations directly to iCP/EVC Kletzer, CPB's thinking was advanced by the

collaboration with the CEP and GC chairs, and our resulting recommendations and perspectives were reflective of their contributions to our process. We worked with the office of the Vice Provost for Academic Affairs to define and verify a set of data, and consulted publicly available data on the campus Office of Planning and Budget website that provided essential background to the review process, including the following: a list of current searches, a list of divisional FTE already committed to forward-fund prior authorizations or to enable the hiring of a President’s Postdoctoral Fellow, a list of faculty separations over the current and prior two academic years, and a list of faculty search outcomes for the current and prior two academic years. CPB also made use of publicly-available workload data compiled by the office of Institutional Research Assessment and Policy Studies (IRAPS).

Coming into a period of likely budgetary restrictions, and in light of its work with CEP in identifying impacted programs on our campus (see below), CPB gave a heightened priority to addressing curricular needs. CPB provided its recommendations to then iCP/EVC Kletzer in a memo dated May 11, 2020.

### **Compensation Pressures**

The graduate student labor action that began in late fall raised the question of compensation for graduate student employees - Teaching Assistants and Graduate Student Researchers - on our campus. At the same time, President Napolitano was expressing an intention to close the “salary gap” between the University of California and its Comparison Eight institutions, and the Unit 18 Lecturers’ contract was entering re-bargaining, with the University’s initial offer including a significant increase in compensation. Additionally, CPB and the Senate as a whole had begun to become more concerned about the compensation levels for non-represented staff, which according to the Campus Welfare Committee Compensation Philosophy Task Force Report (November 2018) had, overall, fallen significantly below comparator levels. Put together, it seemed to CPB that these requirements, intentions, and needs for increased compensation had the potential to place significant pressure on the UCSC budget. Thus, in collaboration with Kimberly Register of the Office of Planning and Budget, CPB developed an estimate, based on a set of stated assumptions, of the budgetary impact of these various promised or prospective increases in compensation. This estimate was presented in a report, “Compensation and Other Pressures on the UCSC Budget,” to Chancellor Larive and iCP/EVC Kletzer on March 4, 2020. In particular, the report found that, under these assumptions, meeting these increases in compensation would require an addition of approximately 6.5% to the campus’s core fund revenues in order to maintain the current level of effort. The inclusion of other budgetary pressures, including deferred maintenance, a mandated increase in allocation to UCRP reserves, and chronic under-funding of the Graduate Division, raised this estimate to an addition of 10% of core fund revenues required to maintain the current level of effort. However, the advent of the COVID-19 crisis in the ensuing weeks significantly muddied the report’s context and results.

### **Student Success Task Force Report**

The Division of Student Success was established in September 2015, evolving into its current form through December 2016. Former CP/EVC Marlene Tromp acknowledged in 2017, that our campus “embarked on a bold experiment” by establishing the Division of Student Success that emphasizes both “co-curricular and academic success in student well-being.” In February 2019, she appointed the Student Success Task Force as a response to Vice Provost of Student Success (VPSS) Jaye Padgett’s notification that he planned to leave the Student Success Division and return to the Department of Linguistics in spring 2020. As a result, the task force scrutinized the bold experiment and devised specific recommendations in its report.

CPB reviewed the report during its meetings of October 3 and October 7, and came up with three responses to the report. The first one was to concur with the report by abolishing the bold experiment and settling for a more conventional “student affairs” organization. The second was to suggest a more professional staff structure for advising and caution against the rapid incorporation of student life and dining into the new division. The third was to set and communicate a clear and compelling goal for the student affairs division.

### **Capital Planning**

Current campus policies and culture make it extremely difficult to reassign academic space, and current utilization information is often unavailable to the administration. Although a much-needed campus-wide space survey started in fall 2018, the magnitude and difficulty of the task has made progress difficult. Some progress was made on classroom utilization, but the TA strike and pandemic seem to have pushed space allocation onto a very back burner. There is a plan to establish a review committee for space, capital, and real estate matters, but we are still awaiting the committee's charge.

The Kresge expansion plan is underway and will add a large lecture hall, new classrooms, and 400 student beds. Construction started 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 is under a regental mandate to retrofit, or remove from service, all buildings with poor seismic ratings by 2030. On our campus, this includes Kerr Hall and Thimann Laboratories, and possibly others (the inspection process is ongoing). The March Prop.13 general obligation bond was slated to provide over \$270 million in funding for renovations to Kerr Hall (~\$50 million) and a new "interdisciplinary sciences" building intended to replace Thimann. The process is complicated by the need for "decant space" to house the current occupants while a building is renovated. The old Thimann building could have provided this "decant space" after its occupants moved to the new building. Unfortunately, the hoped-for proposition failed, throwing the campus's building plans into disarray and putting our ability to meet the mandate in question.

The campus produces a Capital Financial Plan (CFP) with the advice of the Campus Planning and Stewardship Committee that ranks new construction and major renovations based on their need, desirability, and feasibility. This ranking is 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. The CFP is used to help determine where the campus will invest its planning resources. Although the planning phase for new buildings is expensive, it is essential for creating budgets and timelines, and necessary for the campus to compete for UC-wide funds. This year the retirement of Vice Chancellor for Planning and Budget Peggy Delaney resulted in a less active Campus Planning and Stewardship Committee (which has a CPB representative and advises on the Capital Financial Plan). CPB also did not consult on the CFP prioritization list this year. This and the previously mentioned seismic safety mandate left the Capital Financial Plan pending. A future goal is for CPB to better understand the possible projects and costs considered in the Capital Financial Plan so that the Senate can provide more meaningful input.

### **ODEI Reorganization**

CPB reviewed the Chancellor's plan to focus and elevate the Office of Diversity, Equity, and Inclusion (ODEI). There were four parts to the Chancellor's plan: (1) elevating the position of Campus Diversity Officer (CDO) for Staff and Students to Associate Vice Chancellor and Chief Diversity Officer; (2) transitioning the reporting line so that this officer reports directly to the Chancellor, instead of to the Associate Chancellor, as in the past; (3) broadening the charge of the ODEI to serve faculty as well as staff and students; and (4) removing the Equal Employment Opportunity and Affirmative Action functions from ODEI.

CPB's response (November 4, 2019) endorsed the elevation of the CDO position to that of Associate Vice Chancellor. While registering a general concern about the proliferation of high-level administrative positions on campus, we concluded that, in this particular case, the concern was outweighed by the goal of raising the profile of diversity efforts and increasing the resources for such efforts. For similar reasons, we supported the proposed change in the reporting line (which, in fact, was simply the formalization of a change that had already occurred).

CPB was more mixed in its response to the proposed broadening of the charge of the ODEI to serve faculty. On the one hand, the shared goals of diversity programming would support bringing faculty diversity efforts into the portfolio of the new AVC/CDO, and the move would also bring UCSC into line with the organization of Diversity Equity and Inclusion (DEI) efforts on other UC campuses. On the other hand, if they are to be successful, faculty DEI programming efforts require maximum “buy-in” from faculty and we wondered whether an active research academic (and member of the faculty) might have more success in this area than a professional staff member.

We also saw pros and cons in the proposal to remove Equal Employment Opportunity and Affirmative Action functions from ODEI. On the one hand, compliance functions are fundamentally different from programming; on the other hand, the complementary nature of the functions suggests keeping them together. In any event, CPB found it impossible to make a recommendation on this aspect of the plan given the lack of specificity in the memo about where such functions might otherwise be located.

Finally, CPB raised a possibility that had not been included in the Chancellor’s plan: making the current Office of DEI a full-fledged division. This is the situation that exists at a number of the other UC’s and while the committee did not reach consensus on this point, we did observe that if the campus were to establish such a division it would make sense (and there would be sufficient resources) to locate Equal Employment Opportunity and Affirmative Action functions within it. Such a division might also logically include Global Education initiatives.

### **Forward Funding Model: Faculty Partner Hires**

In 2019-20, CPB twice reviewed VPAA Lee’s *Forward Funding Model for Faculty Partner Hires*. We very much supported the spirit of the proposed model—preemptively making a retention case through consideration of a partner hire, even absent an outside offer, and forward funding such a hire with central resources to address divisional financial pressures. CPB raised questions concerning its equitable application in practice.

As CPB noted in its 2018-19 Annual Report, 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. Because of the obvious costs to teaching, research, and service when faculty members must regularly go on the market in order to secure a position for their partners, CPB supports preemptive partner hires. In our 2018-19 Annual Report, we advocated that the campus adopt a clear policy regarding preemptive partner hires in order to head off the potential for both individual and divisional inequities.

VPAA Lee’s *Forward Funding Model for Faculty Partner Hires* is a clear policy and it addresses our concern about divisional inequities (specifically, that under-resourced divisions might be disadvantaged in a manner that could potentially reshape the disciplinary balance of the campus). However, the proposed policy, as presented in the fall and revised in the spring, does not alleviate CPB’s concern about individual inequities. It does not, for example, address CPB’s concern that deans hold a gatekeeper function for this new policy even to be initiated. In the interests of maximizing the chances that all faculty be treated equitably, CPB urges that the policy allow the preemptive partner hire process to be initiated whenever a faculty member requests, rather than leaving that determination with the deans. Such a process would not guarantee a partner hire—it would still need to go through all appropriate channels, including the dean’s consideration, and could be denied at any point, whether at the departmental, divisional, or Committee on Academic Personnel (CAP) level—but it would ensure that the process was open to any faculty member in this situation.

Because some faculty, particularly those who are first-generation, might not know to ask for a preemptive partner hire unless the policy is widely publicized to all faculty, CPB also urged that the policy’s explicit allowance of preemptive partner hires be included in any orientation package given to new hires when they

arrive on campus, as well as posted to the Committee on Career Advancement (CCA), CAP, Senate, and Academic Personnel Office (APO) websites.

Finally, CPB was glad to hear Planning & Budget will maintain a database to track forward-funded FTE that are allocated in support of partner hires, and requested that the CPB Senate Analyst and Senate Director be given access to the database in order to pull needed forward-funded history data.

### **Carry-Forward Budget Management Guidelines**

CPB provided feedback on draft guidelines for the management of carry-forward funds. Accurate tracking of carry-forward funds, both centrally and within individual units, is a crucial part of financial management, in order to maintain a prudent reserve, while maximizing the deployment of available funds to support ongoing activities and new initiatives. As a result, CPB strongly supported the aim of improving clarity around carry-forward balances and the guidelines for managing those balances, including the recommendation to draw down large balances by investing in one-time initiatives. While CPB felt that the high-level principles articulated in the draft were very reasonable, we also identified a few areas where greater detail or a more nuanced consideration of carry-forward funds could be useful for financial clarity and planning.

CPB noted that unit finances are an aggregate of multiple accounts. Many of these accounts have designated purposes, and some might be committed to multi-year planning. As such, CPB suggested distinguishing these committed funds from the uncommitted prudent reserve when calculating carry-forward. Likewise, if carry-forward balances vary among subunits, mandating a single number for the overarching unit may force undesirable cuts in order to meet the aggregate constraint. We also wondered how best to set the desired level of prudent reserve when units have a mixture of predictable year-to-year expenses and more variable expenses, assuming that prudent reserve funds are intended in part to cover unanticipated costs. Finally, it may be informative to understand why units have carry-forward balances greater than (or less than) the desired prudent reserve, in order to optimize funding allocations for the unit and develop a more tailored plan for managing carry-forward.

### **International Goals & Action Plan**

CPB reviewed the Draft Internationalization Goals and Action Plan from iVPGE Richard Hughey. Despite the lack of effective leadership and vision in the document, CPB elected to recommend the following prioritization:

1. Support our international student population.
2. Incentivize international collaboration between UCSC faculty members and foreign institutions.
3. Support interdisciplinary faculty clusters in critical regions.

The draft Goals and Action Plan document was to be revised following initial Senate input; however, CPB is not aware of any updates. As with many other initiatives, the status of the internationalization effort, and resources available to support it, are now uncertain due to COVID-19.

### **Review of Proposed Campus SSGPDP Financial Planning Guidelines**

After reviewing the initial draft of the campus Self-Supporting Graduate Professional Degree Program (SSGPDP) guidelines in 2018-2019, CPB was given the opportunity to review revised guidelines from the Vice Provost for Academic Affairs this winter. As the Senate committee most closely aligned with financial considerations, CPB looked most closely at the financial aspects of the revised guidelines. In general, CPB was appreciative of the type and nature of fiscal guidance provided to prospective proponents of SSGPDPs. CPB found that the delineation between direct and indirect costs, and the methodology and magnitude of the indirect cost estimate, was a bit unclear. CPB also reiterated its recommendation that a percentage of programs “profits” (revenues net expenditures) be directed to general campus support in recognition of the value of the UCSC “brand” that, through the program’s association with our campus, is important in establishing and maintaining its viability.

### **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 almost weekly with the CP/EVC, and these regular meetings highlight the positive and productive possibilities at the heart of shared governance. The committee was grateful for its opportunities to meet with then iCP/EVC Kletzer and discuss campus issues in the spirit of shared governance. During the 2020 spring quarter, many of our discussions focused on the financial effects, both known and anticipated, of the COVID-19 pandemic and how the campus will choose to make any necessary budget cuts. Given CPB's purview, the committee expects to play a central role in the overall process as we move forward. The committee is hopeful that regular conversations and consultations with the CP/EVC and other principal officers 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*

Designated members of CPB continued a project to increase the clarity of financial information on campus, and to improve the sharing of that information, for internal operations as well as for broader strategic decision making. Building on work undertaken in 2018-19, which focused heavily on meeting with financial officers for a wide range of campus units, CPB members met with members of the Office of Planning and Budget (P&B) to agree on a strategy for moving forward. P&B created a campus wide "Collective Wisdom Group," which was meant to deal with a broad range of campus financial issues, including implementation of UC Path. In fall 2019, CPB members made a presentation by invitation to this group, sharing CPB's goals and findings-to-date, in order to engage with campus financial officers for the project of improving financial clarity, consistency and information-sharing.

In parallel, CPB members continued meeting with P&B representatives, with a particular focus on refining a newly-developed spreadsheet for tracking central funds. The committee also discussed ways to revive and improve the budget Bird's Eye View report, including the possibility of developing a more detailed and powerful reporting tool for internal use by financial officers and a more holistic overview for broader use across campus. Several meetings were held in fall 2019 and winter 2020 for this purpose, and a specific plan of action was discussed. Unfortunately, the pandemic and its effects on the campus put this plan on indefinite hold. A follow up meeting will occur as soon as is feasible. As just one of the bodies on this campus calling for a more transparent budget, CPB looks forward to its release before the start of AY 2020-21.

CPB was also represented on a P&B committee which was formed to analyze, rationalize and simplify a variety of formulae used on campus for allocating funds (e.g., TAS, temporary academic staffing; instruction & research) to academic units. This committee also began to consider alternative funding models, such as incentive-based funding used at some other UC campuses, that could substantially change how the academic mission is funded. Again, after several initial, but useful meetings, this committee's work

was also put on hold because of the pandemic. It is expected that this work will resume in 2020-21, and CPB looks forward to collaboration on this important work.

#### *Undergraduate Impaction (with CEP)*

In 2019-2020, in collaboration with CEP Chair Narayan and CEP Member Bonett, CPB Member Helmbold and CPB Chair Schumm completed the work begun in 2018-2019 on an analytical study of programmatic impaction. With rich support of IRAPS within the Office of Planning and Budget, a set of metrics were identified that were felt likely to be indicators of impaction - having a student-generated workload load (majors and/or lower division service workload) that stresses the resources of the hosting department. Some of these metrics were derived from the system-wide UCUES (University of California Undergraduate Experience Survey) data, and so could be used to make comparisons between sister campuses as well as between departments and divisions within UCSC. A full-length document, the “Report from the CEP/CPB Program Impaction Working Group” was released in January 2020.

