Meeting Call for Regular Meeting of the Santa Cruz Division
Wednesday, December 1, 2021 at 2:30 p.m.

ZOOM LINK: https://ucsc.zoom.us/j/99466441090?pwd=ZmFnRXFkekZJYUt6NlZydHp4NjlGQT09

ORDER OF BUSINESS

1. Approval of Draft Minutes
    a. Draft Minutes of May 19, 2021 (AS/SCM/329)

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:

5. Reports of Special Committees (none)

6. Reports of Standing Committees

7. Report of the Student Union Assembly Chair

8. Report of the Graduate Student Association President

9. Petitions of Students (none)

10. Unfinished Business (none)

11. University and Faculty Welfare (none)

12. New Business

11/23/2021

Academic Senate
Santa Cruz Division

Dear Colleagues,

I write to invite you to the Fall Senate meeting on Wednesday, December 1, 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 CP/EVC will offer remarks, followed by Q&A. We also are expecting remarks from the Student Union Assembly and the Graduate Student Assembly.

I would like to direct you to two important reviews which the Senate has recently submitted consultation responses to:
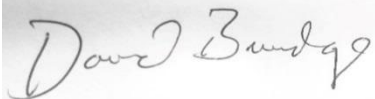
The first is a review of a proposed campus Pilot Support Structures for Free Speech and Protest, the Senate's comments on which can be viewed [here](#).

Additionally, we have completed the [final stage of review](#) of the Online Programs Initiative, which would pave the way for fully online UC Santa Cruz academic programs, though each new program would still undergo the normal approval process (including Senate approval) of any academic program. Our review was developed in the context of the important Systemwide Senate Online Undergraduate Degree Task Force [Report](#) from July 14th, 2020.

These topics may arise as points of discussion during the meeting, though, as you will see, they are not formally planned agenda items. I encourage members of the Senate to raise comments if desired during relevant Q&A sessions or under New Business before the close of the meeting.

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 continuing challenges of the uncertain and evolving context we find ourselves teaching, researching and working in.

Sincerely,
David Brundage, Chair

Academic Senate
Santa Cruz, Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 19, 2021 Senate Meeting

The draft minutes from the May 19, 2021 Senate meeting were distributed via email on November 12th and will be presented for approval at the Senate Meeting on December 1, 2021. 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 30, 2021.** They should be addressed to the Secretary, c/o Academic Senate Office, via email to senate@ucsc.edu.

                                   Grant McGuire, Secretary
                                   Academic Senate
                                   Santa Cruz Division

COMMITTEE ON ACADEMIC FREEDOM
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Academic Freedom (CAF) monitors conditions. It assesses matters that may affect academic freedom at UCSC, responding to individual faculty concerns and reporting emerging issues to the academic senate. The Chair of CAF represents the Santa Cruz division to participate in the University Committee on Academic Freedom (UCAF), which met five times by videoconference in Academic Year 2020-2021 to conduct business concerning its duties as outlined in Senate Bylaw 130.

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

COMMITTEE ISSUES

I.   Zoom censorship and pre-enforcement lawsuit

This year CAF deliberated on this issue. As part of the UC Academic Senate, our primary concern is that zoom censorship should never occur in the UC system. The troubling precedent at San Francisco State University shows that Zoom would not hesitate to exercise its technological discretion to serve powerful interest groups. The curtailment of corporate power is, of course, not new to the UC system. When Chair Hu served as CAFA chair and BOARS representative, we had voted to stop legacy admission and carefully reviewed the requests of many assessment service corporations. UCOP should have some procedures for similar precautionary measures. We have also learned that Zoom recently appointed the former UC president Janet Napolitano to its Board of Directors. We are uncertain what sorts of potential impacts on academic freedom during the remainder of the pandemic months, not to mention the post-pandemic future.

CAF would like to see academic freedom clauses added to UC's licensing agreements with Zoom if they are not already in place. CAF would like to access it if there is already some academic freedom language in UC's licensing agreement with Zoom. If there is no such academic freedom language in UC's licensing agreement with Zoom, CAF would like to urge the campus' Administration to help initiate the process to add the language to the licensing agreement.

At the beginning of the academic year, the University Committee on Academic Freedom (UCAF) learned that the video communication platform Zoom had canceled academic discussions at other institutions after receiving complaints and finding violations of their terms of service. The committee's primary concern was the dangers evident in UC's contract with Zoom because the University routinely violates Zoom's terms and standards in the course of regular instruction, research, and extracurricular activities and because under the agreement, the power to decide what content to allow lies with Zoom, not the University. Following consultation with Information Technology and Academic Affairs at the Office of the President, UCAF submitted a memo to Academic Council with three recommendations which included negotiating with Zoom for contractual terms that protect the academic freedom of UC faculty and other teachers and researchers. The memo was endorsed by Council in January and transmitted to Michael Brown, Provost and Executive Vice President for Academic Affairs. Provost Brown subsequently reported that the Office

of the President and the UCAF Chair were actively negotiating with Zoom and that a revised Zoom policy was under review. On April 13th, Zoom announced a new content moderation policy for higher education users that—with limited exceptions—gives content moderation rights to universities and, thereby, protects academic freedom.

UCAF welcomed the news of Zoom's policy for higher education users and the protections it afforded for academic freedom. However, the committee recognized that Zoom had reserved the right to cancel any event that the company determined might entail a "legal or regulatory risk" to Zoom. Specifically, this company, along with other private internet platforms, refused to host a seminar sponsored by faculty at UC Merced and the UC Humanities Research Institute which featured a speaker associated with a US-designated foreign terrorist organization, out of concern that the events could violate federal law by providing "material support" to a terrorist organization in violation of 18 U.S.C. § 2339B. In light of uncertainty about whether the statute applies to academic discussions like those canceled and about the impact of the statute on academic freedom, UCAF asked Council to call upon UC to file a pre-enforcement lawsuit, or to take similarly urgent steps, to clarify the reach of the federal material support statute. At its April meeting, Council unanimously endorsed the request from UCAF asking the University to seek clarification from the Department of Justice on the reach of the "material support" statute or to take other similarly urgent legal steps to protect academic freedom.

II.   Academic Freedom For The Student Conduct Task Force

During the Winter quarter, the Committee discussed the creation of the Student Conduct Review Task Force. CAF's concern was that the phrase "academic freedom" did not appear in the Task Force charge letter. CAF believes that academic freedom for graduate students is a critical issue. Therefore, in correspondence to David Brundage, chair of the Santa Cruz Division of the Academic Senate, dated December 3, 2020, we recommended that when problems of academic freedom arise during disciplinary actions on graduate students, appropriate measures should be taken to consult with the CAF to evaluate the seriousness of the violation(s). We strongly urged that the campus should develop a process for adjudicating the academic freedom issues as part of the final recommendation from the Student Conduct Review Task Force. Based upon the Bylaws and Standing Orders of the Regents, the Academic Senate is responsible for interpreting and applying the professional standards that define academic freedom of teaching, research, scholarship, and the public dissemination of knowledge. When academic appointees with non-faculty titles, in this case, our graduate students, contribute to or support the University's fundamental mission, they must be free to pursue this work according to applicable, acknowledged, national, professional standards (paraphrased from the Academic Personnel Manual section 10 Appendix B)[1]. The Student Conduct Task Force, appointed by the Chancellor, shall feel free to report their findings and policy recommendations. However, the Academic Senate should be responsible for adjudicating if our graduate students' work or pursuit would apply to an external and existing professional standard. By implication, the Academic Senate should be judging if the graduate students pursued their works within the bounds of academic freedom. CAF will be happy to consider such arguments should they be made during the graduate student conduct process. We hope this can be memorialized in the formal procedures.

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[1] https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-010.pdf: "While there is substantial variation in students' competence to engage in scholarly inquiry based on their level in the educational process, the faculty has the major responsibility to establish conditions that protect and encourage all students in their learning, teaching, and research activities. Such conditions include, for example: free inquiry and exchange of ideas; the right to critically examine, present, and discuss controversial material relevant to a course of instruction; enjoyment of constitutionally protected freedom of expression; and the right to be judged by faculty in accordance with fair procedures solely on the basis of the students' academic performance and conduct."

While we applauded the meticulous work charged to the Student Conduct Task Force, we reiterated that, according to APM, it is the Academic Senate that should adjudicate the scope of academic freedom for our graduate students. It was not the Committee's intention to suggest that the Senate intervene or disrupt the ongoing work of the Student Conduct Task Force. Instead, the Committee offered that the Senate could proceed independently from the Task Force to adjudicate any decisions on the applicability of academic freedom protections that may be raised during the prospective discipline of our graduate (and undergraduate) students.

III.   Faculty Self-statement On Diversity And Credentials In The Promotion Of Academic Freedom

In March 2020, a memo[2] from UCAF to Council about Diversity, Equity, and Inclusion (DEI) statements was forwarded to the Committee on Affirmative Action, Diversity, and Equity (UCAADE), which did not respond. This March, the committee submitted a revised memo on DEI statements to the Council calling attention to faculty concerns about some campuses applying the 2019 guidelines for these statements inappropriately as a screening tool or in other ways that suggest DEI activities are a requirement or a litmus test of belief for faculty. UCAF's new memo along with a response from UCAADE was discussed by Council in April, and UCAADE proposed working with UCAF on a revised set of guidelines on DEI statements. The revised guidelines were endorsed by Council in June and will be transmitted to the divisions following consultation with the Systemwide Equal Opportunity/Affirmative Action Administrators Group.

CAF discussed UCAF's letter and fully supported UCAF's guidelines on DEI statements.

IV.   Data ownership plan and potential curtailment of academic freedom

CAF participated in the systemwide review of the Data ownership plan draft and the potential danger to academic freedom. CAF concluded that the Data ownership plan was a serious incursion to academic integrity and freedom and provided a statement on the issue. UCAF also objected to the ownership plan along a similar line.

V.   Divisional and Systemwide Reviews

The following are issues on which CAF provided comment:
- Bay Tree Bookstore
- Systemwide Review of the Innovative Learning Technology Initiative Assessment Report and Recommendations for the Future
- Committee on Educational Policy (CEP) Policy on UCSC Undergraduate Online and Hybrid Courses — DRAFT
- Systemwide Review of Universitywide Police Policies and Administrative Procedures
- Systemwide Review of Proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program

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[2] The Use of Contributions to Diversity, Equity, and Inclusion (DEI) Statements for Academic Positions at the University of California
https://senate.universityofcalifornia.edu/_files/reports/rm-mb-divchairs-use-of-dei-statements.pdf

VI. Academic Freedom and the Return of In-person Instruction

Chair Hu participated in the UCAF discussion on the concern of academic freedom and the return of in-person instruction. In the course of the pandemic, UCAF has twice written to the Academic Council to express a strong concern that steps necessitated in an emergency situation should not be treated as precedent afterward, especially to the extent that they are inconsistent with academic freedom. UCAF then issued a statement and emphasized that the responsibility for determining the proper mode of instruction in individual classes lies primarily with the faculty.

VII. Support for Animal Research at the University of California

Chair Hu brought this issue to the attention of the CAF, which unanimously supported UCAF's position for animal research at the University of California[3]. At its March 2021 meeting, the Academic Council endorsed the letter from both the University Committee on Research Policy (UCORP) and the University Committee on Academic Freedom (UCAF). The joined letter called on the University to defend faculty with stronger expressions of public support. The letter emphasized that the harassment can affect faculty mental health, personal safety, and also academic freedom.

VII. Carry Forward

1. **Follow-up with Chancellor and CEVC regarding the Student Conduct Taskforce**

Respectfully submitted,

COMMITTEE ON ACADEMIC FREEDOM

Anjali Arondekar   Nolan Higdon, NSTF Representative
Angus Forbes   Alessia Cachett, GSA Representative
Minghui Hu, Chair   Ross Piscitello, SUA Representative

August 31, 2021

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[3] See UCAF to Academic Council Re: Statement on Animal Researchers, March 5, 2021 at
https://senate.universityofcalifornia.edu/_files/reports/mg-md-support-for-animial-researchers.pdf

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
Annual Report 2020-21

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 admissions cycle and adapting to changing circumstances in shaping the class entering in fall 2021 and planning ahead for new modes of application evaluation for the 2022 cohort. As always, we worked closely with Undergraduate Education (UE), Enrollment Management (EM), and Undergraduate Admissions (UA), whose energy and creativity provided us with both information and options for setting policy.

I. WORK OF CAFA IN 2020-21

A. Committee Foci

1. Admissions in the time of COVID-19

The following changes were approved for systemwide use by the Regents for this cycle:

- Suspending the letter grade requirement for A-G courses completed in winter/spring/summer 2020 for all students, including UC's most recently admitted freshmen.
- Suspending the standardized test requirement for students applying for fall 2021 freshman admission.
- No rescission of student admissions offers that result from students or schools missing official final transcript deadlines, and student retention of admission status through the first day of class until official documents are received by campuses.
- For transfer students, temporarily suspending the cap on the number of transferable units with Pass/No Pass grading applied toward the minimum 60 semester/90 quarter units required for junior standing.

CAFA approved a number of campus-specific policies:

- CAFA's instructions to readers reviewing applications for the 2021 entering frosh class included directions to overlook anomalous low grades in spring 2020 for otherwise strong students in deriving their holistic review score.
- 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, CAFA voted on March 3 on a policy allowing somewhat more failed classes in the senior year (for frosh admits) than in ordinary years before cancellation is triggered. Similar rules were established for transfer students, although applicants in departments with required major preparation classes had to complete them successfully before enrolling at UC unless a specific waiver was approved by their department. The details are contained in correspondence from June 9.
- CAFA also agreed to continue the policy, begun for the 2020 cohort, of allowing students accepted for fall 2021 to defer enrollment for up to a year due to health and financial problems specifically related to the pandemic; these deferrals are usually restricted to

reasons of health, military service, or religious/cultural reasons. For this cycle, students deferring would not be allowed to take college credits elsewhere without losing their status as frosh applicants.

2. Comprehensive Review and selection of frosh applicants

The instructions to readers for readers for the 2020-21 cycle were approved by the prior CAFA in spring 2020, and are discussed in the prior annual report, the most important change being the absence of standardized test scores in the scoring. In the selection process, most of the improvements from the prior cycle were retained (see the prior annual report), except that the chosen student success indicator, which had been a predicted first-year Grade Point Average (GPA) in the past and had been, instead, a probability of return to the sophomore year for the 2019-20 cycle, reverted to a predicted first-year GPA, but one that this time used detailed information from the transcript and a machine-learning algorithm rather than the simple linear combination of GPA and standardized test scores used in the 2018-19 cycle and earlier.

In the spring, CAFA approved a major change in the way comprehensive review will be done for the 2021-22 cycle. Instead of a single holistic review score, readers will provide 8 scores that can be used during the selection phase. First, on a scale of 1 (best) to 5 (worse), an "achievement within context" (AWC) that considers the GPA, number of A-G courses, number of honors courses, and rigor of the proposed senior year coursework in the context of the opportunities available in the student's school, and the performance of other applicants to UC from the school. Second, a set of 7 scores on "noncognitive" factors on a scale of 1 (exceptional), 2 (good to excellent), and 3 (no evidence of strength presented).

3. Transfer Admissions

CAFA voted to discontinue the Transfer Admission Guarantee (TAG) program for the Computer Science major in the Baskin School of Engineering for the 2021-22 and following cycles. Due to the impaction of this program and the large number of applications, CAFA's concern was that students with guarantees would dominate the incoming transfer classes, forcing us having to turn away many applicants who are academically stronger, more diverse, or both, in favor of the TAG students.

CAFA worked with UA to set up new, streamlined procedures for assessing major preparation for transfer students in screening majors (those that require specific preparatory courses and certain grades in these courses). This had 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.

4. 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, a policy that is now required to be in place by state law AB-1674 (2017). CAFA (and EM/UA) have always believed that the most reliable metric for comparison is standardized test scores, given the tremendous variation of grading practices and course-taking habits overseas (and even in other states). In the prior cycle

(2020 cohort), we met this requirement for the test scores for both nonresident categories (international and domestic non-resident). For this year's cycle, with the sudden removal of test scores from admissions consideration, BOARS has not provided guidance on how to evaluate Compare Favorably. In the absence of such guidance, we did not insist on meeting the alternate criterion of a higher average GPA for nonresident students, given the relatively arbitrary and uncertain process for converting and comparing in-state and out-of-state/international GPAs, and given that this would have resulted in a steep drop in the number of nonresident students we could admit, despite knowing that these students are likely to be very successful at UCSC and contribute to the diversity and vibrancy of the intellectual and cultural environment. We are hoping that BOARS will provide guidance allowing Compare Favorably to be met by examining the actual performance of students in all three residency categories in their frosh year, and letting these results inform admissions policy for the following cycle, and that the standard can therefore be meaningfully evaluated for this cycle's class retroactively. In the absence of standardized tests, performance at UC is the only sound standard of comparison we have.

5. Early Review and Notification Policy

The audits, reviews, and recommendations of admissions practices and policies coming from our own auditor's office, University of California Office of the President (UCOP), and the office of the State Auditor in response to the Varsity Blues scandal have consumed much of the time and attention of EM and UA this year, despite the lack of any problematic admissions cases here and despite UC Santa Cruz's unique status within UC as a National Collegiate Athletic Association (NCAA) Division III athletics school, where student athletes are students first and foremost and admitted, like all our students, on primarily academic considerations. CAFA was secondary to the audit process but offered what support we could in terms of clarifying policy throughout the year. Amid all the generation of documents and safeguards, we continued our practice for the fall 2021 cohort of offering early review and notification for students put forward by the Athletics program and academic deans. Students were selected for this early notification by meeting the criteria that would have earned them an offer of admission at the normal time in the prior cycle (2020 cohort).

By the end of the academic year, however, CAFA voted to terminate the early review and notification for the coming cycle (2022 cohort) for several reasons: first, while all the new procedures and safeguards coming out of the audit process were considered feasible, they would take considerable resources from an admissions office already overburdened due to the rapidly evolving admissions environment, and for the sake of a small number of students; second, we had already begun offering the same early admissions date to a large number of our most academically excellent applicants, which already includes some of the population of nominated athletes and other students with special skills; and, finally, the athletics program felt that receiving notice about three weeks earlier than the rest of the admitted class, while much better than nothing, was not really enough lead time anyway to compete effectively for top athletes with other schools.

6. Standardized Testing

CAFA chose for UCSC to be one of the first campuses to declare that the admissions decisions would include no consideration of standardized test scores ("test-free admissions"), at a time when the option of a test-optional system was still available; of course, not long afterwards, the UC system as a whole was obliged to take the same position. The 2021 frosh cohort was admitted by a process that placed greater emphasis on performance in high-school classes, given the lack of

the extra information from test scores, with grades in English and mathematics singled out for particular attention, given the broad importance of those skills in most college coursework.

7. *Admission by Exception*

Systemwide policy requires that no more than 6% of *enrolled* students be admitted by exception ("A by E", usually related to missing coursework from the a-g pattern). Of this 6%, up to 4% may be admitted due to identifiable disadvantages in the students' backgrounds that made it difficult to meet UC eligibility; the remaining 2% could be admitted for other reasons, but in all cases, A by E is used at UC Santa Cruz only for students who would normally be admitted according to the criteria of our comprehensive review; the admissions process does not consider the A by E status of any student as long as they meet a second set of criteria (allowing only small deviations from the a-g course pattern). Students who deviate further from the a-g pattern than specifically allowed by CAFA policy are denied admission. Because of recent BOARS guidance stating that A by E status is only to be calculated for California resident students, our procedure results in numbers significantly less than the 6%/4% allowed; if we ever find that our chosen selection scenario is likely to cause us to exceed these numbers, at that time a future CAFA can decide how to choose categories of A by E students to deny.

8. *Online degree programs*

CAFA devoted a significant amount of attention this year to providing feedback to the Senate on the systemwide task force report on online degree programs and on the nascent plans of the UC Santa Cruz administration and the Committee on Educational Policy (CEP) to entertain proposals for such programs here. CAFA laid out a number of reservations on the feasibility of such programs based on the extensive study presented by the systemwide task force, with particular emphasis on concerns about the population such degree programs would be marketed to -- students whose personal or financial situations don't allow them to attend classes on campus -- and whether this population, on the whole, would be likely to succeed without the pervasive academic and social support available as part of the physical campus community.

9. *CAFA Charter*

In September 2020, CAFA approved a new document (Charter of the Committee on Admissions and Financial Aid) in response to the audits taking place this year. The Charter incorporates CAFA's charge (which cannot be changed without approval of the full divisional Senate) as well as certain procedural matters that can be altered by a vote of CAFA alone and applicable systemwide regulations.

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.

2. *Data Subcommittee*

As in the prior quarter, the Data Subcommittee successfully performed a great deal of data analytic work, including generating a new measure of predicted student success. 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. Approval of final language for fall 2021 comprehensive review

Due to the major changes involved in the transition from a single holistic review score to an Achievement Within Context score plus 7 noncognitive variables, and the resulting changes required to the readers' scoring tool provided to us by UC Davis, final approval of the reader's instruction document will be approved by the end of summer.

B. Selection procedure for the 2021-2022 cycle

With the extra information available from the readers, new ways will have to be developed over the fall quarter to combine reader scores with the computer Student Success Indicator and factors that specifically address equity and diversity (geographic data, first-generation status, income data, etc.) in order to shape the admitted frosh class to meet CAFA's priorities.

III. ADMISSIONS AND FINANCIAL AID FOR FALL 2021

A. Admissions[1]

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

UC Santa Cruz received 75,041 fall 2021 applications, another record year. Frosh applications totaled 61,822 (CA = 49,188, out of state = 6,461, and international = 6,173) and transfer applications totaled 13,219 (CA = 11,785, out of state = 440, and international = 994). As with last year, the campus was open for winter transfer applications in selected majors. The campus will be open again for winter 2022, transfer students only. A similar number of applications is expected this winter; last winter was 710. The campus relies heavily on this pool to achieve the state mandate to enroll one new California transfer student for every two new California frosh, commonly referred to as 2:1. The Jack Baskin School of Engineering and in the Division of Physical and Biological Sciences continue to open many majors for winter.

UC Santa Cruz admitted 36,411 frosh for fall 2021, including 26,817 California, 5,231 out of state and 4,363 international. The frosh admission rate was 58.9%. The average high school GPA of admitted frosh was 3.99 (on a 4.4 weighted scale), compared to fall 2020 (3.91). Waitlist and referral pool strategies were utilized to manage enrollment outcomes within an ever-changing environment. The established Computer Science capacity constraints were met.

UC Santa Cruz admitted 7,730 sophomore and junior transfer students, including 6,993 California, 142 out of state and 595 international. The admission rate for all transfers was 58.5%. The total number of admits decreased by 3.82% and California admits decreased by 2.88% from last year.

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[1] Data from UCSC Data Warehouse (InfoView- AIS-Daily), July 2021

Admitted sophomore transfer applicants met the same course requirements and (where applicable) major preparation requirements as junior transfer students, but had fewer than 90 units for transfer.

Frosh Statements of Intent to Register (SIRs) total 4,883, including 4,344 California, 329 out of state and 210 international students. California SIRs from students identifying as African American reached 5.87%, increasing from 5.27% in fall 2020 and 4.17% in fall 2019; Hispanic/ Latino reached 32.62%, increasing from 28.35% in fall 2020 and 27.11% in fall 2019.

Transfer SIRs total 2,068, including 1,975 California, 23 out of state and 70 international students. California SIRs from students identifying as African American reached 5.42%, slightly decreasing from 5.61% in fall 2020 and 5.65% in fall 2019; Hispanic/ Latino reached 31.24%, decreasing from 32.18% in fall 2020 and 31.47% in fall 2019. Continued close collaboration among Admissions, EM, UE, CAFA, CEP, programs and the disciplinary divisions helped to maximize transfer admission offers to qualified transfer applicants. UC Santa Cruz expects to fall short of 2:1 again this year as a result of increasing the California frosh target, currently estimated at 2.1:1. Had the California frosh target not been increased, it would have been 1.8:1.

B. Financial Aid and Scholarships

In 2020-21, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 11,624 undergraduate students (68% of undergraduate population) and 1,891 graduate students (97% of graduate population). The types of aid provided included grants, scholarships, fellowships, loans and/or work-study assistance.

Award Program Updates

At the federal level, the most significant impacts to UC Santa Cruz financial aid have been from the Higher Education Emergency Relief Funds (HEERF). In March 2021, UC Santa Cruz was allocated $9.6M for emergency aid to students via the CARES Act (HEERF I). And in April 2021, UC Santa Cruz was allocated an additional $9.6M via the CRRSAA Act (HEERF II). And most recently, in June 2021, UC Santa Cruz has been allocated an additional $25.4M via the American Rescue Plan Act (HEERF III). As of August 2021, we have disbursed ~$19M (99%) from the first 2 rounds of HEERF to more than 13,000 students. Discussions are currently underway to determine priority populations for the most recent round of funding.

The California state legislature has worked over the past 2 years with the California Student Aid Commission (CSAC) and the higher education segments (UC, CSU, CCC) to make significant improvements to the state aid programs. AB 1456 is the state bill capturing these efforts. However, by the time the state budget needed to be finalized in 2021, there had not been enough progress to secure passage of the bill. Instead, a large number of financial aid specific items within SB 132 that relate to financial aid were enacted. Given the timing of this bill's introduction and passage, there remains a great deal of policy to be worked out prior to implementation.
A summary of the elements potentially impacting UCSC from SB 132 include:
- Removes age barriers to Cal Grant A and B for students who are enrolled in CCC
- Changes to the Middle Class Scholarship program beginning in the 2022-23 fiscal year, including new funding and possibly new rules regarding the "final payer" policies.

- Sunset extension until June 30, 2023 for the ability to provide scholarships for certain students not qualifying for other financial assistance. This is also known as the SB 77 clause.
- Restores Cal Grant A to students who lost their Cal Grants due to moving from on-campus or off-campus housing to living at home with family for the 2020-21 and 2021-22 award years.
- Increases the Cal Grant access award for foster youth and former foster youth to $6,000 annually.
- Repeals the sunset for summer financial aid (~300K annually to UCSC)
- Requires all high school students to complete the Free Application for Federal Student Aid (FAFSA) or California Dream Act Application at least once before the pupil enters 12th grade unless the local educational agency exempts the pupil
- Creates the Learning Aligned Employment program, a State work-study program, administered by the California Student Aid Commission
- Reduces the number of competitive Cal Grants from 41,000 to 13,0000
- Golden State Teacher Grant Program definition for priority schools changes and technical amendments are made
- California Child Savings Account Program established for each public school pupil with a $500 deposit per child

The UC Regents approved a cohort tuition model in June 2021 which will have long term impacts on the student financial aid models currently in use. In the simplest scenario, each cohort will have a different total cost of attendance (which includes tuition), and aid will continue to be awarded to individual students on the basis of their calculated financial need. However, many types of aid are tied to tuition amounts (such as the Cal Grant), and the complex process for determining and awarding differing levels of grants has not yet been determined by CSAC.

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 model will be changing with cohort tuition, with subsequent increases to tuition levels having a 45% RTA. The UCOP EFM committee meets quarterly regarding issues that affect the determination of the Cost-of-Attendance and the cross-campus allocation of aid funds.

When tuition and campus fees are combined with other elements of the student budget, such as housing/dining and health care, the average cost for a UC Santa Cruz CA resident student living on campus in 2021-22 will be $37,968. Non-residents will have an additional $29,754 tuition charges, bringing the non-resident on-campus budget to $67,722. Under EFM, 2021-22 UC Santa Cruz undergraduates who qualify for need-based assistance must pay approximately the first $9,000 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 can help pay the remainder of the total estimated total cost.

The Blue and Gold Opportunity Plan guarantees that students from families with incomes under $80,000 will receive enough gift aid (from all sources) to pay UC tuition and fees. Virtually all students in this category already receive enough gift aid to meet this commitment. However, under

the Plan some students who would not normally receive gift aid (due to high asset equity) receive gift aid.

In 2020-21 the Financial Aid and Scholarship Office administered $238 million in financial assistance to about 68% of our undergraduates, as compared to $269 million / 72% in 2019-20. (See table on next page)

2020-21 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	62.8%	$ 190,628,187	$ 17,613
UCSC Scholarships*	14.9%	$ 8,717,682	$ 3,392
Federal Pell Grants*	33.6%	$ 29,123,963	$ 5,044
Student/Parent Loans	27.4%	$ 45,980,475	$ 9,769
Federal Work-Study	2.4%	$ 794,956	$ 1,963
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor's degrees in 2019-20, 53% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of $21,189. However, the debt can be as high as $57,500 on an individual basis, which is the federal cumulative maximum amount an undergraduate student may borrow. Nationally, 62% of seniors graduated in 2019 had student loan debt, with an average of $28,950 per borrower (https://ticas.org/our-work/student-debt/). National Data for students graduating in 2020-21 is not yet available.

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

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2014	3.1%	3.1%
2015	3.6%	3.6%
2016	3.7%	3.7%
2017	2.9%	2.9%
2018	3.0%	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:

2020-21 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	173	$ 820,425	$4,742
Campus Merit Scholarships	317	$ 591,298	$1,865
Pister Leadership Opportunity Awards	20	$ 146,107	$7,305

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

Respectfully submitted,

COMMITTEE ON ADMISSIONS AND FINANCIAL AID
Shaowei Chen
Matthew Clapham (F,W)   Tyler Padma Armstrong, SUA Representative
Pascale Giraud   Eva Chen, SUA Representative
Laura, Giuliano   Selena Rai, SUA Representative
Alan Kawamoto
Hamid Sadjadpour
Jennifer Taylor
David Smith, Chair

August 31, 2021

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
Annual Report 2020-21

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. CAAD also reviews waivers of open recruitment requests for Target of Excellence and partner/spousal requests. This report provides an overview of the issues we addressed this academic year and highlights issues we recommend for next year's CAAD.

COMMITTEE ISSUES

I. Revisions to CAPM 101.000 - Waiver of Open Recruitment for Senate Faculty Positions

During the entire academic year, chair Falcón has been the lead convener of revising the CAPM (Campus Academic Personnel Manual) 101.000 with the goal of having done the required consultations with senate committees, Senate Executive Committee (SEC), and administration, specifically the Campus Provost and Executive Vice Chancellor (CP/EVC) and the Vice Provost for Academic Affairs (VPAA). In partnership with the chairs of the Committee on Academic Personal (CAP) Chair Junko Ito and the Committee on Planning and Budget (CPB) Chair Dard Neuman, the chairs participated in several meetings to offer suggested revisions to CAPM 100.000 that best reflected our respective committees' charges as well as our own experience and ideas with these waiver requests to ensure further transparency in the process. In general, our collective view is that even though the university has been able to secure excellent appointments through the waiver of recruitment process in the past, there have been needless delays and additional staff time spent on processing these waivers that could be avoided with improved language and a clearer separation of the TOE and spousal/domestic partner waiver of recruitment requests. The chairs consulted with Senate Executive Committee (SEC) on January 5, 2021 and February 9, 2021 to inform them of our efforts and extended an invitation for other chairs to collaborate with us. No other senate chairs volunteered to join at that time.

After undergoing several reviews that eventually produced a redline document, the chairs of CAAD, CPB, and CAP shared this document with our committees, SEC, VPAA Lee, and CP/EVC Kletzer for preliminary assessment at the end of Winter quarter or early Spring quarter. Our objective was to ensure we were engaging the various stakeholders early and transparently. We then met with VPAA Lee and CP/EVC Kletzer on April 26, 2021 to discuss two possible policy changes that became apparent in our consultation process and needed discussion with administration. Even though the proposed text changes to CAPM 101.000 were largely for purposes of clarity, two matters were actually additions to existing policy that had not been considered before we started this process. These two included: (1) more explicit indication that a waiver request could be denied and that an appeal process to that denial would not be feasible as it would be in contradiction of the time sensitivity that is part of these requests and (2) clarity on how these requests should be funded (centrally and/or by division).

At the April 26, 2021 SEC meeting, a discussion ensued about the process of moving forward as all consultations had occurred. The next step is to transmit these changes to the Academic Personnel Office (APO) which will prepare the CAPM changes for campus review and feedback. Based on that meeting, this process should occur either in the summer or Fall 2021 and will be open for campus input for several weeks. Pending that review, the anticipated official adoption of these CAPM changes will either occur in Fall 2021 or Winter 2022.

II. CAAD Consultations with Campus Units

- **CITL Director and Associate Vice Provost for Teaching and Learning Jody Greene**
  On January 25, 2021, Associate Vice Provost for Teaching and Learning (AVPTL) Greene discussed the ongoing work around equity work for faculty and instructors at Center for Innovations in Teaching and Learning (CITL) with the implementation of a new dashboard system (IRAPS) and the recent hiring of a STEM equity analyst. In addition to working with departments in developing Program Learning Outcomes (PLOs), AVPTL Greene also discussed the implementation of equity score cards to help departments support faculty in changing pedagogical practices campuswide.

- **Vice Provost for Academic Affair Herbert Lee**
  The committee met with VPAA Lee on February 22, 2021 to discuss the following matters: the move towards online degrees/programs, Faculty Equity Advisors, and COVID-19's impact on equity and faculty welfare. We were unable to get to two additional matters during our consultation: the UCSC Rubric to Assess Candidate Contributions to Diversity, Equity and Inclusion and VPAA office's definition of "diversity." We submitted a post-consultation memo on March 16, 2021 and received a response from VPAA Lee on April 9, 2021. We selected these topics for discussion as CAAD has had an ongoing concern with the use of equity as the rationale for expanding online education in general to degrees and programs; that UC Santa Cruz is one of two campuses that had opted to not participate in the UC Faculty Equity Advisors program in 2017-18 AY; and how the VPAA's office was responding to equity and faculty welfare issues during the ongoing pandemic. The other two matters around the Diversity, Equity and Inclusion (DEI) rubric and the definition of diversity stemmed from an interest in offering feedback to the rubric and in determining how to advance a better shared understanding of the meaning of diversity as it pertains to equity, inclusion, and justice, as its use is very uneven across divisions. Due to a shortage of time, CAAD provided brief feedback on the need to include diversity and equity definitions as part of the rubric. Next year's CAAD may choose to delve further into the rubric.

- **Interim Vice Chancellor for the Division of Student Affairs Jennifer Baszile**
  On March 8, 2021, CAAD had a consultation with the Interim Vice Chancellor for the Division of Student Affairs (iVCSA) to discuss the mental health needs of students of color and how they are being met on campus during these challenging times. In an October 2020 meeting, CP/EVC Kletzer indicated that the campus is committed to improving services in this area and that some COVID-19 funding would be going towards meeting the mental health needs of students of color. iVCSA discussed how the campus is doing in responding to the mental health needs of students of color as well as ways in which CAAD might be

able to support this objective that aligns with our committee's charge. Specifically, she explained how UCSC is taking advantage of resources from The Steve Fund[1], which has released a set of recommendations focused on promoting the mental and emotional health and well-being of students of color in the midst of the COVID-19 pandemic. Additionally, iVCSA discussed a partnership with the Foundation for Arts & Healing's UnLonely Project[2]. She also touched on efforts to revitalize the UCSC Quarry Amphitheatre[3] as a physical and virtual space for community-building among students. CAAD was pleased to see that iVCSA and her team are working with an expansive understanding of mental health that takes seriously the emotional well-being of students of color on our campus.

- **Committee on Committees Chair Micah Perks**
  CAAD met and consulted with Committee on Committees (COC) Chair Micah Perks, to discuss a new proposal for a Senate Equity Advocate position at the Senate level. This new position, now called the Academic Senate Equity Advocate, comes with a one-course release annually and will coordinate with CAAD, COC, Senate Leadership and SEC to create and oversee initiatives that enhance representation across the senate and improve the overall campus climate. The equity advocate will work to raise issues of social justice and equity on committees, act as a resource for the Senate on issues of social justice and equity and do outreach to underrepresented faculty. A related goal of the Social Justice and Equity Senate Officer position is to better understand any issues of concern from underrepresented faculty and to help bring those concerns to the Senate. While the Committee on Affirmative Action and Diversity is an outward-facing committee, the equity advocate will be primarily inward-facing and working to create equity within the Academic Senate itself. This position has been approved and an application for this position has been distributed with a May 15, 2021 deadline. This new position is expected to be a point person for CAAD. Note that this proposal differs from the Faculty Equity Advisors proposal discussed in the section below.

- **Advancing Faculty Diversity Workgroup Chair Megan Moodie regarding Faculty Equity Advisors**
  CAAD met with Megan Moodie, Chair of the UCSC Advancing Faculty Diversity (AFD) Workgroup to consult about the establishment of Faculty Equity Advisors (FEA) at UCSC. The AFD workgroup was established due to the pressing need to address equity at different levels of campus life due to the discrepancies of under-representation of minoritized faculty at UCSC. The AFD workgroup is comprised of eight UCSC faculty members working with five UC Merced faculty members charged with reviewing the literature on faculty research about inclusive faculty hiring, disseminating findings and best practices across campus, developing rubrics for assessing other parts of applications and producing new fair hiring training for search committees.

  Megan Moodie and CAAD/AFD member (John Jota Leaños) noted that AFD took on the additional work of establishing an FEA program at UCSC, one of the only UC campuses without such a program. The AFD workgroup is currently developing a two-year proposal

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[1] https://www.stevefund.org/

[2] https://www.artandhealing.org/unlonely-home/

[3] https://quarry.ucsc.edu/

to fund and support the implementation of the FEA program at UC Santa Cruz to define the full responsibilities of Equity Advocates and outline how equity advisors would be trained and supported at UC Santa Cruz. The establishment of FEA at UC Santa would substantially aid in the productivity, well-being, and sense of belonging of minoritized faculty on campus and align UC Santa Cruz with other UC campuses. Previous CAAD records indicate that CAAD had mixed support for FEA but with a new CAAD, new commitment from UCAADE to meet their goal of all UC campuses having an FEA program by AY 2020-21, and a willingness by campus administration to relook at the program, this appears to be moving forward. CAAD submitted a letter of endorsement to Dr. Moodie on April 23, 2021.

● **Working Group on COVID-19 Guidelines for Faculty Personnel Reviews**
The CAAD chair participated in several working group meetings to provide updated guidelines for the campus on faculty personnel reviews, recognizing how much faculty research has been impacted by the COVID-19 pandemic. The chair offered feedback to the document that would align with the goals of equity and inclusion, acknowledging this disproportionate impact of the pandemic on faculty with young children, with disabilities, and with other care-taking responsibilities. The chair proposed language that would ensure "equity and excellence" were viewed as co-constitutive and supported efforts to clarify the inclusion of a COVID-19 impact statement that did not create an additional burden on faculty.

III. COVID-19: Impact on Equity, and Proposed Budget Cuts

The ongoing COVID-19 pandemic has profoundly affected all students, faculty, and staff at UC Santa Cruz since its arrival in California in Spring 2020. Unfortunately, COVID-19 has seriously exacerbated a number of pre-existing inequities in our community by disproportionately impacting people who were disadvantaged prior to COVID-19. This includes, but is not limited to, people with disabilities, mental health challenges, and/or other medical conditions, caregivers, women, people of color, and working-class members of our community.

It is important to recognize that COVID-19 will have long-term consequences for student success, as well as the career advancement of faculty and staff. These consequences are likely to persist for years to come. In more general terms, COVID-19 will have lasting impacts on the simple well-being of everyone at UC Santa Cruz. With the imminent return of in-person instruction in Fall 2021, we must resist the notion that our situation on campus will be "normal" in the next academic year. It will not. Students, faculty, and staff will continue to deal with fallout from the COVID-19 pandemic for at least the next few years. The inequities which have sharpened over the last 14-16 months will persist as well. The University should therefore take an active role in mitigating the disproportionately negative effect of COVID-19 on people and groups who were already disadvantaged prior to the pandemic itself. They should give serious thought to a meaningful re-entry that does not add more harm on our campus.

The experience of remote teaching during the COVID pandemic has contributed to our ongoing skepticism over the online undergraduate degree programs which have been proposed during the past academic year. CAAD appreciates the distinction between temporary remote teaching, online courses, and fully online degrees. Still, CAAD remains conflicted about this turn to online

education, in all its forms. According to VPAA Herbie Lee, a central rationale for the development of these online degree programs is to increase equitable access to a UC education for all California residents. We support this goal, but are concerned that these online programs may serve to exacerbate inequalities rather than ameliorate them.

CAAD certainly understands the laudable goal of diverting students from predatory for-profit institutions, and the UC's charge to provide college opportunities to a wide range of California residents. However, CAAD is unconvinced that online education at UC Santa Cruz will advance diversity, equity, and inclusion goals, particularly for under-represented students. We remain concerned that fully online degrees will not be viewed by employers as equivalent to in-person UC degrees, regardless of our own assessment of these programs. The cost of an online education may not pay off if those degrees do not lead to competitive job offers, especially for under-represented students who are already financially distressed. We would also reiterate that online degree programs are simply unable to replicate some of the in-person experiences that our residential students have on our campus, many of which contribute to both learning and student success. At the same time, we acknowledge that the crushing debt that students currently incur during in-person study in Santa Cruz is a significant ethical problem. Determining a way forward is going to require creatively addressing deep structural challenges on our campus. We are not convinced that fully online degrees are an appropriate solution to these problems.

We are also skeptical that the proposed online degree programs would be as self-contained as advertised. Providing general education courses for students in the proposed online programs will likely require a much more expansive online framework than apparently envisioned. For this reason, we are also skeptical of 'boutique' online degree programs limited to primarily digital fields.

At the campus level, we are uncertain as to how these proposed online degrees fit into larger campus concerns. For example, the campus is expected to grow its on-campus student body by several thousand according to the Long Range Development Plan (LRDP) over the next several years. Yet the cost of implementing online degrees could come at the expense of campus life. How do online degrees fit, if they do at all, with the LRDP? Given that our campus hasn't recovered from the 2008 economic downturn, and that the budget aftermath of COVID-19 remains uncertain, why would investing in a new venture be more desirable than trying to rebuild the main campus that has been negatively impacted by years of divestment? CAAD also pondered if it was possible to clarify the revenue streams that would be supporting these new online programs? In addition, CAAD was not convinced that online degrees/programs could lead to additional FTEs. Departments on this campus have often been promised resources will follow with growth.

CAAD is also deeply concerned about the proposed budget cuts due to COVID-19. We feel that the proposed 2021 fiscal year budget cuts, even if not as dire as originally thought, negatively impacts equity, especially as our campus has not fully recovered from the 2008 budget cuts. We also believe the budget cuts for subsequent academic years may be even more severe, making it extremely difficult, if not impossible, to ensure equity. We urge the university to have a clear plan to communicate to the students and staff how the budget cuts will affect their college experience and what metrics are being used to protect vulnerable students and employees.