The report examined 10 candidate bachelors programs for which widespread concern about workload impaction has been expressed: Art, Film and Digital Media, Games and Playable Media, Computer Science, Technology and Information Management, Philosophy, MCD Biology, Economics, Psychology and Sociology. Also included were five benchmark departments, one in each division, generally thought not to be impacted: History, Physics, Electrical Engineering, History of Art and Visual Culture, and Anthropology. The 28 metrics provided by IRAPS were combined with differing weights to form five differing “impaction indices” whose similarities could be used to develop conclusions about the degree of impaction of the various studies programs, and whose differences could be used as indicators of the confidence in those conclusions. Comparing the values of these indices, it was consistently seen that five programs were singled out by this analytical approach: Economics, MCD Biology, Technology and Information Management, Computer Science and Psychology, and of these, Computer Science was consistently, and by some measure, observed to be the most impacted. An external comparator index, composed of the subset of the metrics derived from UCUES results, again suggested that impaction in Computer Sciences at UCSC was much greater than that of its sister UC campuses. In addition, impaction in the MCD Biology and Psychology programs was observed to be significantly greater and somewhat greater, respectively, than that of sister campuses.

#### *Cost of Attendance Working Group*

Motivated by the graduate student labor action, CPB advocated for a Senate working group to estimate the cost of attendance for terminal degree (Ph.D. and MFA) students on our campus. With support from then iCP/EVC Kletzer and personal research funds of Chris Benner, director of the Institute for Social Transformation within the Social Sciences Division, a working group of six faculty and two Graduate Student Researchers (GSRs) was convened. The group was led by Sociology faculty members Miriam Greenberg and Steve McKay, leading Living Wage experts on our campus, and included Andrew Fisher (Earth and Planetary Sciences) and John Bowin (Philosophy) from Graduate Council, CPB Member Singh (Economics) and CPB Chair Schumm (Physics). The GSR positions were staffed by Ph.D. candidates Veronica Hamilton (Psychology and GSA Vice-President) and Ankit Sharma (Sociology).

The group’s work began with a local survey of representatives of various demographic groups of UCSC terminal degree students, and a survey of the methodologies behind several publicly-available cost of living calculators hosted by various academic institutions. The group also obtained and analyzed granular data from the systemwide Graduate Cost of Attendance (GCOAS) survey. The local survey allowed the working group to develop a full picture of the “basket of goods” required by our graduate students to maintain an adequate standard of living and array of professional development opportunities during their studies, and how that basket varies between different demographic groups and also, to a smaller extent, among disciplines. The interplay between the subjective GCOAS data and the more objective Living Wage Calculator estimates allowed for the development of a fairly robust estimate of the cost of attendance for

our students. A complete report describing the working group’s motivations and methodologies, exhibiting results, drawing conclusions, and making recommendations, is expected to be available in September 2020.

## **Regular Committee Business**

### *External Reviews*

CPB annually participates in department and program external reviews. During 2019-20, CPB reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming external reviews in History of Art and Visual Culture, History of Consciousness, Languages and Applied Linguistics, Mathematics, and Theater Arts. CPB also prepared responses to department/program external review reports in preparation for closure meetings for Art, Computational Media, Philosophy, and Psychology. The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for Astronomy & Astrophysics, Earth & Planetary Sciences, History, and Music. CPB reviewed an external review deferral request for Anthropology.

### *Off-Cycle FTE Requests and Waiver of Open Recruitment Requests*

CPB reviewed and made recommendations on four additional hires (second hires and second/third hires) requests (BSOE and PBSci) and six requests for authorization for other off-cycle recruitments (BSOE, PBSci, Social Sciences), four Presidential Postdoctoral Fellows Program Hire requests (Humanities, PBSci, Social Sciences), one Target of Excellence (TOE) waiver of open recruitment request (PBSci), and four Spousal/Partner waiver of open recruitment requests (Arts/PBSci, PBSci, Humanities).

During 2018-19, CPB suggested the need to update policies on salary upgrades, and expected this to be taken up this year as part of a broader review and revision of allocation policies (led by the Office of Planning and Budget with participation and input from the Senate). A group began meeting this year, with a CPB representative, but it did not continue its work. CPB anticipates that review of allocation policies will be taken up in 2020-21, with CPB participation and input.

## **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*

- CCI Proposed Changes to GSI Appointment Criteria for Undergraduate Courses (June 2020)
- Proposal to Establish Biotechnology B.A. (May 2020)
- Proposal to Establish Contemporary Practices Concentration in Music (April 2020)
- Proposal to Establish Black Studies Minor (from CRES faculty) (March 2020)
- Proposal to Suspend the Technology and Information Management (TIM) B.S. and Minor (March 2020)
- Revised UCSC Self-Supporting Graduate Professional Degree Programs (SSGPDP) Process Guidelines (February 2020)
- UCSC Pathways to Retirement Proposal (February 2020)
- Proposal for a Designated Emphasis in Data Science (January 2020)
- Chair Response (with CEP and GC Chairs): Teaching Assistants in Graduate Courses (December 2019)
- Arts Games & Playable Media: Three Year Interim Report (December 2019)
- Proposal to Establish Education, Democracy, and Justice B.A. (November 2019)
- Review of Draft Changes to Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change (APU) (November 2019)
- Proposal to Establish Agroecology B.A. (November 2019)
- Proposal to Establish Applied Mathematics B.S. (October 2019)

- Mathematics Undergraduate Proposals (B.S. degree in Mathematics; B.A. in Mathematics Education; B.S. in Computational Mathematics—intended to replace current concentrations) (October 2019)
- Proposal to Establish Concentrations in Music (Global Musics; Western Art Music) (October 2019)
- Two Faculty FTE Transfer Requests (November 2019)
- Chairs Response (with CEP Chair): Funding for Academic Literacy Curriculum (September 2019)

*Systemwide*

- Academic Council’s Standardized Testing Task Force (STTF) Report (March 2020)
- Board of Admissions and Relations with Schools (BOARS) Recommendation to Eliminate the ACT/SAT Essay Requirement (March 2020)
- UC Washington Center Review (February 2020)
- Proposed Revisions to APM Sections 240, 246 (January 2020)

**Consultations**

The committee has a standing consultation with the CP/EVC at its weekly meetings, and schedules formal consultations with the Vice Chancellor for Planning and Budget 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 committee 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 2019-20, CPB also consulted with the following administrators on issues under their respective purviews: Acting Vice Provost and Dean of Graduate Studies Williams (November 2019), Vice Provost and Dean of Undergraduate Education Hughey and Associate Vice Chancellor for Enrollment Management Whittingham (November 2019), Vice Chancellor of Information Technology Williams (February 2020). CPB also consulted with Sociology Professors Miriam Greenberg and Steve McKay about housing costs and impacts in Santa Cruz County (February 2020).

**Continuing Issues for CPB 2020-21**

- Continue to collaborate with the Office of Planning and Budget on 1) campus financial information sharing and management frameworks, via the work of the CPB budgetary framework subcommittee; 2) optimal process for review of campus capital planning prioritization
- Monitor the Office of Planning and Budget review of allocation models and participate in review (this process was begun this year, expected to continue in 2020-21)
- Participate in and monitor the work of the Administrative Organization Taskforce, on the Office of Planning & Budget restructuring scheduled to launch in 2020-21
- Campus Space Planning—monitor progress of task force and participate in Senate review
- Engage the new leadership in University Extension and University Relations in consultations
- Monitor and engage the work of the Joint Working Group on Graduate Education and the Cost of Attendance Working Group

Respectfully submitted,

**COMMITTEE ON PLANNING AND BUDGET**

Matthew Clapham  
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Minghui Hu  
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James Sirigotis, Graduate Representative (*S*)

Fitnat Yildiz  
David Brundage, *ex officio*  
Kimberly Lau, *ex officio*  
Bruce Schumm, Chair

August 31, 2020

**Appendix A: How CPB Functions**

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

## **Committee on Privilege and Tenure Annual Report 2019-20**

To: Academic Senate, Santa Cruz Division

### **I. Grievances**

Five grievances were filed with the committee during the 2019-20 academic year, all of which were resolved without a hearing. Additionally, a hearing was held for a grievance filed the previous year and this matter is now closed. The Chancellor did not fully abide by P&T's recommendation.

### **II. Charges**

Charges were presented by the administration against six members of the faculty this year. Two were resolved without a hearing, two were resolved following a hearing, and two have not yet been resolved, although the hearings have taken place. Of the two that were resolved following a hearing, the chancellor's imposition of discipline for one was more severe than that recommended by P&T.

### **III. Review**

#### **A. Formal Review of Proposed Revisions to Campus Academic Personnel Manual (CAPM) 514.285 – Lecturer with Security of Employment Series**

P&T discussed the proposed revisions to CAPM 514.285 and made note of the Senate's long held observation that membership in a department is by and large the mechanism by which faculty receive and express their rights, Bylaw 55 rights most notably, and suggests that all faculty including Lecturers with Security of Employment (LSOE) should be hired into a department as a general principle. If the expectation is for LSOEs to provide service, then they ought to have rights commensurate with having department status. Given the heavy teaching load on LSOEs presumed by the language of the policy, it is additionally important that LSOEs are members of departments where they, and those for whom they may be teaching courses, have a say in what LSOEs teach.

The revisions to related LSOE policies system-wide were intended to allow for the recognition of LSOEs who are engaged in professional and/or scholarly work related to pedagogy in their discipline, and to clarify how the promotion process might take such efforts into consideration. Still, the committee took issue with the language in §D - Evaluation Criteria, which provided "The criteria set forth below are intended to serve as guides for *minimum* standards by which to evaluate the candidate . . ." The committee noted that this sets high expectations with regard to research and research-pedagogy while retaining high expectations for teaching and service. Members also noted that the §I(3) workload requirement was in conflict with the evaluation criteria. The language did not present professional and/or scholarly achievement and activity as a secondary responsibility but as a necessary criterion for advancement. Finally, members took issue with the policy language which suggested that LSOEs are professionals within an education field

specializing in the discipline of teaching versus the actuality that LSOEs are professionals, expert in a discipline and the related discipline-specific pedagogical methods.

### **B. Comments on Department to Division Transfers**

P&T discussed a proposed FTE transfer from a department to a division. Although it was presented as a “voluntary” transfer, members found it troubling, especially with department-to-division transfer requests coming with increasing frequency.

P&T noted the absence of applicable guiding policy. The Campus Academic Personnel Manual (CAPM) provides guidance on how department-to-department FTE transfers are to transpire (CAPM416.220), but this policy is only mildly illuminating. In a case of department-to-division transfers, the acceptance of the faculty member concerned into the division seems an appropriate analog to the provision that faculty in the receiving departments must accept the appointment. However, that policy also asks that sending departments agree to the transfer, which apparently had not happened in the case P&T reviewed.

More concerning, CAPM 416.220 is silent in regard to how the many rights and responsibilities attendant to belonging to a department are secured with divisional appointments or otherwise compensated for. As an example, a faculty member may appear willing to forego Bylaw 55 rights and others that come with departmental status, but P&T were concerned that a faculty member may be doing so unwittingly. Members were concerned with what would happen, for example, if, per a divisional MOU, a dean’s attempts to secure teaching and service responsibilities for a faculty member were to come up short because others are not willing to work with them or let them offer courses within their departments on authority of their own. Without recourse to teach or provide service within their current department, a faculty member could inadvertently face disciplinary charges for failure to perform professional duties.

Finally, P&T was concerned that department-to-division transfers are occurring in lieu of pursuing charges.

### **C. Draft Internationalization Goals and Action Plan**

P&T reviewed the draft Internationalization Goals and Action plan for the Campus. It noted two purview-specific areas warranting attention. First, the committee was concerned with how students and faculty are held accountable and protected in cases of campus exchange. P&T strongly urged the inclusion of a short statement that both incoming and outgoing students and faculty are subject to the campus’ codes of conduct and other relevant policies. Second, P&T felt it could not support any policy, explicit or implicit, which penalizes faculty for having a domestic research agenda or teaching portfolio. P&T therefore suggested that the revised plan exclude any language that suggests that international research and teaching efforts will be prioritized or incentivized. While outside of P&T purview, an issue on which all members agreed was the importance of providing housing for the campus’ international guests.

#### **D. Office of Diversity Equity and Inclusion (ODEI) Leadership Change**

P&T discussed correspondence from Chancellor Cynthia Larive that outlined a proposal to create a clear leadership structure for the Office of Diversity Equity and Inclusion (ODEI). The committee noted that one of the benefits of the existing structure is having a faculty member, in this case a provost, overseeing DEI matters for the faculty. This person would have direct experience with faculty concerns regarding admissions, personnel, and curriculum development. The committee's particular concern was that any statements of best practices coming from the ODEI could morph into policy, without sufficient oversight of the Senate, potentially giving rise to grievances or disciplinary actions. This concern was only partially mitigated by the separation of compliance and programming. Given these concerns, P&T could not recommend the proposed change to the leadership structure of the ODEI, and emphasized that regardless of what decision is ultimately made, the separation of compliance and programming should be an immediate imperative.

#### **E. Proposed New Presidential Policy on Gender Recognition and Lived Name**

P&T reviewed the Proposed Presidential Policy on Gender Recognition and Lived Name(s) in and concurred with the implicit goal of the policy: that the University of California should ensure that all individuals have university-issued identification documents that recognize their accurate gender identity and lived name. The committee, as well, noted that this policy provided useful context for cases in which a dead name (referred to as legal name if unchanged, in the policy proposal) is unfortunately used (examples such as financial aid, payroll documents, tax documents, bills for payment, or medical personnel identification and patient records).

#### **F. Request for Ruling on Definition of Presence**

P&T experienced a high volume of hearings in 2019-20 which was complicated by the shelter in place order issued by the Governor in response to COVID-19. This gave rise to an issue in convening and continuing hearing committees related to Senate Bylaw 335 (grievance) and 336 (discipline) hearings as ALL University business that could be conducted remotely was being conducted remotely. Specifically, Senate Bylaw 335.D.3 and 336.F.3 state that “[t]he Chancellor's designee, the grievant, and/or their representatives shall be entitled to be present at all sessions of the Hearing Committee when evidence is being received.” and “[t]he Chancellor or Chancellor's designee, the accused, and/or their representatives shall be entitled **to be present** at all sessions of the Hearing Committee when evidence is being received.” (emphasis added).

P&T's understanding of “presence” led the committee to the conclusion that the video conferencing mechanism meets the standard identified in the bylaws. To strengthen its interpretation of policy, P&T sought a formal interpretation from UCR&J. UCRJ responded that as long as the conduct of the proceedings ensures that the parties may participate and observe others to the extent necessary to exercise their due process rights, the requirements of each Bylaw may be met.

#### **IV. Title IX Training**

During the fall 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

Emily Brodsky  
David Cuthbert  
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Julie Guthman, Chair

August 31, 2020

## **COMMITTEE ON RESEARCH**

### **Annual Report 2019-20**

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), and travel grants, and works to develop policy and

initiatives.

### **I. OVERVIEW**

Much discussion this year was devoted to questions of how COR might best focus on improving research support and climate for the campus. In this regard, COR enjoyed regular interaction with VC Scott Brandt of the Office of Research (OR) to cooperatively explore how OR might best facilitate research opportunities for all divisions. This conversation will be ongoing, especially in light of the very challenging environment this campus (like all universities) will face over the foreseeable future. COR would like to become more proactive as opposed to reactive in helping to promote a supportive campus research environment. Towards that end, COR encourages faculty to contact members of the committee to alert them to policy-related concerns and suggestions.

### **II. RESEARCH SUPPORT**

#### **A. Funding**

Historically COR has supported faculty research endeavors through two specific funding mechanisms: the COR Grant Program that encompassed the New Faculty, Faculty Research, and Special Research Grant Programs (NFRG/FRG/SRG), as well as the Scholarly Meeting Travel Program (SMT). These are funded by two pools of discretionary funding composed of University general funds and endowment funds dedicated to supporting work in the Physical and Biological Sciences (Earle C. Anthony or ECA). The ECA funds are used only for research activities and are not used for supporting the SMT program, thus they have only been used for the NFRG/FRG/SRG programs and not for the SMT program. The annual permanent funding allocation for the Research Grant program is \$167,886, the annual permanent allocation for the Travel Grant program is \$125,483. In addition to the regular annual allocations, there was a carry forward of \$21,148 for a total of \$314,517

Up to this year, the committee had solicited applications for these three research programs, NFRG, FRG and SRG. To increase the amount of available funding for COR FRG research grants, COR

decided to augment the maximum award for FRG grants to \$2,500 (in increase of \$1,000), and eliminated the SRG program.

COVID-19 Travel Restrictions: In March 2020, the University implemented policies to mitigate the onset of COVID-19. As the policies developed over the course of the remainder of the winter quarter, travel restrictions were put into place. As a result, much of the scholarly travel that would have taken place for the remainder of the year was cancelled. Half of the funds that would have been used for the SMT program remained unspent and were shifted to the FRG program. Changes to the allocation of funds for the FRG program resulted in an increase of approximately \$60, 000.

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 11 NFRG requests, all 11 were funded. The award amount decreased from last year’s \$53,551 to \$22,140 while the number of the NFRG applications decreased from last year’s 17 to 11. All NFRG proposals were reviewed by COR.

Faculty Research Grants (FRGs). The number of grant applications in this category was 128, which is 11 proposals up from 117 applications in 2018-19. This year, COR was able to fund about 74% of the FRG proposals. COR notes that it had many more qualified applicants than it had funds available for support. Indeed, only because circumstances allowed COR to shift travel funds to FRG support, was the committee able to fund the percentage of grants that it did. In this regard, the score used as a cut-off for funding reflects the financial constraints on COR, and is in that respect not a true reflection of the merits of the applicant pool.

The Travel Grant Budget (\$125,483) 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. This travel limit for 2020-21 will be raised to \$900 for scholarly meetings to better reflect the actual cost of travel. COR appreciates that this amount remains well below the cost of typical travel to meetings. However, COR attempts to balance this factor against a desire to make funds available to as many faculty members as possible given limited resources.

Research Grant Program	Funded	Amount
New Faculty Research Grants (NFRG)	11	\$20,065
Faculty Research Grants (FRG)	95	\$229,045
Travel Grants	92	\$64,483
Total		\$314,493

### **B. Research Into Systemwide Support for Faculty Research**

This year Chair Roth furthered a research project initiated by former COR Chair Pitterman on research funding for faculty across the UC system. UCSC currently is solidly in last place among UC campuses (including Merced) regarding research funding for faculty. This includes grants, travel, and computer support. Travel and computer support are particularly glaring areas of lack in terms of basic infrastructure support for research. On March 3, 2020, COR consulted with Chancellor Larive and CPEVC Kletzer to discuss the disparity in faculty research funding between UCSC and her sister campuses.

### **C. Change to COR Meeting Time**

COR voted to change the time of its meeting for next year to bring the meeting time in accord with current campus teaching time blocks, as well as the practices of other Senate committees. The meeting time was changed to the 3:15 – 4:50 teaching time block for Tuesday-Thursday.

## **III. REVIEWS OF POLICY AND PROCESS**

The committee discussed and provided feedback on various issues related to the Academic Senate and research related proposals, but especially the impact of COVID 19 on campus research and access. COR continues to explore ways to improve campus-based research support for UCSC faculty in all divisions. The committee encourages and invites faculty to forward research-related concerns and issues to committee members for possible discussion and evaluation. The following are issues on which COR commented in 2019-20.

### **A. Systemwide Review of Proposed Revised Presidential Policy on Copyright Ownership**

After a discussion of the materials included in the packet, COR found nothing to object to in the proposed changes.

### **B. Systemwide review of proposed revisions to APM-230, Visiting Appointments**

COR discussed the proposed changes to APM-230 regarding Visiting Appointments. COR commented that any modifications to existing Visiting Appointment guidelines that facilitate the research and scholarly activity of graduate students, post-doctoral fellows or lecturers (UC members of Academic Researchers United/UAW), are welcome. Members were perplexed, however, by the reduction of the Visiting Appointment duration from a maximum of two years, to a maximum of one year, while mathematics scholars were granted a maximum appointment period of 3 years (page 2 of APM-230, redline copy). In its response, COR suggested that this discrepancy warranted further explanation.

### **C. Systemwide Review of Proposed Presidential Policy “Travel Regulations”**

COR reviewed the proposed changes to the Presidential Policy on “Travel Regulations.” and registered the following observations. Referencing the redlined version, COR noted that under Section I (“Reporting Travel Expenses,” p. 40), subsection 2, “Completion of a travel expense claim,” Part a, “Substantiation of expenses,” the new wording (as indicated by the color-coding) on p. 41 (copy attached) was very troubling. It imposes, in the best of cases, a substantial new and additional paperwork burden on the academic traveler, insofar as requiring documentation be submitted “that justifies each day on travel status”, including times and places of all meetings and all individuals involved in those meetings. Members observed that this requirement appeared to be quite onerous in and of itself. COR’s primary concern was that it was completely inappropriate for researchers who spend months in the field on research projects. One COR member noted that it would not be unusual for him to spend 60-90 days in the field. It struck COR as inappropriate as well as a serious obstacle to field research to require people doing work of this sort to meet the reporting requirements as currently stipulated in the proposed change of regulations. More generally, the degree of specificity required (individuals, times, places, dates, times, topics, other attendees) seems tailored to bureaucratic interactions, not academic ones. For a typical academic context, COR noted that any need for reporting at the prescribed level of detail demanded would be difficult to comprehend or justify. COR’s greatest concern involved the gratuitous burden this requirement poses to all extended field research.

Respectfully Submitted;  
COMMITTEE ON RESEARCH  
Martin Devecka  
Abishek Halder  
Peter Limbrick  
Heiner Litz  
Boreth Ly  
Adam Millard-Ball  
Jarmila Pittermann  
Ben Storm  
Slawek Tulaczyk  
Paul Roth, Chair

August 31, 2020

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**  
**Annual Report 2019-20**

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**

### **A. Amendments to the Charge for the Committee on Development and Fundraising**

RJ&E discussed the proposed amendments to the charge for the Committee on Development and Fundraising (CDF). The Committee found no issues of conformance with existing policy. Members found the specification of "divisional" representation to be reasonable given the fact that much of the campus's development efforts do derive from the divisions. Regarding the clause "A representative from the Council of Provosts . . ." members were not sure if this meant that the representative must be a provost. Language clarifying this may be prudent so as to remove any ambiguity.

### **B. Proposed Amendments to Senate Bylaw 13.18.11 - Committee on Educational Policy**

RJ&E had the opportunity to review the proposed amendments to the charge for the Committee on Educational Policy (CEP), specifically to Senate Bylaw 13.18.11. After a thorough discussion, the committee found no issues of conformance with existing policy. The committee suggests that proposed amendment include language in the preamble specifying that the repeal of Senate Bylaw 13.26.1-2 (the charge for the Committee on Preparatory Education) is included in the proposed changes. If the intent is to eliminate CPE in its entirety, the preamble should so state.

### **C. Proposed Amendments to Divisional Senate Bylaw 13.30 et Seq. - Committee on Teaching**

RJ&E reviewed the proposed amendments to the charge for the Committee on Teaching (COT) divisional Senate Bylaw 13.30.1-2. RJ&E found no issues of conformance with existing policy. That being said, members observed that the way in which the committee proposes to interact with specified principal officers going forward is quite different from the way it does so in current practice. To this end, RJ&E offered the following language for 13.30.2.5 for consideration:

- 5) To collaborate and consult *regularly* with the Center for Innovation in Teaching and Learning, with ITS, and with the VPAA, in matters regarding teaching and instructional support.

## II. CAMPUS AND SYSTEMWIDE POLICY AND PROCESS

### A. Recruitment of Graduate Dean at UCSC

This year the Santa Cruz divisional Committee on Rules, Jurisdiction, and Elections (RJ&E) was presented with an issue that we believe has systemwide implications. The issue was related to how the recruitment for the Vice Provost and Dean of Graduate Studies (VPDGS) was carried out, specifically, how “tenure” was defined for the purposes of the recruitment. This was an internal recruitment and one of the qualifications listed was, “Candidate must be a member of the UCSC Academic Senate with tenure or security of employment (SOE).” Ultimately, a candidate was chosen to fill the role; however, the individual was an emerita. Our understanding is that an emerita is not considered to have “tenure.” This is based on our reading of Regents’ Standing Order 103.9 and APM 220- 17c(1), Associate and Professor series positions "are continuous in tenure until terminated by retirement..." Further APM 120 provides,<sup>1</sup> “The title suffix Emerita/Emeritus shall be conferred, upon retirement, on every Professor and Associate Professor.” It would appear that tenure terminates with the conferral of the title of emerita/emeritus. This would seem to be the end of the issue except for a comment made by Grace McClintock, Assistant Vice Provost of Academic Affairs, suggesting that retirement terminates the professorial position, but not the tenure itself, when she wrote, “We consulted with the Office of Academic Personnel and Programs (APP) at UCOP, who advised that a retirement terminates the professorial position, but not tenure itself.”<sup>2</sup> This appears to be in direct contradiction to what the policies actually say. It was our observation that if emerita/emeritus were to be included in the recruitment, it should have been explicitly stated. They were excluded by the terms of the recruitment and it appears to us that this recruitment violated its own terms establishing qualifications for the appointment. Further, to justify the inclusion of emerita/emeritus in the recruitment, the administration presented a definition of tenure that contradicts long standing policy. In order to help clarify this apparent contradiction we sought guidance from the University Committee on Rules and Jurisdiction (UCRJ).

In its response, UCRJ noted that there was unanimous concurrence with the interpretation that we reached, based on their reading of the language of Regents' Standing Order 103.9 ("SO 103.9"), which states “All appointments to the positions of Professor and Associate Professor and to positions of equivalent rank are continuous in tenure until terminated by retirement, demotion, or dismissal. The termination of a continuous tenure appointment or the termination of the appointment of any other member of the faculty before the expiration of the appointee's contract shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, except as otherwise provided in a Memorandum of Understanding for faculty who are not members of the Academic Senate.”<sup>3</sup> More precisely that

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<sup>1</sup> APOM 120: [https://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-120.pdf](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-120.pdf)

<sup>2</sup> AVPAA McClintock to Einarsdottir Re: Concerns Regarding VPDGS Recruitment - December 5, 2018

<sup>3</sup> Standing Order of the Regents 103.9: <https://regents.universityofcalifornia.edu/governance/standing-orders/so1039.html>

"tenure" terminates upon retirement from the UC system.

In UCRJ's view, the first sentence indicates that tenure is terminated by dismissal. This conclusion was based on the fact that the two positions, Professor and Associate Professor, both enjoy tenure, and that argues for interpreting the word tenure as referring precisely to tenure. The second sentence addresses the process that must be implemented if tenure is to be terminated prior to its expiration, i.e., before the end of the contract or before retirement. This interpretation is consistent with APM 220-17(c)(1),<sup>4</sup> which quotes the above language.

Finally, we noted that the issue around the recruitment process as described could have been avoided, had the job posting stated that candidates "must have received tenure," or used comparable language that did not suggest that applicants must currently have tenure. RJ&E suggested that the language in future recruitments precisely state the qualifications in this manner.

### **B. FTE Transfer Of Faculty From A Department To A Division**

RJ&E discussed the issue of faculty FTE transfers from a department into a division. The Campus Academic Personnel Manual (CAPM) provides guidance on how department to department FTE transfers are to transpire (CAPM 416.220), but is silent on the situation when the transfer is from department to division. "In its response to this review, RJ&E recommended that the Senate Senate should work with the administration to clarify the policy in this situation. APM 15 identifies a number of rights that are protected under Systemwide Bylaw 55 specifically "No department shall be organized in a way that would deny to any of its non-emeritae/i faculty who are voting members of the Academic Senate, as specified in Standing Order 105.l(a), the right to vote on substantial departmental questions"<sup>5</sup> What happens to those rights identified in APM 15 and those protected by Bylaw 55 when the transfer is from a department to a division is left for us to guess, and this is a problem. Our concern, as well, was that this lacuna in policy can be used as an end-around established UC policies related to disciplinary actions against faculty.

### **C. Campus Academic Personnel Manual §514.285**

RJ&E reviewed proposed revisions to Campus Academic Personnel Manual §514.285 (CAPM 514.285) and found them to be consistent with those expressed in the Academic Personnel Manual (APM). The committee's understanding of the proposed revisions to CAPM 514.285 was to bring campus policies into alignment with the systemwide policies of the APM, which have themselves been revised to bring the policies for the Lecturer with Security of Employment (LSOE) titles into closer alignment with those for the Professor series. The committee found no issues of conformance with existing policy, but did have the following editorial comment to offer.

In Section I - Workload, to bring the workload responsibility into better alignment with the

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<sup>4</sup> [https://ucop.edu/academic-personnel-programs/\\_files/apm/apm-220.pdf](https://ucop.edu/academic-personnel-programs/_files/apm/apm-220.pdf)

<sup>5</sup> Systemwide Senate bylaw 55.A.1: <https://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/blpart1.html#bl55>

evaluation criteria of section D, the following is recommended:

Section I(3) currently reads:

*3) The secondary responsibility for this series is professional and/or scholarly achievement and activity, including creative activity, especially as they relate to instruction and pedagogy. This responsibility does not necessarily require the production of published work, although such scholarship may inform and/or help fulfill the expectation of professional achievement and/or activity (see APM 210-3).*

RJ&E suggested that this be changed to:

*3) The secondary, **yet necessary**, responsibility for this series is professional and/or scholarly achievement and activity, including creative activity, especially as they relate to instruction and pedagogy. This responsibility does not necessarily require the production of published work, although such scholarship may inform and/or help fulfill the expectation of professional achievement and/or activity (see APM 210-3).*

### **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.

Bylaw 13.14.1, the Charge of The Committee on Development and Fundraising  
Bylaw 13.18.11, the Charge of the Committee on Educational Policy  
Bylaw 13.26 et seq., the Charge of the Committee on Preparatory Education  
Bylaw 13.30.2.1, 13.30.2.4, 13.30.2.5, the Charge of the Committee on Teaching

2. Conforming changes

Bylaw 13.26 et seq., the Charge of the Committee on Preparatory Education

### **IV. Elections and Ballots**

#### **A. Committee on Committees Elections**

RJ&E certified the election for the Committee on Committees which yielded two (2) candidates for the two (2) open positions.

SCB 11.4 specifies that “*If the number of nominees is equal to the number of places to be filled, all the nominees will be declared elected.*”

The following faculty members were deemed elected and their terms will begin September 1, 2020.

Jason Nielsen – Physical and Biological Sciences  
Catherine Ramirez – Social Sciences

The following legislation was presented at the May 15<sup>th</sup> divisional meeting. Due to time constraints, the legislation was put to an electronic ballot which opened on May 19<sup>th</sup> and closed on June 1<sup>st</sup>. The results were certified and shared with the Senate.

Legislation to amend Bylaw 13.14, the Charge of the Committee on Development and Fundraising:

247 votes cast  
236 – Aye  
11 – Nay  
Pass

Legislation to amend Bylaw 13.26, the Charge of the Committee on Educational Policy and Bylaw 13.26 Charge of the Committee on Preparatory Education:

239 votes cast  
210 – Aye  
29 – Nay  
Pass

Legislation to amend Bylaw 13.30, the Charge of the Committee on Teaching:

247 votes cast  
229 – Aye  
18 – Nay  
Pass

Moved from the floor Senate Resolution: An Ethical Response to the Budget Crisis:

273 votes cast.  
238 – Aye  
35 – Nay  
Pass

Respectfully submitted,

**COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS**

Jenny Horne, Film and Digital Media  
Martha Zuniga, Molecular & Cell Developmental Biology  
Ken Pedrotti, Electrical Engineering, Chair (F, W)  
David Belanger, Chair (S)

August 31, 2020



## **COMMITTEE ON TEACHING**

### **Annual Report 2019-20**

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met approximately every other week throughout the academic year to conduct business regarding their charge of fostering and promoting effective teaching. COT continued ongoing activities such as reviewing progress on the newly instituted Student Experience of Teaching surveys (SETs), and soliciting nominations and selecting recipients of the annual student-nominated, Excellence in Teaching Award. COT also created and implemented a nomination and selection process for the new Distinguished Teaching Award. We revised our committee's charge this year. Teaching on our campus was greatly impacted by the unusual events of the year, including the graduate student COLA strike and the campus responses to the COVID-19 epidemic. We outline some actions taken in response to these events and other activities of the committee below.