IV. UC Police and Rethinking Campus Security

UC Santa Cruz experienced a militarized police presence and response during the 2020 graduate student wildcat strike that was chilling; the UC Academic Council also condemned those actions on our campus. As a Senate committee charged with advising on campus climate, we note the disproportionate impact of arbitrary searches and seizures, arrests, incarceration, assault, and murder at the hands of the police for Black, Indigenous, Latinx, and other marginalized groups. Therefore, the move by the UC system, as well as our campus, to rethink campus security seemed to indicate that we would perhaps have a serious conversation about holistic security that did not centrally involve police.

UC Santa Cruz formed an advisory board co-chaired by Isabel Dees and Dr. Marcia Ochoa. In the early weeks of this committee, CAAD asked about representation of international and undocumented students and inquired on the level of autonomy the campus advisory board would apart from the UC system. Further, CAAD members raised questions about any impact on the university police budget of $4+ million in consultation from the 2021 Winter quarter.

Therefore, CAAD (along with UCAADE) expressed serious disappointment when reviewing the proposed UC Police Policy and Administrative Procedures around the Use of Force, Body-Worn Video (BMV), Systemwide Response Teams (SRT), and Concealed Carry Weapons policies approved by the UC Chief of Police and Federated University Police Officers' Association (FUPOA). CAAD concluded that these proposed reforms and procedures are deeply problematic and out of touch with the serious conversations happening throughout the UC system and the country to reimagine community policing and security.

CAAD found the proposed reforms flawed, ambiguous, and indefinite that may lead to more racially profiled abuse, and contribute to a culture of impunity for UC police officers. CAAD's assessment of the proposal is supported and expanded upon by UCSC Senate campus committees including the Graduate Council, Committee on Planning and Budget, and the Committee on Academic Freedom. CAAD recognizes the crises in policing on UC campuses and nationwide is a complicated discussion given the various stakeholders and competing objectives, including from police unions, and the problematic practice of "qualified immunity," which many U.S. cities are now overturning. This moment though calls for a bold and visionary plan to reimagine community security at the University of California in which police are not centrally involved. We hope this conversation continues and that real changes are implemented in the near future.

V. Collaboration with the Office of Diversity, Equity, and Inclusion (ODEI)

Continuing the work started in previous CAAD years, this year's committee decided it would be best to prepare the UC Santa Cruz's Diversity Landscape Document created by Universitywide Committee on Committees Chair Patty Gallagher with the support of Graduate Student Researcher (GSR) in 2018-19 for submission to ODEI. The CAAD chair met with the director of ODEI, Dr. Teresa Maria Linda Scholz, to discuss how to modify the document for their use and CAAD members then made several recommendations. Feel free to add a couple more sentences here about your work. The CAAD chair had a final meeting with Dr. Scholz on December 8, 2020, to share CAAD's recommendations for making the information public for campus-wide use on ODEI's website.

CAAD sits on the ODEI selection committee for co-funding proposals. With input from a CAAD member, new this year is the adoption of "accessibility" as a criteria for proposals. "Beginning Fall 2020, the Co-Funding Program will also consider co-funding requests for *accessibility supports* for Activities/Projects/Events related to diversity, equity, and inclusion. Accessibility supports can include, but are not limited to: real-time captioning, ASL interpreters, podium ramps, quiet rooms, room fees for accessible spaces, etc. Funding for accessibility supports available through other channels (such as the DRC) should also be explored."). Below is a list of the funded projects for Fall 2020 and Winter 2021. It appears no projects received funding for Spring 2021 as we did not hear from ODEI about reviewing proposals.

- (Fall 2020) Dr. Pascha Bueno-Hansen public lecture called "Dissident Genders and Sexualities in the Andes - Transitional Justice Otherwise."
- (Winter 2021) Coded Bias Documentary Film Screening and Panel Discussion; From Here to Equality: Reparations for Black Americans in the 21st Century; Trans GIFT (Gender Inclusive Free Transitionwear) Project; and Latinx Friendly DNA Day.
- (Spring 2021) Colibri Writing Circles
- (Spring 2021) The Period Equity Project

VI. Faculty Equity Advisors

CAAD drafted a letter of support for the implementation of a Faculty Equity Advisor (FEA) Program at UC UC Santa Cruz. The University Committee on Affirmative Action, Diversity, and Equity (UCAADE) introduced the FEA program for the UC system in 2001, but UCSC is one of two campuses that have yet to officially adopt this program. CAAD also solicited a letter of support from UCAADE Chair, Javier Arsuaga, who stated UCAADE's goal for all UC campuses to have the FEA program in place by this current academic year. The Advancing Faculty Diversity workgroup at UC Santa Cruz (see above) spearheaded a two-year proposal to develop and implement a faculty-led UC Santa Cruz's FEA program that will move us closer to meeting a systemwide goal.

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

The CAAD chair (except for ½ day during the Fall meeting) participated in 4 full-day meetings during the AY with UCAADE. These meetings provided important insights into the system-wide equity challenges that were in turn shared with CAAD. The CAAD chair secured an endorsement letter from UCAADDE chair Javier Arsuaga, addressed to CP/EVC Kletzer for our campus FEA efforts led by the AFD working group. Chair Falcón also drafted the UCAADE letter requesting the support for a significant amount of funds to sponsor additional proposals from the [UC-Hispanic Serving Institutions Doctoral Diversity Initiative (UC-HSI DDI)](#)[4] during 2021 (Fortunately, UCOP provided the additional funding).

VIII. Subcommittee Work

- *MLK Convocation:*

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[4] Relatedly, CAAD chair Falcoón served as the review committee chair for UC-HSI DDI and was able to speak directly to the high caliber of these initiatives.

CAAD participated in the organizing committee for the 37th Annual MLK Convocation. The committee extended a speaker invitation to abolitionist scholar and activist Mariame Kaba. Due to the ongoing COVID-pandemic, this year's MLK convocation was held over Zoom, and took place on Friday, February 12th. UCSC Professor of History David H. Anthony III moderated the event, which began with a performance by the African American Theater and Arts Troupe, a musical performance by Mario Felix, and a reflection from Reverend Deborah Johnson. Mariame Kaba then gave a talk about how the prison-industrial affects communities of color, in dialogue with UCSC Associate Professor of Feminist Studies Gina Dent. In addition, prior to the convocation, Mariame Kaba met over Zoom with undergraduate and graduate students, along with local high school students, to talk about policing and the role of the university in social movements.

- *ODEI Co-Funding:*
  In academic year 2020-2021, there was $9,250 of available funding through the Office of Diversity, Equity, and Inclusion. The team met in October 2020, and the CAAD Representative's proposal to extend funding to accessibility needs was approved. The COVID-19 pandemic initially impacted the number of proposals (one funded proposal in January 2021), but this bounced back as Winter 2021 progressed (seven proposals in February, three funded; one proposal in March, funding TBD).

- *Campus Inclusive Climate Council:*
  The Campus Inclusive Climate Council (CICC) met twice quarterly. The Fall 2020 meetings (11/24/21 and 12/10/20) focused on CICC's revised charge (from Chancellor Larieve) as well as the results of the Campus Climate Study and "action-based ideas and solutions" that respond to the study. The Winter meeting (1/28/21; the second meeting was canceled) focused on assessing the effectiveness of current DEI efforts, with discussion of faculty "trainings," closing equity gaps, and better messaging. The Spring meeting (5/11/21) provided an update on the Student Conduct Taskforce and the pending year-long report with external reviews being released by the end of the 2020-21 academic year.

  Associate Vice Chancellor/Chief Diversity Officer (CDO), Linda Scholz, led the remainder of the meeting to discuss her leaving UC Santa Cruz for another position in New Mexico. An Interim CDO will be hired for the coming 2021-22 academic year while a national search for a permanent CDO will take place. The principal takeaways from this discussion included Scholz recommendation that UC Santa Cruz undergo a campus-wide "Strategic Diversity Plan." Chancellor Larive is aware of the need for such strategic diversity planning. With Scholz's pending departure, the Chancellor is proposing a new senior executive position: the Vice Chancellor for Diversity, Equity, & Inclusion and Chief Diversity Officer (VCDEI/CDO) position. CAAD supports this higher-profile position.

- *Chancellor's Diversity Advisory Council (CDAC) and Chancellor's Achievement Awards for Diversity (CAAFD) Selection Committee.*
  Based on an email sent to the analyst on April 29, 2021, both of these efforts from the Chancellor's office are in the process of being reconfigured for the future. No meetings were scheduled this academic year.

IX. Issues, Policies, and Programs with Equity Implications Reviewed

This academic year, CAAD issued correspondence on 30 requests. Below is a summary recap of that correspondence.

Systemwide
- Propose Curtailment Program 2020-21
- Review of SR 630
- Review of SR 544
- Online Undergraduate Degree Taskforce Report
- Proposed Revisions to the Leave-Related Policies of the 700 Series of the APM
- Proposed Revisions to Senate Bylaw 336.F.8
- ILTI Report and Review
- Faculty Salary Scales Taskforce Report and Recommendations
- Universitywide Policed Policies and Administrative Procedures
- Proposed Revisions to Senate Regulation 610
- Presidential Policy - Fee Policy for Graduate Student *In Absentia* Registration
- Presidential Proposed SARS-CoV-2 (COVID-19) Vaccination Program

Divisional
- CP/EVC's Proposal of Associate Provost
- Chancellor's Office of Planning and Budget Reorganization
- CP/EVC's Budget Cut Targets
- Proposed Interim COVID-Related Caregiver Modified Duties Program
- CCA's Faculty Culture in External Review
- CP/EVC's Documented Discussions
- VPAA's Revised Guidelines for Improving Curricular Capacity
- Required Disclosures of Discipline by Faculty Candidates for Appointment Letter
- Proposed Remote Work Policy for Senate Faculty
- VPAA's Charter for Online Programs Initiative
- iVCSA Baszile and VC Latham's Critical response Program Proposal
- Chancellor's Request for Consultation: Vice Chancellor/Chief Diversity Officer Expanded Role Job Description

Waivers of Recruitment
- Target of Excellence: K. Miga
- Partner Hire: M. LeBron
- Partner Hire: J. Winters (unsubmitted)
- Partner Hire: D. Turner-Evans
- Partner Hire: T. Serres
- Partner Hire: J. Kleinberg

Additionally, CAAD sent correspondence endorsing Faculty Equity Advisors for our campus, and the Academic Senate's new position for a Senate Equity Advocate.

Considerations for 2021-22 CAAD

- Consider consulting with Associate Deans of Equity in Social Sciences and Physical and Biological Sciences to explore further possibilities for collaboration. Consider the potential

    development of comparable positions in other divisions as appropriate, given the
    development of the Faculty Equity Advisor program.
- ○ Physical and Biological Sciences Division: [Christina Ravelo](#), Associate Dean of Diversity, Equity & Inclusion
- ○ Social Sciences: [Judit Moschkovich](#), Equity Advisor for Social Sciences
- Monitor the launching of Faculty Equity Advisors at UC Santa Cruz, in collaboration with the Advancing Faculty Diversity Workgroup.
- Explore the development of a series of annual faculty awards recognizing "distinguished contributions to diversity, equity, and inclusion." Consider consulting with the Committee on Teaching about their annual award review process.
- Monitor the ongoing consequences of the Accellion data breach, particularly as it affects undocumented and international students. Ensure that the UC is adequately supporting the entire campus community in the wake of this data breach.
- Monitor the ongoing work of the UC Santa Cruz Campus Safety Community Advisory Board, with a particular focus on how changes to campus policing policies may have disproportionate negative impacts on students of color and non-citizen students.
- Update [CAAD website](#) to include relevant information about practical resources for students, faculty, staff, and other constituencies.
- Consider offering revisions to the Rubric to Assess Candidate Contributions to Diversity, Equity and Inclusion from the VPAA office.
- Consult with the Graduate Council and the Graduate Division on equity issues for graduate students.
- Consider a research study on inequities in salary and compensation for those who have built their careers at UC Santa Cruz (known as the "loyalty penalty"); research the impact of the career equity review and, if possible, determine if minoritized faculty are pursuing this option.

Respectfully Submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Ryan Bennett
Camilla Hawthorne   Miah Phinnesse, GSA Representative
John Jota Leaños   Matthew Moran, SUA Representative
Kirsten Silva Gruesz (*S*)   Harmonie Malengo, SUA Representative *(F, W)*
Amy Vidali (*F, W*)
Zhu Wang
Sylvanna Falcón, Chair

August 30, 2021

COMMITTEE ON CAREER ADVISING
Annual Report 2020-21

Introduction

Given the challenges brought on by the COVID-19 pandemic, the 2020-21 Committee on Career Advising (CCA) elected to streamline its focus on administering the Faculty Mentorship Program, hosting online faculty workshops, and developing a new faculty survey to assess departmental and divisional climate, with a focus on bullying issues. CCA met every other week throughout the academic year to conduct business regarding their charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention.   The committee consisted of six members, one from each of the five divisions (two members split the year in one case). A brief overview of the committee's notable work in 2020-21 is provided below, followed by suggestions for the new committee.

New Faculty Orientation

AVPTL & CITL Director Jody Greene and Chair Brasoveanu hosted the New Faculty Orientation (NFO) on September 25, 2020. This was an online Zoom event lasting from 9:30 am to 4:30 pm (with various breaks). The presentations and Q&A sessions were as follows: Introduction to the University (including an introduction to the faculty Senate), Santa Cruz Faculty Association (SCFA), Introduction to Our Students and Their Resources, Rise to the Times: Tools to Build an Anti-Racist Campus Climate, and Brief Introduction to the Academic Personnel Process. The NFO ended with an Open Q&A and research roundtables, split into separate meetings by division. The NFO was very well attended and the informal feedback received from the attendees was very positive.

Faculty Mentorship Program

CCA oversees the Faculty Mentorship Program (FMP), in which new faculty are matched with volunteer faculty mentors. 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 CCA used them to facilitate the matching process. Most mentees who filled out the form were matched with one of their top two choices. In a departure from past practice, CCA determined that new faculty who did not request a mentor would not be matched. Also, mentor/mentee assignments were sent to mentors before they were finalized to allow the mentors to weigh in on decisions. In 2020-21, UCSC had 42 incoming faculty, 27 of which elected to be matched with a mentor. Faculty that joined the University before Fall were more likely to elect to participate as a mentee. Faculty that joined afterwards tended to opt out. Mentees who have not yet received tenure were invited to continue in the FMP. In total, the 2020-21 program had 96 mentors and 161 mentees. LSOEs were included in the FMP, and the committee reached out to the senior LSOEs as mentors. New mentees were matched with a mentor outside their home department, but within their division or, if outside their division, with closely related research interests and work, based on mentee preference. CCA informally reached out to some mentors letting them know if mentees are looking for a certain kind of mentorship (e.g., Diversity, Equity, and Inclusion (DEI) related issues in addition to

general career & campus advice), and strongly suggests making this a part of the official process for next year.

CCA communicated with mentors and mentees at least once each quarter offering support. In the Fall letters to mentors and mentees, the committee endeavored to make the relationship and expectations clear for both parties. Mentors and mentees were encouraged to meet once per quarter to discuss research, teaching and service. Additionally, mentors were encouraged to talk with mentees about current issues such as remote teaching, managing workload, challenges and support options related to COVID. Specifically:

- Supervising Graduate Students virtually
- Online Teaching web resources such as https://keepteaching.ucsc.edu/
- Managing additional workload for online only
- Promotion
- Normalizing the challenges related to COVID
- Inquiring about extensions to the tenure clock because of COVID
- Michael T. Brown, Ph.D. Provost and Executive Vice President, Academic Affairs Memo on "*two blanket exceptions to Academic Personnel Manual (APM) Section 710 (APM - 710), Leaves of Absence/Sick Leave/Medical Leave, as outlined below in order to provide additional relief to academic appointees balancing work and child care responsibilities*;" September 10, 2020.
- Lori Kletzer, Campus Provost and Executive Vice Chancellor and Junko Ito, Chair, Senate Committee on Academic Personnel, "*Guidance for Senate Faculty Personnel Reviews in 2020-21;*" October 08, 2020.

In late fall and into early winter quarter, CCA members reached out to new mentees in their division to touch base and inquire if they were interested in an online social event. The responses from new mentees were very positive. For mentees that did not respond, CCA followed up with their assigned mentor to confirm they had connected with their mentee and provided a link to helpful topics for mentors to discuss with mentees.

In spring quarter, CCA surveyed all mentees and mentors asking for feedback on their experience in the program. While the response rate was low, the majority of FMP mentees that replied confirmed they wish to continue in the program. A recurring theme from the responses was the challenge of making connections while remote. Some mentees and mentors noted it was hard to find time for such meetings, given the added demands on their remote workloads. The responses regarding having a mentee in one's division, but outside one's department were mixed. Several mentees cited the separation from department matters as a benefit. Several mentors felt that differences in areas of study made it difficult to support their mentee. CCA recommends sending proactive reminders to mentors at the beginning of each quarter to suggest they reach out to their mentees, and a second reminder in the 6th week of the fall quarter only to strongly encourage mentors and mentees to meet at least once before the end of the fall quarter.

Social Event

On April 9, 2021, an Online Spring Social was held for new faculty. New faculty attended a breakout room to get to know each other, with some prompts provided by CCA such as, "If you could have become a professor of something other than what you are a professor of, what would

it be?" New faculty also chatted with seasoned faculty about campus and community topics. The short length of the event (40 minutes) and small group size worked well for the online setting. The casual agenda allowed time for additional discussion of personal topics, which the committee felt was a good opportunity for faculty, some of whom had not yet been on campus.

Quarterly Workshops

CCA co-hosted a workshop with the Office of Research Friday, December 4, 2020. The workshop opened with an introduction by Associate Vice Chancellor John B. MacMillan. Officers from Research Development, Research Compliance, Office of Sponsored Projects, Industry Alliance and Technology Commercialization gave short presentations, which were followed by a Q&A session.

CCA partnered with Center for Innovations in Teaching and Learning (CITL) to host a Path to Tenure Workshop on March 5th, 2021. After a brief introduction and welcome. Associate Vice Provost for Teaching and Learning Jody Greene gave an overview of the tenure process and who reviews personnel files. CAP Chair Junko Ito explained the process used by CAP, and provided recommendations on effectively presenting your work in personal statements. Senior Analyst Ibukun Bloom from the Academic Personnel Office (APO) reviewed the role of the APO in the tenure review process. Faculty panelists from each division discussed their experience with the tenure process and gave advice. The panelists who graciously volunteered their time were: (Arts) Associate Professor Karolina Karlic, (Baskin School of Engineering) Associate Professor Rajarshi Guhaniyogi, (Humanities) Associate Professor Juned Shaikh, (Physical and Biological Sciences) Associate Professor Alexander Ayzner, (Social Sciences) Associate Professor Rebecca London.

CCA and CITL hosted a new workshop on May 17th titled "Your First Personnel Review". AVPTL Jody Greene gave a brief introduction and welcome, and then reviewed the stages of the personnel process, what to include in your Biobib, and provided a demo of using and updating DivData records. She also reviewed things to include in one's personal statement, and how to document one's teaching. CAP Chair Junko Ito and Senior Analyst Ibukun Bloom from APO briefly discussed how one should document research and service. An extended Q&A was provided during and immediately after each brief presentation, as well as after all the presentations were concluded.

Faculty Workplace Experience and Negative Acts Survey

CCA drafted a research-supported Faculty Workplace Experience and Negative Acts Survey with the main goal of evaluating and finding ways to mitigate bullying and other kinds of abuses that lead to departments (and other units) becoming less functional. These kinds of climate-related issues end up disproportionately affecting vulnerable faculty, for example, early-career or minoritized faculty, who might feel that not reporting this kind of behavior is the best path to be successful in their department (get tenure, being positively evaluated for promotion, etc.). These issues also affect undergraduate and graduate student education, staff effectiveness and everyone's morale. The hope is that an information conduit dedicated to departmental/divisional level faculty climate would help identify potential issues early, before significant damage is done and at a point when addressing these issues is not resource intensive.

CCA considers faculty climate issues to be an essential aspect of faculty well-being, with potentially very significant consequences for promotion and retention, particularly for early-career and/or minoritized faculty. As such, this survey falls under CCA's charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention.

The survey proposal underwent a detailed review by the Senate Committees on Affirmative Action and Diversity, Academic Personnel, Faculty Welfare, Planning and Budget, and the Graduate Council. CCA also consulted with the Vice Provost for Academic Affairs (VPAA), as well as Academic Personnel Office (APO), Institutional Research, Assessment, and Policy Studies (IRAPS) and the Office of Diversity, Equity, and Inclusion (ODEI). CCA incorporated feedback and submitted a revised survey to IRAPS for approval. On March 12, 2021, IRAPS agreed to support this project in the Fall 2021 quarter. The IRAPS support will include survey administration, analysis and a report to the committee. CCA is looking forward to the results of the survey, and is planning to pay particular attention to the possible interventions suggested by survey participants to evaluate the next steps for this project.

The faculty climate survey is a pilot. Based on the survey responses, CCA might propose that a survey of this type be administered regularly (e.g., every 2 or 3 years), and that the results of this survey be included as part of the information associated with external department reviews. The latter proposal would provide a flexible framework for action and consequences, to the extent external reviews have real consequences for departmental resource allocation. More generally, establishing a framework for action and a menu of possible interventions is a very important aspect of this survey, and suggestions for potential interventions can be provided as part of the survey.

The confidentiality in this kind of survey is of paramount importance, and CCA and IRAPS have worked, and will continue to work hard to ensure it.

Innovative Mentorship Program

In response to pandemic related travel restrictions, many Innovative Mentorship Program (IMP) awardees requested the opportunity to use their funds in other ways. CCA determined that this was in the best interest of the awardees and advised the relaxing restrictions on their use, e.g., to purchase equipment, as well as an extension of the deadline to use funds to Spring 2022. CCA has asked recipients to report how the funds were used, and a survey to this effect needs to be sent in late Spring 2022.

Website updates

CCA updated their website to include a page listing useful Faculty Development and Diversity information. The page hosts links to online resources for career development, information on increasing diversity, and teaching tools. All resources listed are currently supported by campus funds. The new resources include:

- Academic Impressions: an online tool that provides higher education-specific professional and leadership development information. CCA also provided a curated list of courses that may be of interest to UCSC faculty.
- LinkedIn Learning: a video library containing over 10,000 on-demand courses taught by recognized industry experts that help anyone learn business, software, technology, and

creative skills to achieve personal and professional goals. CCA has also provided a curated list of courses that relate to diversity, mentoring, work/life balance and teaching.

- National Center for Faculty Development and Diversity (NCFDD): the NCFDD is a nationally-recognized, independent organization that provides online career development and mentoring resources for faculty, post-docs, and graduate students.

Also included are internal campus resources that support diversity such as the Office for Diversity, Equity, and Inclusion website and the Faculty Community Networking Program webpage.

Senate Reviews (non-routine work)

"Documented Discussions" – A Protocol for Addressing Less Serious Concerns About Faculty Conduct
In a letter dated December 11, 2020, CCA provided feedback to Lori Kletzer, Campus Provost and Executive Vice Chancellor (CP/EVC), on the proposed *"Documented Discussions" – A Protocol for Addressing Less Serious Concerns About Faculty Conduct.* The committee was supportive of the required disclosure of discipline, and thought that including this requirement both in the job announcement and the offer letter was very good: including it in the job announcement informs potential candidates of this requirement in advance, and can helpfully factor into their decision to apply; and timing the actual disclosure at the offer stage, and not before, preserves the integrity of the search process. CCA was concerned about the legality of asking for pending/ongoing investigations to be disclosed, as these proceedings are often confidential. However, CCA was generally supportive of asking for any pending/ongoing investigations to be disclosed (should it be legal) in addition to any past disciplinary proceedings, but will defer to the Committee on Privilege and Tenure's (P&T) opinion on this matter.

Systemwide Senate Review, Faculty Salary Scales Task Force Report and Recommendations
On January 27, 2021 CCA responded to the Systemwide Senate Review: Faculty Salary Scales Task Force Report and Recommendations. The committee was happy to see that the proposed revisions to the salary scales address equity and transparency issues, as well as salary compression and inversion issues. At the same time, the committee expressed concern that, although it is *prima facie* well justified, highly constraining the use of off-scale increments might affect our ability to effectively recruit and retain faculty of the highest caliber. In sum, CCA felt that more specificity at the implementation level is needed, but more importantly, a forward-looking discussion of our institution's recruitment and retention goals and principles is necessary in addition to the current -- thorough, but largely retrospective -- view. That is, articulating a forward-looking compensation philosophy is more important than articulating the full implementation details of the proposed salary scale revisions. This philosophy should be articulated before the rollout of the proposed salary scale revisions. Without it, the actual deployment of the plan may end up varying a great deal from what CCA intended.

CITL Review and Funding Renewal
In the February 23, 2021 response to a request for Senate consultation from Herbie Lee, Vice Provost for Academic Affairs (VPAA), CCA strongly supported providing ongoing support for CITL and recognized that this support is needed for CITL's many contributions to the campus to be sustainable, including but not limited to the newly hired and continuing faculty across the campus. The specifics of the support are beyond CCA's scope, and CCA left feedback at that level

of granularity to other committees with more appropriate purview, though the committee underscores our support and willingness to partner and collaborate with CITL as appropriate.

Required Disclosure of Discipline by Faculty Candidates for Appointment letter
In a letter dated March 5, 2021, in response to the CP/EVC's request for feedback on the proposed *Required Disclosure of Discipline by Faculty Candidates for Appointment letter,* the committee was generally very supportive of the required disclosure of discipline, and thought that including this requirement both in the job announcement and the offer letter was very good: including it in the job announcement informs potential candidates of this requirement in advance, and can helpfully factor into their decision to apply; and timing the actual disclosure at the offer stage, and not before, preserves the integrity of the search process.

CCA was concerned about the legality of asking for pending/ongoing investigations to be disclosed, as these proceedings are often confidential. However, CCA was generally supportive of asking for any pending/ongoing investigations to be disclosed (should it be legal) in addition to any past disciplinary proceedings, but will defer to P&T's opinion on this matter, as P&T has a greater understanding of investigation and discipline processes.

Request for Academic Senate Consultation Expanded role for the Chief Diversity Officer
In the committee's June 1, 2021 in response to the Chancellor's request for feedback on the proposed Vice Chancellor for Diversity Equity and Inclusion (VCDEI)/ Campus Diversity Officer (CDO), CCA strongly encouraged the search committee to look for someone with prominent faculty achievements in DEI fields. The needs of different constituencies on campus differ, and the committee believes that the VCDEI will have the ideal vantage point to understand and meet the needs of all our constituencies. CCA also noted several redundancies in the current version of the proposal, and hopes that a new version will minimize redundancy while clearly listing the set of goals, duties, and if possible, assessment metrics for the proposed VCDEI. CCA hopes this expanded role will provide unity and leadership to the many DEI initiatives on campus, and hopes this will be explicitly stated as a goal / duty for the position. But with all these potential goals and duties for the office, CCA had some workload concerns given the fairly lean ODEI staff. In sum, CCA sees the expanded role of this position as a clear positive for the recruitment and retention of diverse faculty, and appreciates that this role change is consistent with the other UCs.

Proposed CCA Priorities for 2021-22

- CCA has begun a collaboration with ODEI to potentially develop guidelines for department chairs on how to mentor newly hired minoritized faculty. CCA would like to work with the ODEI further to develop joint resources.
- In addition to the Faculty Workplace Experience and Negative Acts Survey, CCA discussed possibly putting together a "Navigating Academic Politics Workshop"
- There were no in-person meetings (informal or otherwise) during the 2020-21 academic year. These were a CCA tradition that was sorely missed. We hope CCA will be able to find a way to bring them back as allowed by the changing COVID-related circumstances.
- UCSC has been hiring tenured faculty, particularly from minoritized groups, at a higher rate over the past few years, and this seems to be a continuing trend. The current Faculty Mentorship Program is primarily geared towards early-career untenured faculty. Newly

hired tenured faculty have expressed interest in developing strategies for including them in the mentorship / onboarding process, which CCA intends to follow up on.
- It might be useful to develop a small handbook for the FMP process for future years.
- If the "First personnel review" workshop will continue to be offered in the spring quarter, mentors should be informed about it early on so that they can encourage their mentees to attend. The mentors should probably consider attending the workshop themselves so that they can better help mentees with their personal statement.
- CCA should look into ways of introducing mentors to mentees before the mentor-mentee assignment process begins, for example, CCA could invite mentors to a portion of the new faculty orientation so that they can meet their potential mentees. Alternatively, the fall workshop on Research could be shortened and immediately followed by a social event to which both mentors and mentees could be strongly encouraged to attend.
- Finally, CCA suggests introducing an explicit option in the FMP process for returning mentees to consider reselecting their mentors after 1 year, as different mentors could provide additional benefits, both in terms of alternative perspectives and in terms of an expanded social network on campus.

Respectfully submitted,

COMMITTEE ON CAREER ADVISING

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August 31, 2020

COMMITTEE ON COURSES OF INSTRUCTION
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) met bi-weekly throughout the academic year to review campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consult with other committees and administrative units, and consider graduate student instructors, undergraduate teaching assistants, student petitions and student grade grievances. For the second year, a smaller cohort of committee members met once during summer 2021, prompted by the April 2, 2021 Call for Online Course Proposals from the Vice Provost for Academic Affairs (VPAA) and Online Education (OE) (more on this below under Course Approvals).

The 2020-21 year continued to be out of the ordinary for CCI, as a multitude of new issues arose due to the COVID-19 pandemic. CCI reviewed an increasing number of online courses this year. There was an increase in Disciplinary Communication (DC) substitution requests, as students' original plan for satisfying DC requirements were derailed by COVID-19. Student petitions sometimes cited challenges related to COVID-19 such as impacts to student's health or the health of family members and relocation. CCI provided a secure DocuSign link for students to attach medical documentation. With the steady increase of workload for the committee, the bi-weekly meeting teams were extended from 1 hour and 15 minutes to 2 hours.

I.   Course Approvals

Between September 30, 2020 and July 1, 2021 the committee reviewed 314 course approvals. Of those, 181were proposals for new courses, and 133were 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. On January 8, 2021 CCI distributed a *Committee on Courses of Instruction Syllabus Requirements Checklist for Internal Department and Program Use.*[1] CCI encouraged faculty to add or clarify aspects of their syllabi, particularly:

- Breakdown of Student Hours. The purpose of this is to allow students to develop a time management plan for their studies—for example, this would enable students who read relatively slowly to know that a course may be extra demanding for them.
- Closed Week Policy Reminder. No examinations, tests, assignments , papers, final projects or final performances that result in more than 12.5% of the final grade (other than individual make-up exams) may be given during the last week of instruction. This restriction does not apply to summer, which does not have a closed week.

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[1] https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/cci-syllabus-requirement-revised-december-20201.pdf

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

II.   Summer 2021 Review of Online Course Proposals

In light of the remote teaching and learning challenges presented by the COVID-19 pandemic, VPAA Herbie Lee and Online Education issued a call for online course proposals for fall 2021: *"The campus seeks proposals from faculty to develop on a voluntary basis asynchronous online and hybrid courses to be offered in fall 2021 to ensure instructional capacity and quality as we transition back to in-person instruction."* Due to the additional time needed to create these classes, a smaller cohort of CCI met over summer to review asynchronous online courses with enrollment of 150 students or more for fall 2021.

OE selected seven instructors to work with on asynchronous courses over the summer. Of these, two courses had not been previously approved, and required CCI review. Eighteen instructors submitted hybrid course proposals that did not require CCI review under the fall 2021 delegation of authority. 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. Late course development and review is not routine practice and was done solely in response to ongoing COVID-related challenges. CCI members who chose to serve over the summer were asked 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.

III.   UNEX Course-Approval Process

Regulations of the Academic Senate require that all University Extension (UNEX) courses whose course numbers are prefixed with X or XSC be approved by the appropriate department on the UCSC main campus and, in certain cases (detailed below), by the Committee on Courses of Instruction. In 2020, CCI Chair and an UNEX Analyst agreed on the following course approval process:

1. All proposed UNEX courses will be stored and reviewed in a "UNEX Course Approval" folder, located in a folder shared by CCI and UNEX.
2. UNEX contacts the CCI analyst at cci@ucsc.edu with a brief description of the course, the proposed course number, and name. The exact course number may change, but the category—whether it is a XSC 1–299 or X 1-299 or X300–499—will not change. Courses in other categories do not need main-campus approval. However, courses in the XCal or X categories will need approval from other agencies of the Academic Senate.
3. CCI informs UNEX of the appropriate department to contact and the contact information of the department chair.
4. UNEX contacts the department chair, who may assign the task of reviewing the course to a faculty member in their department, in which case, the department chair will inform UNEX contacts of the faculty member's full name and email address. UNEX will then contact the faculty member, and provide a link via the Google Shared Drive Folder to the documents in need of review. Each new proposed course will have its own sub-folder and "Chair Review Items" document provided by UNEX. The department chair or designated faculty member will complete the "Chair Review Items" document during the review of each course.

5. The department reviews and (possibly with changes) approves the course. It is generally expected that this will happen within 3 weeks.
    a. The standard of review for X300–499 courses is whether they are at a level that is suitable to be offered by UC Extension as part of a UNEX certificate program.
    b. The standard of review for X1–299 courses is whether they are at a level that they could be UCSC main-campus courses. (1–99 at a lower division level, 100–199 at an upper division level, and 200–299 at a graduate level.)
    c. The standard of review of XSC1–299 courses is whether they are strictly equivalent to a corresponding UCSC main campus course.

6. Approval from the department is communicated by UNEX to CCI, along with the packet that was sent for approval. Both CCI and UNEX will maintain records of courses approved.
7. If the course is a X300–499 course, it can now be advertised and taught. If the course is a X1–299 or XSC1–299 course, it has to now be approved by CCI before it can be advertised and taught.

CCI also asked that UNEX provide faculty with an acknowledgement letter of the work performed for their personnel files. 14 UNEX courses were reviewed.

IV.   COVID-19: Remote Course Delegations of Authority
On September 30, 2020, Committee on Educational Policy (CEP), CCI, and Graduate Council (GC) jointly announced with the CP/EVC that winter quarter 2021 instruction would be largely online with the Senate delegating authority for approval of remote offering of courses to course-sponsoring agencies.

On November 2, 2020, the CP/EVC announced with CEP, CCI, and GC that spring and summer quarters would be remote with the delegation of approval for offering of courses to course-sponsoring agencies.

On February 25, 2021, CEP, CCI and GC announced jointly with the CP/EVC that fall 2021 instruction will include a mix of remote, online, and in-person instruction. The Senate delegated authority for approval of remote course offerings for fall 2021. On March 23, 2021, CP/EVC announced that instruction would largely aim to be in-person. The delegation to course-sponsoring agencies remained.

V.   Revised Online-Course Policy
A subcommittee including the CCI chair, a CCI faculty member representative, the CEP chair, a CEP faculty member representative, the Director for Online Education, and the Associate Registrar was formed in winter 2021 to review and propose revisions for the online-course policy. The policy revisions were motivated by the need to resolve that the current Undergraduate Online Course Policy only applied online to asynchronous online courses. With the expanded use of synchronous courses brought on by the pandemic, and an expectation that some faculty will want to continue to teach in a synchronous online format, CEP and CCI felt the urgency to provide an approval pathway that allows CCI to evaluate the effectiveness of these courses in the approval process. Other changes are detailed below. After stakeholder review, the new policy and approval

pathways were extended to graduate courses as well. GC also approved the revised policy for graduate courses.

Key changes to the existing policy and course approval pathways:
- A workflow that deals with more than purely asynchronous courses (synchronous and hybrid courses have become increasingly common and they are not currently reviewed by CCI);
- Approval pathway for synchronous online courses;
- Approval pathway for hybrid courses;
- A system of reporting and oversight that requires renewal for asynchronous online courses every three years instead of an exhaustive departmental report.

VI. Student Petitions and Grievances

Between September 30, 2020 and July 9, 2021, the committee made decisions on 309 student petitions. Of these 258 (83.50 %) were approved and 51 (16.50 %) were denied. The largest number of petitions reviewed were for substitutions of General Education requirements (64, 20.71%), followed by withdrawal grade requests (63, 20.39%), late add/drop requests (61, 19.74%), grade option change: graded to pass/no pass requests (58, 18.77%), DC substitutions (16, 5.18%), Catalog year change requests (16, 5.18%), Grade option changes: Pass/No Pass to Graded (11, 3.56%), Waivers of Senior Residency requirements (9, 2.91%), Grade Change requests (5, 1.62%), writing requirement extensions (5, 1.62%), and a Transfer/Duplicate Credit Exception (1, 0.32%).

Student Petitions

CCI elected to revise the GE Substitution Form, asking that students themselves respond to the questions related to the GE substitution request, which can be found in the General Education Requirements Table. This differs from prior practice in which the instructor responded to the questions. A copy of an email exchange or a letter signed by the instructor confirming the accuracy of the student's statements and explaining why the reason the substitution is valid, is now sufficient for this requirement.

Grade Grievances

The committee reviewed 7 grade grievances: 4 were denied, 2 were approved, and one was withdrawn. CCI noted most grade grievances are related to academic integrity issues. Proactively, VPDUE Richard Hughey asked CCI to comment on proposed changes to the Academic Integrity Process. CCI and CEP sent a joint response. CCI also observed many COVID-related petitions regarding issues such as illness, relocating, and remote-learning interruptions.

VII. Launch of CARS System to Review Petitions

Throughout 2020-21, CCI in collaboration with Information Technology Systems (ITS) created a new workflow system titled CARS (Community Application and Review System), which was launched in summer 2020 to review student grade grievances, student petitions, Graduate Student Instructor (GSI) requests, and Undergraduate Teaching Assistants requests. Email notifications of CCI's decisions were sent on the Tuesday following each CCI meeting. The notifications were sent to the student, college advisors, CCI Chair, CCI Analyst, and the Registrar. CCI decisions were logged by petition type on the CCI Student Petition Decision Log and shared with the

Registrar Advising Systems Team, Registrar ERT, Academic Preceptors, and the UCSC Summer Session Office. This log and the notification emails served as a useful communication tool for CCI and others to process updates to student records. CCI was made aware of occasional technical issues regarding CARS access and temporary glitches that were resolved with the help of ITS Product Suite Manager Leslie Geary and ITS Programmer Analyst Jim Snook. CCI is grateful for their help. The CARS system allows the requestor to view the decision status immediately, which does prompt some requesters to inquire about processing before email notifications can be generated. CCI received helpful feedback regarding the CARS system and petition forms and is continuing to make updates to simplify and clarify where possible.

In the summer of 2020, ITS advised CCI on a revision to the petition workflow for students to provide highly confidential medical documentation through a secure DocuSign link embedded in the CARS petition form.

VIII.   Teaching Appointments

Between September 30, 2020 and July 9, 2021, the committee considered 284 requests for Graduate Student Instructor (GSI) teaching appointments and 26 for Undergraduate Teaching Assistant (UTA) appointments.

IX.   Changes to Criteria for GSI Appointments

In the spring of 2020, CCI sent communication to course-sponsoring agencies regarding changing the criteria for GSI appointments. This was instigated by concern that in recent years GSI appointments were transitioning from being strictly a learning experience, to one that was subject to the competing interests of balancing the University's budget, and/or increasing graduate student growth. The committee found that quality control expected from the faculty mentoring system is not always reliable. To maintain the quality of the GSI experience, CCI proposed additional criteria listed in the 2019-20 CCI Annual Report[2].

In the responses received by CCI's initial communication, questions were raised about jurisdiction. Several responses cited Santa Cruz Division Bylaw SCB 13.17.4 of the Academic Senate, which states that GSI appointment criteria (for undergraduate courses) are set by CEP and implemented by CCI. In response to jurisdiction and in accordance with SCB 13.17.4, the primary responsibility for GSI Criteria Proposal was transferred to CEP, with consultation and collaboration with CCI.

In December 2020, CEP and CCI sent communication to course-sponsoring agencies regarding the changes to GSI appointment criteria within the context of Summer Session for it to be effective for summer sessions 2021. The committees made the following rules:

- Courses taught by GSIs during summer sessions do not count toward the maximum 25% of GSI-taught courses for a department.
- While summer GSIs must be adequately supervised at the same level as expected for normal quarters, it will be left to the proposing departments to explain how GSIs will be supervised as part of their request to appoint a GSI.

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[2] CCI to Departments re Proposed Changes to GSI Appointment Criteria, 5/28/2020

- Some departments may have to compensate summer supervisors in some way, but it will be up to the department how they handle this. Departments should provide this information regarding supervision in their requests to CCI.

At the beginning of the 2021 winter quarter, CEP and CCI distributed the Finalized GSI Appointment Criteria for Undergraduate Courses to department chairs, program directors, and college provosts. The committees recognize that there is significant variation across campus regarding both departmental use of GSIs for instruction, and with regards to perceptions about the appropriateness of GSI instruction, hence, the necessity and importance for CEP to provide clarification and guidance in moving forward. The following are the criteria:

1. GSI applications must explain how GSIs are properly prepared to teach their course. GSIs who have completed departmental or CITL training will be at a competitive advantage[3].
2. a. GSIs for courses that require teaching assistants must have advanced to candidacy and must have served as a course instructor before.
   b. Enrollment in a GSI-taught course is limited to 120.
3. GSIs must not have academic integrity actions from the university on their record.
4. A faculty mentor may not oversee more than two GSIs in a term unless the mentor is compensated or the service is otherwise recognized.
5. A mentor must have taught the course in question or one in a related area in the last three years. This is to ensure that the mentor is familiar with how the course should be taught. Otherwise, they must be actively committed to co-developing the curricular plan, and state this commitment and planned mentoring activities in a letter to CCI.

Additionally, CEP affirms that no more than 25% of the 5-credit upper division courses offered by a course-sponsoring agency over two consecutive academic years can be taught by GSIs. These finalized changes to the GSI appointment criteria will be applicable beginning in fall 2021. Departments still have the ability to petition to CCI for exceptions to these criteria.

These criteria have been posted on CCI's website.

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[3] From CEP's August 2020 Correspondence: Based on guidance from campus administrators, at least one of the options available to students has to be a credit-bearing pedagogy course, or else the training is considered part of the GSI workload. Keeping in mind that departments are busy with remote instruction at present, we are proposing that the effective date for this requirement be Fall 2022.

Departments have broad discretion about how their pedagogy courses are designed, but we are requesting departments to report to CCI by Spring 2022 about how they plan to satisfy this criterion. A single course can be used to train both GSIs and teaching assistants.

X.   Changes to Faculty Mentor Agreement

The Committee on Courses of Instruction Faculty Oversight and Mentoring Agreement was revised on August 27, 2020, and a reminder was sent to departments on October 8, 2020.