#### **I. New SETs Implementation & Selection of New Platform**

##### **A. Monitoring the New SETs**

Over the past several years, a main focus of COT's work has been careful study of existing research on student evaluation, and a major overhaul of the wording of SETs questions to make them a more effective component of evaluating teaching excellence. The 2017-18 COT Annual Report provided background information regarding the charge and impetus for revising SETs, including initial faculty surveys to assess faculty needs. The 2018-19 COT Annual Report explained the work involved in revising this new tool for including student voices in the evaluation of instructors' teaching. Two aims of the revision have been to make SETs less bias-prone and to make them a useful tool for faculty to assess their own teaching in a reflective way. The implementation of the revised SETs was initially planned for spring 2019, but rescheduled for fall 2019 due to technical difficulties with the What Do You Think (WDYT) platform. The SETs implemented in fall 2019 can be found in Appendix I of this report.

COT began the 2019-20 year discussing how we might monitor the success of this new tool. Despite all of the work undertaken in previous years, we recognized that many faculty members were unaware of the changes in the SETs, including renaming them as student "Experience" of teaching (rather than "evaluation"), changing the content of the questions, and removing the "Overall effectiveness" items for instructor and course. This last change has caused some confusion among faculty, and COT plans to continue to communicate the reasons for the change -- mainly that there is evidence that such overall items are more prone to bias than more specific and activity-oriented items. We began to plan strategies for communicating about these changes and seeking feedback from faculty during 2019-2020, however the unprecedented events of the year led us to delay these communication and assessment plans.

##### **B. Replacing SETs Platform**

Simultaneously, we joined campus plans to replace WDYT with a more flexible and reliable platform. Especially during Fall 2019, the COT chair met with the working group overseeing the

replacement of the What Do You Think (WDYT) platform. Chair Callanan met periodically with this working group throughout the academic year, which was headed by Rebecca Peet, SET Service Manager from Information Technology Services (ITS), and included Associate Vice Provost for Teaching and Learning (AVPTL) and Center for Innovations in Teaching and Learning (CITL) Director Greene, and Director for Learning Technologies, Jim Phillips, and Vice Provost for Academic Affairs Chief of Staff, Michael Tassio. The working group facilitated demonstrations of top contenders with COT and CAP members. At the end of Fall quarter, on December 12, 2019, an off-cycle funding request was submitted to interim Campus Provost and Executive Vice Chancellor (iCPEVC) Kletzer, from Vice Provost for Academic Affairs Herbie Lee, Vice Chancellor for Information Technology Services Van Williams, and COT Chair Callanan with the request to purchase BLUE by Explorance, a platform that promises much more flexibility and was assessed as better meeting our campus needs. Approval of the request was granted by interim CPEVC Kletzer on April 7, 2020. Due to hard work on behalf of campus staff, the contract was executed in time for Explorance to implement the system for fall 2020. The COT chair has occasionally consulted with Rebecca Peet throughout spring and summer regarding questions that have arisen about setting up the interface of the platform. COT will continue to monitor this transition in 2020-2021.

Because of the extraordinary circumstances of the COVID-19 move to remote instruction, COT decided to make a temporary change to the SETs. A few items that mentioned classroom issues were removed, and an item was added that asked students to comment on whether and how the move to remote instruction impacted their learning. The temporarily modified SETs form for spring and summer 2020 is attached in Appendix II. COT will consider whether to continue with this modified form for fall 2020, and for any subsequent quarters in which remote instruction continues.

### C. Student Response Rates on SETs

COT has continued to monitor student return rates, which declined from an overall rate of 47.2% in fall 2018 to 38.2% in spring 2019, and then declined further this year (see Table 1 below). In anticipation of even more drastic reductions in return rates because of the circumstances of shelter-in-place conditions and remote instruction, COT sent out a memo to faculty encouraging them to remind their students to fill out SETs, and letting them know about the modifications COT had made to the form (See Appendix III). We based our suggestions in this message on the “best practices” for increasing response rates that have been identified by COT in previous years together with AVPTL Jody Greene.

**Table 1: SET Return Rates AY 2019-20**

TERM and FORM	Arts	Hum	PBSci	BSOE	Soc Sci	Colleges	Overall
<b>Spring 2020</b>							
COVID-19 Form	24.08	36.43	27.45	33.45	31.02	31.13	30.1
<b>Winter 2020</b>							
Standard SET Form	14.9	22.87	18.29	17.91	25.95	18.29	19.9

<b>Fall 2019</b>							
Standard SET Form	34.9	42.82	31.97	32.1	54.53	43.82	37.7

**II. COT & CAP Collaboration Regarding Teaching Table for Personnel Reviews**

As explained above, the “omnibus” SETs question regarding “overall teaching effectiveness” was removed because of concerns with bias. However, this is the question that has been summarized in teaching tables as part of personnel reviews. During 2018-19, CAP met with COT and IRAPS to discuss alternatives to the existing practice of summarizing students’ responses to the omnibus item in the teaching tables. While the research supports using more than one item as a focus for personnel reviews, the current SETs platform (WDYT) made that difficult. CAP members chose to use the following item for teaching tables:

- The instructor communicated clearly and explained concepts effectively. (Question 6)

COT members consulted with CAP again in 2019-20, once in a joint meeting, and several times through email and discussion between the chairs of the two committees. For example, the COT and CAP chairs were both present for demos of the potential new SETs platforms, and had opportunities to discuss how the different platforms would serve the needs of the campus, both for faculty’s self-assessment and for personnel reviews. One message that came through clearly from our consultation with CAP was that, despite critiques of SETs as a primary focus of evaluation due to bias, CAP members value them as the only way we currently include student voices about their learning in faculty review.

On January 15, a joint communication from COT and CAP was sent to Divisional Deans, Department Chairs and Department Managers regarding the revised SETs and the evaluation of teaching in personnel files (see Appendix III).

COT plans to consult with CAP again in 2020-2021 to further discuss best practices regarding teaching tables for personnel reviews. One of the advantages of the new SETs platform, Blue, is that it will make it much more feasible to produce teaching tables for more than one item from the students’ SETs responses.

**III. Teaching Awards**

**A. Excellence in Teaching Awards**

COT is charged with the administrative oversight of the Excellence in Teaching Awards (ETA). In adjudicating these awards, we look for evidence that the nominee has thought deeply about teaching and learning and effectively applies that thinking in the classroom. ETA winners are based on student nominations. This year, in light of the enormous stress and added workload of the move to remote instruction, we did not want to create additional work for faculty. Therefore, COT eliminated the step of requesting statements of teaching from nominees and letters of support from department chairs or other faculty members. In 2019-20 COT evaluated

nominations by 675 students, for over 342 different instructors. We see this as evidence of the extraordinarily strong commitment by UCSC faculty and instructors to students and their learning. We had to postpone the celebratory luncheon because of shelter-in-place orders, but we hope to be able to reschedule it for next year. Faculty received a \$400 cash award. The recipient of the Ron Ruby award, funded separately by the PBSci division, received \$2000.<sup>1</sup>

2019-20 Excellence in Teaching Award Recipients (in alphabetical order):

- Nathan Altice, Computational Media
- Peter Alvaro, Computer Science and Engineering
- Javier Fernández Agüera, Languages and Applied Linguistics
- Megan McNamara, Sociology
- Russell Rodriguez, Music
- Savannah Shange, Anthropology and Critical Race and Ethnic Studies
- Bakthan Singaram, Chemistry and Biochemistry
- Amanda Smith, Literature

## **B. Distinguished Teaching Award**

This year, COT followed up plans made in the previous year, and created a campus-wide faculty-nominated teaching award. In contrast to the student-nominated Excellence in Teaching Award, chairs were invited to nominate one person from their department or program for “The Distinguished Teaching Award.” In consultation with AVPTL Jody Greene, we created a simple nomination form asking nominators to comment on three questions:

- How does the nominee contribute to the culture of teaching on campus?
- How does the nominee utilize a research-based pedagogical approach?
- How has the nominee contributed to educational equity?

We received 22 nominations from outstanding faculty across the campus. Every COT member read all of the submitted nominations, created a short list and met to discuss. Faced with an extremely difficult decision, COT members decided to choose two awardees, and the Distinguished Teaching Awards were awarded to: Professor John Tamkun, Professor in MCD Biology, and Professor Jackie Gehring, Teaching Professor in Politics. The awardees will be invited to give public talks; details will be worked out in the coming year.

## **IV. Charge Revision**

In Spring quarter 2020, COT undertook a revision of the committee’s charge. The changes to the charge involved several issues: (1) The new wording removed language about an instructional improvement grant program that no longer exists, (2) Revised language was added to bring the charge into line with current practices regarding COT’s responsibilities for campus policies regarding evaluation of teaching, and (3) Because of evolving titles and roles in both ITS and CITL, we shifted away from a listing of particular individuals who “sit with” COT toward more flexible wording regarding regular consultation with administrative offices with whom we consult most closely. The proposed changes to the charge were voted on and approved at the spring 2020 Academic Senate meeting. See Appendix VI.

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<sup>1</sup> The PBSci Division notified COT in April 2020 that they were increasing the Ron Ruby award from \$750 to \$2000.

## **V. COVID-19**

### **A. Collecting Solutions Google Form**

In light of the urgent move to remote instruction at the end of winter 2019, COT consulted often with AVPTL Greene for updates on policies and asked how our committee could be helpful. One action item that emerged from these discussions was the creation of a google form to invite faculty to share solutions they had discovered to some of the problems around remote teaching that arose. The form also asked for problems that faculty needed help solving. AVPTL Greene requested our permission to share access to the google form with staff members in her office and in online education. This became a useful tool for connecting faculty with staff members who were able to help solve specific problems.

### **B. SETS**

As mentioned above, and shown in Appendices I and II, COT also made changes to the SETs to better acknowledge the extraordinary conditions of teaching and learning faced by instructors and students during the pandemic. COT sent out additional messaging to faculty on May 11, 2020 (Appendix IV).

### **C. Correspondence to ASC Lau**

On May 1, 2020, COT sent correspondence to Academic Senate Chair Lau with concerns about how COVID-19 and the impacts on teaching raising the following recommendations:

- to automatically extend the tenure clock for all untenured faculty
- to make optional the inclusion of SETs from Winter and Spring 2020 in personnel reviews (also sent to the VPAA for consideration)
- to revise the SETs questions for Spring quarter to reflect the current situation.

## **VI. Other Issues**

**A.** COT members additionally serve on subcommittees including the Canvas Steering Committee, Students Device Response System and the SETs core team. Members also consulted with groups working on design of new classrooms. However, with the urgency of the COLA strikes and COVID19, many of these subcommittees did not meet or met infrequently.

**B.** COT, along with other Senate committees, reviewed proposed divisional and systemwide policies or revisions, including the following:

- Proposed Revised Presidential Policy on Copyright Ownership
- Systemwide Review of the Academic Council's Standardized Testing Task Force Report
- Systemwide Review of BOARS Recommendation to Eliminate the SAT/ACT Essay Requirement
- Student Success Division Report
- Chancellor's Memo on the Office of Diversity, Equity and Inclusion (ODEI) Restructuring
- Draft Campus Internationalization Plan
- Proposed Committee on Courses of Instruction (CCI) Graduate Student Instructor (GSI) Appointment Criteria.

C. COT consulted regularly with AVPTL Jody Greene to continue to find ways to work closely with CITL, and to request updates about the campus response to COVID-19. We also consulted with Jim Phillips about reorganization in ITS, and about ways to better connect with the areas of ITS most focused on resources for teaching.

## VI. Carry Forward

- Continue to communicate with faculty and department chairs about the changes to SETs
- Continue to consider ways to support faculty (in conjunction with CITL) in further developing alternative ways to assess teaching excellence (beyond SETs), especially in light of continued remote teaching.
- Continue to work with CAP on ways to improve equity and effectiveness of processes faculty evaluation of teaching
- Make plans to study and assess how the new SETs are being received (with IRAPS and AVPTL).
- Consider additional funding sources for teaching awards:
  - 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)
- Update COT website: COT hopes to develop a stronger web presence and resource materials for the upcoming new SET platform (potential collaboration with FITC).
- Consider possible collaborations with DRC and CITL surrounding best practices with working with students with accommodations.
- Continue to discuss and consider how COT and CITL can best complement and support one another, including working together on issues regarding the campus closure and remote teaching.
- Continue to support campus-wide (e.g. CITL, Senate, etc.) intentions to increase resources for anti-racist pedagogy.
- Consider collaboration with ITS, and with CIT, CAF, CEP, and other senate committees to consider issues of accessibility for teaching technology, and issues of procedures for making decisions about instructional software supported by the campus.

Respectfully Submitted;  
COMMITTEE ON TEACHING

Hunter Bivens  
Nicholas Brummell  
Robin Dunkin  
Sylvanna Falcón  
Maureen Callanan, Chair

Clara Weygandt, (NSTF)  
Jim Phillips, sits with, Director of Learning Technologies  
Jody Greene, sits with, Director of the Center for Innovative  
Teaching and Learning

August 31, 2020

## Appendix I. Standard SETs Fall 2019

### 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*

#### 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:**

(Scale for 5-8 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently)

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

### **FEEDBACK ON COURSE:**

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

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

(Scale for 10-12 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently)

Please only comment if the course contained the specific activity addressed in questions 10-12. Otherwise select “unable to comment.”

10. Lectures and other instructor-led presentations were well structured and had clear goals.
11. In-class activities were well structured and had clear goals.
12. 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 13 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)

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

**Comments OPEN-ENDED**

14. Please describe any specific teaching practices (such as lectures, seminar discussions, small group activities, individual conferences) the instructor used that you found helpful or unhelpful to your learning in this course.

15. Please describe the specific course elements (including readings, films, homework, guest lectures, instructional videos, examinations, papers, study guides, or other elements) that were helpful or unhelpful to your learning in this course.

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

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

**Preparation for the Course**

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

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

**Comments OPEN-ENDED**

19. Please restate your answer to Question 18 and explain it. For example, I felt somewhat prepared because ....

## Appendix II: Spring and Summer 2020 Modified SETS for COVID-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 <and modified by COT, with input from CITL and CAP, for Spring 2020>*

NOTE: Spring 2020 has been a very difficult quarter for everyone. We recognize that the emergency move to remote instruction required students and faculty to rapidly adjust to new ways to teach and learn. The SET survey for this quarter has been shortened and slightly revised to reflect the unprecedented situation.

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 activities or meetings did you participate in? (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 5-8 is: unable to comment/never/occasionally/somewhat frequently/frequently/very frequently)

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

6. 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.

#### FEEDBACK ON COURSE:

(Scale for 9: never understood the goals/at the beginning of the course/at the end of the course)

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

(Scale for 10-11 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 10-11. Otherwise select “unable to comment.”

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

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

Comments OPEN-ENDED

12. 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.

13. How did remote instruction impact (positively or negatively) your learning in this course?

Preparation for the Course

14. 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

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

### **Appendix III: January 15, 2020 CAP & COT Correspondence to Department**

January 15, 2020

Divisional Deans  
Department Chairs  
Department Managers

RE: Student Experiences of Teaching (SETs) and the Evaluation of Teaching in Personnel Review

Dear Colleagues,

As the chairs of the Committees on Academic Personnel (CAP) and Teaching (COT), we are writing to clarify the ongoing changes regarding Student Experiences of Teaching (or SETs), and to address some confusion that has been expressed regarding the implications of these changes for the evaluation of faculty teaching in the personnel review process.

Over the last several years, COT has worked closely with the Center for Innovations in Teaching and Learning (CITL) to rethink the purposes of SETs and to revise the items used in these surveys. One revision made to UCSC's SETs was to remove the global items that ask students to evaluate the "overall effectiveness" of the instructor and the course. This revision is based on research findings suggesting that such overall evaluative items can be open to bias and problematic when interpreted as unitary measures of teaching.

Our campus began using the new version of the SETs this year, and we are in a transitional period during which COT will be consulting with faculty and students to evaluate the changes.

The new SETs are relevant to evaluation of teaching as carried out by every level of personnel review, including departments, deans, CAP, and other administrators. Because we have been using summaries of students' ratings of the global teaching effectiveness item in teaching tables, this practice is also in transition. When a new SET platform has been put in place that can auto-generate the teaching tables, a series of questions from the new SETs will be used in the table to assist reviewing bodies in their overall holistic review of teaching. No single question is an ideal indicator of teaching effectiveness. However, in order to reduce support staff workload during this time of transition, the table for classes using the new SETs will temporarily include only one question - Question #6, "The instructor communicated and explained concepts clearly." Please note that a review file that includes courses with the old SETs and courses with the new SETs will need to include two teaching tables: one table for the courses with the old SETs should report on the "overall effectiveness" data, and a second table for courses with the new SETs should include data on "communicated and explained concepts clearly."

CAP and COT will continue to work together to consider and implement new strategies for evaluating and improving teaching effectiveness, with the student responses to SETs questions as one part of the personnel review process. We recognize the amount of work that goes into creating these teaching tables for all levels of review, and we have petitioned for a SET platform that will

auto-generate these tables. We will be in touch with chairs and department managers as we move forward with this process.

Sincerely,

Maureen Callanan, Chair  
Committee on Teaching

Lynn Westerkamp, Chair  
Committee on Academic Personnel

cc: Herbie Lee, Vice Provost for Academic Affairs  
Jody Greene, Associate Vice Provost for Teaching and Learning  
Rebecca Peet, System Analyst, Information Technology Services

## **Appendix IV: May 11, 2020 Messaging to Faculty and Instructors re Update on 2020 Spring and Summer SETS**

Update on 2020 Spring and Summer SETS

TO: Faculty & Instructors  
FROM: Committee on Teaching  
Subject: Update on 2020 Spring and Summer SETs

Dear Colleagues,

This memo serves as a brief update from the Academic Senate's Committee on Teaching (COT) regarding the Student Experiences of Teaching Surveys (SETs) for the current quarter. We understand that the administration has decided that SETs will be given to students this quarter as usual. Since COT has authority over the content of the SETs, we have decided to slightly adjust the wording to reflect the unprecedented situation of all remote instruction for this quarter and the upcoming summer sessions. COT is temporarily modifying the questions in consultation with appropriate campus leadership. In particular, the revisions remove any mention of classrooms, reduce the length of the survey (in recognition of students' feelings of being overwhelmed) and provide opportunities for students to express the ways that the move to remote instruction has impacted their learning. Should remote learning continue beyond summer sessions, we will be able to consider using this modified SET survey again until we are able to return to the original survey. Please note that in this temporary new version of the SETs, item 6 is still the item to be used for teaching tables in personnel actions, and this item is unchanged. Some departments have added custom questions to the SETs, or use their own form. If your department has designed custom questions or uses a fully customized form, Rebecca Peet of ITS is already in contact with your staff and will provide support to be sure that the custom questions are transferred over to the new template. We are grateful to Rebecca Peet for her help. We are in awe of how our colleagues have managed the challenges of this year and this quarter. We know that nothing is as usual this quarter, and we make this adjustment to the SETs in the spirit of collegiality. If you have any questions, feel free to contact Maureen Callanan, chair of COT, at [callanan@ucsc.edu](mailto:callanan@ucsc.edu).

Thank you,  
Committee on Teaching

## **Appendix V. June 5, 2020 Messaging to Faculty via Senate re Low SETs Responses**

Dear Instructors,

I'm sorry to add to your email inbox during this difficult week and as this challenging quarter is drawing to a close. I'm writing as chair of the Committee on Teaching with the suggestion that you might want to encourage your students to respond to the Student Experiences of Teaching surveys (SETs) for your course. Not surprisingly, the response rate for this quarter is very low so far, with an average of 10% of students responding. You can check the response rate so far for your classes by logging in to UCSC WDYT on this page: <https://its.ucsc.edu/sets/index.html>

The window for students to submit SETs closes on Sunday June 7 at midnight. If you'd like to email your students to encourage them to respond to the SET survey for your class, here are some points you could make that have been found to be effective:

—let them know that the form has been modified for this quarter in response to COVID-19 conditions; it is shorter than usual and it provides an opportunity to talk about how the move to remote instruction has impacted learning

—explain that students' comments on SETs are extremely valuable for us as we strive to improve our courses for future students

—let students know that the SETs are taken seriously as a way for student voices to be considered when faculty are reviewed

While we cannot give individual students incentives for filling out SETs, some faculty offer a small amount of extra credit to the entire class if a large percentage of students fill out SETs (e.g., 1% for everyone if at least 85% of students in the class submit their surveys).

The campus is aware that response rates have been low across the campus this year. This is not a problem for individual faculty but a broader systemic problem that the Committee on Teaching will continue to address. We want to let students know that their feedback is valuable to us.

Thank you for your inspiring work this year and especially this quarter!

Sincerely,  
Maureen Callanan, Chair  
Committee on Teaching

**Appendix VI. Charge**

**COMMITTEE ON TEACHING  
 Amendment to Charge**

To: Academic Senate, Santa Cruz Division:

The Committee on Teaching (COT) proposes the following changes to our charge.

<b>Existing Bylaw</b>	<b>Proposed Bylaw</b>
<b>Chapter 13. Committees</b>	
<b>13.30</b> Committee on Teaching	<b>13.30</b> No changes
<b>13.30.1</b> There are five Santa Cruz Division members. In addition, there are one non-senate teaching faculty representative, one graduate student representative, and no more than two undergraduate student representatives. The Director of the Center for Teaching and Learning and the Director of Learning Technologies are invited to sit with the Committee.	<b>13.30.1</b> There are five Santa Cruz Division members. In addition, there are one non-senate teaching faculty representative, one graduate student representative, and no more than two undergraduate student representatives. <b>The Committee advises the Chancellor, Campus Provost &amp; Executive Vice Chancellor, Vice Provosts, College Provosts, Deans, Departments and instructors on priorities, policies and strategies related to teaching, instructional support and outcomes.</b> <del>The Director of the Center for Teaching and Learning and the Director of Learning Technologies are invited to sit with the Committee</del>
<b>13.30.2</b> The duties of the Committee include:  1) To consult with departments as to the form and use of any methods designed to evaluate faculty teaching performance and to recommend to the Academic Senate how such methods should be used in the evaluation of faculty members' teaching effectiveness.  2) To propose programs that will foster good teaching, and to stimulate and aid all departments in strengthening their efforts to foster good teaching.  3) To formulate general policies concerning instructional support activities on the campus,	<b>13.30.2</b> The duties of the Committee include:  1) To consult with departments as to the form and use of any methods designed to evaluate faculty teaching performance and to recommend to the Academic Senate how such methods should be used in the evaluation of faculty members' teaching effectiveness. <b>It is also responsible for formulating and evaluating campus policies governing the evaluation of teaching (including course evaluations), and consults with the administration on implementation and archiving of course evaluations.</b>  2) To propose programs that will foster good teaching, and to stimulate and aid all

<p>and to advise the administration regarding campus budgetary needs for instructional support.</p> <p>4) To initiate, receive, and adjudicate Instructional Improvement Grant proposals, and to make recommendations concerning funding of such proposals to the Vice Provost and Dean of Undergraduate Education. To establish policies for the adjudication of Instructional Improvement Grants, and to inform the Santa Cruz Division concerning those policies.</p> <p>5) To select Faculty and instructors to receive Excellence in Teaching Awards and other awards as appropriate.</p> <p>6) To provide direction to the Center for Teaching and Learning in matters regarding COT business, and when required, in any matters concerning CTL's instructional support.</p>	<p>departments in strengthening their efforts to foster good teaching.</p> <p>3) To formulate general policies concerning instructional support activities on the campus, and to advise the administration regarding campus budgetary needs for instructional support.</p> <p><del>4) To initiate, receive, and adjudicate Instructional Improvement Grant proposals, and to make recommendations concerning funding of such proposals to the Vice Provost and Dean of Undergraduate Education. To establish policies for the adjudication of Instructional Improvement Grants, and to inform the Santa Cruz Division concerning those policies.</del></p> <p>4) To select Faculty and instructors to receive Excellence in Teaching Awards and other awards as appropriate.</p> <p>5) To collaborate and consult regularly with the Center for Innovation in Teaching and Learning, with Information Technology Services, and with the Vice Provost for Academic Affairs, in matters regarding teaching and instructional support.</p>
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## GRADUATE COUNCIL 2019-20 Annual Report

To the Academic Senate, Santa Cruz Division:

2019-20 was a very active year for Graduate Council (GC). Graduate labor actions around cost of living began in the fall and continued through the year, raising anew questions about how to best support and strengthen graduate education on the UCSC campus. Other events, including power outages<sup>1</sup> and then COVID-19, have forced the campus to grapple with a range of other issues from curricular to budgetary, with potential impacts on graduate education that are still emerging. This formed the basis for much of the proactive work of Graduate Council. Additional proactive work included a continued focus on strengthening graduate education; policy and process changes and updates related to GSIs for graduate courses, Plan I and Plan II masters degrees, the role of GRE scores in UCSC admissions, and graduate dual degrees, and collaboration with the acting Vice Provost and Dean of Graduate Studies (aVPDGS) on changes to fellowship review process and applications. Other business included review of graduate program curricular changes (these changes are reviewed on the new campus SmartCatalog platform, entering its second year of implementation), review of new 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 began working with new acting Vice Provost and Dean of Graduate Studies Quentin Williams this year<sup>2</sup> (and effective summer 2020 now appointed interim VPDGS), and formally consulted with him 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 2019-20 is provided below.

### **Graduate Student Support and Welfare**

This year, graduate students organized a wildcat strike for a cost of living adjustment (COLA). In January 2020, Graduate Council consulted with the leadership of the Graduate Student Association addressing the strike and graduate student welfare issues that included access to affordable and safe housing, as well as stability in funding packages and planning.

A number of evolving issues related to graduate student well-being emerged out of the COLA movement, and were brought to the attention of Graduate Council by faculty and graduate students. These included concerns from faculty about seeming changes to practices related to graduate student funding from the Graduate Division, and concerns raised by graduate students and faculty about the student conduct process. In addition, ongoing work by GC and the Senate broadly related to strengthening the graduate enterprise were taken up by the administration. This third topic is discussed in the following section. Here we focus on the first two points, which were reviewed and discussed by Graduate Council during spring quarter.

In late March, Graduate Council was made aware of a letter to aVPDGS Williams and then-Assistant Dean Moore, signed by seventeen graduate directors and department Chairs. This letter expressed concerns about changes in Graduate Division practices regarding review and approval of graduate program requests in winter 2020 for block fund deployments, and revision of language in incoming graduate student acceptance letters expanding the categories of good student standing necessary to remain eligible for the three

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<sup>1</sup> See GC and CEP Chairs re Cancelled Days of Instruction (October 2019) regarding impacts of power outages on courses and research.

<sup>2</sup> Now Interim VPDGS Quentin Williams served in an Acting VPDGS role for most of the period covered by this report, and so is referred to as aVPDGS throughout.

categories of student support (TA, GSR, fellowship). The letter from faculty and department chairs expressed concern that the Graduate Division was changing the definition of “good standing” without consultation with the Academic Senate and department faculty, conflating employment contract sanctions with academic sanctions. The letter also requested clear guidelines regarding graduate student funding protocols. Graduate Council discussed this letter formally with aVPDGS Williams at its first spring meeting. With aVPDGS Williams formally recused from a discussion of next steps, Graduate Council discussed formal follow up to the Graduate Dean. This correspondence (GC to aVPDGS 4/10/20) recommended that Graduate Division produce updated written guidelines of practice for management of student support funds from the block, and that Graduate Council be formally consulted as updated policies/practices are developed. Specifically, Council recommended that the updated guidelines of policy/practice for block fund management make clear 1) the level of autonomy that departments/programs will have in deploying block funds throughout the year, and whether departments/programs will be required to provide detailed budgets for block fund deployment; 2) the process for requesting deviations mid-year in block fund deployments, and how disagreements about block fund deployments between departments and the Graduate Division will be resolved; and 3) regarding the expansion of the definition of “good standing” to include academic standing, student conduct, and employment standing, to make clear how ineligibility for one category of support would affect eligibility of support for the other two categories, as well as how eligibility for support would be managed in cases where a student has filed an appeal of ineligibility, given that the timeframe of the appeal process may run counter to the more immediate time frame of decision making for student TA or GSR appointments. To better understand the scope of the issue, Senate Chair Kimberly Lau and Graduate Council Chair Don Smith sent out a request to faculty graduate directors to complete a short survey related to any graduate program requests for deployment of block funds (4/21/20). The findings of that survey indicated that 15 programs (out of 35 responding) made a total of 17 mid-year requests to re-deploy block funds, of which 12 were fully approved, two partially approved, one denied, and two remained pending at the time of the survey. Overall, the denied requests were a relatively small proportion of requests, and it appears that requests involving students that received a Notice of Intent to Dismiss were generally, but not exclusively, denied.

While aVPDGS Williams did not provide a formal response to Graduate Council’s letter of April 10, 2020, he did via email communication (4/30/20 and 6/8/20) forward two responses that went out to the campus Graduate Advisory Group (GAG) listserv that addressed concerns in the faculty graduate directors and department chairs letter and Graduate Council’s letter. These responses were reviewed at Council’s last meeting of the year. aVPDGS Williams’ position was that there have not been any process changes associated with distribution or management of block allocation, but acknowledged that there were shifts in perceptions about central management of the block and perhaps a lack of understanding of block management. The Graduate Division decisions about block management were framed in the context of new fiscal constraints imposed by the five year funding guarantee (two year for MFAs), which mandate heightened fiscal judiciousness by the Graduate Division. The seeming expansion of the definition of “good standing” may be viewed in part as a clarification of the various categories of student standing relevant to funding eligibility, though it may be discussed further by Graduate Council in the upcoming year.

During spring quarter, Council also considered the issue of racialized bias in student conduct summons, stemming from an anonymous email that was circulated among the campus community describing one specific case, alongside the Committee on Affirmative Action and Diversity’s (CAAD) open letter ( 6/5/20) addressing institutional racism more broadly. The specific example that was brought to Council’s attention was an anonymous staff email account describing interactions between students and administrators, and what the staff perceived as differential treatment of the student demonstrators by race which led to charges against only the student of color. Graduate Council was disturbed by allegations that have been raised both about racialized language in student conduct summons and the particular ways in which students of color may have been disproportionately identified and disciplined (an issue also raised by CAAD’s open letter). Having heard over the past months sufficient accounts of racial bias, both overt and covert, and recognizing

that UCSC and other institutions of higher education are not immune from the systemic racism that structures our social institutions, our policies, and even our everyday interactions, Council decided to request that the Campus Provost and Executive Vice Chancellor (CP/EVC) address this issue (GC to CP/EVC 7/23/20). In its letter, Council asked that the CP/EVC investigate these concerns and anecdotal accounts of racial bias in the graduate student conduct summons process, by 1) directing a full review of disciplinary procedures, and the ways in which these may, even inadvertently, disproportionately impact and discipline students of color. Council is interested in ensuring that there be a process and set of best practices in place so that graduate students of color are not unfairly targeted or impacted by racism, however subtle, in interactions between students and institutional representatives and processes; and 2) directing a retrospective review of the student conduct cases over the last two years, through the lens of sensitivity to racial bias, to determine whether, for example, students of color are disproportionately represented in (and impacted by) graduate student conduct summons as compared to white students, or whether there are significant differences in disciplinary decisions and/or severity of disciplinary actions across race/ethnicity.