In response to feedback from departments, CCI made the following changes and issued a revised Committee on Courses of Instruction Faculty Oversight and Mentoring Agreement for Undergraduate Courses December 2020. CCI made several changes to provide more flexibility for Faculty Mentors on the timing of interactions with GSIs. CCI also noted that faculty mentors should be assigned no more than 2 GSIs, unless the faculty member is compensated or service is recognized. The changes are listed below:

> Item #4.
> Replaced: "Conduct one class visit and follow-up meeting with the GSI within the first three weeks of the teaching quarter."
> With:
> Conduct one class visit and follow-up meeting with the GSI within the first third of the teaching quarter.
>
> Item #5
> Replaced: "Meet again with the GSI and with the TA(s) (if any) between weeks 5 and 10 to discuss how the course is going. Be available to discuss matters related to the course throughout the quarter."
> With:
> Meet again with the GSI and with the TA(s) (if any) in the second half of the quarter to discuss how the course is going. Be available to discuss matters related to the course throughout the quarter.
>
> Item #7
> Added: CCI recommends that these evaluations should be kept internally within the division and/or department.
>
> Added: a footnote regarding Mentor/GSI ratio of greater than 1:2, faculty should be compensated or service recognized for additional GSIs. This is currently a best-practice recommendation and will fully go into effect in fall 2021. For Summer Session, this policy is modified to allow for the chair to oversee or appoint and compensate a faculty member to oversee.

GC will still be reviewing GSI appointments for graduate courses[4].

XI.   Closed-Week Policy

In collaboration and consultation with CEP, revisions were made to CEP's policy on Final Assessments. This was done for better clarity when CCI reviews syllabus requirements. The

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[4]https://senate.ucsc.edu/committees/gc-graduate-council/gc_gsi_requestform_gradcourses_final20.fillable_aug2020-2.pdf

"Closed Week" section now states[5]:

> The purpose of closed week (for fall, winter, and spring quarters only) is two-fold: (1) to ensure that the full 11 weeks of the quarter are used for instruction (10 weeks) and assessment (1 week of finals) and (2) to provide students time to complete coursework and prepare for their final assessments.
>
> To meet these goals, no examinations, tests, assignments, papers, final projects, presentations, or final performances that result in more than 12.5% of the final grade (other than individual makeup exams) may be due during the last week of instruction. Portfolios or collections of previously assessed work may be collected during the closed week, as long as any newly assessed work does not account for more than 12.5% of the final grade.
>
> Take-home exams or short projects assigned in the last week of instruction and due during finals week should equate roughly to the amount of work required in a traditional three-hour exam time slot. (The three-hour limit for completion of a take-home exam or short project does not include the time required for studying or preparing to complete the assignment.) Larger projects or assignments that students have had several weeks to work on may be due during finals week.
>
> For courses that have a final performance as a main assessment of the course, especially where scheduling students' performances entirely during finals week is infeasible, presentations may be spread over the final weeks of the quarter including the use of the final exam time slot during week 11. If this is done, instructors should both make clear that students should be preparing for these performances weeks ahead of time and provide complete assignment instructions for how to do so well in advance.
>
> Assignments and exams due during finals week should not be due earlier than the exam slot scheduled[6] for the course by the Office of the Registrar (this includes Non Standard Times 1 and 2 for courses outside of standard time blocks).

XII.   Student Union Assembly Voter Registration

The Student Union Assembly (SUA) contacted CCI to request consideration of adding voter registration information as a syllabus requirement. CCI declined the proposals due to insufficient time for changes to be implemented or appropriately reviewed. However, CCI noted that many faculty have made efforts to distribute voter registration information in various ways. Additionally, the Academic Senate sent out two messages to faculty in fall 2020 regarding the important and timely issue of voting and encouraging students to register.

XIII.   Consultation with Articulations Officer Thompson

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[5] https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/final-examinations-policy-revised-021721.pdf

[6] https://registrar.ucsc.edu/soc/final-examinations.html#c

CCI consulted with Articulation Officer Molly Thompson on April 12, 2021. CCI determined that ultimately SCR 10.2.3.2 supersedes CEP's December 6, 2018 correspondence[7] withdrawing admissions authority to review GE articulations. CCI provided Undergraduate Admissions with a list of recent GE substitution approvals from other institutions. CEP and CCI reviewed the "GE Guidelines" currently used by Undergraduate Admissions (UA) and confirmed it is consistent with the GE Requirements Table. In the future CCI will be available to assist in making GE determinations should the UA require assistance.

XIV. Consultation with Global Engagement

On February 8, 2021, CCI consulted with Jeremy Keith Hourigan, Faculty Director of the Division of Global Engagement. Director Hourigan advised that Global Classroom is a collaborative online international learning (COIL) strategy. It does not require mobility, and benefits students that cannot travel abroad. Global Classroom Courses are existing UCSC classes with an additional collaborative project that is designed for UCSC students and students in a foreign institution to work together on. CCI provided information regarding syllabus requirements and logistics regarding course equivalency.

On June 18, 2021, CCI clarified the following regarding Global Classroom Courses:

CCI has the following guidance for courses which implement a collaborative component with an outside institution:

1. If the academic content of a Global Classroom course is equivalent to the existing course, then CCI does not need to review the revised course.
2. If the Global Classroom course requires adding/changing the general education designation to the existing course, then it should be a new course and must be reviewed by CCI.
3. Finally, if the Global Classroom course is a hybrid course that will not have at least 50% of the standard contact hours in person, or exams are administered remotely, then CCI review is required.

XV. Subcommittees

Each year, CCI is asked for representatives to serve on the following external committees as relevant to the committee purview.
- Online Taskforce (Patrick Chung and Yat Li)
- Charter group for Online Programs Campus Initiative (Kevin Karplus)
- Online Programs Initiative Mechanics and Practicum subcommittee (Yat Li)

XVI. Undergraduate Student Representatives

Representatives from the Student Union Assembly participated on CCI in the fall and partially during winter quarter. CCI and the Committee on Committees (COC) discussed whether or not it was appropriate for student representatives to have access to and review student petitions and grievances due to the confidential aspects of these files. COC determined that the ongoing precedent of students not participating in the review of student petitions should continue for 2020–

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[7] CEP to Undergraduate Admissions Director re GE Designations for Courses Taken Elsewhere; December 6, 2018

21, not all CCI members supported this decision. As a result of the decision, the student representatives resigned from the committee. COC will be discussing this further in the 2021–22 academic year.

XVII. Correspondence

Systemwide:
- Systemwide Proposed Revisions to Senate Regulation 544; October 29, 2020
- Proposed Revisions to Senate Regulation 630; October 29, 2020
- Online Undergraduate Degree Task Force Report; November 19, 2020

Other:
- Committee on Courses of Instruction Faculty Oversight and Mentoring Agreement; August 27, 2020
- CEP, CCI, GC to VPDUE RE: Request for Delegation of Remote Instruction Authority; September 16, 2020
- CCI to Dept Chairs RE: CCI's New Faculty Mentor Agreement; October 8, 2020
- CCI to SUA RE: CCI Action Request Response: Voter Registration Information Distribution; October 29, 2020
- CCI to VPDUE Delegation of Instruction to Course Sponsoring Agencies for Summer 2021; November 2, 2020
- CCI to ASC Re Disability Resource Center; December 16, 2020
- CCI to Dept Chairs, Program Directors, Dept Managers re CCI Undergraduate and Graduate Syllabi Requirement Checklist; January 8, 2021
- Committee on Courses of Instruction Syllabus Requirements Checklist for Internal Department and Program Use; January 2021
- CEP and CCI to CPB re Classroom Space Issues; January 8, 2021
- CCI to COT, CAF, and CEP re Consideration of a Syllabi Database; February 5, 2021
- CCI to Course Sponsoring Agencies re Fall 2021 Course Deadline Reminder; March 8, 2021
- CCI to CRES re CRES GSI Exception Request for 2021-22; May 11, 2021
- CCI to Undergraduate Admissions re General Education (GE) Articulations and Delegation of Authority; May 21, 2021
- CCI to MCD Bio re GE Requirements; May 28, 2021
- CCI to Literature re GSI Guidelines Waiver of Mentor GSI Ratio; June 4, 2021

XVIII. Recommendations for 2021–22 CCI
- Annual Fall Correspondence regarding course and GSI deadlines.
- Continue to support changes to the Student Academic Conduct Policy.
- Consider having faculty commit to a 3-year term on CCI, because continuity in membership will better ensure policy decision uniformity over time. Terms should be staggered so that only a third of the committee is new each year. A succession plan, such as one year as Vice Chair before serving as Chair, would also be valuable.
- Discuss adding a new requirement for syllabi: contingency planning for campus disruptions. With fires likely to be frequent in fall quarters and campus-wide strikes also quite likely any quarter, every faculty member should be thinking about how their course

will continue in the face of disruption. CCI needs to decide whether to require contingency plans in the syllabi and, if required, what standards to apply to evaluating them.

- Train new members on accessing records of previous decisions, so they can use this information to guide and regularize future decisions on student petitions. Consider documenting discussions and generating a best-practices document.
- Allow the committee flexibility to make decisions quarter-by-quarter due to the very unusual circumstances around remote instruction.

The committee would like to especially thank Rebecca Hurdis and Morgan Gardea for serving as the analysts during this academic year. Their efforts and work in supporting the committee were invaluable in ensuring the efficacy of the committee. Additionally, the committee also wants to thank Deputy Registrar Margie Claxton for her consultation and guidance since the inception of CCI. We wish her well in her retirement.

Respectfully submitted,

COMMITTEE ON COURSES OF INSTRUCTION
Elizabeth Beaumont (F)
Patrick Chuang   Kalin McGraw, Associate Registrar, *ex officio*
Carolyn Dean (F,W)   Margie Claxton, Deputy Registrar, Standing guest
Kevin Karplus   Marie Yoo, Academic Preceptor, Standing guest
Rebecca London (S)   Daniel Halpern-Devries, Undergraduate Student Rep
Amanda Rysling   Natasha Matti, Undergraduate Student Rep
Eve Zyzik (S)
Yat Li, Chair

August 31, 2021

Appendix I.

<div align="center">

**Committee on Courses of Instruction
Syllabus Requirements Checklist
for Internal Department and Program Use**

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** CCI is providing this checklist to departments as a way to help the new course and revised course proposals that come to the committee. Ideally, this checklist should be given to instructor to use to review their syllabus before having the department/program staff submit it in the CAT system. These requirements listed are what the committee uses to evaluate a new or revised course.

If the uploaded syllabus is missing one or more of the elements below, course approval will be delayed until a completed syllabus is submitted. For best practices, please refer to CITL, IRAPS Course Learning Outcomes; and Programming Outcomes by Division, and DRC, particularly for learning outcomes, course pacing and grading structures.

<div align="center">

Undergraduate Courses

</div>

1. Learning outcomes or objectives specific to the course (it is recommended that at least one align with your program's learning outcomes)

2. Nature of assignments/assessments (projects, homework, written assignments, quizzes, exams, etc.) and how these connect to the course learning objectives

3. Weekly schedule for course materials

4. Student hours for class: Systemwide Senate Regulation 760 specifies that one academic credit corresponds to a total of 30 hours of work for the median student over a quarter (e.g., 3 hours per week for a 10-week quarter). Syllabus should estimate the anticipated distribution of the required hours. For example, a 5-unit course may require 3.25 hours of lecture, 5 hours of reading, 1 hour of section, and 5.75 hours of homework per week.

5. How assessments add up to a final grade

6. If you are not giving a final exam in the course's assigned time slot, provide information regarding what replacement for a final exam will be used.

7. 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.

 8. Policies on collaboration, citation, and academic integrity specific to the course. Please refer to CITL's Sample Syllabus Language document and/or the UE's Faculty Resources page.

9. The following notification for student support resources is required: DRC

10. The following notifications for student support resources are <u>recommended</u>: CARE, Title IX, CAPS. Please refer to CITL's Syllabus Template resource page.

Graduate Courses

1. Course learning outcomes or objectives (it is recommended that at least one align with your program's learning outcomes)

2. Nature of assignments and how they connect to course goals

3. Weekly schedule for course materials

4. Method of determining final grade, including the weight for each element, if providing letter grades

5. Policies on collaboration, citation, and academic integrity with links to resources on correct practice

6. The following notification for student support resources is required: DRC

7. The following notifications for student support resources are recommended: CARE, Title IX, CAPS.

Appendix II. Revised Online Course Policy

Committee on Educational Policy (CEP) and Graduate Council (GC)

Policy on UC Santa Cruz Undergraduate and Graduate Online and Hybrid Courses

Introduction
Online instruction is increasingly being integrated into the national educational experience. Many instructors at UC Santa Cruz have already developed innovative ways of using technologies in online courses that provide high-quality learning experiences. As with any new approach to teaching at UC Santa Cruz, it is important to monitor the quality of the educational experience being offered. This oversight is the remit of the Committee on Courses of Instruction (CCI) for individual courses, Committees on Educational Policy (CEP), and Graduate Council (GC) for overall policy.

Departments and other course sponsoring agencies (CSA's) should consider where and how they think online courses are best used in their curricula. Departments and programs that have already had such conversations and developed policies around them will be well-placed to help individual instructors develop successful proposals for online courses with minimal additional steps. CEP and GC will work with departments that have not already developed such policies in doing so.

At UC Santa Cruz, faculty have developed online courses in asynchronous and synchronous formats[1]. Faculty have also begun to develop hybrid courses. For the purposes of this policy, these course formats are defined as follows:

> Asynchronous Online: Instruction that is characterized by its reliance on lectures, engagement activities, assessments, or other course materials that are pre-recorded and carefully pre-planned for students who will have minimal (or no) face-to-face[2], real-time interactions. Asynchronous courses do not have set meeting times that are advertised to students when they enroll; instead, students typically access the materials at a time of their choosing within the timeframe specified by the instructor (e.g., all of week three materials might be available on the first day of week three).

Synchronous Online: Instruction that is characterized by its use of videoconferencing software to facilitate face-to-face, real-time interaction with students. Similar to courses taught in person, synchronous online courses are also characterized by their use of set meeting times that are advertised to students when they enroll.

Hybrid: Instruction that includes multiple modalities in one course. These modalities are most commonly asynchronous and in-person, but may also be synchronous and in-person, or asynchronous and synchronous.

Asynchronous, synchronous, and hybrid courses represent distinct approaches to teaching and learning given their reliance on educational technologies. All UC Santa Cruz courses are expected to meet the same high standards, and common characteristics of high-quality courses (regardless of modality) includes active engagement of a qualified instructor who has significant expertise in the subject of the course; regular and pedagogically significant interactions between instructor and students; and a means for students to regularly assess their progress towards achievement of course learning outcomes. All courses are expected to provide appropriate accommodations for students with accommodations approved by the Disability Resource Center (drc@ucsc.edu). Designing new hybrid or online courses presents a unique opportunity to develop courses that are highly accessible.

A successful online course presents educational experiences that differ from those associated with in-person courses, but provides students with an equivalent educational outcome to that of an in-person class. This equivalency should therefore apply to other aspects of educational policy. This guiding principle is relevant to the credit that students receive for taking the class and means that the approval pathway for an online class should (after the initial monitoring period) be the same as an in-person class.

CEP, GC, and CCI wish to encourage, not discourage, the creative use of technologies in online courses with the aim of improving student learning. If you are new to teaching in an online format, or looking for additional guidance, you are encouraged to reach out to Online Education (online@ucsc.edu). Supplemental information from instructors of online courses is requested in order to study the crucial aspects of a successful online offering; given the different online offering formats (asynchronous and synchronous), the supplemental sheets differ slightly to focus on the most pertinent information. For hybrid courses, in most cases only a brief supplemental checklist will be required. In some cases, such as when remote exams are being used in a hybrid course, CCI requires the instructor to provide additional information.

Asynchronous and Synchronous Online Course Approval Pathway
The course approval process is as follows:

1. Instructors first consult their department's policy about online courses in their curriculum, if one exists, and develop a course consistent with it.
2. Instructors work to obtain approval from their department for their course proposal.
3. Instructors may then contact the Office of Online Education (online@ucsc.edu) for consultation regarding development or support.
4. Instructors must then apply for approval from CCI, which requires an online supplemental form.
5. *Asynchronous courses only*: After three years, the department must submit a renewal request for the course to continue to be offered asynchronously.[3] Permanent approval can be requested after the first successful renewal cycle.

Hybrid Course Approval Pathway
The course approval process is as follows:
1. Instructors first consult their department's policy about hybrid courses in their curriculum, if one exists, and develop a course consistent with it.
2. Instructors work to obtain approval from their department for their course proposal.
3. Instructors may then contact the Center for Innovations in Teaching and Learning (citl@ucsc.edu) or Online Education (online@ucsc.edu) for consultation regarding development or support.
4. Instructors must then request approval from CCI; in most cases this will only require a supplemental checklist.

A. POLICIES FOR APPROVAL OF ONLINE COURSES

1. Asynchronous online courses will be approved for up to three years after the initial offering of the course. Renewal will be based on CCI's assessment of a request for renewal.[4] Permanent approval can be requested after the first successful renewal cycle.

2. Required courses for undergraduate majors and minors, as well as graduate degrees, cannot be offered exclusively in an asynchronous online format. Required courses must be taught in-person at least once during any academic year in which they are offered. Exceptions to this policy can be requested and may be approved by CCI, and must be based on clear pedagogical advantages or on student demand.

3. All online and hybrid courses must be clearly identified in the schedule of classes. Courses will also be included in the course catalog.

4. All campus policies and regulations for courses and instruction (registration deadlines, academic integrity, grading, instructor availability, etc.) that apply to non-online courses also apply to fully

online courses. Classes must conform to the standard 10-week (academic year) and Summer session schedules.

B. SUPPLEMENTARY INFORMATION FOR ONLINE COURSE PROPOSALS

The supplemental questions are available on CEP, GC and CCI's websites and/or available in the CAT system.

Approved by the Committee on Educational Policy on November 14, 2018, and revised on May 12, 2021.

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[1] "Remote" instruction, as characterized by the primary modality of instruction used during the COVID-19 pandemic, is a modality that CEP and GC have reserved for use during emergencies when it is unfeasible for departments to request CCI approval for online or hybrid versions of courses.

[2] A face-to-face contact hour is defined as a lecture or discussion session taught by the primary instructor that a student can attend in a setting where the instructor is physically present, even if the session is simultaneously presented online. The determination of pedagogically significant face-to-face contact hours does not include office hours, time spent in exams proctored in person, or contact hours with secondary instructors, such as Teaching Assistants.

[3] In cases where there are multiple versions offered of the same approved course (for instance, WRIT-2), the department should address whether the versions will all continue to be offered. The department should also request voluntary feedback for the renewal request from the instructors who have taught the online versions.

[4] Grant-supported online courses such as those funded by Innovative Learning and Technology Initiative (ILTI) are subject to this approval process, but can fulfill their initial offering commitment regardless of the outcome of the three-year request for renewal.

Committee on Educational Policy (CEP), Graduate Council (GC) & Committee on Courses of Instruction (CCI)

Asynchronous Online Supplemental Questions & Checklist

Asynchronous: Instruction that is characterized by its reliance on lectures, engagement activities, assessments, or other course materials that are pre-recorded and carefully pre-planned for students who will have minimal (or no) face-to-face, real-time interactions. Asynchronous courses do not have set meeting times that are advertised to students when they enroll; instead, students typically access the materials at a time of their choosing within the timeframe specified by the instructor (e.g., all of week three materials might be available on the first day of week three).

<u>Open-ended Questions</u>

1. Explain why this course is appropriate in an asynchronous online format. If there are student learning outcomes that may be addressed through the offering format, explain them here.

2. Discuss the placement of the course in the department or program's curriculum and whether it is an undergraduate major, undergraduate minor, or graduate degree requirement (note that required courses must be offered in a non-asynchronous format at least once during any year that they are offered). If the course has an in-person counterpart, please discuss how the two versions would be scheduled in relation to each other, their expected enrollment levels, or any key differences between the two versions.

3. Describe the methods or approaches used to facilitate interaction between students to develop a sense of community. This is especially important in asynchronous courses because of the reduced reliance on face-to-face interactions. Examples include using and actively participating in discussion forums (text, video or audio); designing assignments that require peer-to-peer interaction; and creating a climate that is welcoming to all students. More examples of best practices related to inclusion and equity are available.

4. Describe instructor presence in a typical week for the course. Explain how the instructor engages with students through pre-recorded video(s), in discussion forums or through written feedback on submitted work, during office hours or other face-to-face interactions, feedback on students' assignments, or through other means.

5. For courses supported with Teaching Assistants, describe how Teaching Assistants engage with students through discussion forums, secondary discussion sections, feedback on submitted work, or through other means. If the course is not supported with Teaching Assistants, reply with "not applicable".

6. Describe the resources and structure provided to students to help them navigate, make progress, and succeed in this asynchronous course. Examples include: using an introduction module; adopting a modular course structure; hosting a synchronous meeting to orient students to the course early in the quarter and recording it for students who cannot attend; holding office hours at different times of the day to better accommodate students in different time zones; including time estimates for activities and assignments.

7. Explain how exams, such as midterms and finals, are administered and explain what steps are taken to maintain academic integrity. If the course uses remote proctoring for exams, information regarding the method for remote proctoring (i.e., ProctorU or Zoom-based proctoring) must be included on the syllabus. Instructors are encouraged to provide an in-person option for students to take exams on the UCSC campus whenever possible.

Check-box Statements (required)

❑   UCSC provides instructors with resources to assist with the design and development of courses that rely on technology to facilitate student learning; the primary contact for this is Online Education (online@ucsc.edu). I am aware of these resources and will make use of them as needed.

❑   Courses that rely on technology to facilitate student learning provide opportunities to expand accessibility beyond what is typically accomplished through in-person learning. Videos must be captioned, course readings made compatible with screen-readers, live transcripts added, and so on. I am aware of these resources and will make my course accessible to all students.

❑   Instructor presence is critical for student success. Teaching an asynchronous course shifts instructor responsibility more heavily to written and recorded engagement with students. This course will be designed such that instructor engagement with students will remain a central component of the educational experience.

❑   I pledge that the course will be designed such that TA workload remains within contract limits.

❑   I commit to use technologies approved for teaching by ITS and other campus oversight bodies. If I wish to adopt a new technology that does not appear on that list for use in a course, I commit to ensuring that the technology meets campus criteria for accessibility, privacy of student data, and data security. If you have questions about this, please contact its@ucsc.edu or fitc@ucsc.edu to discuss the technological tool in question.

❑   Asynchronous course content, and in particular pre-recorded video, occasionally requires updating. Instructors are encouraged to review and update their course content as needed.

Committee on Educational Policy (CEP), Graduate Council (GC) & Committee on Courses of Instruction (CCI)

Synchronous Online Supplemental Questions & Checklist

Synchronous: Instruction that is characterized by its use of videoconferencing software to facilitate face-to-face, real-time interaction with students. Similar to courses taught in person, synchronous online courses are also characterized by their use of set meeting times that are advertised to students when they enroll.

Open-ended Questions

1. Explain why this course is appropriate in a synchronous online format. If there are student learning outcomes that may be addressed through the offering format, explain them here.

2. Discuss the placement of the course in the department or program's curriculum and whether it is an undergraduate major, undergraduate minor, or graduate degree requirement. If the course has an in-person counterpart, please discuss how the two versions would be scheduled in relation to each other, their expected enrollment levels, or any key differences between the two versions.

3. Describe the methods or approaches used to facilitate interaction between students to develop a sense of community. This can be accomplished through the use of active learning, small group work in breakout rooms or outside of scheduled class time, peer-review assignments, using ice-breakers early in the course, and so on.

4. Describe instructor presence in a typical week for the course. How is class time used, and how does the instructor engage with students outside of class, such as through feedback on assignments or in office hours?

5. Describe the resources and structure provided to students to help them navigate and succeed in this synchronous course. Examples include: using an introduction module; adopting a clear course structure; using the first synchronous meeting to orient students to the course; recording some or all synchronous sessions for students who are unable to attend; holding office hours twice per week and holding one in the morning and the other in the late afternoon to better accommodate students in different timezones.

6. Explain how exams, such as midterms and finals, are administered and explain what steps are taken to maintain academic integrity. If the course uses remote proctoring for

synchronously-administered exams, information regarding the method for remote proctoring (i.e., ProctorU or Zoom-based proctoring) must be included on the syllabus. Instructors are encouraged to provide an in-person option for students to take exams on the UCSC campus whenever possible.

Check-box Statements (required)

❑   UCSC provides instructors with resources to assist with the design and development of courses that rely on technology to facilitate student learning; the primary contact for this is Online Education (online@ucsc.edu). I am aware of these resources and will make use of them as needed.

❑   Courses that rely on technology to facilitate student learning provide opportunities to expand accessibility beyond what is typically accomplished through in-person learning. Videos must be captioned, course readings made compatible with screen-readers, live transcripts added, and so on. I am aware of these resources and will make my course accessible to all students.

❑   I commit to use technologies approved for teaching by ITS and other campus oversight bodies. If I wish to adopt a new technology that does not appear on that list for use in a course, I commit to ensuring that the technology meets campus criteria for accessibility, privacy of student data, and data security. If you have questions about this, please contact its@ucsc.edu or fitc@ucsc.edu to discuss the technological tool in question.

❑   I pledge that the course will be designed such that TA workload remains within contract limits.

Committee on Educational Policy (CEP), Graduate Council (GC) & Committee on Courses of Instruction (CCI)

Hybrid Course Checklist

Hybrid: A term used generally to describe models of teaching and learning that include multiple modalities in one course. These modalities might be: 1) asynchronous online and in-person (most common); 2) synchronous online and in-person; and, 3) online asynchronous and synchronous.

For the purpose of the hybrid course approval process, courses that take place with at least 50% of the standard contact hours in-person can use the hybrid course checklist below[1].

Courses that will not have at least 50% of the standard contact hours in person should use either the Asynchronous Online or the Synchronous Online course approval processes. Determinations for the appropriate form should be made based on the dominant offering mode for the proposed course. To seek guidance on form selection, contact online@ucsc.edu.

Checklist (required)

❏ In a typical week in this course, at least 50% of class time includes required face-to-face interaction between the instructor and students. Face-to-face interaction should primarily take place in-person, but may occasionally use Zoom or other video-conferencing technologies.

❏ Midterm or final exams, where present, are administered using the in-person component, and no high-stakes exams are administered using remote proctoring. However, if midterm or final exams are administered remotely, using remote proctoring, or delivered in a take-home format, explain what steps are taken to maintain academic integrity. In the text box, please provide an explanation for CCI's review.

❏ UCSC provides instructors with resources to assist with the design and development of courses that rely on technology to facilitate student learning. Resources are available through the Center for Innovations in Teaching and Learning (citl@ucsc.edu) and Online Education (online@ucsc.edu). I am aware of these resources and will make use of them as needed.

❏ Courses that rely on technology to facilitate student learning provide opportunities to expand accessibility beyond what is typically accomplished through in-person learning.

Videos can be captioned, course readings made compatible with screen-readers, live transcripts added, and so on. I am aware of these resources and will aim to make my course accessible to all students.

❏   I commit to use technologies approved for teaching by ITS and other campus oversight bodies. If I wish to adopt a new technology that does not appear on that list for use in a course, I commit to ensuring that the technology meets campus criteria for accessibility, privacy of student data, and data security. If you have questions about this, please contact its@ucsc.edu or fitc@ucsc.edu to discuss the technological tool in question.

❏   I pledge that the course will be designed such that TA workload remains within contract limits.

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[1] Class time is defined as the number of instructional hours per week. An appropriate measure is the equivalent time spent in-person for a standard, fully in-person version of a course of the same credit count.

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Development and Fundraising (CDF) serves as a point of interface between the Academic Senate and the Administration to promote faculty engagement in campus fundraising and development as well as to collaborate with University Relations in those efforts. The Vice Chancellor for University Relations (VCUR) is a member of CDF and the committee also consults regularly with the Vice Chancellor for Research (VCR). CDF has now completed its second year since formal Senate approval in 2019.

I.   Summary of 2020-21

CDF spent much of the first quarter setting priorities for the year. These discussions included meetings with VCR Scott Brandt as well as Committee on Research (COR) chair Paul Roth. There are possible future joint efforts such as seed funding through a combined Office of Research (OR) and University Relations (UR) effort. There are also other possible interactions with other senate committees such as Graduate Council for increasing graduate support (which UR has said will likely be a significant part of the next campaign). The committee agreed, however, with its existing charge: to advise and support the VCUR as needed. This support includes providing key insight on current and future research interests and directions from the committee members that represent each division. As such, CDF has and should continue to recruit faculty with a large amount of experience in private fundraising and/or research institutes/centers in order to be an effective support for UR. CDF feels that it needs to continue increasing its visibility to both administration and faculty, so that it can become a regular go-to resource for faculty feedback and UR. The expertise of the committee members provides insight that may go beyond that of divisional, UR or administrative staff.

CDF member Francis Nimmo led the efforts on creating a new FAQ for faculty seeking information on how to initiate development/fundraising efforts.[1] The contents and the webpage were created in collaboration with VCUR Mark Davis and his staff. After review and discussion by CDF, the FAQ went online at the end of the spring quarter and has already gotten positive feedback from both administration and faculty. This document will remain online and CDF recommends it be updated annually by future CDF committees.

The chair served as a member of two search committees for administrative positions in UR, namely the Director of Foundation Relations and the Executive Director of Development. While the goal was to increase the visibility of CDF and support of UR, and much was learned by the chair, the search committee members have far greater insight on the needs and priorities of their teams. It would therefore likely be a better use of time for future CDF chairs to focus on committee priorities.

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[1] See: Development and Fundraising for Faculty at https://giving.ucsc.edu/faculty-faq/

One theme that was agreed upon throughout the year was the need to foster new interdisciplinary efforts, as well as to support existing ones. A current bottleneck is the divisional nature of seeking support of new endeavors. Faculty often only go to their chair and dean; there needs to be extra-divisional support that will help guide the process of multidisciplinary ideas, on both the large and small scales. These discussions gave rise to the following consultations in the spring quarter.

II.   Key Consultations and Points of Impact

After much consideration, the main goal of CDF was to initiate discussions with the administration on supporting new and existing interdisciplinary research efforts. The proposed support would be to provide resources in bringing together faculty from multiple divisions to promote faculty engagement in campus fundraising and development. Rather than an extension of the fairly recent Themed Academic Working Groups (TAWG) and its multiple inceptions in prior years, the plan was to bring together directors (past and present) of the many existing research centers and institutes, along with all interested faculty. These fora would initiate discussions for a future call of central seed funding.

Meetings with CP/EVC Lori Kletzer, VCR Scott Brandt and CDF took place on 4/14/21, which led to a follow-up meeting on 5/17/21. Amongst the topics discussed, ones that stood out were: (i) how to bring faculty together and remove inter-divisional barriers to discuss and promote emerging interdisciplinary research efforts; (ii) how to incentivize faculty to take the lead of new interdisciplinary efforts as well as ensuring recognition of these efforts by departments, deans and the Committee on Academic Personnel (CAP) on reviews/promotion; (iii) should interdisciplinary institutes report centrally rather than to their division?

All agreed that the first point would best be initiated by holding research fora to bring together interested parties. CDF recommends this be organized at the level of the CP/EVC, in collaboration with OR and UR. Announcement of the fora from these offices would garner the greatest interest of potential stakeholders. The importance of creating new incentives independent from divisions was agreed upon, as deans tend not to push interdisciplinary efforts. OR and UR can provide a possible "glue" to promote interdisciplinary entrepreneurship beyond departments and divisions. One possible new incentive is for OR to match the seed funding of institutes. But beyond small amounts of funding, consortia could be more convincing to companies and philanthropic sources for raising support. The efforts of OR in working with groups of faculty that stopped due to the shutdown should be continued. A clear goal for any new institute or center is for it to become independent, raise center-scale support and have a life of its own such as the Institute for Marine Sciences or Center of Information Technology Research in the Interest of Society (CITRIS) (the latter brings in state money). At the same time, it was recognized that not all interdisciplinary efforts can be at the Organizational Research Unit (ORU) level. Some of the discussions for the latter two topics were outside the purview of CDF, such as offering teaching relief for new collaborative efforts or proposals: this incentive is already under consideration at OR.

In addition, CDF felt there is a need to support research in divisions and departments that traditionally lack significant sources of internal or external support. This goal aligns with the breadth of research expertise at UC Santa Cruz and the funding pathway of COR grants. Examples of this relatively small, inexpensive initiative include a possible rotating endowed chair, seminar series or graduate/postdoctoral fellowship, to be decided by CDF or by UR in consultation with CDF and based on intellectual quality. These discussions with the VCUR and AVC UR Philanthropy led to a draft theme document summarizing future strategies of obtaining donor funding towards this goal. This document will be shared with the incoming CDF members.

III.   Potential Issues for 2021-22

CDF should definitely capitalize on the above stated support from the CP/EVC, who clearly understands and appreciates the key issues of support for new inter-divisional research directions. Based on comments by both the CP/EVC and VCR, it's recommended the next CDF provide a document summarizing the desired support mechanisms and levels of support. They both stated they will need to think about the organizational development for implementing the discussed fora and incentives.

It would be worthwhile for CDF to send a reminder e-mail to the senate at the start of the fall quarter about the FAQ webpage. Equally important, links to this webpage still need to be added to strategic high level campus main pages such as those of UR, OR and the senate. Certainly, a link should also be added to the CDF webpage. [2]

Finally, the existence of the Foundation Board Opportunity Fund (BOF) should also be broadly disseminated. At present, only some faculty know of this seed funding for initiating new research efforts and collaborations. Broader awareness and utilization of the BOF could greatly benefit the research enterprise through possible increase in future support from the Foundation.

Respectfully submitted,

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
J.J. Garcia-Luna-Aceves
Karen Holl
Jimin Lee
Patrick Mantey
Francis Nimmo
Anna Tsing
Mark Delos Reyes-Davis
Scott Oliver, Chair

August 31, 2021

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[2] See: https://senate.ucsc.edu/committees/cdf-committee-on-development-and-fundraising/

COMMITTEE ON EDUCATIONAL POLICY
Annual Report 2020-21

To the Academic Senate, Santa Cruz Division:

The Committee on Educational Policy's (CEP) responsibilities include the review of the undergraduate programs and their program statements, and consultation with other Academic Senate Committees and administrative units on a broad range of issues concerning undergraduate education. In addition to these routine activities, the committee also spent time reviewing issues related to COVID-19 and the ongoing impacts to remote teaching and learning regarding undergraduate education.

The committee has dealt with the following issues this year:

I.   RESOURCES FOR UNDERGRADUATE EDUCATION

As a follow up to the 2018-19 CEP committee communication in April 2019 to then Campus Provost and Executive Vice Chancellor (CP/EVC) Marlene Tromp regarding classroom capacity issues and the impact on undergraduate curriculum, CEP and the Committee on Courses of Instruction (CCI) sent correspondence to the Committee on Planning and Budget (CPB) seeking consultation regarding guiding principles for determining creative solutions. CPB provided additional suggestions for the guiding principles. Both committees will continue to develop a guiding principles document. Additionally, in the Vice Provost for Academic Affairs' (VPAA) Call for Five-Year Lists of New Programs, the committee responded stating that CEP will not approve any new program that requires additional general assignment classrooms in an academic term and a size category for which the utilization is already at or above 90%.

II.   COVID-19

This academic year continued to operate in the mode of remote teaching and learning. The following are the specific issues the committee reviewed and determined.
   a. *Delegation of Authority for 2020-21*
       i.   *Winter 2021*
            On September 30, 2020, CEP, CCI and Graduate Council (GC) jointly announced with the CP/EVC that winter quarter 2021 instruction would be largely online with the Senate delegating authority for approval of remote offering of courses to course sponsoring agencies.
       ii. *Spring and Summer 2021*
            On November 2, 2020, the CP/EVC announced with CEP, CCI and GC that spring and summer quarters would be remote with the delegation of for approval offering of courses to course sponsoring agencies.
       iii. *Fall 2021*
            On February 25, 2021, CEP, CCI and GC announced jointly with the CP/EVC that fall 2021 instruction will include a mix of remote, online and in-person instruction. The Senate delegated authority for approval of remote course offerings for fall 2021. On March 23, 2021, CP/EVC announced that instruction would largely aim to be in-person. The delegation to course sponsoring agencies remained.

b. *Extending P/NP*

In light of the January correspondence from Academic Council regarding P/NP extensions during the ongoing pandemic, CEP communicated to course sponsoring agencies the continuation made by the 2019-20 committee, and the recommendations extending through summer 2021.

- **Policies that do not relate to requirements for academic programs**
  - P/NP grades earned at UC Santa Cruz during the period that courses are taught primarily through remote instruction will not be included in the requirement that no more than 25% of the credits completed at UC Santa Cruz may be graded on a Pass/No Pass basis (Temporary adjustment to SR 10.1.1).
- **Existing relevant regulations**
  - Students who are not in good academic standing are not able to take courses on a P/NP basis (SR 9.1.2).
  - Students who failed a course with a letter grade cannot retake it on a P/NP basis (SR 9.1.8).
- **Policies that relate to requirements for academic programs**
  - We continue to encourage departments to remain flexible and to think about P/NP for major qualifications and other departmental letter grade requirements, and to have clear communication to students and advisers.

c. *Remote Teaching and Learning*
  i. *Asynchronous Final Times*

In fall 2020, the committee reviewed final exam times in the face of the increase in remote and asynchronous classes. With only two non-standard final times, it was possible for a student to have time conflicts with final exams. The committee's communication was to make course sponsoring agencies aware of the potential problems and scheduling conflicts and to encourage flexibility.

III. **ONLINE UNDERGRADUATE DEGREE PROGRAMS**
  a. *Systemwide Review of Online Undergraduate Degree Task Force Report*

The committee spent considerable time reviewing and discussing the Academic Council's Systemwide Undergraduate Degree Task Force Report. Out of the presented options, the committee recommended Option 2: supporting the formation of entirely remote degree programs, but requiring that programs meet all ordinary expectations for a UC degree. The committee unanimously agreed that stronger infrastructure needs to be developed to make this possible. Furthermore, extensive support structures including mental and physical health support, learning difference support and job search support should be a priority. The committee was also concerned about equity issues and the possibility of creating a two-tiered educational system if online degree programs were implemented without sufficient student support structures.

  b. *CPEVC's Online Programs Project Charter Group*

In November, the CP/EVC announced four campuswide initiatives for 2020-21. CEP chair and the VPAA co-facilitated the working group. As a result of this group's work, an Online

Program Project initiative was created and reviewed by the committee, with the chair recused. The committee supported the formation of an executive committee and five subcommittees to address the feasibility of offering online degree programs. Members noted some confusion, as the pathway for online degree programs seemed to be moving forward, and there was concern that members' review and response was moot at the time. The committee was interested in issues raised regarding parity for online degree-seeking students with regard to student support services, in actively preventing the creation of a two-tiered system for degree programs. It was noted that, if there will be forthcoming proposals for online degree programs, the committee would need to establish clear criteria for these degree programs and possibly create a subcommittee.

IV.   Annual Program Statement Review

In the third year of utilizing the Curriculum Approval and Tracking (CAT) system, the process went smoother with some improvements, such as the added documentation page that was implemented. However, due staff turnover, the campus as a whole is still familiarizing themselves.

This year, the committee asked departments and programs to ensure that the statements were in alignments with the 2019 revised Policy on Major Declaration Process and Deadlines. CEP believes that the consistency across departments will be well worth the temporary extra burden on CEP members.

V.   LEGISLATION AND POLICIES

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

a.   Graduate Student Instructor (GSI) Appointment Criteria

In December 2020, CEP and CCI sent communication to course sponsoring agencies regarding the changes to GSI appointment criteria within the context of Summer Session for it to be effective for summer 2021. The committees determined:

- Courses taught by GSIs during summer sessions do not count toward the maximum 25% of GSI-taught courses for a department.
- While summer GSIs must be adequately supervised at the same level as expected for normal quarters, it will be left to the proposing departments to explain how GSIs will be supervised as part of their request to appoint a GSI.
- Some departments may have to compensate summer supervisors in some way, but it will be up to the department how they handle this. Departments should provide this information regarding supervision in their requests to CCI.

At the beginning of the 2021 winter quarter, CEP and CCI distributed the Finalized GSI Appointment Criteria for Undergraduate Courses to department chairs, program directors, and college provosts. The committees recognize that there is significant variation across campus regarding both departmental use of GSIs for instruction and perceptions about the appropriateness of GSI instruction. Hence, the necessity and importance for CEP to provide

clarification and guidance in moving forward. The following are the criteria:

1. GSI applications must explain how GSIs are properly prepared to teach their course. GSIs who have completed departmental or CITL training will be at a competitive advantage[1].
2. a. GSIs for courses that require teaching assistants must have advanced to candidacy and must have served as a course instructor before.
   b. Enrollment in a GSI-taught course is limited to 120.
3. GSIs must not have academic integrity actions from the university on their record.
4. A faculty mentor may not oversee more than two GSIs in a term unless the mentor is compensated or the service is recognized.
5. A mentor must have taught the course in question or one in a related area in the last three years. This is to ensure that the mentor is familiar with how the course should be taught. Otherwise, they must be actively committed to co-developing the curricular plan and state this commitment and planned mentoring activities in a letter to CCI.

Additionally, the committee affirmed that no more than 25% of the 5-credit upper division courses offered by a course sponsoring agency over two consecutive academic years can be taught by GSIs. These finalized changes to the GSI appointment criteria will be applicable beginning in Fall 2021. Departments still have the ability to petition these criteria to CCI.

b. *Final Exam Policy and Closed Week*

CCI asked CEP to review the current Final Exams policy to ensure that CCI was reviewing courses properly in reference to closed week. The committees reviewed and revised the Final Examinations Policy, providing more context for closed week.

- The purpose of closed week (for fall, winter, and spring quarters only) is two-fold: (1) to ensure that the full 11 weeks of the quarter are used for instruction (10 weeks) and assessment (one week of finals) and (2) to provide students time to complete coursework and prepare for their final assessments.

  To meet these goals, no examinations, tests, assignments, papers, final projects, presentations, or final performances that result in more than 12.5% of the final grade (other than individual makeup exams) may be due during the last week of instruction. Portfolios or collections of previously assessed work may be collected

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[1] From CEP's August 2020 Correspondence: Based on guidance from campus administrators, at least one of the options available to students has to be a credit-bearing pedagogy course, or else the training is considered part of the GSI workload. Keeping in mind that departments are busy with remote instruction at present, we are proposing that the effective date for this requirement be Fall 2022.