Council's position is that as a campus, we must be proactive in ensuring that our practices and policies are consistent with our values in promoting justice, and a climate that engenders belonging and dignity for our diverse body of students. To this end, student conduct processes must not only be free from bias, but must also reflect our values to embody anti-racist practices. Council, as part of its focus on graduate student welfare and its commitment to the campus goal that we attract, retain, and graduate a diverse graduate student body, is open to collaborating with the CP/EVC and other campus offices to provide input and recommendations on this issue, and Council hopes this will take place within the coming academic year.

### **COVID-19 Impacts**

Graduate Council has approached the issues and impacts of COVID-19 from two perspectives: 1) making necessary changes and exceptions to policy to facilitate a smoother functioning graduate curriculum, and 2) focusing on graduate student impacts and voicing support, where possible, for graduate students to have the needed support as the campus transitioned to online instruction. Graduate Council, in collaboration with other Senate committees, sent out communications related to aiding curricular planning to faculty and departments<sup>3</sup>, and in collaboration with the administration sent out a communication connecting faculty to resources for maintaining educational continuity in context of COVID-19.<sup>4</sup> Council also reviewed and approved requests from a few programs/departments to make temporary amendments to degree requirements.

Graduate Council also discussed, over spring meetings, COVID-19 impacts on graduate students, in their multiple and intersecting roles as students, researchers, teachers, and employees. Council's concerns were underscored by comments and questions received from students and faculty across the campus broadly related to graduate student well-being and welfare. These concerns included how students are impacted by the loss of outside employment and/or their partner's loss of employment, need for support for basic needs to address food and housing insecurity, and the availability of mental health services and support; challenges with accommodating the increased workload as they navigate to online teaching and support undergraduate learning; student concerns about progress on research, particularly for laboratory or human subjects-based research that has been halted; adapting to uncertainties in their ability to meet program milestones and completing degrees; suspension or loss of professional engagement and networking opportunities critical to their success; and the potential for a loss of funding. Council also understood that often hidden is the differential impact of these issues across disciplines, highlighting the need to recognize disciplinary differences in student needs during this time. Graduate students of color and graduate women

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<sup>3</sup> See CCI, CEP, GC, COT re Changes to Syllabus (3/6/20); CEP, GC, CCI re Contingency Planning for Interruptions in Instruction and Modified Program Course Availability (3/16/20)

<sup>4</sup> Chancellor, iCP/EVC, CEP Chair, CCI Chair, Graduate Council Chair re Maintaining Educational Continuity in the Context of COVID-19 (3/5/20)

of color in particular are often a source of support for underrepresented minority undergraduate students, and disproportionately do the institutional service work to fill the gaps in undergraduate support needs for the campus. Council examined areas within its authority and temporarily instituted a one year extension of the normative to degree for current full time graduate students to meet milestones such as advancing to candidacy and to complete their degrees. Council also recommended that departments/programs consider flexibility with program requirements to address challenges faced by graduate students, including considering waiving GRE admissions requirements, extending program milestone deadlines within the program's purview, and to consider any temporary modifications of degree requirements that could be proposed to Graduate Council for approval in areas where these might meet the exceptional needs of graduate students and programs during this time (see GC and aVPDGS re COVID-19 Impacts on Graduate Education 4/29/20). Council also brought to the Coordinating Committee on Graduate Affairs (CCGA), together with other campuses, the need to temporarily extend the systemwide 18 quarter limit for graduate students to hold an Academic Student Employee (ASE) title, which was later approved and implemented by UC Provost Brown (see letter to Chancellors dated 6/19/20).

Finally, Graduate Council also discussed the additional burdens placed on graduate student Teaching Assistants, and the need for online instruction resources to support their needs. Graduate student representatives on the Council, on a very short timeline, conducted a survey of graduate students on access to online instruction resources and provided a brief report to Graduate Council. The report indicated that while some resources are available, many graduate students were not aware of them and were not receiving information about these resources, resources were not being offered consistently across departments, types of available resources varied by departments, and some resources and funding had not been delivered as promised to graduate students (e.g., small funding grants and/or supplies). The Graduate Council Chair participated in Senate leadership conversations with then iCP/EVC Kletzer on this topic (and provided the survey findings). iCP/EVC Kletzer followed up with a communication to Deans about the need to make available a more standardized approach to supporting TA instructional needs, requesting that they follow up to make resources needed and information about accessing these resources available and accessible within their departments/divisions.

### **Strengthening Graduate Education**

Graduate Council, has for a number of years, proactively focused on issues of growing and strengthening the graduate enterprise at UCSC, most recently beginning in 2015-16 with the establishment of a Graduate Council subcommittee focused on making recommendations to catalyze campus strategic planning and action for growing and strengthening graduate programs and making more visible the progress towards these goals.<sup>5</sup>

The 2019-20 Graduate Council began the year planning to engage the campus administration on strengthening and growing graduate education, following up on recommendations to the administration in its earlier reports. With a new Chancellor in place and a new interim CP/EVC, Graduate Council was interested in discussion the administration's vision and goals for supporting the graduate enterprise, and how this administration viewed supporting current graduate students and growing graduate enrollments over other campus needs. The Council consulted with Chancellor Larive and then-iCP/EVC Kletzer in January 2020. Council welcomed their articulated commitment to strengthening graduate education at UCSC, as well as their clear appreciation for the critical role that graduate education and mentorship play

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<sup>5</sup> See Graduate Council Statement and Report on Strengthening and Growing Graduate Programs at UCSC (May 2017); Graduate Council Report on Growing and Sustaining Graduate Student Research (May 2019). This most recent work of the Council was informed by previous campus efforts, including work that resulted in the Joint Senate Administrative Task Force on Graduate Growth Report and Recommendations (June 2015) and the Joint Senate Administrative Task Force Report on Academic Structures (2013).

in fulfilling our mission as a research university, and was heartened by their expressed interest in working collaboratively and in partnership with GC and the Senate (by this time, Graduate Council had begun to articulate a stronger focus on strengthening graduate education, over its previous focus on strengthening *and* growing graduate education).

It has become apparent that areas that pose challenges to developing a strategic plan for strengthening graduate education include the lack of clarity regarding revenue flows related to the graduate enterprise, and the extent that those revenues support the graduate enterprise (versus, for example, the undergraduate enterprise). Graduate Council made clear that without this knowledge, it is difficult for the campus to plan strategically and make informed choices. Both the Chancellor and iCP/EVC supported this perspective. Graduate Council, in follow up communication to the Chancellor and iCP/EVC (2/5/20) articulated that the campus has yet to fully examine the extent to which graduate enterprise revenue is used to support the mission of undergraduate education or vice versa. The Council agreed that in order to develop a plan for the appropriate size and shape of the graduate enterprise at UCSC, the campus needs a full assessment of the extent to which divisions and departments themselves want and/or are poised to strengthen and grow their graduate programs, as well as what resources they need to do this.

From Graduate Council's perspective, another area that poses significant challenges is that existing mechanisms for graduate student support are poorly coordinated and somewhat unpredictable from year to year, leading to potential instability and uncertainty in many graduate programs.<sup>6</sup> Council urged the Chancellor and iCP/EVC to consider a revised TAsip and graduate funding allocation model that accounts for both undergraduate and graduate enrollments, and thus is responsive to the broader need of graduate support.

The Council also articulated once again that it was ready to begin working with the administration on a comprehensive, realistic, and actionable strategic plan for enhancing graduate welfare and strengthening graduate education. This planning should be driven by the central administration, in collaboration with the Graduate Division and the Senate, with data gathered from the divisions and departments as needed. Council recommended the establishment of a small to medium-sized working group, comprised of representatives from Graduate Council, the Senate Committee on Planning and Budget (CPB), Office of Planning and Budget staff, and the acting Vice Provost and Dean of Graduate Studies. Council noted that it is imperative for the health of the graduate enterprise that we are able to understand current capacity and barriers to improving and growing graduate programs, in order to strategically identify and direct campus resources to appropriately support graduate education. The campus should have a clear understanding of the totality of revenues related to the graduate enterprise and how those revenues are directed at present, and an understanding of where there is capacity for graduate growth. From this could emerge graduate enterprise funding models that provide stability for students and programs, including perhaps by linking funding to 'cohorts' of incoming graduate classes. Models should also include incentives for faculty to increase mentoring and securing of external resources, and other actions that will enhance graduate student welfare and success more broadly. Council urged the Chancellor and iCP/EVC to identify a structure and process for carrying out this important work.

Chancellor Larive at the February 2020 Senate meeting, announced the establishment of the Joint Senate Administration Working Group on Graduate Education, to be co-chaired by Graduate Council Chair Don Smith and then aVPDGS Quentin Williams. The Joint Working Group initiated their work in spring 2020, and their efforts will continue into fall 2020. Graduate Council will continue to collaborate closely with and participate in the Working Group, which is expected to complete its work by end fall quarter 2020.

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<sup>6</sup> Although the five-year doctoral (two year MFA) support packages for current and incoming students, along with a need-based housing supplement of \$2,500, is an important first step.

As a related effort, the Senate Committee on Planning and Budget Chair Bruce Schumm has asked for Graduate Council participation in a working group focused on graduate student cost of attendance. Two representatives from Graduate Council are participating in this group. Graduate Council will continue to participate in this group and expects this working group to produce a final report by early fall 2020.

### **Policy and Process Changes & Revisions**

During 2019-20, Graduate Council reviewed its policies on a number of issues, and made changes and updates where necessary. Some of the issues outlined below will remain continuing issues in 2020-21. A brief summary of each policy change, update, and/or review is included by topic below.

#### *Graduate Student Instructors (GSIs) for Graduate Courses*

Graduate Council has reviewed and updated its policy and process for requests to appoint Graduate Student Instructors (GSIs) to teach graduate courses. Instances of graduate students assuming instructional roles in graduate courses should be rare, though may be appropriate in limited cases. Historically, the relatively small number of requests that are typically reviewed (in comparison to requests reviewed by CCI for undergraduate courses) has meant that Council has relied on usage of the CEP/CCI request form for requests to Graduate Council in recent years. However, given the differences in policy, process, and expectations between requests for GSIs to teach undergraduate versus graduate courses, Council decided to develop a request form specific to its purview over GSI appointments to graduate courses. Graduate Council has also updated the forms to clarify that the extent of faculty oversight of the assessment process for graduate students teaching graduate courses must include listing the faculty mentor/supervisor as co-instructor for the proposed graduate course. A link to the form can be found on the Senate's Graduate Council website<sup>7</sup>.

#### *Masters Degrees: Plan I and Plan II*

In an effort to better clarify the distinction between Plan I and Plan II Master's degrees, Graduate Council revisited and made changes to its guiding policy (UCSC Senate Manual, Appendix D, Section VI), in particular, clarifying language that a Thesis Plan I requires a research thesis, while a Capstone Plan II has a capstone requirement, which may be a comprehensive exam, an individual project, or a group project. Graduate Council, with this year's program statement review process, began asking programs that had already submitted program statement changes, to examine their master's degree requirements in catalog copy, if applicable, to align with the revised language in Appendix D. All other programs will submit any changes to align with the new language in next year's cycle of program statement reviews. The updated language can now be found in the UCSC Senate Manual, Appendix D.

#### *The Role of the Graduate Record Examination (GRE) in UCSC Admissions*

During the 2018-19 academic year, Graduate Council, in collaboration with then VPDGS Kletzer, examined the role of the GRE in the fellowship review process, and eliminated the consideration of GRE scores in the Cota-Robles selection process, and encouraged departments to consider blocking the GRE information in reviews for the Chancellor's fellowship for entering doctoral students (see GC Annual Report 2018-19).

This year, Graduate Council, again in context of research that has called into question the predictive ability of the GRE for graduate student "success" and the desire of many departments/programs at UCSC (in line with national trends) to not require GRE scores in admissions, decided to make GRE scores an optional requirement for UCSC admissions. Effective with the 2019-20 application cycle, GRE scores are an optional requirement for UCSC graduate admissions, to be decided at the department/program level (by a vote of the faculty). The change is now reflected in the UCSC Senate Manual, Appendix D, Section II. Admissions.

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<sup>7</sup> <https://senate.ucsc.edu/committees/gc-graduate-council/index.html>

### *Graduate Dual Degrees*

Defining a process and policy for programs proposing a graduate dual degree pathway has been an ongoing Graduate Council project for a number of years (and at key junctures, in collaboration with the VPAA and VPDGS), sparked by former VPDGS Tyrus Miller's interest in this issue at the end of the 2016-17 year.

During 2019-20, Council re-examined its guidance for review of graduate dual degree pathways that it released in 2018-19, in part because of additional information revealed via review of a graduate dual degree proposal, as well as Graduate Council chair consultations with CCGA and UCOP staff. Council released the updated principles and process document, in correspondence to VPAA Lee (November 20, 2019). It was noted in the correspondence that these are not yet intended to be released to the wider campus, as CCGA discussions about how to review graduate degree pathways are ongoing, and anticipated to result in additional information, and perhaps a CCGA issued communication to standardize these kinds of reviews across the system. Graduate Council expects this issue to continue to be discussed at CCGA in 2020-21, and will work to issue updated guidance for the campus following CCGA policy issuance.

### **Curriculum Management: SmartCatalog**

2019-20 was the second year of the implementation of SmartCatalog, the new curriculum management system. Graduate Council is appreciative of the work of the Curriculum Management Project (CMP) team, led by Don Moonshine, for their active collaboration with the Senate as we continued to work out issues with and fully shifted to the new system. The CMP team has been very attentive and responsive to the requests of GC, within the parameters of what SmartCatalog can provide. Graduate Council also collaborated with the Committee on Educational Policy (CEP), particularly in development of workarounds to systemic issues. Council is working over the summer and into fall 2020 to resolve, where possible, the issues that most negatively impact Senate review. One major issue, for example, has been working on separation of currently shared "primary" pages in the platform so that CEP and GC can better work independently from each other. Council anticipates that its work with the CMP team, in collaboration with CEP, can help better meet the needs of review end-users/Senate faculty for the next and future review cycles.

### **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 and extended 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) for the 2020-21 year. This delegation be reviewed at the end of the next academic year.

### **aVPDGS 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 Acting Vice Provost and Dean of Graduate Studies (aVPDGS) Quentin Williams, appointed at the end of the 2018-19 year. This consultation focused on a general overview of the Graduate Division, including mission and vision, as well as aVPDGS

Williams' key goals for the division. aVPDGS Williams presented a high-level overview of the budget, and contextualized this with a comparison to one of our sister campuses, UC Riverside which has had more central support for the graduate enterprise. He also discussed the structure of UCSC's Graduate Division, which is leaner compared to other UC campuses, and discussed priorities in context of our new Chancellor's stated priorities for the graduate enterprise. aVPDGS Williams provided data focused on graduate enrollment trends as a general orientation for members.

*Dissertation Year, Dissertation Quarter, and Cota-Robles Fellowship Report:* This consultation focused on process and outcomes for the Dissertation Year Fellowships (DYF) and Cota-Robles (CR) Fellowships. Council requested to review data on process and outcomes for both DYF and CR fellowships. Recommendations from Graduate Council that emerged from the discussion included that for the DYF fellows the call should state that 1) each division should be required to have a representative from each department/program for DYF review/selection committee; divisions with a large number of programs should be required to have all departments represented at least every two years; 2) all candidates for DYF fellowships must have been advanced to candidacy for two quarters before being nominated; and 3) a department/program should be ineligible for the subsequent year's fellowship call if a fellowship awardee does not complete their dissertation in the award year, as expected (note that this latter stipulation will not be implemented until 2021-2022 due to the impact of the COVID-19 pandemic on student progress to degree). For the CR fellowships, Council suggested that departments/programs be provided more robust guidance on how to complete the mentoring plan for the CR candidate so that there is more consistency in mentoring plans across programs. Council expects to review data on fellowship outcomes during next year's consultation on the DYF and CR process, which Graduate Division is just beginning to track. Council expects these data will facilitate longer term assessment of sub-disciplines that may trend toward over or under representation for the DYF and CR, and identify if there is a notable difference in yield by discipline (for the CR). Graduate Council and aVPDGS Williams have agreed that during fall 2020, Council will review the fellowship calls and application forms, and provide feedback ahead of the winter 2021 review cycle to address issues raised during the consultations (mentoring plans, highlighting diversity), as well as improve the collaborative review process for the GC subcommittee reviewing the CR fellowship applications (GC to aVPDGS 4/10/20).