Departments have broad discretion about how their pedagogy courses are designed, but we are requesting departments to report to CCI by Spring 2022 about how they plan to satisfy this criterion. A single course can be used to train both GSIs and teaching assistants.

during the closed week, as long as any newly assessed work does not account for more than 12.5% of the final grade.

Take-home exams or short projects assigned in the last week of instruction and due during finals week should equate roughly to the amount of work required in a traditional three-hour exam time slot. (The three-hour limit for completion of a take-home exam or short project does not include the time required for studying or preparing to complete the assignment.) Larger projects or assignments that students have had several weeks to work on may be due during finals week.

For courses that have a final performance as a main assessment of the course, especially where scheduling students' performances entirely during finals week is infeasible, presentations may be spread over the final weeks of the quarter including the use of the final exam time slot during week 11. If this is done, instructors should both make clear that students should be preparing for these performances weeks ahead of time and provide complete assignment instructions for how to do so well in advance.

Assignments and exams due during finals week should not be due earlier than the exam slot scheduled[2] for the course by the Office of the Registrar (this includes Non Standard Times 1 and 2 for courses outside of standard time blocks).

c. *Online Course Policy*
A subcommittee of the CCI chair, a CCI faculty member representative, CEP chair, a CEP faculty member representative, Director for Online Education, and the Associate Registrar was formed in winter 2021 to review and propose revisions for the online course policy. The policy revisions were motivated by the need to resolve that the current Undergraduate Online Course Policy only applied online to asynchronous online courses. With the expanded use of synchronous courses brought on by the pandemic, and an expectation that some faculty will want to continue to teaching in a synchronous online format, CEP and CCI felt the urgency to provide an approval pathway that allows CCI to evaluate the effectiveness of these courses in the approval process. Other changes are detailed below. After stakeholder review, the new policy and approval pathways were extended to graduate courses as well. GC also approved the revised policy for graduate courses.

Key changes to the existing policy and course approval pathways:

1. A workflow that deals with more than purely asynchronous courses (synchronous and hybrid courses have become increasingly common and they are not currently reviewed by CCI);
2. Approval pathway for synchronous online courses;
3. Approval pathway for hybrid courses; and

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[2] https://registrar.ucsc.edu/soc/final-examinations.html#c

4. A system of reporting and oversight that requires renewal for asynchronous online courses every three years instead of an exhaustive departmental report.

d. *Curricular Capacity Impaction Policy*

The VPAA asked for Senate review in finalizing the revised guidelines for improving curricular capacity and capping program enrollment processes. The committee echoed previous CEP's in requesting that the Committee on Affirmative Action and Diversity (CAAD) should be part of the reviewing Senate body. Additionally, they recommended that data about retention of students in impacted majors with respect to how class availability affects their retention should be investigated. Members also were concerned at the advising ration for impacted departments. Lastly, CEP reiterated the Academic Senate's authority over curricular and conditions of admissions and that it is not the sole mechanism in which to address an impacted program.

VI. Preparatory Education and Placement

a. *Analytical Writing Placement Exam (AWPE) and the Entry Level Writing Requirement (ELWR)*

i. *Directed Self-Placement (DSP)*

In response to the March 12, 2020 memo from the University Committee on Preparatory Education (UCOPE) and the cancellation of the in-person systemwide Analytical Writing Placement Exam (AWPE) in 2020, Writing Program Chair WouldGo and Entry Level Writing Requirement (ELWR) Coordinator Sarah Michals submitted a proposal for a localized writing placement process, Directed Self-Placement (implemented summer 2020). Previously, the campus relied on national, international and state test scores to place students into writing course pathways. However, local campus assessments, as well as UC-wide committee analyses of the AWPE, indicated the need for a more equitable placement process. For UC Santa Cruz, particularly, this assessment signaled the need to develop a tool that authentically engages students with the reading and writing expectations of the Academic Literacy Curriculum (ALC), a program required for all first-year students and involves a two-, three-, or four-quarter sequence of courses that allows them to meet the systemwide Entry Level Writing requirement (ELWR) and the campus-wide general education Composition Requirement. With CEP's support, the proposal was approved and piloted.

DSP is an experiential survey that evaluates students' experiences and perceived difficulties with academic reading and writing. The survey takes up to two hours and exposes students to readings, assignments, and student writing typical of a WRIT 2 course. After reviewing the materials and answering reflective questions, students receive a survey-based recommendation and then select a course pathway that provides them with the level of support needed to be successful. While students' standardized test scores for ELWR satisfaction were accepted (a UCOPE requirement), first-year results revealed a higher demand for the culminating ELWR-satisfying course WRIT 1, *Introduction to Composition*. Overall, more than 1300 students who satisfied ELWR by test scores selected WRIT 1 instead of WRIT 2. The administration was willing to support 100 of these students in the pilot, but

the results indicate that there is a population of students who would benefit from additional writing support when given the opportunity to choose their own course pathways.

For 2021-2022, UCOPE has authorized a second-year variance to SR.636, which will enable local placement processes to continue. This fact, combined with the fact that fewer students may enter UC Santa Cruz with ACT/SAT scores for placement, suggests that attention should be paid to the budgetary implications of DSP moving forward, and central administration should consult with the Humanities Division about what support may be needed if DSP is to become a permanent program.

   ii.   ***University of California Committee on Preparatory Education (UCOPE)***
         Member WouldGo served as the CEP representative to UCOPE. The committee performed routine duties related to oversight of preparatory education requirements, in addition to evaluating the function and role of the Analytical Writing Placement Exam (AWPE), the Entry Level Writing Requirement (ELWR), and localized placement processes as a result of the SR.636 variance from March 2020. In December of 2020, the committee submitted a proposal to the Academic Council requesting the formation of a task force to evaluate the Entry Level Writing Requirement, including placement mechanisms. This task force will complete phase 1 of its work in December 2021 and will complete phase 2 in May 2022. This work will have systemwide implications for the ELWR and the AWPE.

   b. *Mathematics Placement Exam*
       The committee reviewed and discussed the feedback from key campus stakeholders regarding CEP's July 14, 2020 request. The committee made the following determinations:
       - Currently, students are allowed up to 5 attempts in ALEKS PPL with a cooling off period of 24 hours in-between attempts). CEP is recommending a maximum of 3 attempts with no mention of the cooling off period. The cooling off period of time should be set to 24 hours.
       - Currently, the time limit for each assessment is 48 hours for all assessments. CEP is recommending 12 hours for each assessment, but this is not an option. The limit for each assessment should be set to 24 hours.
       - Cut-off scores are to remain unchanged. The Physical & Biological Sciences Division is currently working with Institutional Research, Assessment, and Policy Studies (IRAPS) to develop reporting on math placement and will work on cut score optimization with IRAPS and ALEKS professionals in the future. CEP is very interested in learning more from this data collection and analysis.
       - Instruction and advising should be further studied with the goal of improving student success in the precalculus and calculus class series.

VII.   Academic Program Establishment, Modification, Suspension and Discontinuance
       - The Religious and Visual Culture concentration in the History and Visual Culture Department was discontinued.
       - The Production concentration in the Film and Digital Media Department was discontinued.

- The Computer Engineering Interdepartmental Group (CEIG) was discontinued with the a) transfer of the CE B.S. and CE minor to the CSE department; b) the Robotics and Control concentration of the CE B.S. to the ECE Department and discontinue the five-year contiguous pathway.
- The transfer for the Technology and Information Management (TIM) from the Computer Science and Engineering Department to the School of Engineering division.
- The Italian Studies B.A. will be suspended for two years due to a recent retirement and lack of faculty.
- An administrative home change for Arts, Games and Playable Media (AGPM) moving to the Theater Arts Department was approved.
- The Theater Arts Department's simple name change to the Department of Performance, Play and Design was approved.
- A new Spanish Studies minor was approved by the Languages and Applied Linguistics Department.
- A Teaching English as a Second or Other Languages (TESOL) Certificate proposal from Language and Applied Linguistics' Department was approved.
- College 1A: Introduction to University Life and Learning at UC Santa Cruz for entering frosh, and Kresge 1T: Introduction to Research and Liberal Arts Learning at UC Santa Cruz for entering transfer students put forth by the Council of Provosts and the Vice Provost and Dean of Undergraduate Education was approved as a college requirement, but not a graduation requirement.
- A revised Computational Mathematics B.S. proposal from the Mathematics Department was reviewed again by the committee. There still lacks stakeholder agreement from Applied Mathematics and Statistics. CEP declines the support to establish the new CMBS degree, but recommends that this be resolved through the campus-wide math summit that has been discussed over the last couple of years.
- A new Geophysics concentration in the Earth and Planetary Science Department was approved.
- The Critical, Race and Ethnic Studies (CRES) program was approved for departmentalization.

VII. Reviews

This academic year, CEP reviewed and responded to the following:
Systemwide
- *Proposed Revisions to SR 630*
- *Proposed Revisions to SR 544*
- *Online Undergraduate Degree Taskforce Report*
- *Systemwide Proposed Curtailment Program*
- *Review of Innovative Learning Technology Initiative*
- *Proposed Revisions to SR 610*

Divisional
- *CP's Request for Associate Provost Position*
- *CP/EVC's Request Regarding Budget Cuts*
- *Chancellor's Request for Planning and Budget Reorganization*

- *VPAA's Revised Guidelines for Improving Curricular Capacity and Capping Program*
- *Bay Tree Bookstore Review*
- *CITL 5 Year Review and Funding Request*
- *SAP: Team Teaching Barrier Reduction Project*
- *Proposed Remote Work Policy for Senate Faculty*
- *Critical Response Program Draft*
- *Charter for Proposed Online Programs Initiative*

Additionally, CEP participated in the external review process for the following departments and programs: Critical Race and Ethnic Studies, Electrical and Computer Engineering, the Writing Program, Environmental Studies, Languages and Applied Linguistics, History of Consciousness, History of Art and Visual Culture, Arts, Games and Playable Media, Anthropology, Chemistry and Linguistics.

VII.   OTHER ITEMS
a. *IRAPS Dashboard*
IRAPS provided an overview of the finalized internal dashboards to the committee including:

- Major Migration by Admission Major provides major migration, declaration, graduation, and attrition information as well as course outcomes for entering cohorts by admission major;
- Course Analytics provides course composition and grades for all courses taught over the previous ten years; and
- UC Santa Cruz Course List is a sortable list of courses that indicate GPA, DFW-Rate, and Enrollments with breakouts by student characteristics.

These dashboards need to verify access that requires certification of the FERPA training.

b. *Global Engagement APRU Member Institutions*
The committee continued to consult with Global Engagement in reviewing reciprocal exchange programs, off campus programs, and direct enrollment programs. The committee has requested that a rubric be developed by Global Engagement to help provide critical context of the programs and universities they are being asked to review. CEP has suggested that including faculty champions from the start of the process would be beneficial when proposing a new partner. Additionally, the committee would like more information on individual schools in the future. Global Engagement will submit a rubric proposal in early fall 2021.

Additionally, the committee reviewed and approved the Association of Pacific Rim Universities (APRU) Member Institutions for Virtual Student Exchange Program proposal. We will continue to follow the standard of Worldwide Educational services when converting grades from foreign transcripts. Transcripted enrollments and grades from APRU institutions will be recorded on the UC Santa Cruz transcript and the credits and grades will be posted on the transcript.

c. *Major Declaration*
   i. *Advising*
      Assistant Vice Provost for Undergraduate Advising, Sketo-Rosener, provided updates to the committee regarding the efforts being made by advisors to help support and increase the number of students declaring by their deadlines. An implementation working group has been created to develop a three-tiered approach that seeks to: (1) Proactively engage in outreach for both first year and transfer students; (2) Implement a timely response to "red flags" including students who are not satisfying major qualification courses and requirements; redirect; and (3) Closer scrutiny and more time focused toward students who don't meet the deadlines.

   ii. *Program statement review*
      During this year's program statement review, the committee focused on the written text regarding the major declaration process to ensure programs and departments' compliance with the changes in policy. Below is one of the most important aspects of this new policy:

      If a student in a proposed major tries to declare when the campus declaration deadline is imminent (i.e. in their sixth quarter, for students admitted as frosh), programs have to either allow them into the major, deny them admission, or set conditions (e.g. completion of some courses with certain grades) that will be resolved within at most one more enrolled quarter, even if they have not completed major qualification (MQ) courses.

   CEP carefully reviewed the Major Declaration Sections to ensure consistency with the new policy, and that the information associated with the links in their catalog statements are consistent with the new policy and are accurately reflected on their websites. The committee recommended language in the "How to Declare a Major" area that pulled from the policy can provide important consistency across program statements.

d. *Winter Transfer Admissions*
   CEP consulted with the Committee on Admission and Financial Aid (CAFA) Chair Smith, Associate Vice Chancellor for Enrollment Management Michelle Whittingham, and the Vice Provost and Dean for Undergraduate Education (VPDUE) regarding winter transfer admissions. In maintaining the Academic Senate's purview on admissions, transfer and curricula, the committee requests for a list of programs to be provided to the committee and the associated requirements. The 2021-22 committee will continue to discuss this issue.

e. *Commencement of Academic Activity*
   The committee reviewed the Vice Provost for Undergraduate Education's (VPDUE) Commencement of Academic Activity proposal. Members were concerned about potential workload on faculty and even on staff. We also had concerns about the role and responsibility of instructors as reporters and any potential downstream consequences, and sought clarity regarding this. Of the possibilities discussed, the most favored solution was that of an automated Canvas quiz that would be auto-graded on submission, where a student's response would indicate that they had commenced academic activity. We also discussed that some faculty like the flexibility to upload course activity directly in AIS if

they do not integrate Canvas in their courses. The committee would like to discuss other possible solutions if this is not feasible.

IX.   Carryforward 2021-22
   a. Disciplinary Communication Requirement with IRAPS
      The committee has requested additional information for the Disciplinary Communication (DC) requirement that was established in 2010 from IRAPS. CEP is interested in conducting a multi-year assessment of the DC requirement in order to better understand how well the requirement is working to help students meet departmental and programmatic learning outcomes (PLOs). Given that IRAPS will be partnering with the Divisions of Social Science and Humanities in the next academic year to study Program Learning Outcomes (PLOs), the committee is hoping that a larger assessment of the DC requirement could be part of this work. The committee is especially interested in learning more about how the requirement is implemented and assessed by departments, in the absence of university support for course development.

   b. Accessibility Issues
      A small subcommittee met to discuss the possibility of investigating further regarding accessibility, and whether or not a Senate subcommittee should be created. This committee would possibly be examining how the Senate can do an internal review of accessibility practices within committees and campus wide.

   c. College Scholars Program:
      Committee to look into the central funding support (beyond the current funding from the Koret foundation) and if there are still any plans to expand the program to four years.

The committee would like to extend their gratitude to Margie Claxton, Deputy Registrar, for her years of service to our campus community, and for her dedication and institutional knowledge she provided to CEP for many years.

Respectfully Submitted;

COMMITTEE ON EDUCATIONAL POLICY
Lissa Caldwell
Irene Gustafson (W, S)   Manel Camps, Provost Representative
Carl Lamborg   Joy Hagen, NSTF Representative
Pradip Mascharak   Thaddaeus Mammo, Student Representative
Andrew Mathews (F)   David Miller Shevelev, Student Representative
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Tchad Sanger, *ex officio*
Tracy Larrabee, Chair

August 31, 2021

COMMITTEE ON EMERITI RELATIONS
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met four times during the 2020-21 academic year. This year, CER's pro-active agenda included a report on the UCSC faculty experience with the Retirement Administration Service Center in 2019-2020, collaboration with the Emeriti Association, the CP/EVC, and the Senate to improve the Edward A. Dickson Emeriti Professorship Award process, re-institution of an annual *In Memoriam*, consultation with Pathways to Retirement Faculty Liaison Don Brenneis, and a survey of divisional resources and benefits available to emeriti across campus.

The Chair of CER is an *ex-officio* member of the Committee on Faculty Welfare (CFW) and attended meetings throughout the year. The Chair also represented CER on the Retiree and Emeriti Center (REC) Steering Committee and participated in several pre-retirement and post-retirement events.

Retirement Issues
Following up on complaints received from two retiring UCSC faculty in July 2020 regarding UC's Retirement Administration Service Center (RASC), the Chair of CER interviewed 22 of the 24 UCSC faculty who retired between November 2019 and July 2020. A *Report on UCSC Faculty Retiree Experience with RASC, 2019-2020* was drafted by CER, summarizing the findings. Both the Committee on Faculty Welfare (CFW) and the Senate Executive Committee (SEC) endorsed the report, which was forwarded to Academic Council and shared with UC Santa Cruz administrators. It was also forwarded to the Council of UC Emeriti Associations (CUCEA).

The report documented almost universal frustration with RASC's handling of the retirement process. These problems were exacerbated by the COVID-19 shut-down, but were not caused by it, for emeriti who retired in November 2019, before the pandemic, experienced the same problems, possibly even more acutely.

Major problems cited by multiple faculty included:

- A culture of unaccountability at RASC;
- Difficulty reaching RASC personnel to answer questions, leading to great frustration and, in some cases, to delays in the retirement process;
- Once reached, difficulty obtaining reliable information;
- Delays in completion of the retirement process, resulting in delays in receiving pension checks and interruption in health care coverage;
- Errors in personalized documents transmitted by RASC to retiring faculty;
- Difficulty in transmitting documents to RASC and in receiving confirmation of transmittal.

These problems are not limited to UCSC or to emeriti, but are widely shared throughout the UC system and experienced by all retirees, both faculty and staff. Widespread awareness of these

problems led to some changes at RASC this year, including oversight by Cheryl Lloyd, Interim Vice President, Systemwide Human Resources at UCOP, a new Interim Director for RASC, a reorganization of functions, and the addition of new positions. One of the report's central recommendations--that faculty entering the retirement process be assigned a specific staff member that can work with the retiree throughout the process--has not been implemented.

CER should continue to monitor RASC's performance through its representation on CFW and the REC Steering Committee. The biannual meetings of the Council of University of California Retirement Associations (CUCRA) and CUCEA are also highly informative. CER should also consider interviewing retiring faculty in 2022 or 2023 to determine whether the changes at RASC have improved its service.

Pathways to Retirement
A Pathways to Retirement (PTR) program was initiated early in 2021, with Don Brenneis appointed the campus' initial Faculty Liaison. The goal of the program is to provide a framework which smooths the transition to retirement for both faculty and departments. Under the PTR program, faculty can enter into a binding pre-retirement agreement which commits them to retire within a fixed period in exchange for benefits intended to incentivize retirement. The Faculty Liaison is available to advise individual faculty concerning components of these agreements.

CER consulted with Liaison Brenneis during its winter meeting. Members noted that over the period of a long career, whether in book-based or lab-based disciplines, faculty accumulate a great deal of material (books, papers, course notes, samples, equipment, etc.). Sorting these materials, cataloguing them, packing them, moving them, and/or discarding them, are huge tasks, and the difficulty in thinking through how to approach them may cause some faculty to put off retirement. CER suggests that divisional funding to assist faculty in these tasks be one of the items available as part of pre-retirement agreements.

Divisional Benefits to Emeriti
Although some divisions post a list of benefits guaranteed to all emeriti on a public website, most do not. In spring 2021, CER conducted an initial survey of all five divisions regarding guaranteed benefits and found considerable variation, with additional variation among individual departments. CER is planning a follow-up survey to confirm the information received and will share it with Faculty Liaison Brenneis. Next year's CER may consider working with Liaison Brenneis to encourage all divisions to post emeriti benefits on their websites in order to make available resources known, and to explore other ways to help departments support the retirement process and enhance relationships with their emeriti.

Email Access Post Mortem
During the 2019-20 academic year, CER was made aware of a situation in which family members of an emeritus who passed away had to go through a lengthy and involved process that included University Counsel and ITS staff in order to gain access to the individual's UCSC email account. Reasons for desiring access to an email account could be personal, or research related, and may be necessary in order to complete research projects that are both collaborative and individual. Noting that systemwide polices deferred to campus policies, and finding no campus policies that specifically address this situation, in March 2020, CER sought feedback from the Committee on

Information Technology (CIT) regarding the feasibility of implementing campus policy that would allow a faculty member to authorize access for one or more individuals to their UCSC email account after death and/or expedite the current authorization process[1].

In spring 2020, CIT consulted with Vice Chancellor for Information Technology Van Williams on the topic, who informed the committee that drafting an IT procedure policy is feasible. However, noting that such a policy is complex due to privacy considerations, etc., in spring 2021, CIT wrote to Chancellor Larive and CP/EVC Kletzer to present the issue, and requested that the administration charge the appropriate parties with defining and drafting a policy solution, which the Academic Senate and other stakeholders may review in 2021-22[2]. The administration has been quick to respond, and has scheduled a virtual meeting for administrators and Senate leadership and chairs to discuss the issue in July 2021. CER looks forward to receiving a report on next steps in 2021-22.

Senate Memorial
In fall 2020, CER proposed that the Senate renew its practice of remembering colleagues who have passed away. The Senate Executive Committee agreed that an *In Memoriam* should be included in the CALL of each spring Senate meeting. The *In Memoriam* will list the names of recently deceased colleagues who were Senate members at the time of death. It may also, at the discretion of the Chair of the Senate, include names of other colleagues. In order to allow time for the Senate to verify, to the extent that it can, that the list is complete, the time frame will be from March 1st of one year to February 28 (or 29th) of the next. It will include the month/year of death of each colleague, title at the time of death, and years as an active member of the UCSC faculty. A link to the University notice of death will be provided, when available.

CER prepared the initial *In Memoriam,* which was included in the CALL for the spring 2021 meeting. Going forward, it will be prepared by Senate staff.

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

Changes in Dickson Process
Two changes in the Dickson process were initiated this year. One concerns the review process, which has two steps. The Emeriti Association (EA) reviews the applications and makes a recommendation to CER. CER reviews the EA's slate and makes a final recommendation to the CP/EVC. CER and the EA have agreed that if CER finds a nomination unacceptable, that it will ask the EA to name an alternative before forwarding a recommendation to the CP/EVC. The other change concerns approval for changes in Dickson Award budgets. The CP/EVC has delegated authority to CER to approve reallocations which do not exceed 20% of the total budget. In order

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[1] Aissen to CIT, 3/24/20, Re: UCSC Email Accounts After Death
[2] Takayama to Larive and Kletzer, 6/14/21, Re: UCSC Email Access Post Mortem

to implement this policy, those applicants who CER has decided to recommend for Dickson Awards will be asked to submit final, revised budgets before final recommendations are forwarded to the CP/EVC for approval.

2021-2022 Dickson Professorship Award
The call for 2021-22 proposals went out to Senate Faculty, divisional deans, and department chairs on October 30, 2020 with a deadline for submissions of January 11, 2021. Seven proposals were received (representing all divisions except the Baskin School of Engineering). The submissions were forwarded to the EA 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 2021-22 Dickson Professorship was awarded to **Dana Frank, Thomas Pettigrew, and Karen Tei Yamashita.**

Dana Frank, History Department

Project Title: "What Can We Learn from the Great Depression? Essays on Collective Survival, Exclusionary Racism, and Ordinary People's Successful Demands on the State"

Professor Frank is completing a set of essays, to be published as a book by Beacon Press. The book focuses on the 1930's, a period which faced crises not unlike those we face today: economic hardship; institutionalized racism and sexism; aggressive nationalist nativism and attacks on immigrants; and ascendant fascism. The book is centered on ordinary people and the ways in which they collectively survived and pushed back against these forces. The book is organized as a set of case studies and draws on Professor Frank's primary research and that of many others, on autobiographies, and oral histories, as well as on film, art, literature, and theatre.

Thomas Pettigrew, Psychology Department

Project Title: "Racial Change in the United States, 1960-2020"

In 1964, Professor Pettigrew published a volume on American race relations ("A Profile of the Negro American"), which provided data on a wide range of racial conditions in the United States at that time. The current project proposes to compare these old data with current racial data, documenting changes that have occurred over the past six decades. The project will document areas in which there has been significant improvement and areas in which change has been minimal. The goal is to provide informed direction to protest in the Black Lives Matter Movement to achieve genuine and lasting structural change.

Karen Tei Yamashita, Department of Literature

Project Title: "Japanese American Incarceration: The Origins of the Loyalty Questionnaire"

Professor Yamashita is working on a novel titled "Questions 27 & 28", which focuses on the internment of Japanese-Americans during WWII. As background and basis for this novel, she has requested funds to support archival research into the origins of a "loyalty questionnaire" which was given to interned individuals to assess whether they should be released for military combat and useful work outside the camps. Two questions in particular, and how to answer them, were divisive within the interned communities, creating rifts within families, between friends, and within the Japanese-American community. The issues to be explored in her novel – racial profiling, unjust detention, loyalty and the right to protest – remain highly relevant.

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 UC Santa Cruz

Acknowledgements
The committee gratefully acknowledges the support and counsel of our analyst, Jaden Silva-Espinoza. We also thank the following people for their assistance and advice during the year: Matthew Mednick (Executive Director, Academic Senate), Morgan Gardea (Executive Assistant to the Director, Academic Senate), Leila Takayama (Chair, Committee on Information Technology), Barry Bowman (President, Emeriti Association), Roger Anderson (Chair, Joint Benefits Committee of CUCRA/CUCEA), Christy Dawley (Retiree and Emeriti Center Coordinator), Henry Powell (Chair 2020-2021, CUCEA) and Louise Taylor (Information Officer, CUCEA).

Respectfully submitted;

COMMITTEE ON EMERITI RELATIONS
Murray Baumgarten
Linda Burman-Hall
Margaret Gibson
Ingrid Parker
Nico Orlandi, *ex officio*
Judith Aissen, Chair

July 8, 2021

COMMITTEE ON FACULTY WELFARE
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Faculty Welfare (CFW) met bi-weekly throughout the academic year; members also represented CFW on several other Senate and campus committees—the Advisory Committee on Transportation and Parking (ACTP), Employee Housing Workgroup, the Committee on Emeriti Relations (CER), the Senate Executive Committee (SEC), a joint Senate-administrative working group for personnel review for Senate faculty whose work has been impacted by the pandemic, and the systemwide University Committee on Faculty Welfare (UCFW).

CFW's work in 2020-21 focused attention on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life detailed below, particularly with respect to remote instruction and the effects of the pandemic.

Salary Analysis

The following is a brief summary of the committee's findings. For a more detailed discussion of this year's salary analysis and cost of living, please see the 2020-21 Faculty Salary Analysis Report[1], which may be found on the CFW Senate webpage.[2]

Background: For over a decade, CFW has monitored UCSC faculty salaries with particular attention to the effects on salaries of both the 2008-09 implementation and the 2017 modification of the Special Salary Practice (SSP). CFW has also repeatedly argued that, in order to properly evaluate salary *competitiveness,* an analysis of cost of living, driven by housing costs, should be included. In 2019-20 the Academic Senate agreed with this opinion, and produced a resolution stating that future campus analyses of salaries, and annual Faculty Salary Competitiveness Reports created by the Academic Personnel (APO), must include a cost of living component.[3] Unfortunately, the 2020-21 report from APO[4] did not include a cost of living analysis as requested. CFW Chair Orlandi and Senate leadership met with CP/EVC Kletzer during the summer to begin to discuss the issue. CFW will continue to monitor the situation in 2021-22 and awaits developments on this front.

This year's analysis revealed two main findings: 1) The original Special Salary Practice (SSP) implemented in 2008 was modified/reduced too soon. 2) Once cost of living is included as a variable, UCSC's salaries lag significantly behind salaries at the other UC campuses.

The SSP, which enabled our campus to make significant progress in terms of equity with other UC campuses, was reduced in 2017 before UCSC could catch up with the 9-campus median.[5] Median

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[1] Committee on Faculty Welfare, Faculty Salary Analysis 2020-21

[2] CFW Webpage: https://senate.ucsc.edu/committees/cfw-committee-on-faculty-welfare/index.html

[3] Resolution on the Commitment to Ensure Salary Equity and Competitiveness within the UC System.

[4] 2021 Report of UCSC Faculty Salary Competitiveness within UC, May 2021

[5] The 9 campuses include all UC campuses except UC San Francisco (UCSF) because UCSF is a medical campus.

salaries of UCSC faculty on the regular and BEE scale continue to lag behind other UC campuses at the junior, and the full professor levels. This is true independently of whether we add considerations of cost of living. Once we add cost of living, UCSC's salaries lag significantly behind salaries at the other UC campuses, as noted in CFW's cost of living analysis from 2017-18.[6]

Salary Transparency

As requested by the Academic Senate, APO provides an annual report of Senate appointment starting salaries and Faculty Recruitment Allowances to CFW, the Committee on Academic Personnel (CAP) and divisional deans. CFW appreciates the administration's commitment to increasing overall salary transparency. However, because anecdotally CFW had reason to believe that this information was not trickling down to department chairs, and the report transmittals to deans did not suggest or request that the information be shared with department chairs, CFW sent a request in 2017 to then Interim CP/EVC Herbie Lee[7] to share this information directly with department chairs as well as divisional deans. Members at the time asserted that the data must be shared directly with those making the offers and not be dependent upon deans sharing the information with chairs. The committee was later informed that deans would be asked to share the information with their department chairs and as such, sharing the reports directly with department chairs was not necessary.

With the goal of increasing transparency and addressing salary inequities on our campus, in December 2020, CFW joined forces with CAP and the Committee on Affirmative Action and Diversity (CAAD) to once again request that these informative reports be shared directly with department chairs as well as divisional deans and the Academic Senate.[8] CP/EVC Kletzer denied the request, finding it inappropriate to share this information with chairs without the necessary context to interpret the data, and suggested that chairs "who feel they are not getting enough information to be able to negotiate with a candidate should share these concerns with their dean."[9]

CFW would like department chairs to know that annual reports on all UCSC Senate appointment starting salaries and Faculty Recruitment Allowances are being shared with divisional deans, and encourages chairs to request this information from their deans if it would prove useful in their negotiations with new candidates.

Housing

The Employee Housing Advisory Workgroup (EHWG), on which CFW had a representative, devoted much of this year to discussing different aspects of planning and goal identification associated with the proposed second phase of the Ranch View Terrace employee housing project: Ranch View Terrace 2 (RVT2). According to Vice Chancellor for Business and Administrative Services (VCBAS) Sarah Latham, the top goal of the EHWG for the 2020-21 fiscal year (FY) was to select three scenarios for consideration for the new housing program at RVT2, along with financial considerations and analysis on how each of the scenarios matches with the data collected

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[6] Committee on Faculty Welfare, Faculty Salary Analysis, April 2018

[7] Profumo to Lee, 1/13/17, Re: CP/EVC Memo of 11/08/16 on Transparency of Faculty Starting Salaries

[8] Orlandi, Ito, and Falcón to Kletzer, 1/15/21, Re: Faculty Starting Salary Recruitment Allowance Reports,

[9] Kletzer to Orlandi, Ito, and Falcón, 1/15/21, Re: Faculty Starting Salary and Recruitment Allowance Reports

through the 2019-20 Faculty and Staff Housing Market Analysis, and Employee Housing Goal Sessions that were held in spring 2021 and included representatives from the Staff Advisory Board (SAB), CFW, and the Committee on Planning and Budget (CPB). As the scenario planning for RVT2 will continue to evolve over the summer and into the next academic year, CFW will want to continue to review and comment on plans and decisions in 2021-22.

Employee Housing Repricing Program
Each year, Housing, and Educational Services (CHES) staff submits an Employee Housing resale pricing recommendation for the next academic year to the CP/EVC, who requests Senate feedback on the proposal. The UCSC Employee Housing Re-Pricing Program Recommendation for 2021-22 proposed an increase in price of housing units included in the program by 2.77% for the 2021-22 academic year. CFW members were split in its response to the proposal and continued to express concern about the affordability of the overall program for junior faculty and staff.[10] Some members saw the proposed increase as reasonable given an increase in maintenance and program costs and to ensure continued equity in home value. Other members considered it not an appropriate time to increase housing costs due to economic effects of the pandemic, the 2020-21 systemwide freeze on salary scales for policy covered academic employees, the freeze on staff pay for performance merit increases, and the effects of the CZU Lightning Complex Fires on our community.

In terms of affordability, which is a main driver of the Re-Pricing Program, CFW has repeatedly noted that UCSC employee housing prices are still out of reach for the majority of junior faculty in a single income household, and even more so for staff. The 2021-22 recommendation noted that the proposed increase would price units at approximately 56.6% of 2020 actual market sales. CFW noted that this is an excellent cost savings for UCSC employees, but with the Santa Cruz real estate market being one of the most expensive in the country, it is still not "affordable" for many UCSC employees.

In a letter to CP/EVC Marlene Tromp in 2019-20, CFW registered several key concerns that this year's CFW contends should be considered in future Re-Pricing recommendations:

- **Cumulative Effects:** Even seemingly small percentage increases may have a profound cumulative impact on affordability over a longer period of time.
- **Ideal Pricing Range:** The Ideal Pricing Range still appears to assume that when unit pricing dips below 60% of the local (Westside Santa Cruz) market, UCSC housing waitlists grow because off-campus homeowners want to purchase campus units (a logic that seems particularly specious with record high home prices and appreciation rates in Santa Cruz County in 2021.)
- **Affordability:** Given the cost of living and current housing market (w/ median home prices well above $1 million), houses that are rated 60-75% of the local market will not be affordable to the majority of junior faculty in a single income household and doubly so for UCSC staff. Accordingly, CFW recommends rethinking the methodology for on-campus housing prices.

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[10] Orlandi to Kletzer, 6/14/21, Re: UCSC Employee Housing Re-Pricing Program Recommendation (2021-22)

- **Build More Houses on Campus:** CFW strongly supports the construction of more housing for faculty and staff. The committee contends that long wait lists are more likely the result of a near-absence of affordable housing options off campus and not a signal to recalculate the cost per square feet of campus units. Additionally, committee members applaud efforts to continue with the RVT2 project and suggest looking to other areas (e.g., Westside Research Park) to meet our urgent housing needs, especially in light of the following discussion.

Amid efforts to plan for and introduce new campus housing options for employees, the more urgent threats of the COVID-19 pandemic, the CZU Lightning Complex wildfire (August 2020), and a skyrocketing housing market in Santa Cruz (city and county) have exposed some very worrisome gaps in UCSC's employee housing program. Equitable access to affordable housing in Santa Cruz County is increasingly out of reach for many UCSC faculty and staff, and this year's committee discussed several manifestations of this unfortunate reality, which raised questions about the lack of emergency housing and funding support for those in need, and highlighted the need for our campus to explore options for housing assistance that do not require construction (e.g., a loan option that is more attractive than the current Mortgage Origination Program, an across the board housing allowance for new faculty that is centrally funded, etc.), and more transparency regarding the employee housing waitlist policy and possible exceptions to the policy.

In spring 2021, CFW wrote to Steve Houser, Director of Employee Housing and Capital Planning to inquire as to whether exceptions to employee housing policies were granted in the last year (due to the pandemic, fires, etc.), and to request the current waitlist numbers for both purchase and rental units on campus.[11] The committee has received a response, but the response date June 10, 2021 came after the last CFW meeting. CFW will want to discuss the response and follow up with Director Houser in 2021-22.

Healthcare

CFW has continued to monitor healthcare at UCSC. There are three serious issues of concern, 1) access, 2) affordability, and 3) inclusiveness of care. There are three primary healthcare options for UCSC employees: UC Blue and Gold HealthNet HMO accessed through Physicians Medical Group (PMG); Kaiser Permanente HMO, accessed through Kaiser doctors; and the UC Care PPO through the Palo Alto Medical Foundation (PAMF). Kaiser Permanente has been increasing its footprint in Santa Cruz County since 2017, primarily taking patients away from HealthNet. However, the Kaiser facilities remain somewhat limited in Santa Cruz, 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 UCSC enrollees and the campus would lose its only PPO option, a healthcare model that is preferred by faculty and staff who need access to specialists. Many enrollees additionally choose PAMF for extended urgent care and weekend appointment options.

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[11] Orlandi to Houser, 5/17/21, Re: Employee Housing Questions

The access issue is complicated by the affordability issue. Although UC Care was designed to be one of the more affordable UC health plan options, the PPO has become more expensive than the HealthNet and Kaiser HMOs, and has seen major rate increases since its inception. This forces many faculty who desire a PPO (or who simply desire 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 hold that an affordable relationship with PAMF is necessary. In a consultation with VCBAS Sarah Latham in March of 2021, CFW raised the possibility of dissociating PAMF from UC care and either creating an independent plan that includes PAMF (as was done in the past), or integrating PAMF in an alternative plan. As UC Care increasingly seems unable to provide low costs, we ask that UCSC independently consider other healthcare plan options to maintain access to PAMF and an affordable PPO.

A final concern is the University-wide issue of associating with religious institutions of care such as Dignity Health. While such an affiliation may appear desirable by bringing UC Health Center style care to Santa Cruz, the affiliation is problematic as Dignity is a religious 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. 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 healthcare system that prohibits care for anyone." Additionally, CFW also agreed with the interim report of the UC Non-Discrimination in Healthcare Task Force 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.

Anthem-Dignity Contract Termination and UC PPO Plans
In summer 2021, the campus was informed that Anthem Blue Cross, the insurance carrier of UC's PPO plans (non-Medicare), and Dignity Health, which includes Dominican Hospital in Santa Cruz, were not able to reach a contract agreement.[12] As such, the contract ended effective July 15, 2021, and affected enrollees in the UC PPO plans: UC Care, Health Savings Plan, and CORE. All services for members of these plans received from Dignity Health and Dominican Hospital after July 15 were to be considered out-of-network and out-of-network deductibles and coinsurance rates would apply. However, on August 2, 2021, UC announced that a temporary solution would be provided as negotiations continued and regardless of whether an agreement was reached, claims retroactive to July 15 would be processed after September 1, and members would be responsible for in-network cost-sharing.[13] On August 14, 2021, Anthem Blue Cross and Dignity Health announced that they had reached an agreement on a continuing contract, and the terms of the

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[12] Kletzer and Latham to UC Santa Cruz Community, 7/20/21, UC PPO plans impacted by Anthem Blue Cross-Dignity Health Contract Termination
[13] UCSC Staff Human Resources Benefits Office to Members Who Opted in to Continue Anthem-Dignity Communications, 8/05/21, Re: UC Provides Temporary Solution to Anthem-Dignity Contract Termination as Negotiations Continue

agreement are retroactive to July 15, 2021, returning Dignity Health facilities to Anthem health plans.[14]

Child Care

Progress towards building a new on-campus Childcare Center has been on hold due to legal issues around the Student Housing West project. These issues were resolved and the UC Board of Regents was required to reapprove the project. In March 2021, Chancellor Larive announced that the Regents approved the Student Housing West project.[15] CFW has not been made aware of the revised timeline for the building and completion of the UCSC Childcare Center.

In regards to UCSC Childcare Center fees, this year CFW noted that the current plan that includes providing childcare services to faculty at the local market rate fails to address a pressing concern for faculty: high cost of the local childcare. Subsidizing the campus childcare for faculty could be a useful tool in attraction, recruitment, and retention of the best faculty at UCSC, and may help to remediate the impacts of the high cost of living in Santa Cruz.

Back-up Care

A proposal for Backup Care provided by Bright Horizon was discussed in a series of meetings with VCBAS Latham, Housing Services, Planning and Budget, and Bright Horizons in the Spring of 2021. CFW representatives participated in the meetings. The proposed Backup Care covers both child and adult dependents of an employee. Different eligibility scenarios were discussed and priced. An option with faculty, staff, graduate students, and undergraduate students with children being eligible was deemed the most equitable.

It was noted that Bright Horizon does not have child-care centers in Santa Cruz, but has them in San Jose and San Francisco areas. As a result, it is expected that initially the care in Santa Cruz and nearby areas would be provided through in-home services. After the new UCSC on-campus childcare facility is operational, it may serve as the Backup care center for Santa Cruz.

The proposal was shared with the CP/EVC and the Chancellor and was well received. Bright Horizon advised that signing the contract by the middle of July would allow them to start the program on September 1, 2021.

CFW looks forward to an update on whether the campus will be moving forward with this critical service.

Transportation and Parking

A representative from CFW serves on the Advisory Committee on Campus Transportation and Parking (ACCTP). The ACCTP spent much of this year discussing the financial sustainability of Transportation and Parking Services (TAPS). Through careful planning, monitoring, and measuring user patterns, the committee made recommendations which resulted in TAPS making

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[14] Staff Human Resources, Anthem Blue Cross & Dignity Health Reach Agreement on Continuing Contract: https://shr.ucsc.edu/resources-forms/anthem-dignity-faqs.html

[15] Larive to Campus Community, 3/18/21, Re: Regents Approve More Housing for Our Students, Child Care for Employees.

effective changes in transportation usage during pandemic/remote learning. In addition, there are no parking fee increases planned in the 2021-22 academic year.

In November 2020, the full CFW committee consulted with TAPS Director Dan Henderson. CFW was happy to hear that there are plans being considered for a comprehensive long-term vision for TAPS. Short-term solutions and projected models for the long term will prioritize sustainable and efficient transit access and routes.

Retirement
UC Retirement Administration Service Center (RAS)
Following up on complaints received from two retiring UCSC faculty in July 2020 regarding UC's Retirement Administration Service Center (RASC), the Committee on Emeriti Relations (CER) interviewed 22 of the 24 UCSC faculty who retired between November 2019 and July 2020 and issued a *Report on UCSC Faculty Retiree Experience with RASC, 2019-2020.* Both CFW and the Senate Executive Committee endorsed the report, which was forwarded to Academic Council and shared with UCSC administrators. It was also forwarded to CUCEA (Council of UC Emeriti Associations).

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- Difficulty reaching RASC personnel to answer questions leading to great frustration and, in some cases, to delays in retirement process;
- Once reached, difficulty obtaining reliable information;
- Delays in completion of the retirement process, resulting in delays in receiving pension checks and interruption in healthcare coverage;
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These problems are not limited to UCSC or to emeriti, but are widely shared throughout the UC system and experienced by all retirees, both faculty and staff. Widespread awareness of these problems led to some changes at RASC this year, including oversight by Cheryl Lloyd, Interim Vice President, Systemwide Human Resources at UCOP, a new Interim Director, a reorganization of functions, and the addition of new positions. One of the report's central recommendations--that faculty entering the retirement process be assigned a specific staff member that can work with the retiree throughout the process--has not yet been implemented. The CFW recommends that the UC CFW receive regular (minimum twice yearly) updates from RASC regarding measures taken for problems identified in the report, including technical matters such as software, until such time as the service is functioning optimally.

UC Employees hired on or after July 1, 2016

Faculty hired on or after July 1, 2016 choose between two retirement benefit options: *Pension Choice* or *Savings Choice*. Employees have the option of switching from *Savings Choice* to *Pension Choice* (and thereby becoming members of the UC Retirement Plan) during a 5-10 year window after the initial hire. Both the initial choice and the decision whether to switch plans involve complex issues that new hires should be aware of, including how long they expect to remain at UC, estimated rate of inflation, and estimated retirement date.