*Review of Block Allocation Formula:* This consultation focused on the annual overview of the block allocation formula, the Master's Incentive Funds Program (MIP), an update on multi-year capabilities across the campus, and discussion of the pros and cons of the cohort funding model. GC also requested information related to delegations of authority and academic integrity cases as part of its annual review, as informational items. Graduate Council raised several questions about MIP funding, and expressed interest in obtaining further data and analysis from the Graduate Division about how MIP funds are used to support doctoral students and programs. Given that MIP funds do not flow through the Graduate Division, the extent to which MIP supports doctoral education is not entirely clear. GC suggested a survey of all graduate programs that queries categories for type of funding uses, amount of funding used per category, and an "other" category to capture uses not listed, in order to gain a better understanding of how MIP funds are deployed across the campus, as well as what similarities and differences exist across divisions. Graduate Council will follow up on this issue in the 2020-21 year.

*Graduate Admissions Report:* aVPDGS Williams presented data on graduate applications, admissions, and acceptances. The year saw a high percentage of offers accepted, higher than other years, with raw numbers comparable to last year. Graduate Council also requested, given concerns previously raised by Graduate Deans about racial/ethnic diversity, an update on racial/ethnic diversity in application, acceptance, and admission data in context of the Graduate Division's goals for increasing diversity. Data was provided on race/ethnicity by admissions. Post consultation, Graduate Council requested racial/ethnic data covering applicants, offers, and acceptances, by division. GC has also requested data on international students,

including international students by country. GC hopes to receive this data for consideration in fall 2020 (GC to aVPDGS 6/29/20).

### **Review of 2020-21 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 received and reviewed CPB pre-consultation memos and dean responses, where available, to inform its review.

While the initial faculty FTE call suggested an envelope of 12-15 central FTE available for allocation, Council was informally advised that, with the anticipated fiscal impacts of COVID-19, that envelope would likely be reduced, and Council approached the review of the requests more conservatively. Council worked from the belief that strengthening existing graduate programs should be a high priority for the campus, since this will increase UCSC's research footprint, excellence, and reputation, enhance UCSC's undergraduate educational mission, and enhance UCSC's graduate training profile. Given this, Council reviewed the FTE requests with a guiding principle that recommended hires that would directly contribute to strengthening graduate and particularly doctoral programs on campus. Council believes that the most effective way to achieve the goal of strengthening graduate programs is to invest in departments and programs having faculty able to mentor and support graduate doctoral students in numbers appropriate for their discipline. This principle is consistent with two of the four criteria for evaluating this year's recruitment requests in the iCP/EVC's faculty FTE call (i.e., *Enhancing the research and creative scholarship profile of the campus by supporting doctoral growth in existing programs or supporting new programs with high growth potential; Improving the educational experience and outcomes of undergraduate students*). As a secondary principle, Graduate Council also considered whether the proposed FTE would enhance faculty contributions to diversity, promote cross divisional collaborations, and/or reinvigorate areas of historical excellence, consistent with your other two evaluation criteria (i.e., *Investing strategically in areas of campus strength and consistent with your articulated multiyear divisional/school hiring plans and high-impact cross-divisional interdisciplinary initiatives; Increasing faculty diversity*).

While the overall impact of Council's FTE recommendations is not clear, Council appreciated the opportunity to participate in the FTE process, and believes its review is particularly important in context of current campus-wide efforts aimed at strengthening graduate education, as discussed elsewhere in this report. It should be noted that meaningful review of the divisional FTE requests continues to be challenged by GC's heavy agenda, limited meeting schedule, and bandwidth.

### **Program Monitoring**

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

During 2018-19, Graduate Council, over several meetings, 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 (GC to DANM 6/21/19). During early fall 2019, the Graduate Council Chair and the Graduate Council Analyst met with then-Program Chair Mark Nash, Arts Dean Ted Warburton, Arts Assistant Dean Stephanie Moore, and DANM Program Manager Bennett Williamson regarding curricular plans for DANM in more detail. This meeting helped inform curricular revisions for DANM. Council's review of DANM's planned curricular changes during spring 2020 surfaced a continuing issue—planning for topic areas. DANM has worked to resolve this issue by shifting changes to topic areas to take place every three years. Graduate Council anticipates that DANM planning efforts in 2019-20 will yield a smoother review process in future years.

### *Feminist Studies Ph.D. Program*

Graduate Council monitoring of Feminist Studies began in 2016-17 during review of the 2015-16 External Review Committee report findings. During spring 2020, Council reviewed and discussed the report submitted by the Feminist Studies Department in response to the most recent Council questions (GC to FMST 6/28/19). Council commended the department for its attention to addressing most of Graduate Council's issues, and also noted the gaps in the most recent report in areas of critical concern to GC. Council once again requested additional information in further communication to the department (GC to FMST 5/19/20). The Council reviewed this additional information, including IRAPS graduate student survey results, at its last meeting. Graduate Council monitoring of Feminist Studies will continue in 2020-21, with the next report due to Graduate Council in early fall 2020 (GC to FMST 7/7/20).

### **Regular Committee Business**

#### *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 one proposal for a Five-Year Contiguous Bachelor's/Master's proposed by the Electrical and Computer Engineering Department (May 2020), linking the M.S. with various related existing undergraduate degrees, for a fall 2020 launch. The Council also reviewed and approved a proposal for Designated Emphasis in Data Science proposed by the Statistics Department (February 2020), launching fall 2020. Council also reviewed and approved a proposal for a non-SR 735 certificate in Graduate Student Professional Development, proposed by the Graduate Division (November 2019) and approved for launch in fall 2019.

Graduate Council reviewed a request from the Astronomy and Astrophysics department to re-review a previous proposal (reviewed in 2018-19) to establish a Ph.D. dual degree pathway with Swinburne University of Technology Centre for Astrophysics and Supercomputing. In review of the proposal in 2018-19, Council decided to not approve it, and instead encouraged the department to pursue, with the support of the VPAA's office, a joint degree model. Council's practice is to not revisit previous decisions, but nonetheless reviewed the new request this year. After substantive discussion and careful consideration, Graduate Council again decided not to approve the request, and encouraged the department to pursue the model of a joint degree (June 2020).

#### *Requests for Suspension of Admissions*

During fall 2019, Council reviewed a request from the Computer Science & Engineering Department to amend its existing suspension of admissions to the Computer Engineering (CE) Ph.D. program to an effective date of 2020-21 (the program had been approved for suspension of admissions for 2019-20 on program/department request). During spring 2020, Council received a request to extend the suspension of admissions for one additional year, through 2021-22. Graduate Council approved the extension, with a request that the department report to Council during fall 2020, with a plan for resolution of the future of the CE Ph.D. program and an update on plans for the M.S. degree.

#### *External Reviews*

Graduate Council annually participates in department and program external reviews. During 2019-20, Council reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming external reviews in History of Art and Visual Culture, History of Consciousness, Mathematics, and Theater Arts. In addition, the Council prepared external review report responses for closure meeting discussions for Art, Computational Media, Philosophy, and Psychology. Council reviewed mid-cycle reports and made recommendations on the length of review cycle for Astronomy & Astrophysics, Earth & Planetary Sciences, History, and Music. Graduate Council additionally reviewed an external review deferral request for Anthropology.

#### *Program Statement Changes*

Council reviewed graduate program statement changes for the 2020-21 catalog copy. Late submissions of program statements from programs and/or the divisions continued to be an issue this year, and Graduate Council will be working with the Registrar's Office proactively as they communicate deadlines to departments and programs to address this issue for 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 thirteen GSI requests from the Astronomy & Astrophysics, Earth and Planetary Sciences, Ecology and Evolutionary Biology, Economics, Education, Film and Digital Media, History of Consciousness, Music, Physics, and Statistics departments.

### *Fellowship Review*

A Graduate Council subcommittee advised the acting 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:

- Request to Waive Bachelor's Degree Requirement for Admission to Theater Arts M.A. (September 2019)
- Chair's Response (with CEP Chair): Cancelled Days of Instruction (mitigating impacts of power outages on courses and research) (October 2019)
- Two FTE Transfer Requests (November 2019)
- Chancellor's Request for Feedback: CDO/ODEI Restructuring (November 2019)
- Student Success Task Force Report (November 2019)
- Review of Draft Changes to Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change (APU) (November 2019)
- UCSC Forward Funding Model for Faculty Partner Hires (November 2019, May 2020)
- Communication Regarding Graduate Council Input into CCGA Requirements on Contributions to Diversity in Graduate Degree Proposals (December 2019)
- UCSC Draft Internationalization Goals and Action Plan (January 2020)
- Chair Response (with CEP and CPB Chairs): Teaching Assistants in Graduate Courses (December 2019)
- UCSC Proposed Revised Guidelines for Development of New Self-Supporting Graduate Professional Degree Program (SSGPDPs) (March 2020)
- Proposed Temporary Amendment to Economics Graduate Programs for Fall 2020 (March 2020)
- Proposed Temporary Amendment to Computational Media M.S., Serious Games M.S., Games & Playable Media M.S. for Fall 2020 (May 2020)
- Economics Request to Implement Option for Deferred Enrollment (APEF M.S.) (June 2020)
- CCI Proposed Changes to GSI Criteria for Undergraduate Courses (June 2020)
- Review of Appeal of Academic Judgment (July 2020)
- Review of Request from Computational Media Department to Waive Game 280A Course Requirement for Serious Games MS, fall 2020 (August 2020)

- Review of iVPDGS Request to use TOEFL iBT Home Edition speaking score for TAship qualification and admissions as a temporary substitute for standard TOEFL (August 2020)

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 2019-20. The Council guest policy is agreed to by Council members at the start of each academic year.

**Continuing Issues for GC in 2020-21:**

- Graduate program monitoring— Feminist Studies Ph.D. program, Digital Arts and New Media M.F.A. program
- Strengthening Graduate Education —the Council will continue to actively participate in and monitor campus planning for supporting and strengthening graduate education (including graduate student funding and size and shape of the graduate enterprise), and graduate student well-being.
- Collaborate with interim VPDGS on issues related to graduate education, both pro-active and routine
- Continue review and analysis of Master’s Incentive Program (MIP) funding
- Collaborate with Curriculum Management Project team, jointly with CEP, during third year of implementation of SmartCatalog
- Consider emerging CCGA and systemwide consensus with respect to self-supporting graduate programs and dual degree pathways
- Follow-up with CP/EVC regarding analysis of racial bias in the student conduct process
- Continue participating in/monitoring efforts of Joint Senate-Administration Working Group on Graduate Education (JWG), including Council review of report and findings, as well as collaboration with administration as recommendations are implemented in the next year
- Continue to monitor the efforts of the Cost of Attendance Working Group, including Council review of final report.

Respectfully submitted,

**GRADUATE COUNCIL**

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August 31, 2020

To: Academic Senate, Santa Cruz Division

The Academic Literacy Curriculum (ALC) was introduced at UC Santa Cruz in the Fall of 2018. The components are

- A restructured College Core course (called College 1, with “College” replaced with the appropriate course code for each of the ten colleges). This is a one-quarter 5-credit course in each college. The multiple versions for students with different levels of writing skills have been eliminated. The course teaches critical reading and critical thinking skills, and is a prerequisite to the Writing courses in the ALC, enabling them to be taught more efficiently. However, College 1 does not teach writing.
- A course, WRIT 1, that is for students who enter UC Santa Cruz without satisfying the Entry Level Writing Requirement (ELWR). An alternative version of this course, WRIT 1E, is aimed at multilingual students. College 1 is a prerequisite to both these courses.
- A course, WRIT 2, that is taken by all students after satisfying ELWR and completing College 1. An alternative honors version of this course, WRIT 2H, caters to students who wish to go beyond the level of WRIT 2 and are (by various measures) considered suitable for the course.
- A “Multilingual Curriculum,” consisting of WRIT 25 and WRIT 26, for multilingual students who need extra training in academic reading, writing, listening, and speaking. These students are asked to start in WRIT 25 or WRIT 26, depending on their level, after which they take WRIT 1 or 1E. College 1 is not a prerequisite for these courses. The Multilingual Curriculum existed before the ALC, but it was limited to international students with F1 Visa status; it is now open to all students for whom it is appropriate.

With such a major restructuring of a foundational part of the curriculum, it is important to see what the outcomes are, and to make adjustments where needed. The Committee on Educational Policy (CEP) has reviewed the assessment studies for the Academic Literacy Curriculum (ALC), specifically for College 1 (fall 2019) and Writing Program courses (fall 2018-fall 2019). These studies were conducted by the Institutional Research and Academic Policy Studies (IRAPS) unit. The following report

- Summarizes the major findings from the assessment studies and offers recommendations for the Colleges and the Writing Program.
- Discusses the special provision endorsed by CEP for the winter-term core course STEV 2 at Stevenson College.
- Describes the change from 2020 in how students satisfy ELWR before coming to UC Santa Cruz; this change was triggered by the challenges associated with the pandemic, but it is possible that the change will not be temporary.
- Touches upon the budgetary challenge to provide adequate funding for the ALC.

### **College 1 Assessment Findings**

Based on its 2018 assessment of College 1 (Academic Literacy and Ethos), the Colleges revised the College 1 curriculum for fall 2019 to better serve international students. In this effort, the Colleges implemented new specialized programs, including a multilingual tutoring program at College Nine and College Ten and the use of “Class Captains” at Crown College. IRAPS generated two assessment studies for College 1, one that measured the success of these programs and one that compared fall 2018 international students’ academic proficiencies in College 1 with the fall 2019 cohort.

Overall, the studies show that (1) the Colleges’ specialized programs positively benefit international students; (2) international students in fall 2019 developed higher proficiencies in understanding the relationship between genre and context than the fall 2018 cohort; and (3) international students in fall 2019 developed slightly higher proficiencies in analyzing texts to identify main ideas and use a range of strategies

to understand texts. Further, the studies indicate that the fall 2019 cohort had an increase in an academic sense of belonging to their college as a result of College 1, as well as a higher frequency of interaction with course faculty and course assistants.

With respect to (1), students who participated in Crown's Class Captain program and College Nine and College Ten's multilingual tutoring program experienced more success in applying reading strategies to difficult readings, felt more connected with the course readings, and were more engaged in College 1 overall. These students were also more likely to make use of campus academic resources and to communicate with their peers, faculty, and course assistants. Thus, these programs positively impacted students' learning experiences in College 1.

With respect to (2) and (3), while international students improved in all criteria assessed, students' rubric results demonstrated language-based differences for both the fall 2018 and fall 2019 cohorts. For instance, late bilingual students (those who started learning English after the age of five), demonstrated lower proficiencies across all criteria than their peers who learned English and another language before the age of five. Additionally, students who placed into the Writing Program's Multilingual Curriculum (WRIT 25 or WRIT 26) demonstrated some improvement in analyzing texts and understanding the relationship between genre and context, and fewer students generally or fully met expectations for use of reading strategies. These findings indicate the need for additional language support for late bilingual students overall and for students who place into the Multilingual Curriculum.

### ***Recommendations***

1. Overall, international students' improved experiences in College 1 in fall 2019 suggest that the curricular interventions at Crown College, College Nine, and College Ten are serving students well. These programs should be continued and expanded to other colleges to the extent that there is student demand.
2. To continue supporting international students' language development, Global Engagement should work with the Department of Languages and Applied Linguistics to develop an online language course appropriate for students who are late learners of English, to be offered in the summer, ahead of the academic year. Such a course would help these students develop the speaking, listening, and reading skills needed to better acclimate to the demands of College 1.