Under some conditions it makes sense to begin with the *Savings Choice* and switch to *Pension Choice* after five years; under others, it may not. The factors involved and how to weigh them should be widely available to new hires in a clear and comprehensible format.

UCFW is concerned that new hires do not have the information they need to make an informed decision and has proposed working with UCOP and Fidelity to improve the tools available to new hires to assist them.

COVID-19 Impacts

The COVID pandemic and remote instruction raised many faculty welfare concerns for our campus. This year, CFW and the Senate collaborated with the administration to proactively address many of these issues. CFW provided feedback on the CP/EVC and Chancellor's proposed plan to address the expected FY21 $20M permanent reduction in state funding,[16] raised the need to notify UCSC employees of existing childcare and eldercare resources, provided feedback on the proposed interim COVID-Related Caregiver Modified Duties Program[17] and the VPAA's proposed Remote Work Policy for Senate Faculty,[18] discussed current and long term Transportation and Parking needs with TAPS Director Henderson,[19] petitioned for the need to increase employee housing, and sent a request for information on exceptions that may have been made to employee housing policies during the pandemic.[20] Guidance was provided by the CP/EVC and the Committee on Academic Personnel (CAP) for personnel review in 2020-21,[21] and CFW was pleased to see that guidance has already been provided for the consideration of continued COVID impacts on teaching, research, and service in 2021-22 onward.[22]

Many campus policies and procedures to address COVID-19 impacts were formed in the midst of continually vacillating circumstances, and once formed, were commonly subject to more frequent revision than usual. Next year's CFW will want to follow up on 2020-21 requests, and assess how interim policies have and are addressing COVID/remote instruction impacts on faculty welfare.

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[16] Orlandi to Brundage, 11/19/20, Re: Budget Cut Targets

[17] Orlandi to Brundage, 11/19/20, Re: Proposed Interim COVID-Related Caregiver Modified Duties (CCMD) Program

[18] Orlandi to Brundage, 4/12/21, Re: Proposed Remote Work Policy for Senate Faculty

[19] See Transportation and Parking section of this report.

[20] See Housing section of this report.

[21] Kletzer and Ito to Senate Faculty, 10/08/20, Re: Guidance for Senate Faculty Personnel Reviews in 2020-21: https://apo.ucsc.edu/news-events/campus_memos/10-08-20-evc-cap-2020-guidance.html

[22] Kletzer and Ito to Senate Faculty 5/11/21, Re: Addressing Impacts of COVID-19 in the Faculty Personnel Review Process: https://apo.ucsc.edu/policy/communications/docs/covid-impacted-personnel-reviews-may-2021%20Guidance.pdf

Acknowledgments

The committee would like to thank those who consulted with, collaborated with, and/or provided information to the committee this year: CP/EVC Lori Kletzer, VCBAS Sarah Latham, AVP Grace McClintock and Academic Personnel Office (APO) staff, Committee on Academic Personnel (CAP) Chair Junko Ito, Committee on Affirmative Action and Diversity (CAAD) Chair Sylvanna Falcón, Professor Steve McKay, Professor Miriam Greenberg, Transportation and Parking Services Director Dan Henderson, Director of Capital Planning Steve Houser, AVC Jean Marie Scott, Committee Analyst Jaden Silva-Espinoza, Academic Senate Director Matthew Mednick, Academic Senate Chair David Brundage, and the Senate Executive Committee (SEC).

Respectfully submitted;

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August 31, 2021

COMMITTEE ON INFORMATION TECHNOLOGY
Annual Report 2020-21

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 2020-21 academic year was largely focused on issues related to remote instruction and the COVID pandemic. Summaries of major work may be found below. Representatives from CIT additionally served on the Canvas Steering Committee, the University Committee on Academic Computing and Communications (UCACC), and the hiring and onboarding committees for UCSC's new Chief Experience Officer. Senate Chair David Brundage additionally represented the Senate on the new ITS Executive Steering Committee.

Collaboration with the Vice Chancellor for Information Technology
CIT once again invited Vice Chancellor for Information Technology (VCIT) Van Williams as a standing guest to attend the bi-weekly CIT meetings. During the 2020-21 year, VCIT Williams updated the committee on many Information Technology Services (ITS) activities, including IT governance committee charters and workflows, fall 2020 campus-wide ITS updates, IS-12 revisions, the UCSC website redesign project, the Accellion cyber attack and campus response, IT investment proposals, and UCSC data center needs and cost assessments. We also discussed UCSC commencement of academic activity, VCIT William's request for a faculty satisfaction survey, and faculty post-mortem email access, which was an issue that the Committee on Emeriti Relations (CER) raised with CIT in 2019-20. CIT would like to thank VCIT Williams for his continued collaboration and for being open to CIT feedback and recommendations.

Remote Instruction in the Context of COVID-19
As expected, several systemwide and campus reviews of proposed policies and procedures as a result of the pandemic were presented to the Senate and CIT. In fall 2020, CIT responded to the CP/EVC's request for feedback on the administration's planned approach to address the expected FY21 $20M permanent reduction in state funding as a result of the pandemic.[1] CIT emphasized that Information Technology Services (ITS) is currently undergoing a transition of restructuring and suggested that ITS be given sufficient budget flexibility in order to complete its evolution under the current demands on the unit and the complexities of remote instruction and work.

In spring 2021, Vice Provost for Academic Affairs (VPAA) Herbie Lee requested the Senate's feedback on a proposed Remote Work Policy for Senate faculty. CIT raised concerns about the timeline and proposed restrictions, which do not currently exist in either the systemwide Academic Personnel Manual (APM) or the Campus Academic Personnel Manual (CAPM). CIT recognized the importance of in-person interactions in honoring commitments to teaching, service and mentoring, but also noted that virtual office hours and sections can provide welcome flexibility for

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[1] Haddad to Brundage, 11/18/20, Re: Request for Feedback - UCSC Budget Cut Targets

students. If a remote work policy is created, CIT recommended adding guidelines for remote mentoring of graduate students, and details for remote course approval. CIT also suggested a "Remote Technology Checklist" to verify that hardware, software, and internet bandwidth are sufficient to ensure quality instruction.

Campus IT Resources for Faculty Instruction

CIT spent a good part of 2019-20 and 2020-21 collecting information on existing information technology (IT) instructional resources that are available to the campus community. During both years, the committee met with ITS Product Manager Leslie Kern who provided CIT with a comprehensive list of available resources. CIT has been eager to make these tools known to the greater campus community and requested that a list of these resources be posted on the Faculty Instructional Technology Center (FITC) and the Center for Innovations in Teaching and Learning (CITL) Teaching websites, that the link be shared in an email to the campus community and at the New Faculty Orientation that is run by the VPAA Office each fall, and that the list be searchable on both the FITC and main UCSC website[2]. Our request was that this be done by the end of spring quarter 2021. Next year's CIT may wish to follow up on this topic.

Manager Kern additionally suggested that a link to existing IT instructional resources could be written about in a teaching newsletter and possibly be included in "pop ups" in Canvas at the beginning of both the summer and fall quarters. CIT is in favor of posting the information broadly in order to reach more instructors and supports this proposal.

During a consultation with Manager Kern on April 28, 21, CIT was informed that two existing resources: iClicker and Scantron may be removed in the near future. CIT recommended that an email be sent out to all instructors informing them of the pending changes to see if there are any concerns and/or feedback that ITS should be aware of.

UCSC Website Redesign Project

In 2017-18, the Committee on Information Technology was informed that the UCSC main website would be undergoing a redesign project. At that time, and every year since, CIT has recommended that a formal request for Senate feedback be made on the proposed plans. CIT received additional project updates from University Relations in 2018 and 2019, but the Senate has not yet received a request for feedback. Concerned that the project is moving into its later stages without formal Senate and divisional consultation, in spring 2021, CIT wrote to Vice Chancellor of University Relations Mark Delos Reyes Davis, and VCIT Van Williams to request that a mid-implementation request for Senate feedback be initiated at the end of summer 2021 or at the beginning of fall 2021 so that Senate committees may opine in early fall.[3] VC Davis and VCIT Williams responded to the request and informed the committee that due to new hires, they are in the process of reestablishing the project implementation structure and goals within University Relations and ITS, and agreed to seek formal consultation with Senate leadership in late summer or early fall 2021.[4]

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[2] Takayama to Kern, 5/19/21, Re: CIT Consultation on 4/28/21

[3] Takayama to Davis and Williams, 5/13/21, Re: Senate Consultation on UCSC Website Redesign

[4] Davis and Williams, 5/27/21, Re: Campus Website Redesign

Data Center - Colocation Facility
Recognizing current inadequacies to accommodate for increasing faculty High Performance Computing (HPC) requirements, this year VCIT Williams informed CIT that ITS has undertaken a review of possible solutions, including an upgrade of the campus data center, use of a colocation facility in Washington State (already hosting HPC equipment from other UC campuses), and cloud computing. ITS's initial assessment suggests that maintaining a data center on campus may not a viable solution in the long term due to cost of upgrades, cost of power, fire/earthquake hazards, etc., and recommends colocation and cloud computing as an alternative, with planning already underway for some HPC equipment to be hosted by the Washington State facility in the coming year.

Postmortem Email Access
In winter 2020, CIT received a request from the Committee on Emeriti Relations (CER) inquiring about the feasibility of creating a campus policy that would allow a faculty member to authorize one or more individuals to access their UCSC email account after death, akin to the legal status of an executor with respect to the UCSC email account.[5] CER Chair Judith Aissen raised concerns about the lengthy process involving Campus Counsel that individuals who would like to gain access to the account, such as a research colleague or family member, must go through. Reasons for desiring such access could range from personal to necessary for the completion of research projects that are both collaborative and individual.

In spring 2020, CIT consulted with the VCIT on the topic, and was informed that drafting an IT procedure policy is feasible. However, CIT soon realized that such a policy is much more complex than just creating IT procedures as it would need to include academic freedom, privacy considerations, etc. In spring 2021, CIT wrote to Chancellor Cynthia Larive and Campus Provost and Executive Vic Chancellor (CP/EVC) Lori Kletzer to lay out the issue with associated systemwide, campus, and Gmail policies, and offered a list of possible policy/procedure solutions.[6] Given that the appropriate solution for our campus would likely involve expertise that is outside of CIT and the Academic Senate, CIT requested that the administration charge the appropriate parties with defining and drafting a policy solution, which the Academic Senate and other stakeholders may review in 2021-22. The administration has scheduled a virtual meeting for administrators and Senate leadership and chairs to discuss the issue in July 2021. CIT looks forward to receiving a report from this meeting.

Additional Notable ITS Issues in 20-21
In spring 2021, CIT reviewed Vice Provost for Academic Personnel (VPAA) Herbie Lee's Charter for Online Programs Initiative and did not support the initiative to provide fully online degree programs. Members suggested that more work needs to be done to understand the investment necessary to create successful online degree programs at a research institution like UCSC. Teaching remote classes is not at all equivalent to offering a fully online degree. In addition, significant outside resources would be necessary to provide staff and ITS with the capacities to launch online degree programs, and it was not clear in the proposal where these funds would come

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[5] Aissen to Sadjadpour, 2/26/20, Re: Message from the Chair of Committee on Emeriti Relations.

[6] Takayama to Larive and Kletzer, 6/14/21, Re: UCSC Email Access Post Mortem

from. The Charter proposal also failed to address how an online program would fit into the research side of the university nor how it would make up for the loss of the UCSC brand identity associated with redwoods by the sea. Further, CIT noted that there was no CIT representation on the Charter Workgroup. As such, CIT recommended an exploration of hybrid in-person and remote degrees and that CIT representation be included in all future online program workgroups and discussions.

CIT also raised concerns about a proposal to introduce a quarterly verification of students' commencement of instructional activity through a syllabus quiz, which may inadvertently cause new bureaucratic issues and place additional burden on faculty. To simplify the process by which faculty participate in this requirement, Canvas and MyUCSC should be linked in a one-step system of verification. There should also be a clear timeline for completion before a student would be dropped from a class.

Recommendations for 2021-22
In the 2020-2021 academic year, we found it to be incredibly productive to work closely with VCIT Van Williams to stay on top of current issues being faced by faculty and by ITS, especially during the global pandemic that forced us into remote and hybrid working arrangements. We encourage next year's CIT committee to continue engaging in these frequent discussions and close collaborations with ITS.

In addition to recommendations made above, the 2020-21 membership encourages next year's CIT to consider the following topics for the 2021-22 agenda:

VCIT Van Williams has requested a **Faculty Satisfaction Survey**. We encourage next year's CIT committee to meet with the VCIT as early as possible in the fall 2021 quarter to discuss, and decide on next steps in response to this request.

Given the changes in UCSC campus plans for **Unified Computer Management**, we recommend that next year's CIT committee revisit the plans for budgets for this program while also considering broader campus plans for items such as loaner laptops for students.

We encourage 2021-2022 CIT to follow up with VCIT Williams and Director Leslie Kern on whether campus IT resources for faculty instruction have been adequately communicated to new and existing faculty.

Finally, as ITS works through its planning for sourcing and supporting faculty needs for **High Performance Computing**, we recommend that next year's CIT committee closely monitor this developing situation and follow up with VCIT Williams on the logistical details (e.g., sunsetting time frame for equipment) and expected costs that may eventually be passed on to faculty for having their HPC equipment hosted at the colocation facility. If cloud computing is pushed as an alternative, then it will become important to discuss if and how UCSC would subsidize faculty for recurring cloud costs at a level equivalent to the services currently provided to faculty who have HPC equipment located on campus (data center or department buildings).

Acknowledgements
The CIT acknowledges and thanks VCIT Williams, FITC Operations Manager Leslie Kern, and Change and Information Assurance Manager Li Gardner for their collaboration this past year, and looks forward to a continued working relationship in 2021-2022. CIT would especially like to thank Senate Analyst Jaden Silva-Espinoza for her invaluable guidance and support throughout the 2020-2021 academic year.

Respectfully submitted;

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August 31, 2021

COMMITTEE ON INTERNATIONAL EDUCATION
2020-21 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 UC Santa Cruz campus, initiates studies and reviews, and assists in the formulation of policies regarding international education at UC Santa Cruz. This year, CIE's work focused on engagement with the campus's strategic planning for campus internationalization, collaboration with the administration on the global seminar (formerly faculty led study abroad) proposal review process, and issues related to international student welfare and success—focusing on exploring areas of need through information gathering and consultation that will form the basis of continued work next year

Strategic Planning for Campus Internationalization and ACE Lab Review
The committee continued its multi-year engagement with the administration around strategic planning for internationalization. As stated in last year's annual report[1], the current strategic planning process began at the end of 2017-18, when the campus launched the American Council of Education (ACE) Internationalization Lab. Due to COVID-19 delays, the ACE Lab completion date was revised and set for June 2021.

Two major points of review and consultation took place this year in regards to the ACE Lab process: 1) CIE's review of the "final draft" of the UC Santa Cruz ACE Internationalization Lab Report and Strategic Plan for Internationalization (hereafter ACE final draft report), and 2) CIE's participation in the peer review site visit through a consultation with CIE at its meeting of February 9, 2021, attended by the ACE Lab peer reviewers (including the campus's ACE mentor) and campus ACE Lab co-chairs interim Vice Provost for Global Engagement (iVPGE) Richard Hughey, Assistant Vice Provost (AVP) Becky George, and Professor Jeremy Hourigan.

iVPGE Hughey requested CIE review of the ACE final draft report during January 2021. CIE, in its comments on first review of the report (CIE to Senate Chair 1/21/20), expressed a desire for a second review, given its interest in collaboration with Global Engagement on advancing the strategic planning process and particularly in including long standing CIE goals for faculty research collaborations, international student growth, and international student well-being in the strategic plan. During this second review CIE noted that many of the issues raised during the committee's first review had not been addressed, and remained concerned about the draft plan laying out a list of activities and initiatives without discussion of funding strategy and priorities. CIE continued to express concern with the lack of specificity regarding prioritization of goals and related budgetary questions. CIE also noted that the ACE final report draft provided to the committee did not have any of the links to pertinent information within the report enabled, making it difficult to gain further insight. Given these limitations CIE provided additional specific feedback and recommendations, which the committee hoped to see incorporated in the ACE final

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[1]https://senate.ucsc.edu/committees/cie-committee-on-international-education/cie-annual-reports/1980-cie-annual-report-2019-20.pdf

report. CIE requested a definition of the term "comprehensive internationalization" firmly grounded in an objective assessment of the possibilities for action at the UC Santa Cruz campus specifically. CIE noted that while the phrase was used throughout the draft report, it lacked a connection to clearly articulated objectives that take into account feasibility and budgetary issues. CIE also expressed concern that "domestic study away opportunities" were included as a priority in the draft report. CIE reiterated its concern about both the first and second drafts of the report conflating international experience with domestic exchange, and although supportive of domestic exchange programs, CIE suggested that the primary mission of international education is to expose students to cultures and experiences *outside* of the U.S. and expressed that "study away" would potentially dilute this mission, especially for students less able to afford international experiences. In summary, CIE suggested "study away" did not belong under the umbrella of Global Engagement. CIE also expressed concerns about the decline in support for foreign language instruction at UC Santa Cruz, and suggested that language acquisition must go hand-in-hand with strategic planning for internationalization. Finally, CIE did acknowledge the progress Global Engagement had already made on some of the initiatives in the draft plan, including around the Collaborative Online International Learning initiative.

CIE was asked to participate in the ACE Lab peer review site visit, through ACE peer reviewer and ACE Lab campus co-chair consultation with the committee at its February 9, 2021 meeting. CIE was one of several stakeholder groups invited to meet with the ACE Lab reviewers. iVPGE Hughey informed CIE that the main purpose of the peer review was for the ACE review team to learn about the ACE Lab process at UC Santa Cruz, understand the progress made, and use the information to make recommendations (email communication 2/2/21). CIE requested additional information to prepare for the consultation and learned that the committee would have the opportunity to ask questions and engage in discussions, including about CIE's involvement in the strategic planning process. CIE chair Nina Treadwell invited Senate Chair David Brundage and Senate Committee on Courses of Instruction Chair Yat Li to attend the consultation alongside CIE members.

The committee expressed disappointment in the tone, tenor, and content of the consultation. In a follow-up memo to iVPGE Richard Hughey (dated 3/29/21), the committee memorialized its impressions of the consultation, and noted that it believed the ACE Lab reviewers dismissed out of hand CIE's concerns, including its concerns regarding prioritization and attention to budget, stating that such an approach was entirely misguided. CIE noted it was taken aback by the critiques of CIE's review by each of the three reviewers, precluding the opportunity for productive conversation. CIE members experienced the ACE reviews as hostile, condescending, and unwilling to entertain the ideas in CIE's review of the final draft.

In the same follow up communication (3/29/21), CIE expressed concern regarding GE's lack of responsiveness to CIE input into the draft report. It is the committee's understanding that the final Strategic Plan for Internationalization will be delivered to the Chancellor, and eventually distributed to the campus, however it is not clear to the committee if that report has been finalized and delivered. CIE remains deeply committed to furthering the goals of international education at UC Santa Cruz, and believes that a strategic planning process should include the Senate as it moves forward with implementation in the next year. CIE will continue to monitor this issue in the next academic year and looks forward to meaningful collaboration with the ACE Lab group.

Advocacy for a Campus International Student Lounge
Early in the 2020-21 year, CIE began discussions about the need for an international student lounge on the campus, one that would be a space of support for international students. CIE had grave concerns regarding the sense of displacement experienced by international students due to COVID-19 (and the wildfires in the Santa Cruz region), in addition to the continuous confusion regarding international visas during the Trump administration. (CIE was also cognizant of the inevitable impact these unsettling confusions would have on future international enrolments and, as a consequence, the potential serious decline in revenue for the university.) The assets of a student lounge were discussed throughout the year and soon became a pro-active collaboration between the committee and the Division of Global Engagement (GE). The topic emerged during a consultation with iVPGE Hughey and AVP George (11/17/20), somewhat fortuitously, as a mutual interest. CIE then consulted with AVP George during winter quarter (2/9/21) to discuss the issue further. During this consultation, the committee discussed how it could support GE in its existing efforts. CIE reviewed GE's student survey and summary document of ideas for an international lounge. CIE began discussing this in more depth thereafter, including centering its approach to advocacy that would ensure long term investment in retention and recruitment of international students. That is, CIE envisioned the international student lounge as a space that was not simply a "drop-in" space, but that was structured to provide intentional programming and came with a small, but sustained investment from the campus. CIE followed up this effort with a communication to CP/EVC Kletzer (dated 4/6/21). In this communication, CIE outlined its support for such a center, underscored by the need for a sense of belonging and safety for international students that could very well be an asset to further successful recruitment and retention of international students. This center would also serve to increase interactions between domestic and international students.

In its communication to CP/EVC Kletzer, CIE suggested that one model might be to institute a small governance board consisting of key stakeholders, including both undergraduate and graduate international students, as well as faculty members invested in the international student experience. CIE asked the CP/EVC to consider a small investment of space and resources to make the international lounge a reality for international student support on the campus. CIE received a response from iVPGE Hughey (dated 5/13/21), thanking the committee for its endorsement of the development of an international resource center and lounge, and providing an update on his discussion of the issue with the CP/EVC. He noted that while the lounge had not yet been established, GE was launching some of the programming that would eventually be associated with the creation of the center.

CIE followed up communication with AVP George and consulted once more (5/25/21) on GE's efforts to secure space for an international student lounge as well as GE's vision for that space. CIE was also concerned that momentum on this issue not be lost as the academic year came to a close, and continued to see the development of this space as an important issue that would support future international student recruitment, but also retention and positive student experience. CIE decided to follow up with a final letter, this time to the Chancellor and CP/EVC (dated 6/4/21). In that correspondence, CIE reiterated its support for an international student resource center, even if given a temporary (if not permanent) location, situated near the center of campus. CIE reiterated that this space would provide a sense of community and support for students and recommended

that the project move forward quickly, especially in light of the displacement experienced by international students due to COVID-19 and their impending return to campus. Recognizing the space constraints on campus, CIE nonetheless requested that the Chancellor and EVC consider designating a space with an opening date of the beginning of fall 2021, as the campus reopens for instruction. The committee will continue to monitor any developments in this issue, and plans to continue to work with GE to make this space a reality for international students, during the next academic year.

Review of Global Seminar (formerly Faculty Led Study Abroad) Proposals
CIE's 2019-20 annual report noted it was in the fourth year of an extended pilot phase for the faculty led study abroad proposal review process, and no further changes to the process were expected this year. However, this year's review of the proposal review process was due to GE's renaming/rebranding of its programming, including the faculty led study abroad programs, now called "global seminars," necessitating language changes to CIE's review forms. CIE was not asked to provide input on the GE rebranding of the faculty led program, but nonetheless expressed concerns about this rebranding. CIE noted that "global seminars" could become a slippery slope where many different types of programs might eventually be added, including "study away" programs that are not study abroad programs and therefore dilute the type of experiences offered to students. In expressing this concern (see CIE to AVP George and Study Abroad Director Michel 12/8/20), CIE affirmed the importance of international study abroad, including for those with less financial means, and emphasized that providing this opportunity remains central to the rebranded global seminar experience. CIE was concerned that dropping the "faculty led" in the previous nomenclature might open the door to experiences that are not created and run by faculty; further, "global seminars" diffuses the essential association with in-person study abroad, which could lead to confusion, potentially leaving the door open to virtual study abroad. While CIE understood that the rebranding was not intended by GE to substantively affect the programs and the manner in which they were run, CIE did register a concern about the potential future dilution of the original intention of the program—to provide a faculty led international learning experience for students. During its fall process review, CIE also declined GE's request that global seminar submission of chair assessment form follow a revised timeline. CIE agreed that the chair assessment should continue to be part of the eligibility review conducted by Study Abroad *prior* to submitting materials for CIE review.

This year, CIE received and reviewed one global seminar proposal. Given the COVID-19 pandemic, submissions for global seminars were lower in number than would be expected in a normal year (last year CIE initially reviewed nine proposals). Criteria guiding the review remained the same as last year. CIE believes that support for Global Seminars is an important way to facilitate broader international engagement, to increase the visibility of UC Santa Cruz abroad, and to enhance undergraduate education through multicultural interactions. The committee considered the 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 Global Seminar; 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. While CIE found the proposal promising,

the committee did request revisions and requested resubmission of the proposal in order to address some lingering concerns. Citing the need to move forward in a timely manner, iVPGE Hughey asked the proposer to address the remaining concerns cited in CIE's letter as they moved forward with CCI review, foregoing submission of a revised proposal for CIE review. Given this, the recently implemented joint GE/CIE review of the proposal did not take place. CIE looks forward to resuming the joint review schedule in the next academic year, along with what it hopes is a resumed increase in global seminar proposals from the faculty. The committee may also need to revisit timelines for the next review cycle (including proposal submission, global seminar faculty workshops, and committee review timeline) early in fall quarter, and will work with GE and the Study Abroad Office to coordinate these tasks.

International Enrollment and Recruitment
CIE annually consults with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. This year, the committee requested an update about planning for international admissions within the context of continuing COVID-19 impacts and restrictions. The committee continued to be interested in nonresident current enrollments as well as targets for the following year, and was particularly interested in international recruitment strategies intended to enroll a broader diversity of international students. This year, AVCEM Whittingham asked Assistant Director of Global Admissions David Joiner to participate in the consultation. CIE found the consultation to be informative and appreciated AVCEM Whittingham's openness to continued conversations with CIE. During the consultation, members learned that international student retention is higher than domestic student retention, allaying committee concerns about this issue. CIE will want to follow up next year to review retention data.

International Student Welfare and Success
International student welfare and success has been one of the key areas of focus for CIE. This issue is woven into much of the work CIE engages throughout the year, including its participation and support for campus strategic planning for internationalization and its advocacy for a student lounge, as noted in earlier sections of this report. In addition, early in fall quarter, members also sought to gather information on what resources were available to international students, some of which informed the consultations the committee sought out, as discussed below. CIE's early fall consultation with iVPGE Hughey and AVP George also discussed aspects of these issues, including contingency planning for communication and support for international students during emergencies (this was in context of the CZU fire and campus evacuation). In response to some of the issues raised by CIE, GE made some updates to its website and communicated with CIE about how broader communication with international students takes place via targeted announcements, which are an efficient way to communicate with students of differing constituents within the UCSC international community.

The remaining section below will focus on two consultations that directly touched on international student welfare and success, with iVice Chancellor for Student Affairs and Success Jennifer Baszile and with GE AVP Becky George and Director Lisa Swaim.

CIE consulted with interim Vice Chancellor for Student Affairs and Success Jennifer Baszile during winter quarter (2/23/21). This was the committee's introduction to iVCSAS Baszile and the

restructured Division of Student Affairs and Success. The committee was interested in learning more about the division, about the ways in which the division supports international student success, and ways in which the division and CIE might collaborate to promote the success and welfare of international students (both graduate and undergraduate). CIE was particularly interested in how the division works with other units on campus, given the ways in which different units share accountability and purview over international student issues, a model that makes strategic planning and implementation of initiatives to advance international student success and well-being a challenge for the campus. CIE viewed this first consultation with iVCSAS Baszile as a beginning of a conversation and collaborative work, and looks forward to continuing to work with the division in the next academic year.

Earlier in the year, CIE consulted with GE AVP Becky and George and Director of Global Programming Lisa Swaim (11/3/20). Based on earlier communication with AVP George, the committee scheduled this consultation to learn more about what GE was already doing related to international student welfare, including what resources exist for students, engagement on quality of student experiences and resources available to support international students at both the undergraduate and graduate levels. CIE was also interested in learning about plans to increase student support in the context of shifting federal policy and COVID-19. AVP George and Director Swaim provided an orientation into the structure and programming of the division for international students. CIE raised questions about how these services are communicated to the international student community, and how GE coordinates with the Division of Student Affairs and Success.

Much of the committee's work this year related to international student welfare and success centered on information gathering. The committee worked to gain a better understanding of what resources exist across the campus and how international students are supported where different units have overlapping purview of different aspects of international student success. The student representatives on CIE contributed much to these discussions. The uncertainties of federal policies, and COVID-19 impacts on travel and student housing were also issues that the committee worked with GE to learn more about.

CIE Representation
Chair Treadwell served on the systemwide UCIE committee. In that capacity, she also participated in UCIE's ten-year review of the University of California Education Abroad Program (UCEAP) New Zealand program. *Ex-Officio* member Hourigan continued serving in a lead role in the campus ACE Internationalization Lab strategic planning process.

CIE Consultations
In addition to the consultations discussed above with iVPGE Hughey and AVP George (11/17/21), AVP George and Director Swaim (11/3/21), iVCSAS Baszile (2/23/21), AVCEM Whittingham (5//21), and AVP George (5/25/21), the committee also consulted with GE Study Abroad Director Alice Michel (1/26/21) on an overview of the Study Abroad Office within GE, including its organizational structure and staffing. CIE also requested data on student participation in study abroad, as well as Study Abroad capacity for global seminar development. In addition, the committee consulted with UCEAP Associate Dean Hsiu-Zu Ho (4/27/21). She provided the committee with resource links related to UCEAP and also provided systemwide and campus specific data on UCEAP participation, as well as data on academic integration.

Local and System-wide Issue Review
In addition to the issues identified in earlier sections of the report, the committee reviewed and commented on the following issues and/or policies:

- System-wide Review of Proposed Revisions to Senate Regulation 630 (November 2020)

Continuing Issues for CIE in 2021-22
- Continue to engage with Global Engagement on a model of collaboration that enhances communication and shared governance on issues related to international education
- Continue to monitor ACE Lab progress and initiatives, and continue to engage in conversations about strategic planning and investment in internationalization initiatives within campus budget constraints; learn more about plans for the balance of "study away" and study abroad programs
- Continue monitoring and collaborating with GE on efforts for an international student lounge/resource center
- Continue monitoring and collaborating with GE on housing for international visiting scholars
- Continue collaboration with administration (and CCI as needed) in review of global seminars (formerly faculty led proposals)
- Reach out to international student constituents including Graduate Student Association International Student Chair
- Monitor campus efforts (Graduate Division, Student Success, Undergraduate Education) to address issues of international graduate and undergraduate student welfare and success

Respectfully submitted,

COMMITTEE ON INTERNATIONAL EDUCATION
Rebecca Braslau
Kent Eaton   Qianxue "Peggy" Zhang, UG Student Representative
Camilo Gomez-Rivas (F,W)   Daniel Rodriguez Ramirez, Grad Student Representative
Lars Fehren-Schmitz
Fitnat Yildiz
Jeremy Hourigan, *ex-officio*
Nina Treadwell, Chair

August 31, 2021

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Annual Report 2020-21

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. One major issue the COLASC committee dealt with is the closure of the library due to COVID-19 and related issues related to physical inaccessibility. Below we summarize our actions for the 2020-2021 academic year.

I.   Library Budget, Collections and Space Orientations

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

John Bono, Associate University Librarian for Planning and Resource Management (AUL), provided an overview of the library budget. This helped the committee to gain a basic understanding of the library budget, including funding levels, spending, how the budget is organized. He also discussed plan to manage the increasing deficit.

Kerry Scott, Associate University Librarian for Collections and Services (AUL), 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 in relation to budget (constraints & stewardship), collective collection, and scholarly production & communication (including Open Access-OA).

II.   Finalized De-Selection Criteria and Guidelines

This is to address an issue carried over from previous years. Since there is no mass weeding project planned for the near future, the committee felt that there is no need at this point to develop detailed guidelines. However, some general guides are developed (below).

"When the University Library determines that a collection review will result in a large-scale deselection project it will:

- Communicate information about the triggering event and its impact on the physical collections to the COLASC Chair, the Senate Chair, and Campus Leadership.
- Establish a timeline for Senate and campus stakeholder review of the criteria being used to assess the collection.
- Work with COLASC to identify campus stakeholders beyond the ones already identified by the library.

- Publish in a location/format accessible to the Academic Senate and campus stakeholders the titles that *may be* discarded and provide a mechanism for the campus to provide feedback.
- Incorporate campus stakeholder feedback, discuss next steps and communication plans with COLASC, Senate and Campus Leadership."

III.   Physical Access to Library Collections Related to COVID

Requests for possible physical access to library and library materials from faculty and students came up a number of times during the year. The committee discussed related issues and possible solutions with the library. At the end, the library managed to find solutions to meet the demands including purchasing and sending the materials to the persons in need. This is clearly a situation that is challenging and new. The committee recommends consideration of possible solutions in case similar situations occur or the current COVID situation persists.

IV.   Open Access Publication Cost

The Committee on Research (COR) has asked COLASC to consider the issue on resources available to support open access (OA). Currently, the support for OA publication varies from UC campus to campus. We discussed possible ways to increase support for OA from our campus. It is not clear what the best options are for increasing the budget for OA publication that seems to be a trend on the rise. This is an issue that will need to be addressed further in the future.

V.   Consultation with AUL Kerry Scott & Scholarly Communications Librarian Martha Stuit

Martha Stuit, the new Scholarly Communications Librarian, met with the committee and shared some information about her work that is of interest to COLASC. She answered questions from the committee about local issues and needs related to publishing and open access.

AUL Scott also discussed issues that intersect with the AUL, work in collections, and how to help UC Faculty and library and transform scholarly publishing modes and OA agreements, as well as how to contextualize OA with grad students and faculty as authors.

VI.   LAUC Reps on COLASC

We discussed the possibility of having "Two representatives from the UCSC Librarians Association invited to sit with the Committee" (currently it states "The Chair and Chair-elect of the UCSC Librarians Association are invited to sit with the Committee"). This change would provide more flexibility to propose to our LAUC membership and for creating a special COLASC representative position. The committee is in favor of this.

VII.   Other Issues

COLASC, along with other Senate committees, reviewed proposed divisional and systemwide policies or revisions to policies including New Presidential Policy on UC Research Data and Tangible Research Materials, the Bay Tree Bookstore Operation Proposal. We also discussed the relaunch of the library new web site that we all feel was significantly improved and is now easy to use. We got updated from Kristy Golubuiewski-Davis, Head of Digital Scholarship and Greg Careaga, Assessment and Planning Librarian, on the progress of the Design-Build Project

Management Ground Floor of the S&E Library. We also had a discussion about the Systemwide Integrated Library System (SILS) with User Experience & Digital Projects Librarian Jess Waggoner and Digital Scholarship Librarian Daniel Story.

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

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
Margarita Azmitia
Martin Devecka   Alessia Cecchet, Graduate Representative
Abe Stone   Dominic Knight, Undergraduate Representative
Junecue Suh (W,S)
Yi Zhang
Elizabeth Cowell, *ex officio*
Daniel Story, *sits with*
Jess Waggoner, *sits with*
Jin Zhang, Chair

 August 31, 2021

COMMITTEE ON PLANNING AND BUDGET
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The 2020-21 academic year was marked by globally unprecedented events: the CZU Lightning Complex fire that started in August 2020 and the continuation of the COVID-19 pandemic, which led to a full year of remote instruction. The challenges of the current year built on top of local and national events from the previous academic year: the PG&E power outages in fall 2019 that caused class cancellations; the onset of COVID-19 with the statewide stay-at-home order in March 2020, and the abrupt shift to remote learning in April 2020. Additionally, two events brought about profound states of reckoning at the local and national levels: the graduate student wildcat strike in the winter and spring quarters of 2020; and the protests, statements, and conversations around racial justice in the aftermath of the murder of George Floyd in May 2020. The University of California therefore entered the current academic year in deep reflection about its mission in the context of diversity, equity, and inclusion, and great uncertainty about the budget implications of the pandemic on state revenue and enrollment-based tuition. At the most fundamental level, the Committee on Planning and Budget (CPB) sought continually to ask how decisions would impact UCSC's research and teaching mission more broadly, and the lives and wellbeing of UCSC's students, staff, and faculty more specifically. CPB therefore started the year by discussing the principles by which it would deliberate and decide upon issues, whether in response to crises, new initiatives, or annual/routine business. At all turns, CPB emphasized: (a) diversifying, stabilizing, and strengthening its programs, units, and the educational experiences of students; and to do so in part by (b) ameliorating as far as possible the negative effects of COVID by strategizing and arguing against layoffs and permanent cuts. In these ways, CPB committed to deliberations, statements, and solutions that critically imagined what was possible beyond the pressures of austerity, and to avoid, wherever possible, long term negative impacts to programs and community welfare. This report organizes the range of issues CPB worked on under three broad categories. These are responses to:

I.   global/national/local **events**:
    A. review of campus budget cut targets and principles
    B. graduate education and graduate student welfare
        1. Joint Senate-Administration Working Group on Graduate Education (JWG)
        2. cost of graduate attendance
        3. Masters Incentive Program (MIP)
    C. university and campus policing
II.   campus **initiatives** including work in collaboration with other Senate committees, faculty, and/or the administration on:
    A. online education initiatives
    B. the campus budgetary framework
    C. the restructuring of the Office of Planning and Budget[1]
    D. planning for a Campus Diversity Officer
    E. planning for future employee housing
III. annual and **routine business**:
    A. divisional faculty FTE requests
    B. non-degree program proposals
    C. participation in external reviews of departments

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[1] Throughout this report, we refer to the campus Office of Planning and Budget (P&B). P&B has been renamed Budget Analysis and Planning (BAP), and this change will be reflected in future reports.

D.   review of Off-Cycle and Waiver of Open Recruitment FTE requests.

A detailed summary of CPB's work in 2020-21, as well as a list of anticipated issues for 2021-22, is provided below.

I.   Response to Global/National/Local Events

Ia. Review of Budget Cut Targets and Principles for Review
During fall 2020, CPB reviewed CP/EVC Kletzer's request for Senate consultation on the planned "approach to the FY21 $20M permanent reduction in state funding for UC Santa Cruz." The document provided three decision-points for consideration: 1) one-time instead of permanent cuts; 2) a 60/40 split of the cuts between the center and the divisions; 3) different ways of thinking about the target amounts of cuts relative to each division's permanent budget and carryforward revenues; specifically 3a) how permanent budgets and carryforwards might be weighted differently to arrive at target amounts; and 3b) how those weights might differ in disciplinary divisions (Arts, Baskin School of Engineering, Humanities, Physical and Biological Science, and Social Sciences), as compared to other divisions and units (e.g., Undergraduate Education, the Graduate Division, Office of Research, Business and Administrative Services, University Relations, etc.). CPB met on four separate occasions (10/29, 11/5, 11/12 and 11/19) to discuss the proposed approach, and benefited from two discussions with CP/EVC Kletzer and Associate Vice Chancellor (AVP) Register. In addition, CPB reviewed the responses from other reviewing Senate committees, including: Affirmative Action and Diversity (CAAD), Educational Policy (CEP), Faculty Welfare (CFW), Information Technology (CIT), and Teaching (COT). In conducting its review, CPB was guided by the following principles for budget cuts (building on CPB principles articulated in correspondence to then iCP/EVC Kletzer dated 6/9/20). These principles were that UCSC should strive to:

- minimize layoffs;
- preserve the research and educational mission of UCSC by advocating against permanent cuts to departments, programs, and divisions, and advocating for undergraduate and graduate student success, minimizing impaction, and supporting the ability of all programs to mount their curriculum;
- support and advance disciplinary and demographic diversity;
- advocate for a stronger public compact with higher education, such as a return to the Master Plan for Higher Education (1960);
- delay permanent cuts until otherwise unavoidable (for example, with use of central carryforward balances or advocating borrowing on the part of UCOP).

With those principles in mind, CPB strongly supported the use of one-time funds to address budget cuts and to ensure that cuts do not "have a disproportionate impact on low-income students, students from underrepresented minority groups, and other disadvantaged students." However, CPB argued that the overall approach focused **too much on target amounts and too little on guiding principles and potential impacts of proposed cuts**. For these reasons, CPB recommended that the center, units/divisions, and Senate engage in an **impact assessment** of the one-time cuts taken. **This process could surface which and how carryforwards are committed or otherwise budgeted, so as to assess the potential impacts of each cut against campus principles and priorities.** This process could additionally prepare the campus to address future potential cuts strategically and not just reactively. **CPB also questioned why the details of divisional carryforwards were not accompanied by a corresponding set of details about the center's carryforward**. As the budget cuts were among the most consequential sets of decisions the campus faced, CPB details its response below (see CPB to CP/EVC 11/20/20).

1.   CPB strongly supported the strategy of utilizing one-time, instead of permanent cuts, to address this year's funding reductions due to cuts in the state budget for the University of California (UC)

and its campuses. Such an approach, CPB argued, would allow UCSC to strategically prepare for multiple scenarios, ranging from the ominous (with increased cuts in core funds over the next few years on top of minimal revenues in the auxiliaries), to the more optimistic (with increased relief due to a possible vaccine, potential stimulus packages, a different approach to the state budget with a new state legislature, etc). As UCOP Chief Financial Officer (CFO) Nathan Brostrom stated to the systemwide University Committee on Planning and Budget (UCPB) during the fall quarter meetings, the fundamentals of the University of California are strong and so the economic implications of the current pandemic crisis might not resemble those of the previous economic recession.

2. However, **without information about the center's carryforward balances and how both the center and the units planned to use their carryforward balances, CPB could not ascertain how that 60/40 distribution was arrived at, nor if that split was the appropriate distribution.** Relatedly, CPB also asked why more central funds were not offered to support the one-time cuts, thereby better protecting UCSC's research and teaching mission. The question is critical because UCSC has not yet recovered from the previous round of permanent cuts, has the highest student to faculty ratio among the UCs, and must do everything in its power to protect its research and education mission.

    CPB understands that part of the reasoning for asking all units to take one-time cuts is that there are "rainy day" funds that have accrued over the years, and that the present pandemic crisis is precisely the moment to draw on those rainy day funds. Additionally, CPB appreciates that some one-time funds are used for expenses that have not and will not take place during the COVID pandemic: travel, events, etc. It seems reasonable and appropriate for units to share in this sacrifice by identifying those monies that will have less damaging impacts, especially since these cuts can push off the far more damaging permanent cuts.

    Yet this approach to arrive at target cuts did not have an accompanying process to surface and evaluate committed vs uncommitted monies, and therefore no way to identify cuts that are more "neutral" (monies that would not have been spent) from cuts that are potentially more damaging. Nor could CPB ascertain if any cuts would contravene foundational campus values, priorities, or requirements (to not have a disproportionate impact on low income, underrepresented minority (URM) or other disadvantaged students). It is conceivable, for example, that problematic and damaging cuts might emerge with an impact assessment, and could even be avoided if a different split between the center and units were established. Indeed, some CPB members argued for a **feasibility analysis of a third option with the center absorbing most, if not all of the cuts,** an option that could have proven to be most reasonable given the center's substantial carryforward and the likelihood that such a choice would improve faculty and staff morale as we moved through a very difficult period.

3. CPB agreed that for the disciplinary divisions, permanent budgets should be recalculated by removing the faculty turnover savings (TOS). This approach would more accurately reflect the permanent budget of the disciplinary divisions. However, that reduction in the proportional amount of cuts would be passed to the non-disciplinary divisions, many of which took substantial cuts in staff during the budget cuts following the recession in 2007-8. **CPB therefore asked if those adjustments might be better absorbed by the center than by the non-disciplinary divisions**.

4. Though it was not discussed in the budget-cut approach document, **CPB also strongly supported the approach to minimize layoffs through a redeployment program for UCSC employees**

whose job status was precarious due to the pandemic. CPB discussed this program in the context of these one-time cuts and our expressed principle to minimize layoffs.

5. CPB strongly supported the requirement, imposed by this year's state Budget Act and consistent with our campus values, that **proposed cuts "not have a disproportionate impact on low-income students, students from underrepresented minority groups, and other disadvantaged students"** and our budgets should not be adjusted "in a manner that disproportionately impacts the enrollment of, and services provided to, those students." As mentioned above, however, CPB was concerned that there was no explicit process to assess adherence to this requirement. Were units putting forward target numbers from specific accounts, or was there an accompanying description of what is being lost with the proposed cuts?

6. The proposal put forward two weighted averages to establish target cuts for the divisions: one where 75% of the target cut is determined by each division's permanent budget and 25% by their carryforward balances; a second with a 50%/50% weight between permanent budget and carryforward balances. CPB found that both had defensible rationales **but they revealed deeper philosophical issues about financial planning, vetting, reporting, and assessment**: does the absence of significant carryforwards represent an optimal relationship between permanent budget and operational needs? Alternatively, does the presence of significant carryforwards represent careful and prudent planning, or does it represent unneeded and therefore unspent funds? Of course the answer is contextual and complicated by two factors: 1) the funding source often determines how and when certain moneys can be spent (e.g., it is required that state funds be spent the year they are distributed; return to aid must be spent on student support; extramural funds have a range of restrictions; tuition funds have more flexibility. 2) The UC system and UCSC have been in a process of "adapting" to a fundamental shift in the state compact with higher education, with the state providing less per student dollars to the University since the onset of the great recession and the corresponding budget crises in 2007-8. **Where once the presence of significant "unspent" money (carryforward) might indicate that a unit did not need as much money as it was provided, it can now also mean a unit is saving working capital reserves for key initiatives and investments that are no longer being provided by state funding.** Yet, there is no way to differentiate and therefore assess carryforwards with their corresponding commitments.

Returning to the proposed approach for budget cuts, in elevating the contribution of carryforwards towards the target cut amount, the 50/50 approach gives greater weight to just that set of funds (carryforward balances) that can be used to take one-time instead of permanent cuts. By contrast, a 75/25 weight acknowledges and values past and present fiscal prudence, arguing that "it seems unwise to penalize units that are exercising care in hiring during this period of fiscal uncertainty" and that "calculating the full contribution from FY20 carryforward is a disincentive for future fiscal prudence."[2] As can be expected, the 50/50 and 75/25 weights impact divisions quite differently, with Social Sciences (SocSci) and Baskin School of Engineering (BSOE) representing two contrasting cases in the disciplinary divisions. Where both divisions have relatively similar permanent budgets of ~$26m (less turnover savingsTOS), BSOE has the largest carryforward amounts ($2.46m) whereas SocSci has the smallest ($186,590). The 75/25 split would therefore unfavorably impact SocSci, with it having to pay $190,446 more than with the 50/50 weighting scheme ($757k vs $567K). Conversely, the 50/50 weighting scheme would unfavorably impact BSOE, with it having to pay $374,884 more than with the 75/25 scheme ($1.7m vs $1.3m). The

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[2] CPB also noted that divisional carryforward balances include Gift and Endowment Income that is often under the control of individual PIs or faculty members rather than the divisional administration, and suggested that such funds might be excluded from the computation of the divisional carryforwards.

raw numbers provide no sense of the cost of those cuts, and whether they might damage existing programs that support campus priorities.

These two approaches to weighting permanent budgets and carryforwards reveal questions that go straight to matters of campus **planning**: when do carryforwards represent careful planning and when do they represent an amassing of revenue that could/should be spent? **How might UCSC better organize its systems and processes so that the center, divisions, departments, and programs can transparently and efficiently communicate their plans in a commensurate and comparable framework, and have those plans assessed and their implementations accounted for**? This issue of carryforwards in relation to assessment and planning will return in this report on two more occasions: with the preliminary assessment of the **Masters Incentive Program (MIP)**; and with CPB's ongoing discussion with P&B about **the center's carryforward**.

Ib.   Graduate Education/Graduate Student Welfare

CPB also engaged in and reviewed a number of initiatives that directly and indirectly addressed graduate education and graduate student welfare. These initiatives included: the Joint Senate-Administration Working Group on Graduate Education (JWG) initiated by the Graduate Council (GC) and charged by the Chancellor and CP/EVC in academic year 2019-20 (four CPB members served on this group); the Cost of Attendance/Cost of Living report conducted by a committee initiated by CPB in the spring of 2020; the Masters Incentive Program (MIP) Working Group comprised of members from CPB, GC, and the Graduate Division; and the systemwide review of the proposed Presidential Fee Policy for Graduate Students *In Absentia* Registration. In all these, CPB drew on the four principles developed by the JWG: to 1) strengthen the graduate enterprise; 2) cultivate research excellence and professional development; 3) advance disciplinary, faculty, and student diversity; and 4) provide an environment for student success and welfare. Additionally, there were three reviews for UC wide and campus specific safety/policing plans, developed in response to national issues of racial justice, protest, and policing, but for which the UC campus experience with policing during the graduate student wildcat strike was also formative to CPB's response: the Gold Book review; the Draft Presidential Campus Safety Plan; and the Critical Response Program Proposal.

Ib1.   Review: Cost of Attendance/Cost of Living Report

As noted in our 2019-20 report, last year's CPB, motivated by the graduate student labor action, began discussions about whether it could play a constructive role in helping to resolve the turmoil then engulfing the campus. Given the central role that high costs of attendance and living in Santa Cruz played in discussions generated by the strike, the committee was interested in whether it could help bring some clarity to an understanding of actual costs experienced by graduate students. Aware of the important research conducted by Sociology professors Miriam Greenberg and Steve McKay on urban housing and poverty issues, CPB invited Professors Greenberg and McKay to discuss the formulation of a research project that culminated in the "Report from the Graduate Student Cost of Attendance and Living Calculator," released in September 2020.

Because this document was not itself an Academic Senate report, Senate Leadership determined that CPB should undertake an initial analysis of the report and make recommendations to the Senate Executive Committee. In its analysis (see CPB to Senate Chair 3/8/21), CPB agreed that UCSC should develop an accurate and annually updated cost-of-attendance (COA) estimate and noted that, while there remain outstanding questions about an agreed upon COA estimate and how much the University is obliged to meet a doctoral/MFA student's COA needs, there is still a significant gap between the current combined salary and housing fellowship and graduate student COA needs. **Asserting that there was an urgent moral imperative to resolve these matters, CPB recommended that UCSC immediately work to further**

bridge the gap between current salary and housing stipends and doctoral/MFA student COA to improve graduate student welfare while the campus resolves other outstanding questions.

More specifically, CPB recommended that SEC should discuss and recommend the constitution of a "Senate Assessment Committee" that would address outstanding issues with the COA/COL report to arrive at an agreed upon campus COA estimate; that any COA calculator should use a range instead of midpoints for the cost estimates; that it should call for a subsequent "standing committee" that would annually update COA estimates and make those publicly available for prospective graduate students and UCSC stakeholders; and that this standing committee address how to support "non-traditional" students and/or students with greater financial need. CPB will continue to work with SEC and the administration on an implementation plan for these recommendations next year.

Ib2.   Systemwide Review of Proposed Presidential Policy – Fee Policy for Graduate Student *In Absentia* Registration

During spring 2021, CPB reviewed the Systemwide Review of Proposed Presidential Policy – Fee Policy for Graduate Student *In Absentia* Registration. The current policy calls for students who are doing approved coursework and/or research outside of California to pay 15% of Tuition and Student Services Fees in order to register and maintain access to "certain University programs and services such as health insurance." At present, students who do approved coursework and/or research inside California are not eligible to register *In Absentia* unless they request and are granted exceptions. Presumably these "special cases" are granted with some regularity by graduate deans or professional school deans. Therefore, this proposal is to give campuses the authority to determine whether these exceptions can be campus norms: in effect, each campus could determine if it wants a policy to grant *In Absentia* registration eligibility to all graduate students doing approved work away from their home campus but still within California. CPB, in its response dated 6/29/21, agreed that this proposed change "will allow UC to be more explicit about the conditions under which *In Absentia* registration is granted, so that the policy can be well advertised and more equitably applied." CPB therefore supported this proposed change but **raised several issues about the *In Absentia* policy as it impacts graduate education and graduate student welfare**. In particular, CPB members wondered if the *In Absentia* policy could go even further to ameliorate financial burdens for **graduate students research needs and decrease time-to-degree by: lowering the 15% even further, and perhaps even eliminating it; and eliminating the "local area" provision.**

CPB found that the language of the original policy raised questions about the purposes of the *In Absentia* policy. **The documents expressed a tension between two views of graduate education: as intrinsic to an R1 public university; and as an enterprise that provides revenue to the University.** This tension has important implications on how the policy impacts graduate students. On the one hand, the rationale given for the policy is expressed in terms of support for graduate students and their graduate education: to help graduate students "make continued progress towards their degree while maintaining access to certain University programs and services such as health insurance." On the other hand, the language also establishes the policy as a mechanism to keep students in a tuition-tethered structure so as not to lose revenue. The latter is expressed in a response to a FAQ concerning what is meant by special cases: "Deans are expected to be very judicious in granting exceptions, since granting exceptions has fiscal ramifications: students who normally would pay full tuition and fees will bring in less revenue for the University when they pay only 15 percent of Tuition and Student Services Fee."

CPB considers the two sides of this tension to be largely incompatible, and recommends that the policy be treated primarily or only as a means of enabling students to finish their degrees. *In Absentia* is typically granted when graduate students have completed their coursework and are working towards their thesis research and writing: *In Absentia* is a period when students are not employed as Academic Student Employees (ASE), so it is also a period when students might have to self-fund (if not supported by

departments, with fellowships, GSRships or external funding). For students who fall in that category, the *In Absentia* policy might very well be prohibitive, **with a main impact of extending their time-to-degree, because they have to self-fund or because they decide to go on leave of absence and therefore lose connections with their advisors, the university community, and university resources.** From the campus *In Absentia* form[3], CPB calculates that a graduate student would have to pay $2,599.85 per quarter or $7,799.55 per year (this amount includes the quarterly cost of tuition and fees ($953) and the UC SHIP health insurance ($1,646). That is a substantial sum for a graduate student to pay while also covering expenses for their research and cost of living. CPB suggested it is time to rethink the purpose, percentage of, or even the need for *In Absentia* fees beyond UC GSHIP in order to be enrolled. Indeed, with regard to doctoral students, CPB believes that once they have passed all required coursework and qualifying exams, and are solely focused on completing their dissertations, UC's administrative structures should be organized only to facilitate this outcome, at the most optimal pace and lowest cost to students that is possible. In this way, UC can address how it can better live up to its research mission as a public university by limiting the revenue collected from graduate students concluding their study and providing more support for their research and writing.

CPB also questions how the new language that defines the Local Campus Region: namely, as an area "defined by the graduate dean beyond which students could not easily access campus resources." Students who have completed all their research and need an exclusive focus on publications/dissertation to finish might have "easy access" to campus resources, but their best path to degree completion might include rarely or never coming to campus or utilizing campus resources. With that scenario in mind, CPB questioned whether a graduate student's exact geographical location or proximity to campus should even be relevant. CPB also recommended revisiting and clarifying the language on "easy" access to campus resources: Accessibility is not a universal category--what is easily accessible for one student may not be for another, even if they are living in the same geographic area. **In sum, CPB suggested that thinking about *In Absentia* in terms of graduate student educational needs first, rather than in terms of revenue provided by students, might lead to other policy changes that could strengthen graduate education at UC**.

Ib3.   The Joint Senate-Administration Working Group on Graduate Education

CPB had four members (including the Senate Chair) represented on the Joint Senate-Administration Working Group on Graduate Education (JWG). As the report is already public (March 2021), CPB will limit its report to questions concerning financial data at UCSC.

As written in the narrative appendix of the JWG's final report, a significant proportion of the JWG's effort was spent on conducting a comprehensive revenue analysis of how UCSC supports graduate students. One of the key findings is that prior to JWG's efforts there was no means to readily assemble the data necessary for a comprehensive revenue analysis of how graduate students are supported at UCSC. **This circumstance has likely affected, if not precluded, a comprehensive analysis that should serve as a basis for major decision making.** For example, even fundamental answers to questions such as "what percentage of doctoral students have received at least 5 years of funding in the past, and how does that number vary by division and department?", and "how are graduate students supported over the course of their graduate career, and what proportion of students have gone without any form of institutional support (i.e., self-funded) at some point in their graduate career?, had been elusive.

CPB flags these efforts as the Senate has long called for better transparency and clarity of campus finances and budget. What is clear is that the challenge for transparency also resides with the way data is stored in

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[3] https://graddiv.ucsc.edu/current-students/pdfs/absentia.pdf

multiple "data universes" and in ways that makes data integration and analysis challenging. JWG therefore gathered and integrated into an analyzable dataset revenue data from multiple sources.[4] As each of these pools of data were obtained in disaggregated form (i.e., multiple spreadsheets with multiple worksheets per spreadsheet), the JWG developed a data management and analyses framework that integrated the revenues generated by and spent on graduate students. This data framework allowed for analysis across datasets that previously had been difficult to achieve. JWG then worked with Planning and Budget to develop a programmed workflow to automate the generation of integrated datasets for subsequent years moving forward, so as to facilitate the reporting process of this information.

The JWG was also interested in understanding how actual students were supported over the course of their graduate career, and the proportion of students that may have gone without any form of institutional support (i.e., self- or outside fellowship-funded) at some point in their graduate career to specifically determine: what percentage of graduate students got full, partial, or no institutional funding, by degree type (doctoral and master's), and by division and department; actual time-to-degree by degree type, division and department; and correlational analysis of the relationship between funding, funding-type and time-to-degree. **The revenue data from Planning and Budget are based on graduate student FTE, and not individual students per se, and was not amenable to address these questions.** Therefore, the JWG obtained data from the Graduate Division that included: a ten-year longitudinal dataset (from 2010-2019), with data per student including anonymous ID, division, department, and degree type (PhD, DMA, MFA, MA, MS), year and quarter enrolled, enrollment status (full time, part time, *In Absentia*, on leave), support level (full, partial, none), and type of support (Teaching Assistant [TA], Graduate Student Instructor [GSI], Graduate Student Researcher [GSR], fellowship). The JWG worked with Planning and Budget to restructure these data into a single analyzable dataset, and to create a programmed workflow to make analysis semi-automated for the Graduate Division moving forward.

We delineate these activities to underscore the fragmented information structure on campus and therefore the challenges to obtaining regular (and usable) information flow. CPB will continue working with P&B, the Graduate Council, and the Graduate Division to develop an implementation plan on the JWG's recommendations including the regularization of gathering and reporting these data.

Ib4.   Subcommittee and/or Cross-Committee Reports

Master's Incentive Program (MIP) Working Group
The Chancellor's 2 and 5 year guarantee for MFA and doctoral students left unresolved the role of masters programs and masters students in the graduate education ecosystem. If the campus is prioritizing funding for MFA and doctoral students, what are the implications on masters students and programs, especially from non-professional fields? CPB, GC, and the Graduate Division therefore continued its collaboration as a MIP Working Group to explore the role of masters programs and masters students in the graduate

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[4] These sources include: the UCSC budget website; Institutional Research, Assessment, and Policy Studies (IRAPS); Office of Research (OR); University Relations (UR); Baskin School of Engineering (BSOE); Graduate Division (GD); and Office of Planning and Budget (P&B). The UCSC budget website provided the total campus expenditure by fund type, providing the total universe under which graduate support sits. IRAPS provided graduate student enrollment by student bodies (as opposed to student FTE). OR and BSOE provided data from UR: OR provided year-over-year corporate contracts, gifts and grants; BSOE provided a more detailed dataset on extramural contracts secured by corporate gifts. GD provided data on year-over-year graduate enrollments broken out by degree level (doctoral, MFA, MA/MS) and year in program status; the number of doctoral/MFA students eligible for the 5/2 year guaranteed financial support for doctoral/MFA students announced by the Chancellor in winter quarter, 2020; fellowship distribution by academic division (block, Chancellors, Cota-Robles, other). P&B provided Master's Incentive Program (MIP) allocation by division and department; data on funds spent to support graduate students as academic student employees (ASEs) and graduate student researchers (GSRs) etc., broken down by source category (core state enrollment and tuition, extramural, and "other" fund types, the latter of which includes sales and service, indirect cost recovery, and student fees). Each of these categories of funds supporting graduate students was analyzed both in terms of support type (ASE, GSR, fellowship, etc.) and fund source (e.g., extramural funds from extramural contracts, grants, endowments, or gifts, etc.).

education ecosystem more broadly and to assess the impact of the MIP more specifically. By way of background, UCSC established the Masters' Programs Incentive funding model in January 2014 to "promote graduate student enrollment growth and doctoral program development."[5] The MIP program was meant to incentivize academic divisions and departments/programs to grow masters programs through a revenue sharing model. The revenues generated were to be used flexibly to grow "doctoral enrollment" by supporting "instructional capacity, enriching graduate curriculum, and enhancing UCSC's relevance to regional industry by increasing masters enrollments and degrees granted."[6]

The MIP Working Group asked whether the MIP program has shown evidence of accomplishing those goals. To accomplish its task, the working group made requests to all departments, programs, and divisions for information on: MIP allocation, balance and carryforward, as well as how divisions/programs use MIP funds. While analysis is still ongoing and will continue through the upcoming academic year, it is clear that **many programs and divisions are carrying forward substantial funds**. Over a three year period from 2018-19 to 2020-21, the campus allocated approximately $2M a year to divisions, departments, and programs. **However, the total carryforward across all divisions, departments, and programs was $6.4M**.

As with CPB's analysis of the budget cut proposal, the working group's analysis revealed **a disjuncture between carryforward money that is committed and a process to regularly mark, assess, and report on those commitments.** This disjuncture is made clear when one looks at the MIP carryforwards in relation to the budget cut proposal: clearly the 60/40 center/divisions division of one time cuts is related to the fact that, on paper, some divisions and departments are carrying forward significant sums of money: the $6.4M of MIP carryforwards represents nearly a third of the required permanent cuts for the current year. **And yet, there is little to no understanding of how those carryforwards are committed vs. not committed, and by what process those commitments can be regularly communicated and assessed.** The findings and implications of this working group are still in process, and the MIP Working Group will continue in the 2021-22 academic year.

Ic.   University Policing Policies

CPB was provided the opportunity to read and evaluate a number of documents outlining new initiatives related to university-wide and campus specific safety and policing practices. These include revisions to the UC "Gold Book," the document containing university-wide police policies and administrative procedures, as well as the "Presidential Campus Safety Plan Draft." Additionally, UCSC presented a Critical Response Program (CRP) plan draft proposal. All appear to have been necessitated by conflicts that unfolded during the graduate student strikes of 2020, as well as from the unfolding national conversation regarding police brutality more generally. While CPB read the Gold Book revisions as deficient in many regards (see below and CPB to Senate Chair 4/6/21), members were more encouraged by the Presidential Campus Safety Plan Draft (CPB to Senate Chair 6/14/21) and UCSC's CRP plan (CPB to Senate Chair 4/27/221), which takes community-driven safety, transparency, and accountability more seriously. With all three, however, CPB pushed the University and campus to go much further in making a serious space for the range of viewpoints including "**defunding or abolishing**" police departments; to not institute reforms that internalize functions even further to the campus police; and to more deeply limit use of force.

CPB reviewed the proposed revisions to the **Gold Book** (CPB to Senate Chair 4/6/21). This included an updated "Use of Force" policy, and new policy documents regarding "Body Worn Audio/Video Systems," a "Systemwide Response Team," and "Carry Concealed Weapons" for retired officers. CPB members were

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[5] https://planning.ucsc.edu/budget/allocations-and-models/masters_incentive.html

[6] ibid.

encouraged that the UC is taking active steps to define and limit the conditions under which officers may use force within our campus communities, and are taking steps to instill a culture of police accountability across the system. While these changes are welcome, members felt that the proposed changes were decontextualized and relatively tone deaf to the unfolding national conversation about police violence. Members opined that the proposed policies did not go far enough in rethinking the fundamental nature of policing on our campus, and provided top-down solutions to problems needing greater community engagement.

Subsequently, CPB reviewed the **Presidential Campus Safety Plan Draft** (CPB to Senate Chair 6/14/21), a plan that is represented as the beginning of a larger plan to "re-envision safety at the University of California." This re-envisioning was more responsive to national events and subsequent conversations about rethinking the role of police and policing in the larger system of public safety. As such, this plan "starts by acknowledging" that "the same systems charged with providing protection have become a source of great distrust and fear." CPB supported the spirit of the shift in thinking as well as with the four overarching guidelines: community-driven safety; inclusive tiered responses; transparency; and accountability. CPB offered the following suggestions:

- Regarding a University of California (UC) safety structure at a high level, there are still national and local conversations as to whether universities and colleges more broadly, and the UC more specifically, should even have campus police. Thus, CPB asserted that it is crucial that this process truly make space for the range of viewpoints including "**defunding or abolishing**" police departments, and that these viewpoints be seriously considered by campus leadership. Moreover, if this revision of campus safety protocols is to be taken up rigorously with a "variety of views", CPB also recommended inviting those who have worked to produce, and are deeply involved in, abolitionist thinking.
- Regarding a UC safety structure that might include police and policing: CPB identified three broad concerns that should guide any approach to transform campus safety: 1) The holistic approach should not have the effect of internalizing more functions to the campus police; 2) police accountability boards should be fully independent and have control, rather than just serve an advisory role; 3) Police accountability boards should operate in a constructive and not just a reactive manner. CPB argues that for a board to be consequential and helpful, it should be in a position to generate conditions for enforcement, and not limited to handling investigations and complaints.

  CPB was also concerned that this document is silent on discussions of weapons, guns, and use of force, especially given that the system wide review on the University Policing Policies (Gold Book) included a "use of force" policy that was, in CPB's judgement, inadequately reformed and unresponsive to national conversations on police violence. Relatedly, CPB found it problematic that the document states that campuses will merely "reinforce and communicate" existing "University and campus guidance on protest response, role of police, observers or monitors, and use of mutual aid." That statement suggests an unwillingness on the part of UC to critically examine the way police (including non-UC police) have been used in protests, including issues of actual police violence, as well as the way armed uniformed police acting as "observers" served to intimidate protesters and others coming to campus.

Relatedly, CPB reviewed UCSC's **Critical Response Program (CRP)** plan draft proposal put forth by interim Vice Chancellor Baszile and Vice Chancellor Latham (CPB to Senate Chair 4/27/221). CPB appreciated the Senate being involved at this early stage and further appreciated the direction this program is moving, specifically in its attempts to move away from a police-only model for engagement with students experiencing mental health crises beyond the regular business hours of Counseling and Psychological Services (CAPS) or requiring engagement/intervention outside of its offices. For students in the midst of a

mental health crisis, some of whom come from communities or personal experiences characterized by troubled interactions with uniformed police, this is clearly a step in the right direction. **Still, CPB argued that the campus should commit to further separating the role of the University of California Police Department (UCPD) from the CRP before establishing a new structure for a critical response program**.

The CRP proposal does draw attention to the fact that students (and campus community members more broadly) from marginalized backgrounds are more likely to feel unsafe with the police-only structure of campus responses to mental health crises outside of the CAPS offices and business hours. The CRP proposal recommends a Crisis Response Team that pairs a police officer with a licensed mental health professional, both of whom are trained in matters of diversity, equity, and inclusion and who might be hired from FTE positions vacated by UCPDs. But any response structure that, as the report states, relies "on people trained for an entirely different set of engagements" calls for rethinking. The CRP refers to alternative models that do not rely on police for mental health emergencies but argues that they are prohibitive given the relative volume of cases on campus.

CPB suggests that before rejecting other models, that the CRP proposal include more information about them: what other models exist? How are they structured? How do they address potential safety concerns for the response team? What are their resource requirements in terms of budget, personnel, and facilities? How do those requirements compare to the current proposal? It seems especially critical that the campus have a transparent and involved conversation about the range of options before setting a foundational structure since: 1) the Crisis Response Team would be tasked with developing protocols and conducting outreach concerning crisis responses services and programs; and 2) the resources for the Crisis Response Team might draw, in part, from vacated UCPD positions: if only half of those positions are dedicated to hiring non-police officer specialists for mental health emergencies, the campus will already be embarking on a reallocation pathway that could be more limited than it needs to be.

II.   Campus Initiatives

Online Education Initiatives
Over the course of a year in which all UC campuses offered remote instruction of *courses* almost exclusively, CPB engaged with the concept of online undergraduate degree *programs* several times, both at university-wide and campus levels.

In fall 2020, CPB responded to the report of the Online Undergraduate Degree Task Force created by the Academic Council in AY 2019-20 (11/13/20). The task force, with representatives from each of the UC campuses, was convened in response to the first systemwide proposal for a fully remote undergraduate degree program. The report offered three policy options for governing online degree programs, each of which had supporters among members of the task force. In its response, CPB firmly supported one, the UC-Quality Remote Degree option. This option described fully remote degrees that would meet the high expectations for UC degrees--including that they be taught by regular faculty and provide a full education, including out-of-the-classroom opportunities, equivalent to that of a traditional on-campus education, a determination that rests in the hands of the Senate.

In winter 2021, CPB representatives participated in the development of a campus charter for exploring the possibility of online degree programs at UC Santa Cruz. This was one of four initiatives, all proposed in the summer by campus leadership, that went through the charter process. It gained additional impetus from an Arts Division proposal for the first online degree program at UCSC. Though delaying the review of the Arts proposal, the charter process provided a framework for why the campus might consider online

programs, and a detailed collection of questions, grouped by topic, that would need to be addressed before launching even one such program--a principled approach. CPB reviewed and provided feedback on draft and final versions of the charter (see CPB to Senate Chair 4/6/21).

In spring 2021, with the charter having been approved for further exploration by Chancellor Larive and Campus Provost and Executive Vice Chancellor Kletzer, five separate work groups were created, each to examine in greater detail one cluster of questions raised in the charter process. CPB members participated in two of these work groups, the first on finance and budget, and the second on student experience in online programs.

Budgetary Review Items
CPB and the Office of Planning and Budget continued its collaboration to make the campus budget more transparent and legible. **One recurring issue, already encountered above with the budget cut approach document and the analysis of the MIP program, is the presence and appropriateness of the level of carryforwards.** A multi-year initiative undertaken between CPB and P&B has been refining tool(s) for reporting central fund balances and projections. In 2019-20 P&B shared with CPB a newly developed spreadsheet that provided a four year (from 2016-17 to 2019-20) overview of central funds (permanent and one-time), including central carryforwards and a "what if" tool to explore multi-year planning scenarios for investments in FTE faculty and "resource calls" for other needs. This sheet showed substantial **central carryforwards**, which generated much discussion from the time of its presentation to the present, ranging from:
- the technical: recommending how the sheet can be improved;
- the philosophical: given the broad belief the campus is under-resourced, could or should those resources be used for ongoing support of the research and education mission. For example, could the center have reduced the student to faculty ratio by using recurring temporary funding to allocate more faculty FTE to divisions?;
- the evaluative: reviewing whether all those funds are unspent and unbudgeted vs committed;
- to the ethical: the imperative of making the center's carryforward information public so as to enter it into a larger campus conversation about campus investments and planning more broadly and emergency use more specifically.

Regarding technical improvements, last year's CPB recommended the sheet include the background data that informed the summary tables. Regarding the ethics of emergency use, CPB issued a statement in the spring of 2020 to use those reserves to hold at bay any permanent cuts that might (and did) arrive due to COVID19.[7] Regarding the ethics of disclosure, CPB entered the current academic year with a shared sense of urgency to have the information about central carryforwards made public to the university, beginning with the fall Senate Forum on 2020-21 budget (held on October 14, 2020) and in subsequent meetings with the CP/EVC and P&B. On Feb 11, 2021 AVP Register presented a detailed set of documents that provided more context and updated information about central funds and carryforwards: **The UCSC center entered 2020-21 with $121M of prior year carryforward (down from a highpoint of $160M in 2018-19 and 2019/20)** and a new budget of $34.8M for a $156M total "budget." With allocations and adjustments of approximately $60M, UCSC started the year with a ~$95.5M "current balance", **of which $71M was committed to campus costs such as the benefit pool**, leaving a projected central balance of $24M.

The sizable sum of committed central carryforward money returns CPB to the issue of how carryforwards campus-wide ought to be tracked, communicated, reviewed, and assessed. CPB looks

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[7] Specifically, CPB wrote in its 2019-20 report that it "advocated for tapping reserves to avoid the greatest depth of budget cuts associated with pandemic-catalyzed revenue losses." https://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/reports/cpb-annual-reports/1982-cpb-annual-report-2019-20.pdf

forward to working with P&B, principal officers and the CP/EVC to better understand present commitments from the center, divisions, and departments/programs, and to use that information to clarify guidelines and processes for how to do multi-year planning moving forward. How do we as a campus distinguish carryforwards from prudent reserves? Within carryforwards, how do we mark annual as opposed to multi-year commitments, including the need to accumulate savings for substantially higher one-time investments?

As an improvement to the static PDF deficit report, AVP Register provided a robust carryforward and deficits sheet, which included supporting data (per CPB's request), and a pivot table to explore financial information by unit (e.g., Chancellor/CPEVC units, Academic Units, Colleges, BAS, etc.). The pivot table also included a filter to "slice" the data by core vs. non-core funds, UCSC fund type (state general, student fees, tuition, sales and service, etc.), function group (academic support, auxiliary enterprises, etc.), org levels (3, 4, & 5), and whether the moneys are startup or not, and whether a unit had carryforward or not. CPB found this to be a very powerful tool and recommended that it also include a year over year view that the original "what if" model provided, as well as definitions of technical terms.

Another initiative undertaken between P&B and CPB over the last three years was to improve and replace the existing "Bird's Eye View" document that provides the annual campus budget summary. CPB reviewed P&B's proposed dashboard, which provides a more detailed and holistic overview of the campus financial activities, with an interactive multi-year view. CPB agreed this was a vast improvement and can be found on the Campus Resource Summary site.[8]

CPB representatives also met regularly with P&B and the assistant deans from each disciplinary division in the late summer and fall of 2020 to discuss the Academic Resource Model (ARM). The ARM was presented by P&B as a new metrics-driven model to replace UCSC's antiquated financial models; to expedite budget allocations and facilitate multi-year planning; to incentivize decisions towards UC and campus priorities; to provide clarity, transparency, and a shared understanding of how money is allocated from the center to different units, and to facilitate FTE hires by removing the need for disciplinary divisions to accumulate funds from open provisions to finance start up packages and salary augmentations for new hires. While CPB and all principal officers agreed that UCSC needs to fundamentally change its approach to campus budgeting and how it allocates resources, we also raised many issues: ought the model be based on campus values and principles rather than start with formulae?; how can the campus develop a common framework that nevertheless is responsive to the unique disciplinary needs of different divisions and departments?; how can deans drive initiatives when a core source of discretionary budget (open provisions) is rightly redirected back to faculty hires? Due to the complexity of working out those questions and the convergence with budget cut discussions and federal Higher Education Emergency Relief Fund (HEERF) funding cycles, this project was put on hold and will resume in the summer/fall of 2021.

Restructuring of Office of Planning and Budget
The Committee on Planning and Budget (CPB) discussed Chancellor Larive's plan to restructure units within the Office of Planning and Budget (P&B) (CPB to Senate Chair 11/13/20). The plan would disband P&B from its current structure, and not replace the Vice Chancellor for Planning and Budget (VCPB) position. Instead, the current campus Budget Director would be elevated to AVC of Budget and Resource Management. Capital Planning and Space Management (CPSM) would report to Physical Planning Development and Operations (PPDO), under the Vice Chancellor for Business and Administrative Services (VCBAS), which reports to the Chancellor. The other units, Institutional Research, Assessment, and Policy Studies (IRAPS); Budget and Resource Management (BRM); and Data Management Services (DMS) would all have direct reporting to the CP/EVC with indirect secondary reporting to the Chancellor.

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[8] https://planning.ucsc.edu/budget/reports-overviews/ucsc_campus_resources_summary.html

CPB had the following observations:

- **Operational Efficiencies**: the proposed plan cites operational efficiencies and effectiveness as a driver for the restructuring plan. Over the short term, the restructuring plan seems to build some stability into the reporting structure. Over the medium and long term, however, CPB wondered if P&B would benefit from an open search for a VCPB or a CFO position.
- **CPSM Consultation**: Under the proposed plan, Capital Planning and Space Management (CPSM) would move under PPDO, which may offer efficiencies over the current reporting structure. CPB did not have a strong opinion on where CPSM ultimately resides, but members did point out one issue that is of significant importance: over the last few years, CPB has noted the shifts in the nature and quality of consultation on capital planning issues (one example is CPB input into the Capital Financial Plan, which as we understand it, has at least in part, had to do with shifting annual UCOP deadlines, which impact timing of campus review). CPB members agreed that wherever CPSM ultimately resides, it is critical to build stronger consultative relationships in this area, and looks forward to beginning that work in the year ahead.

CPB is developing a plan to work with VCBAS Latham on a new approach to Capital Planning consultation in the next academic year.

CDO Reorganization
CPB reviewed Chancellor Larive's request for review of plans to reimagine the role of the UCSC Associate Vice Chancellor and Chief Diversity Officer (CDO) (CPB to Senate Chair 6/2/21). CPB concurred that this position should be elevated to Vice Chancellor for Diversity, Equity, and Inclusion, and appreciated the campus's deepening commitment to issues of diversity, equity, and inclusion (DEI).

CPB recommended that filling a position at this level should be conducted through an open, national search. CPB noted that a senior position with a large portfolio would require staff support beyond what already exists in the Office for DEI. CPB requested more information about support staff and the financial implications of such an office. The majority of CPB members felt that the successful candidate should have faculty experience and research expertise. Several members suggested looking for candidates with research expertise in emerging practices that focus on belonging, dignity, and justice, and who are grounded in research-based practices such as Critical Race Theory. Finally, CPB members opined that if the candidate is a faculty member, that person should have a faculty home, as do deans.

Employee Housing Work Group
CPB provided a representative to the Employee Housing Work Group (EHWG), an advisory group led by Vice Chancellor for Business and Administrative Services (VCBAS) Sarah Latham with expert staff and representation from the Staff Advisory Board, the deans, relevant Senate committees, and faculty at large. The work group regularly starting in late fall 2020. Following analysis of a survey on housing demand conducted by the EHWG in 2019-20, the group's work in 2020-21 initially focused on two main goals: (1) identifying and narrowing possible constellations of housing options in developing Ranch View Terrace, phase 2 (RVT2); and conceptualizing possible next steps for development of employee housing beyond RVT2. An overarching third goal developed out of discussions: identifying the multiple purposes and audiences employee housing projects could serve, and clarifying how different housing configurations and policy approaches could meet those different purposes. For example, should employee housing options be designed to help the campus meet its diversity goals? Its efforts to recruit faculty? To retain them? To retain staff? To determine which purposes and audiences were important to consider for future employee housing, the EHWG conducted several focus group interviews with Senate committee, staff, and administration groups. Discussion followed of housing configurations that could meet those purposes and shifts in policy that might thus be considered.

For academic year 21-22, the EHWG will either invite faculty with research expertise on local housing to join the committee or to present to it, and will also invite CAAD to provide a representative.

III. Response to Annual and Routine Business

Faculty FTE Review

In the fall of 2020, CP/EVC Kletzer circulated the faculty recruitment request for 2021-22. In preparing its recommendations, CPB drew on the faculty recruitment call to the academic divisions (dated January 7, 2021), the requests for faculty recruitment submitted by the divisions, and in addition, consulted with each of the divisional deans, all of whom received a set of questions in advance. CPB invited the chairs of Graduate Council (GC) and the Committee on Educational Policy (CEP) to attend each of the dean consultations. CPB also consulted with the GC and CEP chairs on their perspectives, as chairs of their committees, related to implications for graduate and undergraduate education respectively. CPB received the FTE requests on March 2, 2021. CPB reviewed the submissions over eight meetings, consulting with each divisional dean and the CEP and GC chairs. CPB assigned a team to review and facilitate discussion of each division's submissions. After each team presented and the committee discussed, CPB spent two additional sessions to discuss each FTE request in the context of its home division and each division's case for central position(s). CPB utilized a matrix to examine each FTE request through factors elaborated below. CPB reviewed and structured in a comparable format data on faculty FTE by department, undergraduate and graduate student-to-faculty workload, undergraduate major by faculty FTE, and department support of graduate students through extramural funding. These data were provided by the Office of Planning and Budget and the Joint Senate-Administration Working Group on Graduate Education (2021).

CPB's approach to the review of the FTE requests was first to examine and rank the positions within a division, and then to examine the case each division made for central position(s) (see CPB's recommendations to CP/EVC Kletzer dated 5/10/21). CPB's deliberations about the FTE requests were guided by the principles outlined in the FTE call letter, as well as by priorities established by CPB. The priorities CPB developed were responsive to a year in which the COVID-19 pandemic placed the University of California system in a state of deep budget uncertainty, and to profound questions raised by the graduate student wildcat strike, pre-COVID, about the levels of support provided to graduate programs and graduate students. As such, CPB did not focus on how FTE provisions would drive growth per se (e.g., "by supporting significant doctoral growth," or departments with "high growth potential," or new interdisciplinary initiatives), as had been prioritized by CPB in previous years (specifically 2014-15 to 2018-19). Instead, CPB focused on how the proposed FTE positions would **stabilize and strengthen** existing undergraduate and graduate programs as well as established campus initiatives. However, in focusing on stabilizing and strengthening rather than growing, CPB did not take a conservative approach by recommending the lower number in a range of new FTEs provided in the FTE call. Given that the California Governor proposed a full restoration of the UC budget, CPB made its recommendation based on the maximum number of new FTEs provided in the FTE call: eight rather than six or seven, and made recommendations should the CP/EVC decide to go with even more, which she ultimately did.

At a high level, CPB reinforced the fundamental principle that the University of California's educational mission as a research university is to provide a UC quality education, defined broadly as the opportunity for students to work with world class researchers and to therefore gain "closely mentored" research experience in an intellectual and campus environment committed to diversity, equity and inclusion. With the principles of a UC quality education in mind, as well as the principles of stabilizing and strengthening existing programs and initiatives, the specific factors CPB prioritized when evaluating each FTE request were: a) improving undergraduate success and experience by addressing impaction and high student-to-faculty ratios; b) supporting programs that are challenged to mount their undergraduate and/or graduate curriculum; c) increasing disciplinary and demographic diversity; d) strengthening graduate education; e)

and, where disciplinarily relevant, recognizing positions that might support graduate education through extramural support.

The factors CPB considered for recommending the allocation of new central positions were: first, to support programs that have experienced substantial student population growth relative to faculty growth, so as to help stabilize and strengthen those programs; and second, to support programs that engage with existing campus initiatives.

Regarding student growth, CPB notes that from 2010 to 2018, BSOE has seen an expansion in majors and student FTE by 252% and 103% respectively, but has only seen its ladder and payroll faculty grow by 23% and 46% respectively (see figure 1 below, developed by CPB from data provided by IRAPs). CPB therefore recommended that the majority of available central positions be allocated to BSOE (5 of the 8 allocated central positions). CPB did not view this as just a market-based argument. Rather, the campus ought to support each program in its mission to mount a UC quality undergraduate and graduate education: having student-to-faculty ratios at the levels found in BSOE, most especially in Computer Science and Engineering (CSE), goes against that principle.

Though BSOE has driven student enrollment growth at UCSC, CPB also underscored that undergraduate student-to-faculty ratios are higher *overall* at UCSC than at any other UC campus. This burden is shared across the campus: UCSC has 20 departments with an undergraduate student-to-faculty ratio of 21 or higher (21 being the campus average), with 5 departments from the Arts; 3 from BSOE, 4 from HUM; 4 from PBSci; and 4 from SocSci. These numbers do not include the divisional programs, such as Arts, Games and Playable Media (AGPM) in the Arts Division, and Critical Race and Ethnic Studies (CRES) in the Humanities Division, which also have some of the highest undergraduate student-to-faculty workloads on campus.

CPB was encouraged that many divisional and departmental requests were committed to promoting inclusion, equity, and diversity within their FTE proposals: some deans focused on demographic diversity while others emphasized how curricular and intellectual diversity can serve as drivers for equity, inclusion, and demographic diversity. CPB considers all to be important, with demographic diversity helping students see themselves in their professors, and curricular and intellectual diversity helping to keep UCSC's research and teaching vital.

Shared Governance and Consultation Process
CPB invites deans, vice provosts, and vice chancellors to meet in both structured and unstructured contexts. Unstructured meetings provide opportunities for administrators to share their ideas and concerns with CPB, and for CPB to understand the vision and priorities for various divisions. 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.

The UC structure of shared governance has clearly delimited purviews. While respecting and upholding those purviews, CPB sought to think of shared governance as both constantly addressing differences and identifying shared goals, and shared values. We have reviewed our decision making and our consultation processes with an eye towards increasing levels of transparency and collaboration. Given that 2020-21 has presented both the faculty and the administration with unthinkably difficult problems, CPB feels that its partnership demands candor, criticism (when needed), collaboration, and an insistence on the university's stated values.

Regular Committee Business
External Reviews
CPB annually participates in department and program external reviews. During 2020-21, CPB reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming

reviews in Arts: Games & Playable Media, Anthropology, Critical Race and Ethnic Studies, Electrical and Computer Engineering, Environmental Studies, Science Communication, and Writing. CPB also prepared responses to departments/program external review reports in preparation for closure meetings for History of Art and Visual Culture, History of Consciousness, Languages and Applied Linguistics, Mathematics. The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for Chemistry and Biochemistry, and Linguistics. CPB reviewed several external review deferral requests for Environmental Studies, Community Studies, Applied Mathematics, Biomolecular Engineering, and Computer Science and Engineering.