### **Writing Program Assessment Findings**

The Writing Program collaborated with IRAPS to assess the fall 2018 cohort of ALC students and evaluated students' proficiencies in four courses: WRIT 25, Writing about Place, and WRIT 26, Writing about Language (courses that comprise the Multilingual Curriculum); WRIT 1, Introduction to Composition; and WRIT 2, Rhetoric and Inquiry. Each of these assessment studies focused on the course learning outcomes and evaluated students' performance across subpopulations, with attention to equity. The overall target for students who met or exceeded expectations in any given criteria was 75%.

In the **Multilingual Curriculum** (MLC), students were assessed for all learning outcomes, and most students met or exceeded expectations, with the exception of one criterion, "use of language." Only 73% of students who began their ALC pathway in WRIT 25 met or exceeded expectations in this criterion, indicating that these students need more time to develop their use of language and that they may benefit from additional language support.

In **WRIT 1**, students were assessed specifically in their cognitive and metacognitive abilities, and a majority of students met the 75% threshold, with the exception of one criterion, "developing a strengths plan," where

only 71% of students met or exceeded expectations. Of note in this study were the following findings: (1) With respect to metacognition, MLC students outperformed their peers, which suggests that the MLC effectively introduced students to these important skills and that they were able to build upon them in WRIT 1. Additionally, across the criteria, MLC students who took WRIT 1 demonstrated similar proficiencies to their non-MLC peers, indicating that WRIT 25 and WRIT 26 adequately prepare MLC students for their work in WRIT 1. (2) Winter quarter WRIT 1 students outperformed spring quarter WRIT 1 students in all criteria except “developing a strengths plan. The lower results in spring reflect students who repeated WRIT 1 or were not enrolled in the MLC. (3) 81-89% of students with AWPE scores of 6 (highest level of preparation) demonstrated developing/advanced proficiency across the criteria, compared with 65-69% of students with scores of 2-5, 2-5E, and 6E.

The Writing Program also offers WRIT 1E, designed for heritage speakers and multilingual students (international or domestic). Overall, students in WRIT 1 and 1E displayed similar proficiencies, but no analysis was conducted to determine if the students the course was designed for are better served by WRIT 1 or WRIT 1E. Thus, future assessments may focus on this aspect.

In **WRIT 2**, students’ proficiencies in information literacy were assessed. Overall, a majority of students met or exceeded expectations (81-88%). Additionally, in a survey-based assessment, most students indicated improvement in information literacy over the course of the quarter.

The assessment results reveal differences in student performances based on curricular pathways and student preparation levels. For instance, ELWR-Satisfied students performed consistently better across all categories than ELWR-Required students who took WRIT 1 before WRIT 2 and ELWR-Required students who took WRIT 25 and/or WRIT 26 before WRIT 2. These differences were most notable in two criteria: (1) in “appropriately cites source material,” only 75% of students who took WRIT 1 and 67% of MLC students met or exceeded expectations, compared with 84% of ELWR-Satisfied students; and (2) in “appropriately attributes source material,” only 71% of MLC students met or exceeded expectations, compared with 89% of ELWR-Satisfied students and 83% of WRIT 1 students. As a whole, however, MLC students performed similarly demonstrated similar competencies as their ELWR-Required peers who took WRIT 1 before WRIT 2.

The overall differences in student performance based on curricular pathways in the ALC indicates that information literacy outcomes should be articulated and scaffolded in College1 and WRIT 1 to better prepare students for WRIT 2. Specifically, this includes the explicit teaching of digital research skills and the integration of library resources into class assignments and instruction.

WRIT 2 students were also evaluated according to curricula: legacy students who took WRIT 2 in their second year of enrollment and were part of the old writing curriculum and ALC students who took WRIT 2 in their first year of enrollment. Overall, there were statistically significant differences in ALC students’ performance vs. non-ALC students’ performance, indicating that the ALC better prepared students for WRIT 2. However, with respect to incoming preparation levels, the ALC provided only slightly better support for ELWR-Required students, compared with the old curriculum.

With respect to WRIT 2 Honors, no assessment data was provided.

### ***Recommendations***

1. WRIT 1E and WRIT 2H should be assessed in the future to determine how well these courses serve students.

2. Similar to the College 1 recommendation, international students, especially those in the MLC, may benefit from additional instruction in the summer ahead of the academic year. Such a course may better prepare students for the MLC, WRIT 1, and WRIT 2.
3. There is concern about the Writing Program's ability to offer enough seats of each course each term. While the program has bolstered its summer course offerings of WRIT 2 (10 sections) and WRIT 1 (1 section), the program needs to investigate potential bottlenecks for students who need to complete the C Requirement by the start of their seventh quarter.

For instance, in the 2020-2021 AY, there are roughly 25 students who will start their seventh quarter of enrollment without having met the C Requirement; while a blanket petition has been submitted to CCI to resolve this issue, this number is compounded by an additional 2100 returning students who will need WRIT 2 in the 2020-2021 AY (in addition to the new cohort of ELWR-Satisfied ALC students in 2020-2021 AY). As a result, the Writing Program needs to hire additional lecturers to provide enough seats in WRIT 2, specifically, to ensure timely progress to degree.

### **Overall Assessment of the ALC**

The ALC is a joint program administered by two academic units (the Colleges and the Writing Program), each of which oversee specific courses in the curriculum (College 1 for the Colleges and Writing 25, 26, 1, and 2 for the Writing Program) and provides assessment of those courses. Thus, formal evaluation of the ALC has been conducted on a course-by-course basis, rather than holistically across all courses.

However, IRAPS conducted a correlation analysis of the learning outcomes in College 1, WRIT 25, WRIT 26, WRIT 1/1E, and WRIT 2, focusing on metacognition and genre awareness. This analysis demonstrated the following: (1) For MLC students who took College 1 and then moved to WRIT 1 and WRIT 2 respectively, most students continually met or exceeded expectations as they advanced in the curriculum; (2) Most MLC students who underperformed in College 1 and the MLC improved their proficiencies in WRIT 1; (3) Most ELWR-Satisfied students who underperformed in College 1 met or exceeded expectations in WRIT 2; and (4) entering students who were most prepared in College 1 and exceeded expectations tended to exceed expectations in WRIT 2.

These results show that students do appear to improve their proficiencies over the course of the ALC, at least in some criteria.

### ***Recommendations***

In the future, the Colleges and the Writing Program should coordinate their assessment efforts to better understand student migration through the ALC and the overall proficiencies students develop as a result of the ALC. Such assessment efforts may paint a better picture of the extent to which the ALC prepares students for their disciplinary communication courses.

### **Stevenson College Core Course**

In 2015-16, when CEP was specifying the conditions that the proposals from the colleges and Writing Program for a revised curriculum would have to satisfy, it stated that the college core courses would all be limited to one term. Colleges had a variety of different systems at that point, as detailed in [this](#) report. With the exception of Stevenson College, these were all aimed at students who had not satisfied ELWR prior to matriculating at UCSC. Stevenson College, on the other hand, had had a two-quarter core course requirement for all its students for many years.

When the ALC was proposed in 2017, it had a one-quarter College 1 core course for all colleges. It was then approved by CEP and presented to the Academic Senate, where the enabling legislation was approved. With the exception of Stevenson College, all the variants of the college core course — which were aimed at ELWR-required students — were discontinued. However, the second quarter of the Stevenson College core course, renumbered as STEV 2, remained as a college requirement.

This situation was reviewed by CEP in 2019. Following discussion with the college, CEP asked IRAPS to survey Stevenson College alumni about their two-quarter core course. The results were available to CEP in early 2020. Although the response rate was not very high, the key conclusions of the survey were that

- Nearly 90% of the respondents said that the core course was essential or helpful for their academic growth.
- Approximately one-third of respondents said that Core influenced their choice of major, and approximately one quarter of respondents said that it influenced their choice of career.
- Approximately 80% of the respondents said that a multi-term Core was essential or helpful for them to gain academic skills and social connections.

Keeping these in mind, CEP decided to approve the continuation of STEV 2 as a college requirement at Stevenson College, with the following provisions:

- Stevenson College students in the Multilingual Curriculum, i.e. students who place into WRIT 25 or WRIT 26 upon matriculation at UC Santa Cruz, would be exempt from being required to take STEV 2.
- On the Stevenson College website describing the core course, and in the program statement for the college in the General Catalog, students in major programs with a large number of requirements would be advised to consider carefully if a second core course would fit their schedule.
- Entering frosh would only be placed in Stevenson College if they listed it as their first or second preference. That is, a student who did not list any college, or listed Stevenson College as their third preference (or lower), would not be placed in Stevenson College.

These were agreed to by the college and the Vice Provost and Dean of Undergraduate Education.

### **Changes to Writing Course Placement for 2020-2021**

On March 12, 2020, the University Committee on Preparatory Education (UCOPE) sent a memo to all UCs announcing that the in-person Analytical Writing Placement Exam (AWPE) would not be offered. Because this exam, in conjunction with other standardized tests, is used to determine whether or not incoming students have met the system-wide Entry Level Writing Requirement (ELWR), all UC campuses were asked to develop localized placement processes to serve students who would have otherwise taken the AWPE.<sup>1</sup> For UCSC, the total number of students who would typically take the AWPE for placement into developmentally appropriate writing courses is ~1900.

After consulting with colleagues at UCD, UCSB, and UCI — all of whom had started developing localized placement processes modeled on directed self-placement — UCSC designed and implemented Directed Self-Placement (DSP). DSP, as a whole, is a placement process that guides students in selecting the course that is right for them. Research shows that it empowers students, and that with support, students typically do pick the courses that are best for them. There is also evidence that students are more invested in courses when they participate in the decision-making process (Gere, et al. 2010; Toth and Aull 2013). Finally, DSP provides an alternative to placing students in writing courses using standardized testing and test scores,

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<sup>1</sup> Subsequent to the issuance of this memo, an online version of the AWPE was developed and administered in July 2020, and all students who intended to SIR at a UC were invited--not required--to take this exam for placement purposes.

which do not consistently reflect writing ability. Given that the ACT and SAT will no longer be required for admission to a UC, this model seemed most appropriate for our local campus context.

Roughly 4000 students completed DSP in Course 2 of Slug Orientation (July 6-July 16). They were provided a survey made up of three main parts: Introduction, survey, and recommendation:

- **Introduction:** Students were offered information about what DSP is, why the Writing Program uses it, the steps of the process, and basic Writing Program course information.
- **Survey:** Students were asked to review authentic Writing Program course materials and answer questions about their readiness for and needs around that material. This portion was not a writing exam, but students' responses were scored and mapped onto the student learning outcomes of Writing Program courses.
- **Recommendation:** Within a few weeks of completing the survey, students received a course recommendation, along with detailed information about the day-to-day expectations and support structures of each course. Students weighed this information and responded with their course selection. Multilingual students who placed themselves higher than the recommended course and student who selected a course more than one level higher than their placement recommendation were offered advising from Writing Program faculty to help inform their decisions.

In this model, ELWR satisfaction is determined by the course student self-select, based on their placement recommendation. For ELWR-Satisfied students who did not complete DSP, we accepted standardized test scores and credits (e.g., SAT, IB, ACT, AP credit, community college credit) or online AWPE scores (if applicable) for placement.

Results from this process--not taking into account student deferrals, summer melt, and other unknown enrollment factors--were as follows:

Course	Students
Writing 25	1%
Writing 26	3%
Writing 1E	3%
Writing 1	59%
Writing 2	34%
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Total	100%

These results show that 34% of students will move from College 1 directly into WRIT 2, a significantly lower percentage than in previous years (for reference, roughly 65% of students place into WRIT 2 after

College 1). The Writing Program Chair is collaborating with the Humanities Dean on curriculum planning for the 2020-2021 academic year in light of these placement results.

### ***Recommendations***

Since these results were not available until August, CEP has not discussed them or come up with recommendations. The incoming committee, which will also have the responsibilities hitherto assigned to the Committee on Preparatory Education, should look into this early in Fall 2020.

### **Budgetary Concerns**

When the Academic Literacy Curriculum was reviewed by the Academic Senate, it came with a statement from the Administration that it was within the resource envelope to which the Administration had committed. In Spring 2019, the Humanities Division made the case that they were not adequately funded for the Writing Program courses in the ALC. Both CEP and the Committee on Planning and Budget were consulted on this, after which it has been pending with the Administration. (One-time supplementary funding was provided to the Humanities Division in 2019-20.) The appropriate funding for the Writing Program part of the ALC should be determined as soon as possible, and provided on a permanent basis to the Humanities Division. This is especially important in the light of the big increase in students placing into Writing 1 under Directed Self Placement, discussed in the previous section of this report. CEP recommends that the funding for these courses be based on the actual number of students enrolled in these courses, similar to the way College 1 is funded, instead, of basing it on the number of students matriculating at UCSC each year and using formulae that predate the ALC.

Respectfully submitted;

COMMITTEE ON EDUCATIONAL POLICY

Douglas Bonnett

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August 31, 2020

**COMMITTEE ON TEACHING**

Update on Students Experiences of Teaching Surveys (SETs)

To: Academic Senate, Santa Cruz Division

COT would like to provide an update through a slide presentation on Students Experiences of Teaching Surveys:

- Goals
- Reminder of recent changes to SETs
- Changes in platform from WDYT (What Do You Think) to rolling out Blue
- SETs in personnel review in collaboration with the Committee on Personnel (CAP)
- Moving forward

Respectfully submitted;  
Committee on Teaching  
Frank Bäuerle  
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November 6, 2020

# Committee on Teaching (COT) Update

## *Students Experiences of Teaching Surveys (SETs)*

### **Ongoing Goal of COT (with CITL):**

Encouraging a more “developmental” campus culture regarding teaching and teaching evaluation:

- teaching as a developing skill
- recognition of efforts toward improvement, innovation
- focus on self-assessment and adjustment, not just evaluation

### **Current Challenges/Opportunities:**

Building on our recent experiences in the rapid shift to remote teaching

- learning ways to assess how it’s going for students, adjust as needed
- documenting efforts, lessons learned, successes

# Committee on Teaching (COT) Update

## *Students Experiences of Teaching Surveys (SETs)*

### **RECENT CHANGES**

#### 1. COT revised SETs (collaborating with CITL & IRAPS):

- Move from only evaluation to also formative/developmental
- Name changed from “student evaluations” to Student Experience of Teaching Surveys (SETs)
- Designed new items - instead of subjective evaluation, focus on specific aspects of students’ experiences
- Responding to well-documented gender and ethnic bias, removed “overall” evaluation items
- Revised SETs slightly and temporarily to reflect remote learning environment; potentially revise again permanently to better capture both remote and face-to-face

#### 1. Changing platform for SETs – problems with WDYT; now rolling out BLUE:

- Providing more opportunities for faculty to improve their own teaching with easily designed custom items, and other types of analysis only to be seen by instructor
- Flexibility in auto-generating teaching tables; reducing staff workload
- Roll out will be gradual - more from CITL and COT later this year

AS/SCP/1990 - 3

# Committee on Teaching (COT) Update

## *Students Experiences of Teaching Surveys (SETs)*

3. SETs in Personnel review - in collaboration with CAP:
  - Removing biased “overall effectiveness” item meant changing practice re: “teaching tables”
  - Teaching tables for personnel review this year use the item: “The instructor communicated clearly and explained concepts effectively”
  - Goal for next year and beyond: CAP in conjunction with COT, will decide on a set of items to include in tables for personnel reviews
  - Continuing UCSC practices, we avoid mean scores and comparisons across instructors, looking instead at patterns of students’ responses in the context of specific classes

# Committee on Teaching (COT) Update

## *Students Experiences of Teaching Surveys (SETs)*

### **MOVING FORWARD**

- Beyond SETs -
  - Aligning with UC policy requiring at least two forms of evidence of teaching effectiveness (and EVC suggestion of 3) --
    - CITL has created a [departmental workshop](#) and [published resources](#) on best practices for the use of these “other measures”
    - Other sources of evidence can be evaluation of one’s own teaching practices in personal statements, discussion of graduate mentoring, inclusion of syllabi in the file, peer review of teaching
- Concerns about low response rates –
  - Working with CITL on best practices to increase rates (e.g., students respond well to the idea that their feedback will help future students)
  - COT is planning to collaborate with SUA to better message to students importance and purpose of SETs