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests
CPB reviewed and made recommendations on six additional hire requests (second hires and second/third hires) from the following divisions: BSOE (four), PBSci (one), Social Sciences (one). CPB also reviewed one request for authorization for other off-cycle recruitments (Humanities). CPB reviewed five Presidential Postdoctoral Fellows Program Hire requests (one in BSOE, four in Social Sciences), two Target of Excellence (TOE) Waiver of Open Recruitment requests (BSOE, PBSci), and four Spousal/Partner Waiver of Open Recruitment requests (two in Humanities, one in Social Sciences, and one in PBSci).

# of Off-Cycle Requests	Arts	BSOE	Hum	PBSci	SocSci	Total
Second/Third Hires	0	4	0	1	1	6
Off-cycle open recruitment	0	0	1	0	0	1
PPFP hire requests	0	1	0	0	4	5
TOE	0	1	0	1	0	2
Spousal/Partner waiver requests	0	0	2	1	1	4
Total	0	6	3	2	6	17

During this year's reviews CPB once again noted the need to update policies on salary upgrades, and also noted the number of exceptions to policy for startup expenses included in the proposals. CPB looks forward to continued review of allocation policies and the broader Academic Resource Model, begun this year and expected to continue in the next academic year, with continued CPB participation and input.

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

Local
- Languages and Applied Linguistics (LAAL) Spanish Minor Proposal (October 2020)
- Associate Provost Position Description: Office of CP/EVC (November 2020)
- Proposed Interim COVID-Related Caregiver Modified Duties Program (November 2020)
- Senate Committee on Career Advising Proposal to Assess Faculty Climate in External Reviews (November 2020)
- Documented Discussions Proposal for Addressing "Less Serious" Faculty Conduct (December 2020)
- Bay Tree Bookstore Operations and Model Review (December 2020)
- Film and Digital Media Production Concentration Proposal (December 2020)
- Revised Guide for Managing Curricular Capacity and Capping Program Enrollment Process

(January 2021)
- Senate Committee on Educational Policy and Committee on Courses of Instruction Request for Consultation on Classroom Space Issues (February 2021)
- Earth and Planetary Sciences (EPS) Geophysics Concentration Proposal (February 2021)
- Proposal to Modify and Discontinue Computer Engineering Programs and Governance (February 2021)
- Center for Innovations in Teaching and Learning (CITL) External Review and Funding Renewal Proposal (February 2021)
- Administrative White Paper Response to Strategic Academic Plan (SAP) Barrier Reduction: Team Teaching Report (March 2021)
- Proposal to Suspend the Italian Studies B.A. (April 2021)
- Administrative Home Change Proposal: Technology and Information Management Undergraduate Programs (May 2021)
- Faculty FTE Transfer Requests & Joint Appointment Requests (n=11) (May 2021, June 2021)
- Proposal to Establish Critical Race and Ethnic Studies Department (June 2021)
- 2021-22 Employee Housing Re-Pricing Program Recommendations Review (June 2021)
- Arts: Games & Playable Media Administrative Home Change and Theater Arts Department Simple Name Change Bundled Proposal (June 2021)

Systemwide
- Proposed Curtailment Program (October 2020)
- Academic Planning Council's Faculty Salary Scales Task Force Report and Recommendations (February 2021)
- Proposed Presidential Policy, Business, and Finance Bulletin, IS-12 IT Recovery (February 2021)
- Innovative Learning Technology Initiative (ILTI) Report and Recommendations for the Future (February 2021)
- Proposed Presidential Policy BFB-BUS-43 (March 2021)
- Proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program (May 2021)

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 (this year with the now interim Associate Vice Chancellor for Planning and Budget) annually for overviews of the UC and campus budget and budget outlook; capital planning; and other topics as needed (this year, an overview of the Central Resources summary, campus carryforward and deficit balances, and a presentation of the public facing Financial Dashboard project). CPB typically receives an overview from Planning and Budget on the operating budget of academic and academic support divisions, institutional support units, and auxiliary units. This will resume in the next academic year.

The committee consults with the academic deans every fall, then again during winter quarter specifically on their division's faculty FTE requests to the CP/EVC. In 2020-21, CPB also consulted with the following administrators on issues under their respective purviews: Vice Chancellor for Business and Administrative Services Latham (December 2020), Interim Vice Provost and Dean of Graduate Studies Williams (January 2021), Vice Provost and Dean of Undergraduate Education Hughey and Associate Vice Chancellor for Enrollment Management Whittingham (January 2021). CPB also consulted with the Graduate Council and Committee on Educational Policy chairs (April 2021).

Continuing Issues for CPB 2021-22
- Continue to collaborate with the Office of Planning and Budget on campus financial information sharing and management frameworks; enhance CPB review of budgetary frameworks

- Collaborate with VCBAS on optimal process for review of capital planning issues post-restructuring of the Office of Planning and Budget, and implement pilot year of review and consultation
- Collaborate with P&B to identify causes of, and solutions to improving, UCSC's student to faculty ratio
- Participate in review of campus budgetary model (Academic Resources Model)
- Monitor and participate in faculty FTE at planning and review stages
- Campus Space Planning—monitor progress and participate in Senate review
- Monitor progress of, and participate in, campus Math summit planned for 2021-22
- Monitor and engage the work and implementation of the Joint Working Group on Graduate Education and the Cost of Attendance Working Group
- Continue work with Graduate Council and VPDGS on Master's Incentive Program analysis and recommendations
- Monitor UC and campus initiatives on policing
- Monitor progress on hiring of Campus Diversity Officer
- Monitor and collaborate with the Committee on Faculty Welfare on review of Employee Housing Re-Pricing recommendations

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET

Elizabeth Abrams
David Cuthbert   Margaret McDevitt-Irwin, Grad Representative (W, S)
Gina Dent   Edith Trautwein, UG Representative
Cormac Flanagan   Jake Washeka, UG Representative
Debbie Gould
Raphe Kudela (F)
Matt McCarthy (W, S)
J. Cameron Monroe
Sriram Shastry
David Brundage, *ex officio*
Patty Gallagher, *ex officio*
Dard Neuman, Chair

August 31, 2021

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 2020-21

To: Academic Senate, Santa Cruz Division

I. Grievances

One grievance was filed with the committee during the 2020-21 academic year, which was resolved without proceeding to a hearing.

II. Charges

No charges were presented by the administration against members of the faculty this year.

III. Divisional and Systemwide Reviews

A. Proposed Revisions to the Campus Academic Personnel Manual (CAPM) 002.015 - Faculty Conduct and the Administration of Discipline

On October 9, 2020 the committee reviewed the proposed changes to section 002.015 of the Campus Academic Personnel Manual (CAPM). The proposed changes mainly involved Section E.4 of the policy, which would give the Campus Provost/Executive Vice Chancellor (CPEVC) expanded discretion with regard to when a faculty member would be informed that a complaint has been made against them.

As proposed, the CPEVC would have discretion not to forward a complaint to the Respondent prior to the report being sent to the Charges committee which would then determine if probable cause exists to charge the Respondent with a violation of the Faculty Code of Conduct. Most P&T members voiced that faculty have a right to know about complaints against them no matter how frivolous they may be and thus objected to the additional language. Members felt that a practice of explanation of the process to the faculty respondent at the time of notification of the complaint might mitigate the concerns that gave rise to the proposed revision.

B. Proposal for an Associate Provost

P&T reviewed the proposal for a newly created position of Associate Provost on November 4, 2020. Most committee members voiced strong objection to the creation of this position at this particular moment of budgetary crisis.

C. Revision to Benefits and Privileges: APM - 700 - Leaves of Absence/General

The Committee on Privilege and Tenure reviewed the proposed revisions to Benefits and Privileges: APM - 700 - Leaves of Absence/General at its meeting of November 18, 2020. The committee recommended a minor edit to the revision.

D. Systemwide Review of Proposed Amendments to Senate Bylaw 336F.8

On December 9, 2020, P&T reviewed the proposed amendment to systemwide Senate bylaw 336.F.8, which, in accordance with new Department of Education regulations, aligns the standard of evidence for faculty with those for students and staff in cases involving the University's policy on Sexual Harassment and Sexual Violence (SVSH). The committee broadly supported the elimination of a double standard, and accepts that the "preponderance of evidence" standard must be abided, even while recognizing that SVSH-related disciplinary cases that come before P&T often entail other violations of the Faculty Code of Conduct that will continue to be determined according to the "clear and convincing" standard. P&T suggested the inclusion of language that encourages P&T hearing committees to explain their logic in arriving at their decisions under the preponderance standard.

E. Systemwide Review of Faculty Salary Scales Task Force Report (Revision)

The committee reviewed a report of the Faculty Salary Scales Task Force on January 13, 2021. Overall, the committee supported efforts to bring clarity and transparency to the salary administration process, to realign salaries with rank and step, and to eliminate the loyalty penalty. However, the committee was concerned that the report did not address the fundamental question of how merit increases would be implemented with this proposal, or if the intention was to completely flatten salaries for faculty with similar time in ladder track, regardless of performance. Since not all individuals perform exactly equivalently at step, the committee advises against a system that would accentuate disincentives for certain kinds of service, advising and teaching.

F. Proposed Policy on Required Disclosure of Discipline

P&T considered and discussed the proposed policy on the disclosure of discipline on February 10, 2021. Members found the proposed policy to be reasonable but thought it required more language about under what conditions and with whom this information should be shared. To this end, members proposed that additional language be included that would allow the dean discretion regarding whether to disclose to the hiring department/search committee chair information obtained under this policy while requiring the dean to disclose this information to CAPM.

G. Review of the Report, Innovative Learning Technology Initiatives: Recommendations for Future State

On February 10, 2021, P&T discussed the report, Innovative Learning Technology Initiatives: Recommendations for Future State. With an eye toward P&T purview, P&T members expressed concern about the potential abrogation of institutional faculty rights over courses and curricula as enshrined in Standing Orders of the Regents 105.2.b. and APM 015.Part I – Professional Rights of Faculty. P&T members were also concerned about the potential abrogation of individual faculty rights, given the possibility of faculty members being assigned to develop and teach online courses against their will, especially when course pedagogy is a matter core to academic freedom rights. The committee noted that this is not only an academic freedom concern, but also could affect the

merit review process since a professor of record might be evaluated for course content they did not develop.

H. Follow-up on Strategic Academic Plan Team-Teaching Barrier Reduction Project

P&T had the opportunity to review the white paper responding to the report of the Strategic Academic Plan (SAP) barrier reduction subgroup on team-teaching on February 24, 2021. The committee was generally supportive of the idea of team teaching, but in light of considerable variation in approaches to team-teaching thought that consideration be given to how team-taught courses are counted in terms of faculty workload.

I. Faculty Remote Work Policy

The committee reviewed a proposal for a remote work policy on March 10, 2021. Although the committee could not find consensus regarding the value of the policy, in general, P&T supports the idea of giving faculty flexibility for remote opportunities, including teaching online to accommodate research and professional development opportunities away from campus. But the committee cautioned that this policy may overly restrict practices that are already working well for faculty. Several members thus felt that remote work arrangements are better left to the discretion of departments given their differential curricular needs, constraints and disciplinary/research norms. Committee members also noted that the policy problematically conflated the provision of leave for research and "exceptional personal needs." Finally, some members strenuously objected to the requirement of a highly detailed work agreement which would add yet another layer of bureaucracy at a time the campus is clearly understaffed and faculty overstretched.

J. Charter for Online Programs Initiative

P&T reviewed the Charter for Online Programs Initiative submitted to the Senate for review by Vice Provost of Academic Affairs Herbie Lee on March 10, 2021. In light of P&T purview, P&T was most concerned with how faculty rights and privileges were addressed in this planning document, as surely online programs have the potential to abrogate faculty rights. Apparently, such rights were not considered in the drafting of this document, as none of the suggested workgroups focused on faculty welfare and rights. Although beyond P&T purview, members had different views of whether UCSC should proceed with online program development at all. Virtually all committee members rejected that rationale that UCSC should be among the first UC campuses in provision of fully online programs.

K. Senate Bylaw 336.F.3 (SB 336.F.3)

P&T discussed the proposed revision to systemwide Senate Bylaw 336.F.3 (SB 336.F.3) on April 7, 2021. The impetus for this revision is one of the recent changes imposed by the federal Department of Education (DOE), mandating hearings among complainants and respondents in Title IX cases. Developed through a UCPT task force, the objective of the revision was to minimize duplication of the stresses placed upon parties and witnesses during investigations and hearings related to SVSH cases while maintaining the integrity of the distinct character of P&T hearings on

these matters, namely an adjudication between the administration and the respondent on charges related to the Faculty Code of Conduct. The procedure contemplated by the revision is one in which transcripts from the Title IX investigative hearing would be used as evidence in the P&T disciplinary hearing during which only new or different evidence would be heard, at the discretion of the hearing committee.

Members expressed some reservations about the proposed changes. For instance, they were concerned that reliance on written transcripts subverts the ability to observe key witnesses during cross examination, making it difficult to make qualitative assessments of the veracity of testimony. P&T also raised the practical issue of how to manage the pre-hearing process in light of the already strict timeline imposed on divisional P&Ts with regard to disciplinary hearings. However, given the new requirements imposed by the DOE, members agreed that the proposed revision was the best way forward. The committee was especially appreciative of efforts to minimize duplication of faculty and staff time devoted to organizing and holding multi-day hearings. Nevertheless, P&T maintained that the procedures that existed before the DOE intervened were significantly better, and should the DOE requirement be revised, the University should make every effort to return to the previous policies and procedures which served us well for so long.

L. Revisions to Sexual Violence Sexual Harassment (SVSH) Frameworks for Faculty

P&T discussed the proposed Revisions to SVSH Frameworks for Faculty on April 7, 2021. The proposed changes are precipitated by new Department of Education (DOE) requirements for Title IX investigations for "postsecondary institutions." These specific revisions were designed to exempt complaints and complainants who are not explicitly covered by the new DOE provisions so that the prior procedures could be used when appropriate. Systemwide Title IX had identified specific areas of exemption from the category of "postsecondary institutions" and P&T was generally in favor of a proposed "carve-out" wherever possible. However, members found systemwide's list to be unnecessarily limited and were able to conceive of several other situations in which prohibited conduct might occur outside of secondary institutions, not least of which are professional conferences. Rather than enumerating all possible situations in which prohibited behavior might occur other than "postsecondary educational institutions" P&T suggested a more capacious terminology be employed.

M. Systemwide Review of Proposed Presidential Policy SARS-CoV- 2 (COVID-19) Vaccination Program

On May 5, 2021 P&T reviewed a proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program. The committee was in full support of a policy requiring vaccinations for university faculty, staff, and employees with the understanding that some exceptions will need to be made.

IV. Title IX Training

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

Respectfully submitted;

COMMITTEE ON PRIVILEGE AND TENURE

Robert Boltje
Emily Brodsky
Christopher Chen
Jennifer Derr
Shelly Grabe
Roberto Manduchi
Julie Guthman, Chair

August 31, 2021

COMMITTEE ON RESEARCH
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

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

I.   Summary

The primary focus of the committee for the 2020-21 year was exploring ways to increase financial support for faculty research across the campus and to streamline the Scholarly Meeting Travel program to allow for real time tracking of COR funds.

II.   COR Advocacy for Research Support

In the spring of 2021, COR wrote to the Senate Executive Committee (SEC) to ask for its endorsement of and support for additional funding to restore UCSC faculty research across the divisions.[1] This was ultimately shared with Chancellor Larive. Based on its conversations with representatives from various divisions, COR estimates that for the next 3-5 years faculty will be struggling to recover from the impact of the pandemic on their research activities. COR offered a specific proposal to address this need, followed by the rationale for the policy it recommended.

COR has reached consensus that because of the diversity of needs confronting faculty, the most efficacious way to address the problems sketched below would be to provide all Senate faculty (i.e., all those currently eligible to apply for COR grants) with a flat stipend for the next 3-5 years. Given UCSC's status as a major research institution, a similar policy would be commensurate with and vital to its research endeavors. Providing funding even at a relatively modest level, e.g., $2,000 per faculty member, would require about a 150% increase in the current COR budget. *Yet keep in mind that this stipend would be in lieu of travel funds or competitive research grants such as COR now provides.* However, providing all faculty with discretionary research funds would seem to be the best mechanism by which to meet the diversity of needs faculty confront in restarting or repairing their research endeavors.

This practice would be commensurate with what already is done at the Berkeley, Davis, and Merced campuses of the UC system. For example, UC Davis currently provides $2,000 in research funding to all faculty who apply (although an application is needed, almost all requests are funded). UC Merced currently provides between $1,500 and $3,000 in incidentals for faculty each year. These funds can be carried forward and accumulated up to $9,000. UC Berkeley has the most generous allowance, currently at around $4,000 through its BEAR (Berkeley Excellence Accounts for Research) program only for faculty with less than $10,000 in other research funding or through

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[1] See COR_to_Chancellor Larive_Re_Post-Pandemic Research Recovery Funding for UCSC Faculty_5-26-2021

an endowed chair. COR strongly urges that, following the UC Merced model, faculty be allowed to accumulate such funds for up to 5 years. This approach allows for the coordination of research funding with sabbaticals or time made available by securing other sorts of funding.

Evidence abounds regarding monies spent to support research projects even though no actual research could be done. For example, laboratory animals needed to be cared for even while no experiments could be conducted. Post-doctoral researchers, specialized technicians, Graduate Student Instructors (GSI) all remained on grant payrolls while laboratories remained closed and inaccessible. The deficits incurred in these cases, including the impact on junior faculty grants and start-up funds in science, technology, engineering, and mathematics (STEM) fields, will probably exceed $1 million by the time a final accounting is done.

The problems related to deficits incurred in research budgets do not impact STEM fields alone. Because of grant accounting, these areas make the research-related losses somewhat easier to quantify. But in the social sciences, for example, human subject research could not be carried out, effectively halting research activity for faculty dependent on such data. Travel restrictions limited or prohibited fieldwork and archival research, activities found in almost every division of this university. Faculty whose grants required completion of projections within a certain time frame have been critically impacted. In addition, new proposals had to be put on hold since it was unclear for many months when such travel restrictions would ease, allowing research activities to plausibly be proposed or carried out.

Locally, the lack of access to library books, journals, archival collections, film and digital art not available online, brought research dependent on these resources largely to a halt. Impediments also included a lack of access to laboratory spaces in that all performance and studio spaces were unavailable for many months. Those faculty and graduate students dependent on these resources were crippled. It should also be noted that outside venues particularly for the arts, e.g., theatres, concert halls, museums, were all closed. Faculty dependent on these spaces for research endeavors thus had no recourse.

Finally, although difficult to quantify, everyone associated with the university—administrators, staff, graduate students, faculty—experienced the strain of transitioning their formerly routine activities to on-line formats. This resulted in an extensive investment of time and effort that had to be taken away from research-related activities. In addition, but related to the preceding point, there exists "Zoom-fatigue." This term has become a semi-joking reference to this brave new world of on-line engagement. Yet one should not overlook how it tangibly and negatively saps the energy needed to do serious academic work because of the strains it induces while everyone struggles to meet "normal" teaching and service obligations. A further consideration involves how obligations generated by school closures and other family pressures have wide and disparate impacts on a faculty research projects.

COR is not responsible for or involved in assessing research output. COR appreciates that other campus committees such as the Committee on Academic Personnel (CAP) have already started to consider how to factor in such research deficits when reviewing personnel records over the next few years. COR's concern, however, involves assessing research policy, and in that capacity offers suggestions regarding how to jump-start and repair research programs across the divisions,

including, but by no means limited to, repairing and restoring pandemic-induced deficits in research budgets.

Towards this end, COR has consulted widely with deans and representatives from non-STEM fields, as well as with Senate leadership in order to gain some sense of the problems not as readily quantifiable as those tied to specific grants or start-up funds. In order to help ensure continuity of action, Professor Jarmila Pittermann, who will chair COR for 2021-22, has also participated in these discussions.

The university and the world have been through an extraordinary time, one that has marked and changed institutions and individuals in many ways. Recovery will not be costless. Responding to unprecedented challenges demands bold and novel strategies. Based on wide consultation, COR has concluded that a faculty research stipend represents the best available strategy for restarting and reinforcing a severely wounded research enterprise. COR asks the SEC to endorse this proposal and to bring it to campus leadership for action.

III.   Research Grants

A.   Funding Overview
The committee has two funding sources, the Education Fund and University Opportunity Fund. This year the COR Grant program was funded at $372,446. Compared to $269,739 for 2019-20.

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 14 NFRG requests, all were funded. This is an increase of 3 applications from last year's 11 proposals submitted. The average amount of the awards was $1,500 and the total amount awarded for this program was $18,704. All NFRG proposals were reviewed by COR.

Faculty Research Grants (FRGs). The number of grant applications in this category was 76, which is 52 proposals down from 128 applications in 2019-20. However, this year COR was able to fund about 91% of the FRG proposals at an average award amount of $2,500.

Collaborative Research Grants (CRGs).
 This year the Office of Research provided $40,000 in matching funds to COR in support of a Collaborative Research Grant program which awarded up to $15,000 to projects with up to three collaborators. Of the 7 CRG proposals submitted, all were funded for a total of $80,000.

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 $1000 Scholarly Meetings (SMT) or $250 Inter-Campus (ICT) travel grant, respectively. This program is funded annually in the amount of $124,806. Travel restrictions due to the COVID-19 pandemic reduced the number of applications significantly from 92 last year to just 20 in 2020-21.

Research Grant Program	Funded	Amount
New Faculty Research Grants (NFRG)	14	$18,704
Faculty Research Grants (FRG)	76	$191,601
Collaborative Research Grants (CRG)	7	$$40,000
Travel Grants	20	$6,517
Total		**$256,822**

B.   Amendments to COR Grant Guidelines

This year the committee amended the Scholarly Meeting and Travel guidelines to include child care expenses associated with an approved meeting/event as an allowable expense. Relatedly, the SMT program is now being administered through the same tool used for the COR FRG program.

IV.   Reviews of Policy and Process

A.   Divisional
- Associate Provost Proposal

B.   Systemwide
- Proposed Presidential Policy on University of California Research Data and Tangible Research Materials

V.   Upcoming Agenda for 2021-22

The committee will further explore the following topics in 2021-22:
- Continue to advocate for increased support of faculty research endeavors across campus.

Respectfully Submitted;
COMMITTEE ON RESEARCH
Sharon Daniel
James Doucet-Battle   Stephan Bitterwolf, Graduate Representative
Alma Heckman   Daniel Halpern Devries, UG Representative
L.S. Kim
Kenneth Kletzer
Tyler Sorensen
Victoria Auerbuch Stone
Slawek Tulaczyk
Marianne Weems
Yu Zhang
Paul A. Roth, Chair

August 31, 2021

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Annual Report 2020-21

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 2020-21. This report summarizes the Committee's work during the year.

I.   Guidance on Senate Bylaws

A. Graduate Student Representatives

RJ&E discussed correspondence between the Graduate Student Association (GSA)[1] and Committee on Committees (COC)[2] regarding rules and guidelines relating to graduate student representation on Graduate Council (GC).

RJ&E noted an ambiguity in the current divisional bylaws. UCSC Senate Bylaw 13.4.2 actually states that student representatives on standing committees are "appointed," not merely nominated, by "such bodies as may be recognized by the Divisional Committee on Committees." Although the bylaw is speaking generally about student representatives on any committee, the GC charge (Bylaw 13.22.1) specifically names the GSA. RJ&E believes it would be beneficial to clarify which bodies COC recognizes for the purposes of appointing (or nominating) student representatives to GC, and perhaps to other committees as well.

Regardless of whether a recognized body has appointed or nominated a student representative, GC, like any committee, may also invite students other than the appointed GSA representatives to attend their meetings, per Divisional Bylaw 13.4.3.

COC could proceed with any of the three following alternatives:

1) Make the language of Divisional Bylaw 13.4.2 consistent with systemwide Senate Bylaw 128.E: "Students who sit with standing committees, as provided in these bylaws, are non-voting representatives and shall be nominated by the student organization recognized by the Academic Council for that purpose and appointed by the University Committee on Committees."

The new 13.4.2 would read:

> 13.4.2 Students who sit with Standing Committees, as provided in these bylaws, are non-voting representatives and shall be nominated by the student organization recognized by the Committee on Committees (COC) for that purpose and appointed by the COC.

This change would make clear the Senate's authority to appoint representatives to its committees and would not require a change to Bylaw 13.22.1, the GC charge.

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[1] GSA to Senate_Re_Appointment of GSA Representatives to the Graduate Council_10-23-2020
[2] COC to GSA re 20-21 Graduate Council Appointments_11-2-2020

2) In addition to the change proposed in 1, amend 13.22.1, and remove specific reference to the GSA. The new bylaw would read:

> There are ten Santa Cruz Division members. The Dean of Graduate Studies serves ex officio, and shall not serve as Chair or Vice Chair. In addition, there are one Library representative, no more than three graduate student representatives, and one Postdoctoral Scholars Association representative. Among the Division members, there are at least one, but no more than three members from each academic division and the School of Engineering.

3) Amend 13.22.1 to adopt changes proposed in 1 and 2, adding language that would cede the authority of appointment for graduate student representatives on GC specifically to GSA:

> There are ten Santa Cruz Division members. The Dean of Graduate Studies serves ex officio, and shall not serve as Chair or Vice Chair. In addition, there are one Library representative, no more than three graduate student representatives appointed by the Graduate Student Association, and one Postdoctoral Scholars Association representative. Among the Division members, there are at least one, but no more than three members from each academic division and the School of Engineering.

This would require a change to 1 wherein 13.4.2 would read:

> 13.4.2 Students who sit with Standing Committees, as provided in these Bylaws, are non-voting representatives, and shall be nominated by the student organization recognized by the Committee on Committees (COC) for that purpose, and appointed by the COC unless otherwise provided under these Divisional Bylaws.

B. Joint Appointments

On June 30, 2021, RJ&E met and discussed a request for guidance, dated June 27, 2021 entitled Guidance on Bylaw 55 For Multiple Faculty With Joint Appointments In the Same Departments, from Herbie Lee, Vice Provost of Academic Affairs.

In response to communications from the Committee on Academic Personnel[3], RJ&E sought to locate a policy prohibiting a Bylaw 55 faculty member from voting on the same personnel case in two departments. We did not find a policy supporting this. Rather, Bylaw 55 guarantees minimal voting rights for Senate faculty on personnel cases, and on "other substantial departmental questions," which includes faculty members with a 0% appointment.

II.   Comments on Senate Policy and Process

A. Systemwide Review of Proposed Presidential Policy, Business and Finance Bulletin, IS-12 IT Recovery

The Committee reviewed the proposed Presidential Policy, Business and Finance Bulletin, IS-12 IT Recovery. The committee members agreed that these proposed plans for IT Recovery would be of benefit to the campus. However, there was concern about the looseness of the language around

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[3] CAP_ReCRES_DeptEstablishment_VPAA_051321 at pp. 5-6

a "unit head." Unit head may be a department chair. If so, members were concerned that IT recovery would significantly add to what a department chair already has to do.

B. Systemwide Review of Proposed Revisions to the Leave-Related Policies of the 700 Series of the Academic Personnel Manual (APM)

RJ&E reviewed the proposed revisions to the Leave-Related Policies of the 700 Series of the Academic Personnel Manual (APM). The committee agreed that the changes were reasonable, but had one question regarding the language in 700-30. The revised policy defined "absent academic duty" only for periods when "working remotely is approved by the Chancellor." For this reason, members were left unclear about what "absent academic duty" would mean when we are not in a period of remote working.

C. Systemwide Review of Proposed Revisions to Senate Bylaw 336.F.8

The Committee on Rules, Jurisdiction, and Elections reviewed the proposed revisions to Senate Bylaw 336.F.8. The Committee deemed the revision to be an appropriate way of ensuring compliance with state law and federal regulations.

D. Request for Interpretation of Appendix C

The Committee on Rules, Jurisdiction, & Elections considered an inquiry regarding the authority granted to CCI in Appendix C., Undergraduate Academic Assessment Grievance Procedure. The committee concluded that if, after investigation and completion of the procedure described in Appendix C, CCI finds that a "No Pass" grade was assigned based on criteria that did not directly relate to a student's performance in the course, CCI can elect to change the "No Pass" Grade to a "Pass" Grade.

E. Systemwide Review of Proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program

The Committee on Rules, Jurisdiction, and Elections (RJ&E) reviewed the Proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program. The committee had several questions about this policy proposal.

The version of the policy reviewed stated that enforcement "of the mandate will be delayed until full FDA licensure (approval) and widespread availability of at least one vaccine." Members were curious as to why the proposed policy is contingent on "full approval" of a vaccine before implementation, given that vaccines had been administered in and by the UC system already. Why not implement the proposed policy under the current emergency use authorization? This seemed to the Committee to be a more prudent approach, better ensuring the safety and health of students, staff, and faculty, as well as expediting a return to normal operations. Members noted that full approval can take up to six months and is expected sometime in the second half of 2021. If the clause about FDA license is kept, how will the University define "widespread availability"? And will the proposed policy be enforced immediately, even if approval happens in the middle of the academic term? In fact, the final policy makes no mention of full FDA authorization and unconditionally takes effect two weeks before start of instruction.[4]

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[4] See *Policy: SARS-CoV-2 (COVID-19) Vaccination Program* at https://policy.ucop.edu/doc/5000695/SARS-Cov-2

RJ&E observed that SB 277 does not allow for personal beliefs exemptions, nor does the UC Student Immunization Policy, so why would the University allow for such exemptions in the case of this vaccine policy? (See also https://www.shotsforschool.org/laws/exemptions/.) If students with religious exemptions are excluded from in-person participation, might this be construed as a discriminatory policy?

With regard to implementation and enforcement, the Student Immunization Policy states that the UC Immunization Exemption Policy Committee will grant the exemptions. This committee is composed of:

> "UC faculty, staff and students, and public health officials, with members having expertise in primary care medicine, infectious disease, public health, international student services, medical ethics, law, etc."

This committee appears to be composed primarily of members with expertise in medicine and public health. Given this constitution, and without including interfaith representatives or religious ethicists, how will this body be approving the request for an exemption based on faith or beliefs? Will the composition of the committee be changed to better account for this proposed exemption? Little was written with regard to enforcement. Will information about the number of exceptions, courses implicated, etc. be made available in a timely fashion to faculty and administrators so appropriate ancillary measures can be adopted to ensure collective public health and safety of the UCSC community?

The Student Immunization Policy also provides for enforcement by the Registrar in the form of a Registration Hold and does not address the enforcement mechanisms related to, "Non-Pharmaceutical Interventions including appropriate use of either personal protective equipment (where required) or face coverings, social and physical distancing, frequent hand-washing and cleaning, and regular surveillance testing." As noted, the sole enforcement mechanism provided by the policy reviewed appeared to apply only to students in the form of a Registration Hold, which would not be appropriate or effective in the case of faculty and staff.

The committee also questioned how prohibition from "in-person access to university facilities or programs, including university housing" would be enforced across the wider university community. Overall, the details of implementation and enforcement seemed vague, e.g. it appeared that the Location Vaccine Authority may have been the responsible party for deciding on the details of implementation and enforcement in section III E regarding Program Implementation and Enforcement. Later section IV C stated:

> "Chancellors and leaders at non-campus locations are responsible for implementing this policy. Deans, Department Chairs, unit heads, managers, supervisors, student affairs leaders, and others with responsibility for personnel management will support program implementation and enforcement. Consultation with Academic Senate leaders, especially on the campus, is encouraged with respect to implementation procedures for academic appointees."

As well, RJ&E wondered if the vagueness we observed intended to allow for each campus to develop its own solutions in this regard. Further, members wondered what will be done if vaccine-resistant variants of SARS-CoV-2 arise in the UC community and how the proposed policy might

impact the University's possible response. For example, if modified vaccines with Emergency Use Authorization (EUA) approval become available but they are not "approved," the proposed policy would seem to leave further shutdowns and return to remote instruction as the course of action rather than requiring "boosters." We suggested that the possible impact of the proposed policy be carefully considered with regard to its impact on the University's reopening plans.

F. Request for Senate Consultation Regarding the New Position of Associate Provost

The Committee on Rules, Jurisdiction, and Elections (RJ&E) had the opportunity to review the job description for the newly created position of Associate Provost, which would report directly to the CPEVC. The committee would have liked to have had a better understanding of the motivation behind the creation of this new position. Members would have liked to have known more about how the responsibilities outlined in the job description are currently allocated. If the Associate Provost position were to be created, we recommended that the position be added to the Campus Academic Personnel Manual (CAPM), presumably section 304.241, which lists the faculty administrator titles used on campus.

III.   Updates of the Santa Cruz Division Manual

The following updates were made for the 2020-21 manual of the Santa Cruz Division. There are two classes of changes.

1. Changes due to divisional legislation.
    ● 13.22.1
2. Conforming changes
    ● None

IV.   Elections and Ballots

Committee on Committees Elections

RJ&E reviewed COC nomination petitions, wherein three nominations were received for three open seats by the February 7, 2021 petition deadline. Pursuant to SCB 11.4, a ballot election was unnecessary, and RJ&E certified the three members as elected to COC on February 17, 2021.

Respectfully submitted,

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS
Audun Dahl
Jenny Horne
Fernando Leiva
Bali Sahota
Martha Zuniga
Kenneth Pedrotti, Chair

August 31, 2021

COMMITTEE ON TEACHING
Annual Report 2020-21

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met remotely approximately every other week throughout the academic year to conduct business regarding their charge of fostering and promoting effective teaching. COT continued ongoing activities such as reviewing progress and making revisions on the newly instituted Student Experience of Teaching surveys (SETs), communicating with faculty about best practices for increasing SETs response rates, and soliciting nominations and selecting recipients of the annual student-nominated Excellence in Teaching Award. COT also revised the nomination and selection process for the new Distinguished Teaching Award and selected the second year's recipient of this award. Teaching on our campus was greatly impacted by the unusual and continued events of the global COVID-19 pandemic. COT's agenda was affected as well; we prioritized staying informed about campus decision-making related to teaching, especially through our consultations with Associate Vice Provost for Teaching and Learning (AVPTL) Jody Greene, and attempted to find ways to support instructors in this challenging climate. We outline the committee's major activities below.

I.   SETs Implementation

A. Monitoring the New SETs and New Platform (Blue)

Last spring, as the campus moved into remote teaching and learning, COT decided to revise the SETs to make them more appropriate for the moment. In consultation with the Center for Innovations in Teaching and Learning (CITL), and with feedback from the Committee on Academic Personnel (CAP), we shortened the SETs (keeping in mind how overwhelmed students were feeling under the circumstances), removed a few questions that seemed irrelevant for remote teaching, and added a question asking students to reflect on their experience with the shift to remote teaching.

This was also the first year implementing the new platform for delivery of SETs, Blue from Explorance. Working closely with Rebecca Peet, SET Service Manager from Information Technology Services (ITS) and AVPTL Jody Greene, COT weighed in on a variety of decisions about implementation of the new platform. This included questions about the format of reports of SETs results for instructors and TAs, type and delivery of reminder messages for students and faculty regarding SETs, and format of teaching tables for personnel reviews. The COT chair was also sometimes consulted when troubleshooting problems or unexpected events that inevitably arose as part of the implementation of a major new system. The committee is extremely grateful to Rebecca Peet for her tireless work in getting this system set up and dealing with many potential problems as they arose this year!

B. Revisions to SETs and Design of Personnel Teaching Table Questions

Given the extraordinary circumstances of the past year, COT redefined goals for review of SETs with an eye toward being responsive to the current pandemic situation while also considering long term evaluation and revision of SETs. With these goals in mind, COT worked with Anna

Sher from the Institutional Research, Assessment and Policy Studies (IRAPS) and Jody Greene, AVPTL and CITL Director, to design a small study to test different versions of several of the SETs questions that were potential teaching table questions, with particular interest in understanding how students interpreted the questions. COT pursued this study to ensure that questions elicited information that will be most salient for instructors and for reviewers of personnel files.

As background, the research on student evaluation undertaken by COT, CITL and IRAPS over the past several years led to the removal of the "overall effectiveness" question which has been found to be particularly prone to bias. The new SETs questions were written to reflect students' specific experiences with different aspects of the teaching in their courses. One important feature of the Blue platform is the ability to automatically produce multiple reports. This means that instead of using a teaching table that summarizes students' answers to one question, we have the capacity to include multiple questions in table format for our personnel review process, which can provide a more comprehensive picture of instructors' approach to teaching.

The IRAPS findings from the small study completed in Winter 2021 informed COT's recommendation regarding which particular questions might be included in teaching tables. In the study we also tested variations in wording of these questions to further finetune the meaning and attempt to remove unintended bias. We report in more detail on the questions we proposed for the teaching tables in the section below on COT's collaboration with CAP. The complete current SETs, with teaching table questions identified, are included in Appendix I of this report.

C. COT & CAP Collaboration Regarding Teaching Table for Personnel Reviews

As mentioned above, the committee spent some time this year reviewing the SETs questions, considering which questions to recommend for teaching tables, and working with Anna Sher from Institutional Research, Assessment and Policy Studies (IRAPS) on a small study during winter 2021. Based on this study's findings, and subsequent consultation with the Committee on Academic Personnel (CAP), COT recommended revised wording for several SETs questions, including three SETs questions that we recommend as teaching tables to be included in personnel reviews. The committee chose questions that capture several important aspects of teaching and course organization, and that are appropriate for both face-to-face and remote teaching. As it turns out, these three questions are based on the same three that CAP and COT had proposed for teaching tables in 2019, and yet each of the questions has been slightly revised. The specific wording of these proposed questions is based on an integration of the initial SETs, the revised COVID version, and the IRAPS study.

The following three Student Experience of Teaching (SET) items are COT's recommendation, with CAP's approval, to be included in future teaching tables:

- Question 5: The instructor used course time effectively to support my learning.
- Question 6: The instructor explained concepts in ways that supported my learning.
- Question 12: Lectures and other instructor-produced presentations (e.g., video-recorded lectures) were well structured and had clear goals.

When they approved these choices, CAP recommended to COT that we avoid any further changes to SETs. COT agrees that it would be ideal to maintain consistency going forward, to avoid further confusion about an already complex transition. At the same time, the extraordinary circumstances of the pandemic makes it difficult to know whether further changes might be needed. One question that came up this year was whether a separate version of SETs is needed for asynchronous online courses. For now, COT chose to avoid this action. The IRAPS study's findings suggest that the currently revised SETs questions are appropriate for students in remotely taught courses. COT plans to revisit the question of a distinctive set of questions for online SETs after the campus returns to a more "normal" context of mostly face-to-face teaching.

D. Student Response Rates on SETs

COT has continued to monitor SETs return rates. These rates declined from an overall rate of 47.2% in fall 2018 to 38.2% in spring 2019, and then, unsurprisingly given the circumstances of shelter-in-place conditions and remote instruction, they declined further during 2019-20 with a low of 19.9% in winter 2020. This past year, it was encouraging to see the response rates rise a bit (see Table 1 below) but they are still lower than rates prior to the move to online SETs. To address the response rates, COT sent out a memo to faculty encouraging them to remind their students to fill out SETs (March 2, 2021, See Appendix II). We based our suggestions in this message on the "best practices"[1] for increasing response rates that have been identified by COT in previous years together with AVPTL Jody Greene. Perhaps COT should consider sending similar memos each quarter in the future. We also worked with CITL to create content regarding best practices which can be found on the CITL website.

Further, a subcommittee of COT, including the student representatives, worked with the Student Union Assembly (SUA), Director of Online Education Michael Tassio, and Online Education (OE) staff to produce several videos explaining the importance of SETs and encouraging students to complete their SETs. This subcommittee was charged with putting together a messaging campaign to encourage increased response rates on SETs. The campaign was aimed at both students and instructors. Importantly, the emphasis of the campaign was on the use of SETS by instructors to improve courses rather than on personnel actions for instructors. The main content of this campaign was real voices of students, TAs and instructors discussing why they fill out SETS and how they have used SETS to change their courses. This short video was embedded in Canvas[2]. COT will continue to monitor response rates and work with CITL to promote strong response rates.

Table 1: SET Return Rates AY 2020-21

TERM and FORM	Arts	Hum	PBSci	BSOE	Soc Sci	Colleges	Overall
Fall 2020							
COVID-19 Form	37	45	48	51	52	62	48.72

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[1] https://citl.ucsc.edu/best-practices-for-improving-sets-response-rates/

[2] https://www.youtube.com/watch?v=S0rvbA22E8g

Winter 2021							
COVID-19 Form	39	49	40	48	49	47	45.02
Spring 2021							
COVID-19 Form	27	40	36	42	49	36	38.28

II.   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 their teaching. ETA winners are based on student nominations.[3] In 2020-21, COT evaluated nominations by 386 students, for over 262 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. Nandini Battacharaya received the Ron Ruby award, funded separately by the PBSci division, with a $2000 cash award.[4]

2020-21 Excellence in Teaching Award Recipients (in alphabetical order):
- Elizabeth Beaumont, Politics
- David Bernick, Biomolecular and Engineering
- Nandini Battacharaya, Mathematics
- Audun Dahl, Psychology
- Alegra Eroy-Reveles, Chemistry and Biochemistry
- Michael Hance, Physics
- David Ingleman, Anthropology
- Philip Longo, Writing Program
- Ana Maria Seara, Language and Applied Linguistics
- Donald Williams, Theater Arts

B. Distinguished Teaching Award

This year, COT invited nominations for the second annual Distinguished Teaching Award, created last year in 2019-20. In contrast to the student-nominated Excellence in Teaching Award, this is a campus-wide faculty-nominated award. Department chairs, Program chairs, and College Provosts were invited to nominate one person from their department or program for "The

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[3] This year (as in 2019-20), in an effort to reduce the workload on strained faculty and staff, COT eliminated the step of requesting statements of teaching from nominees and letters of support from department chairs or other faculty members.

[4] The PBSci Division notified COT in April 2020 that they were increasing the Ron Ruby award from $750 to $2000.

Distinguished Teaching Award." We used a simple nomination form, designed last year, 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 17 nominations from outstanding faculty across the campus. Every COT member read all of the submitted nominations, created a short list and met to discuss the candidates and make the difficult decision. COT members were delighted to choose Ingrid Parker, Professor of Ecology and Evolutionary Biology, as this year's Distinguished Teaching Award winner. The awardees from 2019-20 and 2020-21 will be invited to give public talks next year; details will be worked out in the coming year.

III. Other Issues

A. COT members additionally serve as representatives on a variety of campus committees. These include subcommittees within ITS as well as committees within other campus units. We list below the main committees to which COT members contributed this year, and briefly describe those contributions.

- Canvas Steering Committee: This committee met roughly quarterly. Primary discussions of importance to COT revolved around which additional tools are available to support instructors' and students' use of Canvas and the overall effectiveness of Canvas as the campus LMS to support instruction. There is an ongoing issue about which discussion forum may be suitable to replace Piazza. There will be continuing discussions of importance to COT about privacy, who owns Canvas courses and who has access to course materials, and cost of tools. The chair of the committee, Leslie Kern, ITS Learning and Instructional Tools Product Manager, attended two COT meetings at which time many of the issues of concern were discussed directly with the full committee.
- SETs Core Team: COT's chair met as needed and consulted on email, along with AVPTL Jody Greene, with Rebecca Peet and other ITS staff members regarding the implementation of the Blue platform for SETs. Occasional meetings and demos with the Explorance team also took place this year; the chair of CAP, Junko Ito, also joined several of these meetings.
- Online Degree Program Workgroup: This group, organized by Vice Provost for Academic Affairs (VPAA) Herbert Lee, met in January 2021 to discuss the prospect of online degree programs at UC Santa Cruz and to develop a charter that would help guide future discussion and consideration of proposed online degrees. The COT representative, along with many other participants, worked to ensure that the charter prioritize student learning and experience in evaluating proposals for online degrees. We encouraged more research to evaluate assumptions about the accessibility of online degree programs and urged the university to avoid creating a two-tiered educational experience that would undermine UC Santa Cruz's commitment to equity.
- Iclicker Workgroup: This working group has only ever met once. During that meeting the scope of the committee work was outlined, involving proposed examination of student response systems and the level of support that should be provided. After that first

meeting, COVID emergency measures took precedence over this work for most of the committee members, especially the ITS staff.

- Baytree Bookstore Committee: This group, formed to evaluate potential private partners for the Baytree Bookstore. COT participated because the outcome has implications for instructors' discretion in selecting course material and student access to course materials. The committee held several meetings in the spring to hear about experiences from other UC campuses and to highlight questions to consider in the contract evaluation, including how to ensure competitive pricing, effective coordination with the library, and ensuring students and faculty will be well-served by the new arrangement. Bids will be reviewed this summer.
- OPI Pedagogy Subcommittee: This subcommittee, chaired by AVPTL Jody Greene, considered a set of questions generated by the Online Degree Program Workgroup described above. The group discussed the specific set of questions assigned to them and collaborated to answer the questions, which focused mostly on the potential positive features of pedagogy of online courses.

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

Systemwide:
- Systemwide Proposed Revisions to SR 544
- Systemwide review of Online Undergraduate Degrees
- Systemwide Review of Innovative Learning Technology Initiative (ILTI)
- Systemwide Review SARS-CoV2 (COVID-19) Vaccination Program

Divisional:
- CEP's Policy for Graduate Student Instructors
- CPEVC's Budget Cut Targets
- VPAA's Proposed Interim COVID-Related Caregiver Modified Duties
- CITL's External Review & Funding Request
- Bay Tree Bookstore Review
- Winter Quarter Administrative Calendar
- SAP: Team Teaching Barrier Reduction Project
- VPAA's Remote Work Policy for Senate Faculty
- CEP and GC's Revised Online Course Policy

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 Leslie Kern, ITS Learning and Instructional Tools Product Manager and Product Manager Stefanie Nielsen about better links between COT and the groups within ITS who are focused on instructional technology. And we consulted with Anna Sher from IRAPS about research regarding SETs.

Outside of our meetings, the COT chair consulted with the chair of Committee on Information Technology (CIT), Brent Haddad, and with Chair of the Senate, David Brundage, regarding how the Senate can better consult on issues of instructional technology, and with the chair of Graduate Council (GC), Donald Smith, regarding problems of anonymity with the use of SETs in graduate classes. Both of these issues are important future concerns for COT to consider.

IV. Carry Forward

- SETS:
    - Continue to communicate with faculty and department chairs about the changes to SETs, best practices for encouraging increased response rates, potential strategies for using reports and custom items in Blue (See COT memo to faculty sent on June 9, 2021, Appendix III).
    - Identify anonymity thresholds for small classes, including graduate classes, to guide future assessment strategies.
    - Consider whether to create a different SETs form for online (especially asynchronous) courses
- Continue to consider ways to support faculty (in conjunction with CITL) in further developing alternative ways to assess teaching excellence (beyond SETs)
- Continue to work with CAP on ways to improve equity and effectiveness of processes of evaluating teaching (especially for Teaching Professor series).
- 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 (talks or panel discussion discussed above)
- 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 Senate consultation for decisions about instructional software supported by the campus.

Respectfully Submitted;

COMMITTEE ON TEACHING
Frank Bäuerle
Nicholas Brummell   Clara Weygandt, NSTF Representative
Robin Dunkin   Nikka Malakooti, GSA Representative
Kate Jones   Madison Hassler, SUA Representative
Maureen Callanan, Chair   Ryan Mariveles-Poquis, SUA Representative

August 31, 2021

Appendix I. Standard SETs

REVISED SPRING 2021

Student Experience of Teaching (SET) Survey
A Collaboration of COT and CITL, in consultation with IRAPS, CAP and ITS[5]

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

---

[5] Questions 5, 6, and 12 will be used for the teaching table.

3. What percentage of class meetings taught by this instructor (in person or remotely, not counting sections or labs taught by others) did you attend? (Note: 1 week = 10%)
- I withdrew from the course.
- 0-24%
- 25-49%
- 50-74%
- 75-100%

4. About how many total hours per week, outside of class meetings, did you spend on work for this course?
- 0-3 hours
- 4-6 hours
- 7-9 hours
- 10-12 hours
- 13 hours or more

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

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

5.[6] The instructor used course class time effectively to support my learning.
6.[7] The instructor communicated and explained concepts in ways that supported my learning 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.
9.[8] The instructor helped me feel find ways to engaged with the course materials.

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[6] IRAPS report suggests that Q5 could be a possible teaching table question based on correlation (convergent validity) and qualitative analysis.
[7] IRAPS report suggests that Q6 could be a possible teaching table question based on correlation (convergent validity) and qualitative analysis.
[8] IRAPS report recommends that if Q9 remains that it should be followed by its explanation in Q10 because students responded in a variety of ways; qualitative detail is needed for the question to be useful

Comments (OPEN ENDED)

10. Please restate your answer to Question 9 and explain it. For example, the instructor helped me feel engaged with the course ~~materials~~ "somewhat frequently" because….

FEEDBACK ON COURSE:

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

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

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

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

12. Lectures and other instructor-produced ~~led~~ presentations (e.g., video-recorded lectures) were well structured and had clear goals.
13. In-class activities were well structured and had clear goals.
14.[9] Problem sets, writing assignments, and other homework, over the course of the quarter, helped me feel prepared for examinations, papers, and projects.

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

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

Comments OPEN-ENDED
16.[10] Please describe any specific **teaching practices and materials** (lectures, seminar discussions, small group activities, demonstrations, instructional videos,

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to instructor. Question 9 could be useful for tracking improvement over time. Changes cannot be made unless you have specific qualitative feedback. Students understood the word "engaged."
[9] Students provided short thoughtful responses regarding low stakes assignments vis-a-vis high stakes assignments.
[10] Question 16 is now a consolidation of two former questions: "teaching practices" and "course elements." Many students could not differentiate between teaching practices and course elements in their comments. Please see the IRAPS report. As a result we combined these questions.

homework, individual conferences, study guides, papers, etc.) the instructor used that you found helpful or unhelpful to your learning in this course.

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

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

Preparation for the Course

19.[11] Did you feel prepared, by prior coursework at UCSC, community college, or high school, for the work required in this course?
- Unable to comment
- Not at all prepared
- Somewhat prepared
- Prepared
- Very prepared

Comments OPEN-ENDED

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

---

[11] Question 19 has been made more specific based on the IRAPS study.

Google @ UCSC

Rebecca Hurdis <rhurdis@ucsc.edu>

Support for SET response rates

Academic Senate <senate@ucsc.edu>   Tue, Mar 2, 2021 at 9:51 AM
To: Senate Senate <senate@ucsc.edu>
Cc: Rebecca Hurdis <rhurdis@ucsc.edu>, Jody Greene <jgreene@ucsc.edu>

Dear Instructors,

On behalf of the Committee on Teaching (COT) we are writing to provide you with support materials to encourage your students to provide <u>thoughtful and useful feedback</u> on the Student Experience of Teaching surveys (SETS) sent out at the end of the quarter (*for winter SETS open on March 1*). SETS are the primary tool that we can use to understand how students are experiencing our courses and how we might make meaningful change to our courses to improve learning. Additionally, SETS are still used in personnel reviews for faculty and low response rates can introduce additional bias into these responses. Below, we offer a few concrete suggestions on how to encourage students to fill out the SETS and provide feedback that is respectful, thoughtful, and useful for instructors. Additionally, we are providing an email template that you can modify and send to students to encourage responses. We hope you will find these materials helpful in soliciting the kind of feedback that is valuable for continuing to evolve your teaching practice.

Sincerely,
The Committee on Teaching

Quick Tips to Getting Better Student Feedback on SETS

Talk to Students about SETS
- Explain to students that their comments on SETs are extremely valuable for you as you strive to improve your courses for future students. Providing specific examples of how you have modified your teaching based on feedback in SETS can be especially valuable.
- Let students know that the SETs are taken seriously as a way for student voices to be considered when faculty are reviewed for merit and promotion. It may surprise students to know that each and every SET is read both at the department level and by the university-wide personnel committee that reviews each member of the faculty every 2-3 years.
- Reassure students that their responses are always confidential and not seen by the instructor until after grades are submitted.
- Give students concrete guidance on how to give useful feedback to an instructor.

Specific Actions
- Take class time to give students an opportunity to fill out SETs
- Many faculty offer a small fraction of extra credit to the entire class if a threshold response rate (often 70-75%) is reached. This strategy is one of the most effective ways to promote a high return rate.
- Follow up with a personal email asking that students provide their thoughtful feedback on the SETS.

Make Feedback Routine
- Consider gathering mid-quarter feedback and discuss the results with students. Include changes you make based on the feedback as well as things you may not change and why. It inspires confidence that you will use the feedback to benefit other students.

Sincerely,
The Committee on Teaching

--
Academic Senate
Santa Cruz Division
125 Kerr Hall
UC Santa Cruz
(831) 459-2086
(831) 459-5469 (FAX)
Website: http://senate.ucsc.edu/

Appendix III. COT to Faculty and Instructors re Regarding SETs, June 9, 2021

Google @ UCSC

Rebecca Hurdis <rhurdis@ucsc.edu>

COT regarding SETs
1 message

Academic Senate <senate@ucsc.edu>   Wed, Jun 9, 2021 at 4:25 PM
To: Senate Senate <senate@ucsc.edu>
Cc: Jody Greene <jgreene@ucsc.edu>, Rebecca Peet <rpeet@ucsc.edu>, Stephanie Nielsen <smniel@ucsc.edu>

Congratulations on reaching the end of another year, this time a full academic year of remote teaching! Thank you for all of the hard work it took to make the many adjustments needed to continue to support our students in their learning. As this year draws to a close the Committee on Teaching (COT) would like to update you about (1) a few changes regarding Student Experiences of Teaching surveys (SETs), and (2) ongoing issues our committee will address more fully next year.

Recent updates:

- We will be returning to the standard SETs starting in Fall 2021 (instead of the revised and shortened version implemented in Spring 2020 to address the unique emergency situation of moving to fully remote teaching). COT has revised wording of a few of the standard questions based on testing by IRAPS and consultation with CITL, as well as CAP. The goal of this revision was to clarify questions and reduce bias. The IRAPS testing suggests that these revised questions make sense to students even in remote classes.
- Our new platform for SETs, BLUE, is fully online. Many thanks to Rebecca Peet, for her tireless work on making this transition.
- Moving forward, COT and CAP recommend that teaching tables in personnel reviews consider students' responses to three particular questions rather than just one. For the standard form used by nearly all departments, COT removed the "overall effectiveness" item because of extensive research showing such vague questions to be particularly open to bias. Considering patterns across a range of questions will give a more holistic picture of students' responses. BLUE makes it possible for these three teaching tables to be created and exported to DivData. Rebecca Peet and Stephanie Nielsen are working with departments to transition to this new practice for fall.

Looking forward to the 2021-22:

- Over the coming year, COT will provide further guidance about the ways that BLUE can support instructors in exploring their own SETs responses over time. For example, we will be exploring optional functionality in BLUE that could allow instructors to see student responses disaggregated by demographic groups.
- COT will work with CITL to make a recommendation regarding SETs for small classes; in order to protect students' anonymity, many campuses do not use SETs for classes with enrollments lower than 5-10. We have already recommended a default of not sending out SETs for independent studies or thesis research except in rare cases where departments specifically need SETs for those courses. COT will work with CITL to come up with a recommended threshold and policy that seems appropriate for our campus.
- COT will also work with CITL to determine whether a different version of SETs should be developed for online asynchronous courses.

COT looks forward to working with faculty through this transition. We wish you all a restful summer!

Sincerely,
Committee on Teaching

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GRADUATE COUNCIL
Annual Report 2020-21

To the Academic Senate, Santa Cruz Division:

Graduate education on the UC Santa Cruz campus is at a significant juncture. The past year has seen the continued reverberations of the recent graduate student labor action, including conversations around student discipline and policing that have been a focus for the Senate at the division and systemwide levels (and of course, connected to national and community conversations about policing), continuing conversations about graduate student welfare, continuing impacts of COVID-19, as well as a directed focus on strengthening graduate education—including strengthening the climate for research excellence, professional development, and advancing diversity—as a public research university with AAU status. New leadership in the Graduate Division also provides an opportunity to take the work and lessons of the past year toward building a stronger graduate education infrastructure on our campus. In 2020-21, this context shaped the proactive work of Graduate Council (GC) (described below). Council also worked on policy and process changes (including to the Cota-Robles fellowship review process). Council actively focused on diversity, equity, and inclusion in graduate education, in its consultations with the Vice Provost and Dean of Graduate Studies (VPDGS) related to admissions and enrollment trends as well as in consultation with campus experts (Associate Dean for Diversity Equity and Inclusion; Disability Resource Center Director), which will continue to shape Council's proactive agenda moving forward. Other business included review of graduate program curricular changes, 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, and review of applicants for the Cota-Robles Fellowships. Council consulted with interim Vice Provost and Dean of Graduate Studies (iVPDGS) Quentin Williams on several issues throughout the year, 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 2020-21 is provided below.

Strengthening Graduate Education
In last year's annual report[1], Graduate Council documented its efforts over recent years to catalyze campus strategic planning and action for growing and strengthening graduate programs and making more visible progress towards these goals. In consultation with Chancellor Larive and then interim Campus Provost and Executive Vice Chancellor (i-CP/EVC) Kletzer during the 2019-20 year, Graduate Council urged the campus to identify a structure and process for this work. In response, Chancellor Larive and CP/EVC Kletzer charged the Joint Senate-Administration Working Group on Graduate Education (JWG), co-chaired by Graduate Council Chair Smith and then aVPDGS Williams. The JWG began its work in spring 2020, and concluded that work in winter 2021. That work included: developing a comprehensive revenue analysis of the graduate enterprise, including the 5/2 year guaranteed funding for doctoral/MFA students; exploration of

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[1] Graduate Council 2019-20 Annual Report (August 2020)

alternative graduate student funding models, including the "cohort model" implemented at UC Riverside; development and analysis of the Faculty Graduate Education Survey (FGES) to elicit faculty perspectives on graduate education, funding, and carrying capacity of different programs, and; analysis of Graduate Division staffing levels across UC.

While the JWG co-chairs (GC Chair Smith and GC *ex officio* member VPDGS Williams) provided updates to GC throughout the year, Council as a whole engaged with the JWG report at two stages. GC reviewed a draft abbreviated summary during February 2021 for its first discussion and input. GC then reviewed the full JWG report in April 2021, as an information item and to provide the opportunity for feedback on the major recommendations of the report. This review generated some conversation among members, including regarding the role of master's degree programs in the broader graduate ecosystem and about the Master's Incentive Program (MIP).

Council welcomes the renewed focus on strengthening graduate education and, particularly, the commitment of the central administration to this work. Graduate education is at a critical juncture—graduate student strikes have highlighted the financial precarity experienced by graduate students, who have also been impacted by the pandemic and the CZU fires in the last two years. The work of the JWG, central administrative commitment and support for strengthening graduate education, and a transition in leadership of the Graduate Division signal a unique opportunity to leverage this momentum and make concrete investments in graduate education on the campus. Graduate Council will continue to engage and participate in efforts to strengthen graduate education that follow the work of the JWG. Primarily, this will mean participation and engagement with the Implementation Working Group, which is expected to be led by the Graduate Division early in the next academic year. Council expects that it will have a strong role on this group, as well as in other ongoing efforts related to strengthening graduate education on the campus.

Master's Incentive Program Working Group
As part of its charge to conduct a revenue analysis of graduate funding, the JWG requested financial information from departments and divisions regarding their use of the Master's Incentive Program (MIP) funds (JWG Co-Chairs to Department Program Chairs 11/23/20; JWG Co-Chairs to Divisional Deans 11/23/20). However, it was not possible for the JWG to complete that work within the expected timeframe, so a working group led by the Graduate Council Chair, the Committee on Planning and Budget (CPB) Chair, and then Vice Provost and Dean of Graduate Studies (MIP Working Group) began working on analysis of the MIP data received in response to the JWG inquiry (including a request for further information from one division) during spring 2021. The MIP Working Group completed an internal interim report (August 2021). Further analysis is expected to continue in the 2021-22 year through a group that will likely include the incoming Graduate Council Chair (and member representation), the CPB Chair, and the VPDGS.

Graduate Student Support & Welfare
During 2020-21, Council continued working on graduate student support and welfare issues, and specifically, continued work begun in 2019-20 related to COVID-19 impacts on graduate student progress. During 2019-20, Council's efforts to mitigate COVID-19 impacts focused on 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 receive the needed support as the campus transitioned to remote instruction (and particularly in advocating for additional resources for graduate students to help mitigate impacts of the transition). This year, a Council subcommittee that included the graduate student representatives on GC and two members worked on these issues, and focused on building on the survey conducted by last year's graduate student representatives on GC to obtain information on graduate student needs related to transitioning to remote teaching. The subcommittee this year was also interested in getting additional information on what resources exist for graduate students, the impact of Slug Support funding in addressing graduate student need, and ultimately, in making recommendations to Graduate Division and central administration advocating for graduate student support needs. Council inquired with Slug Support to obtain information on the kinds of support graduate students have been able to access, including the number of requests received from students, categories of requests and amounts requested, and how many of the requests were funded partially or completely. Through this, Council learned that ~95% of graduate student requests for assistance are filled in some way (i.e., either full or partial amount of request provided), with the vast majority of those requests in categories of financial hardship and housing concerns, and that in 2019-20 Slug Support provided more than $90,000 in COVID-19-related assistance to graduate students.

The subcommittee also worked on developing a survey, on which the full Council provided input, to be distributed to all graduate students. During the process of survey development, the subcommittee learned from the campus Institutional Research and Policy Studies (IRAPS) office that the UC Graduate Student Experience Survey (UCGSES) was in process, which would also contain a specific UC Santa Cruz module. In light of this, IRAPS worked with the subcommittee and some of the questions developed by the subcommittee were included in the system-wide survey and other questions were added to the UC Santa Cruz module (IRAPS Assistant Director Email 3/23/21). IRAPS Assistant Director for Assessment and Survey Research Anna Sher shared preliminary results from the survey, discussed by Council at its final spring meeting. Council will request from Assistant Director Sher the final survey results (the survey closed July 1) for review early in fall 2021. GC expects its review to help further efforts related to graduate student welfare in the next academic year, as well as identify specific areas for collaboration with the VPDGS and CP/EVC.

During 2019-20, Council considered the issue of racialized bias in student conduct summons, sparked by a case that was broadly circulated to the campus community and brought to the attention of GC. As noted in last year's annual report, GC reviewed this information and an open letter from the Committee on Affirmative Action and Diversity (6/5/20), and requested the EVC address the issues (GC to EVC 7/23/20). This year, Council received communication from the CP/EVC (11/17/20) noting that the campus would initiate a review of the student conduct process and establish a task force on the issue (Student Conduct Review Task Force). Council looks forward to reviewing the findings and report of the Task Force in the 2021-22 academic year. The specific case that GC reviewed related to racialized bias in student conduct summons continued this year, and Graduate Council Chair Smith submitted a letter to Chancellor Larive (dated 12/10/20) urging suspension of disciplinary action for this specific student/case until the review of racial bias in the student conduct process was complete. The student's suspension was later overturned.

Policy and Process Changes & Revisions

During 2020-21, Graduate Council reviewed its policies and processes and made changes and updates, as outlined below.

Guidance to Departments & Programs Related to COVID-19 Impacts
During 2019-20 Council examined areas within its authority where policy and process changes could make a beneficial impact on graduate students within the context of COVID-19. One of the actions from last year was to institute a one year extension of the normative time to degree for full time graduate students to meet milestones such as advancing to candidacy and completing their degrees. Council also recommended flexibility with program requirements, along with guidance on how to submit changes to degree requirements to Graduate Council for approval prior to implementation, to address challenges faced by graduate students (see summary in 2019-20 annual report and GC and aVPDGS re COVID-19 Impacts on Graduate Education 4/29/20). This year, building on last year's actions, Graduate Council (with iVPDGS Williams) sent out a communication to department/program chairs and graduate directors with additional guidance related to graduate admissions. This emerged in a context of questions from departments about extending admissions due to COVID-19-related issues. In this joint letter (10/30/20), Council and the iVPDGS encouraged graduate programs to approach the admissions cycle in ways that would best serve existing students and faculty, and the graduate programs as a whole, and should not feel obligated to extend admissions offers in numbers similar to previous years. The Graduate Council Chair was available for consultation regarding questions of curricular impact and need, and questions about financial implications and ramifications of student recruitment and admissions were referred to the Graduate Division. Graduate Council sought to ensure programs were aware of options they had and implications of decisions to modify admissions.

Graduate Council, in collaboration with the Committee on Educational Policy (CEP) and Committee on Courses of Instruction (CCCI) responded to requests to delegate authority for approval of remote offering of courses to courses sponsoring agencies. In joint communication, GC, CEP, and CCI decided to review and make a decision on the request to delegate authority for approval of remote offering of courses to course sponsoring agencies on a quarter-by-quarter basis (GC, CEP, and CCI to VPDUE 9/16/20).

Graduate Dual Degrees
In last year's annual report, Graduate Council memorialized its re-examination of previous guidance for review of graduate dual degree programs, a project that Graduate Council has worked on since the end of the 2016-17 year. The updated principles and process document was sent to Vice Provost for Academic Affairs (VPAA) Lee (November 20, 2019), with the understanding that these were not yet intended to be released to the wider campus, as systemwide Coordinating Committee on Graduate Affairs (CCGA) discussions about how to review graduate dual degree programs remained ongoing. Graduate Council Chair Smith's work was instrumental in bringing this issue and our campus's guiding document, to CCGA, on which he served as representative. CCGA's *Guidelines for Preparing a Dual Degree Proposal to CCGA* drew from our campus guidelines, and these were forwarded by CCGA to the Academic Senate Chair (5/6/21). Academic Council Chair Gauvain then forwarded these guidelines to UC Provost Brown (correspondence dated 6/22/21), with a recommendation that these be included in the Compendium. Council is pleased to have contributed to the development of systemwide guidelines and process for review of graduate dual degree pathways for the UC system.

Review of Cota-Robles Fellowship Process
Annually, Graduate Council consults with the Graduate Dean regarding process and outcomes for the Dissertation Year Fellowship (DYF) and Cota-Robles (CR) Fellowship, and further reviews outcomes data, recommending changes for the following cycle's review process and call letters. The process for review of the DYF is discussed in a later section as part of reporting on annual consultations with the VPDGS. The Cota-Robles review process is discussed separately here, as the CR review process received enhanced examination from Graduate Council, with substantive changes made for both the 2020-21 and 2021-22 cycle in this one year (normally changes are made for one cycle), and given concerns raised directly to the Graduate Council Chair in communication from three academic deans (Arts Dean, Humanities Dean, Social Sciences Dean to CP/EVC, iVPDGS, and Graduate Council Chair 2/22/21) about the selection process.

GC spent a considerable amount of time during fall quarter preparing for consultation with iVPDGS Williams on the fellowship process and reviewing materials related to the CR (and DYF). Graduate Council reviewed the CR fellowship call and changes were incorporated into the 2020-21 call, including additional guidance regarding the mentoring plan submitted as part of the nomination process (GC to iVPDGS 12/22/20). GC also requested, and received, extended time for review of CR applications, within the structural constraints of a fast moving timeline outlined by iVPDGS Williams. The subcommittee of Council CR reviewers met to discuss the scoring criteria to normalize the scoring of applications to the extent possible. This meeting was attended by the Graduate Council Chair and Analyst.

After review of the 2020-21 CR applications, Council conducted a CR post-hoc discussion in a debrief to the full Council, as is typical post-review. Council continued to discuss the CR process, including data provided by iVPDGS Williams, in order to make recommendations for future cycles. GC requested and reviewed data over five years on CR 1) nominees by department and division; 2) awardees by department and division; 3) acceptances by department and division, and 4) data broken down by race/ethnicity and gender on nominees, awardees, and acceptances by department and division. (see GC to iVPDGS 3/1/21). The full Council also reviewed the aforementioned letter from the Deans raising concerns about the review process to the CP/EVC, iVPDGS, and Graduate Council Chair (2/22/21), along with the formal response form iVPDGS Williams (2/23/21). Council Chair Smith and iVPDGS Williams also attended a meeting with academic deans, organized by CP/EVC Kletzer to discuss the review process (3/4/21). Based on review of the data and discussion of the 2020-21 process, GC made additional changes that will be implemented in the 2021-22 CR review cycle. These include the addition of two GC reviewers (CR subcommittee will now be composed of six GC members rather than four, and members will not be excluded from reviewing applications from their home division (though will continue to be recused from reviewing applications from their own departments). The GC CR subcommittee will maintain its pre-review meeting instituted for the 2020-21 review cycle and include an additional meeting for pre-review and discussion of sample files in order to inter-calibrate reviews and scores to the extent possible. A third meeting with the review subcommittee will address and discuss any scoring issues that come up during the review. These changes to the review process were communicated by GC to iVPDGS Williams (correspondence dated 6/29/21) and also communicated to all divisional deans (correspondence dated 7/13/21). In addition, GC communicated to the deans its analysis of trends in the CR nominations and awards, based on the

data received from Graduate Division (correspondence dated 7/13/21). The GC analysis was based on five year trends in the number of Cota-Robles nominees, number of nominees offered the fellowship, and the number of those that were offered and accepted the fellowship by academic division. The analysis did not support concerns over gross inequities in the awarding of Cota-Robles fellowships across the academic divisions. GC will continue to annually review and discuss the CR fellowship process, and make improvements where GC deems these are needed and feasible.

Graduate Student Representation on Graduate Council
This year, Graduate Council was proactive in seeking graduate student representatives to serve, given the history where Council rarely has had all three graduate student representatives seats filled for the entirety of the academic year. Graduate Council Chair Smith, in an effort to ensure full graduate student representation, and based on principles of drawing students that would contribute to disciplinary as well as racial/ethnic and gender diversity, proactively worked to identify three graduate students to serve on Council. Council notified the Graduate Student Association at the beginning of September that graduate students had been appointed to GC, and then again at the end of September that the graduate student representatives had been onboarded (attended an orientation meeting with the Chair and Analyst). In late October, Graduate Council heard from GSA, contesting the process by which students had been appointed to serve on Graduate Council and seeking to appoint its own members (over those that had already been appointed).

After various communications and meetings between the GC Chair, Senate leadership, Committee on Committees (COC) Chair, and GSA representatives, several issues were clarified: 1) the process that GC used to appoint representatives was legitimate and appropriate; 2) the Graduate Student Association (GSA) can propose student nominees, but does not have the authority to appoint representatives to a Senate committee; 3) COC needs to modify its bylaws to establish authority to appoint student representatives to Senate committees (COC's current bylaws are not clear regarding its authority). During this process, Graduate Council reviewed its own bylaws and decided to make minor conforming changes to clarify that graduate student representatives and postdoctoral scholars selected to serve on Graduate Council are to be drawn from the entire graduate student and postdoctoral scholar population on the campus, and not exclusively drawn from the Graduate Student Association or Postdoctoral Scholars Association. This clarification is consistent with how all other Divisional Senate committees with graduate student representatives describe such participation in their respective bylaws, and clarifies the spirit and practice of graduate student representation on Graduate Council (GC is the only Divisional Senate committee with postdoctoral scholar representation, though it typically goes unfilled). Council recognizes that previous wording of this section may have led to confusion.

Council anticipated that COC would make changes to its own bylaws (13.4.2) to clarify it will establish authority to appoint graduate student representatives to Senate committees. Revised language was presented at the winter Senate meeting, but it was withdrawn and not voted on. Council will continue to monitor this issue in 2021-22. Notwithstanding revision of the COC bylaws, Council reached agreement with Senate, COC, and GSA leadership on a process for submitting graduate student nominees to COC for selection as GC student representatives. It is also Council's understanding that the GSA is working on clarifying their own bylaws to correct internal inconsistencies about their role in the appointment/nomination of student representatives

to Senate committees (in winter 2021, Council received communication from one of the GC graduate student representatives that the GSA recognized it could nominate students, but held no selection authority). The agreed upon student nomination/selection process is that a call for student representative nominations will be sent out to the campus community (including the GSA and Senate committees) by COC in spring, with nominees being reviewed, vetted, and selected by COC by the end of spring quarter for representatives to serve in the following academic year.

Curriculum Management: SmartCatalog
SmartCatalog is now in its third year of implementation. Graduate Council continues to be appreciative of the work of the Curriculum Management Project (CMP) team, led by Don Moonshine, as they continue to collaborate with the Senate on working to resolve issues and facilitate a smoother faculty review process of graduate program statements/catalog copy. The parameters of SmartCatalog continue to present issues that require workarounds during coordination of Senate review, but much progress has been made in addressing system issues since first implementation. Council will continue to work with the CMP team, in collaboration with the Committee on Educational Policy, in the next academic year.

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.

This year, Council decided to extend permanently its existing delegation of review of graduate courses of instruction (including new courses, changes in existing courses, and course discontinuances) to the Committee on Courses of Instruction (CCI). This delegation will remain in effect moving forward until it is modified/rescinded by Graduate Council (in recent years, Graduate Council has been extending this delegation on an annual basis). A clarifying change to the GC bylaws will add a phrase indicating that Council maintains liaison with the Divisional Committee on Courses of Instruction. That change will be incorporated when more substantive changes to the GC bylaws are pursued, but does not impact the existing course delegation to CCI. The GC extension of delegation of course review was memorialized in GC correspondence to CCI dated 3/15/21. Graduate Council will continue to set policy and consult with CCI on graduate course review and approval as needed, similar to the way in which CEP and CCI work together on undergraduate course policy. Earlier this year, Graduate Council reviewed and provided instruction to CCI on the "Syllabus Requirements" document, as well as the new course form in the CAT system (GC to CCI 12/7/20).

iVPDGS 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:
This consultation focused on iVPDGS Williams' mission and vision for the Graduate Division (including key goals and an overview of recent changes, including staffing changes), as well as issues related to COVID-19 impacts. Specific topics of discussion included admissions in the context of COVID-19 and impacts on the block grant. GC raised questions about potential areas of collaboration for the year, including about effectively working together on strengthening graduate programs across the campus, student success, input on admissions, and input on fiscal decisions. Other issues raised by iVPDGS Williams included time to degree and the In Absentia policy, under revision at UCOP. Once again, the lean staffing situation in the Graduate Division was a topic of discussion, as well as recent staff turnover. This year saw an unusually large number of matriculation deferral requests.

Review of Block Allocation Formula
This annual consultation focuses on an orientation into the block allocation formula and Master's Incentive Program (MIP). Council was particularly interested in learning about what the Graduate Division interprets as intended and appropriate uses of block funds by programs. In regards to MIP funds, GC expressed interest in better understanding how MIP funds are used to support doctoral students and programs, as well as how to evaluate the MIP in order to optimize support of doctoral education. The MIP was raised as an area of concern given that Graduate Division has actually no control and very little knowledge of how these funds are used at the program and divisional levels. GC agreed this is an important area of collaboration with the Graduate Division, and something the Joint Senate Administration Working Group on Graduate Education (JWG) would be examining as well. Since this consultation the MIP Working Group has taken on this work, and it will continue into the next year.

iVPDGS Williams also provided an update on graduate academic integrity cases (none this year), and reported that there were no further re-delegations of authority. GC had requested a written update on these issues, to be discussed in consultation only if needed.

Dissertation Year, Dissertation Quarter, and Cota-Robles Fellowship Report:
This consultation focused on the Dissertation Year Fellowships (DYF) and the Cota-Robles (CR) Fellowships process and outcomes. Council requested data on the outcome of the awards, as well as an assessment from iVPDGS Williams about what is working well as well as what challenges remain in the process, drawing on his analysis of the outcomes data. This year, Graduate Council made recommendations based on this consultation. The CR process recommendations are discussed elsewhere in this report, given that fellowship review of the Cota-Robles is undertaken by a GC subcommittee and the process revisions have been substantial, discussed over multiple Council meetings. For the DYF fellowship, Graduate Council, in follow up communication to iVPDGS Williams (12/22/20) recommended that divisions develop clear and transparent evaluation criteria for the DYF, and include a discussion of the evaluation criteria and process in each division's reporting to Graduate Division. GC made changes to the DYF call regarding accountability for not finishing the dissertation in the award year, given the context of COVID-19, stating that programs that nominate DYF awardees who do not complete their dissertation in the

DYF year may be ineligible to put forth nominees in the subsequent year (excepting the current COVID-19 year cycle). GC looks forward to a review of the outcomes for these major fellowship awards in the next cycle, and will continue making recommendations for both the DYF and CR. The DYF in particular has received increased focus, since GC agreed to delegate review and selection from the Graduate Division to the academic divisions, in order to ensure that a consistently robust evaluation criteria and review process could be undertaken by each division. This evaluation and review process is expected to be communicated to Graduate Division along with the annual reporting of awards and outcomes data.

Graduate Enrollment Trends
Graduate enrollment trends data are usually discussed during the first "State of Graduate Education" consultation with the Graduate Dean. However, this year was unusual as a consequence of COVID-19 impacts, and the data request was delayed. For this review, GC requested a report on graduate enrollment trends (number of applicants/yield, both campus aggregate and by department/program and division), as both absolute and relative (percentages) over the last five years, including by race/ethnicity and international student status, and reviewed that data in place of a formal consultation. This report should be re-integrated into the "State of Graduate Education" in future years.

Graduate Admissions Report:
This consultation focused on an annual report on graduate admissions for this cycle, including applications, admissions, and acceptances.

Previous VPDGS consultations have expressed concerns about racial/ethnic diversity, noting low numbers from applicants through accepted offers, particularly for African American and Latinx students. Review of data in recent years has indicated that while URM trends for applications have increased, there has been a downward trend in URM acceptances. The Council therefore requested an update on the five year trends in racial/ethnic diversity in applications, offers, acceptance, and matriculation data in context of the Graduate Division's goals for increasing graduate student diversity, by division. Graduate Council also requested expanded data on international students, including international students by country. Council noted a preference, if possible, for five-year trends in applications vs offers vs acceptances overall and by race/ethnicity be summarized graphically to facilitate interpretation and discussion during the consultation. iVPDGS Williams provided this data and came prepared to discuss salient points and key highlights, which Council found very helpful to the discussion. In a post-consultation memo (dated 6/29/21), GC noted that graduate student diversity is an area of continued interest for Graduate Council, and Council and will seek to incorporate this topic into annual consultations with the Graduate Division. Council found the data provided this year, which was broken down by race/ethnicity and by academic division and for the campus as a whole across categories of applications, admits, acceptances, etc., to be particularly helpful. In the future, and to facilitate productive interpretation of the data, Council will request that those data (i.e., # applications, admits, etc.) also be graphically summarized as a percent of total campus Master's or doctoral enrollments, percent of applicants who were accepted, percent of admitted who accepted, etc., again by ethnicity/race. Council noted that, in general, the percentage of applicants that are admitted and that accept the admission offer is similar across ethnic/racial groups, suggesting that efforts to increase graduate student diversity at UCSC would particularly benefit by increasing the pipeline of student applicants from

underrepresented ethnic/racial groups. Council noted that it welcomes opportunities to collaborate on this and other student diversity initiatives with the Graduate Division in order to increase graduate student diversity and strengthen graduate education more broadly, and therefore expects this to emerge as a proactive area of collaboration in the next year.

Consultations: Diversity, Equity, and Inclusion
In 2020-21, Graduate Council consulted in two different areas related to graduate diversity, equity, and inclusion. During winter 2021, Council consulted with Physical and Biological Sciences (PBSci) Division Associate Dean for Diversity, Equity, and Inclusion, Christina Ravelo. During spring 2021, Council consulted with Disability Resource Center Director Rick Gubash. A brief summary of the context and issues that were raised during the consultation is below.

Council reached out to PBSci Associate Dean Ravelo after reviewing the report from the PBSci Division "Assessing Belonging, Well-Being, and Graduate Student Needs" (fall 2019). Council was interested in learning more about PBSci's efforts related to diversity, equity, and inclusion for graduate students and graduate education in the division and the campus, as well as more specifically in learning about the role of the Associate Dean for DEI in the division (Council understands that at this time, only one other division—Social Sciences—has a comparable position). GC consulted with Associate Dean Ravelo in late winter on the critical needs for diversity, equity, inclusion, and climate; best practices for graduate student mentoring, as well as further discussion of the PBSci report. Dean Ravelo was very well prepared for the discussion, and brought questions as well related to how GC could support diversity efforts. Council would have liked to bring back Dean Ravelo for further discussion, but was unable to do so this year. GC expects to follow up on this issue in the next academic year, working collaboratively with the divisions (and Graduate Division's new leadership) to advance graduate diversity and inclusion on our campus.

During fall 2020, Council members expressed an interest in learning more about the broader policy and role of the Disability Resource Center (DRC) in extending normative (i.e., maximum) time for graduate students to complete their degrees. Council wrote to DRC Director Gubash (11/17/20) with a request for data related to graduate student disability related accommodations, number of cases, and overall trends in graduate students seeking disability related accommodations resulting (or potentially resulting) in increased normative time for Master's and doctoral students over the last five years, as well as the length of extension in such cases. GC received these data from Director Gubash, and reviewed them during a winter 2021 meeting. In an effort to learn more about the issue, particularly how DRC works with departments/programs and about broader impacts (including financial impacts) of DRC accommodations, Council followed up with DRC Director Gubash, who had graciously made himself available to answer further questions from Council. The Graduate Council Chair and Analyst also consulted with Senate Chair Brundage (1/19/21) given that the Senate Executive Committee has consulted with Director Gubash on related DRC issues in the recent past, and with Associate Campus Counsel Jessica Espinoza and Associate Vice Chancellor for Equity and Equal Protection Isabel Dees (2/23/21).

GC then held a follow-up consultation with DRC Director Gubash on 4/29/21 (AVC Dees was also invited but a scheduling mis-communication caused her to miss the consultation). Having reviewed the DRC data, GC outlined a few specific questions and topics, intended to better inform

GC about the process for supporting students with accommodations to support their academic success, including: process for considering and approving accommodations for graduate students, the extent that student advisors and academic programs are engaged in the process, and how financial implications are considered. Given the DRC consultation took place in late spring, Council did not have the time to make further progress on this issue. However, the consultation with DRC Director Gubash made clear that there is a need for more transparent guidelines on the role of students, the DRC, and programs in the process of working to provide student DRC accommodations. Graduate Council suggests there needs to be better communication between DRC and programs/departments to best facilitate supporting graduate students with accommodations to support their academic success, and that the DRC itself needs to better understand the graduate education landscape, and how that differs from undergraduate education. The issue of DRC accommodations having financial impacts on programs also needs to be addressed to include the complexity of graduate funding. Graduate Council will continue to focus on this issue in the next academic year.

Shared Governance
Graduate Council works collaboratively with the central administration on many issues throughout the year. This year, during review of a proposal for departmental establishment, Council discussed the question of where the authority lies for approving new academic departments, and also raised this issue formally in correspondence to Senate Chair Brundage (GC to Senate Chair 6/30/21). The proposal for the establishment of the Critical Race and Ethnic Studies Department came to Council with a transmittal letter that stated that the authority to establish new departments resides with the CP/EVC. Council then consulted the campus guiding process document[2] which states that the VPAA will consult with the Senate on department establishment. Given that an academic department serves two functions—one as an administrative unit, and the other as a committee of the Academic Senate—and UC Senate policy and bylaws clearly state that approval for a new department should require both administrative (e.g. CP/EVC) and Academic Senate approval, Council is pursuing correction of the UCSC APU and future campus practice to reflect this joint approval authority. Graduate Council will continue to monitor this issue in the next academic year.

Program Monitoring
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. This year, Council reviewed the report it requested and received from Feminist Studies during winter 2021, which included reporting of graduate student survey results. Council applauds the department for its continued efforts and work with Council to effectively address issues with the graduate experience in the Ph.D. program, and notified the department that Council would require no further reporting at this time. GC looks forward to reviewing the progress of the department and the External Review Committee's assessment during the next external review scheduled to begin in the next academic year, particularly given the more recent changes in faculty FTE in the department that have taken place with CRES departmentalization (after GC's last review).

Faculty FTE Recruitment Requests

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[2] UCSC Policy and Procedures Governing Establishment, Disestablishment, and Change (August 2021)

Graduate Council did not review the 2021-22 faculty recruitment requests. Council review of the faculty recruitment requests began in 2012-13, in the context of campus planning for graduate growth. While strengthening of graduate education continues to be a high Council and campus priority, Council decided not to make its own recommendations this year, and notified CP/EVC Kletzer in correspondence dated 5/5/21. Council arrived at this decision in order to better manage increased workload and to devote additional time to proactive and critical issues for graduate education. However, the Graduate Council Chair continued to participate in the faculty recruitment request process via the Committee on Planning and Budget's (CPB) consultations with each of the academic deans, as has been the case for the Graduate Council Chair since 2014-15. Next year's Graduate Council may wish to once again resume review of the FTE recruitment requests, given the importance of graduate education to the broader campus mission and given the relatively recent attainment of AAU status by the campus.

Regular Committee Business
New Department Establishment
Graduate Council reviewed a proposal to establish the Department of Critical Race and Ethnic Studies (CRES) in the Humanities Division and also to change the administrative home of the existing CRES major, Black Studies minor, and CRES Designated Emphasis to the proposed CRES Department (June 2021). Council found the rationale to create the CRES Department compelling in terms of national scholarship and need, recognized the important contributions the CRES program has made to the campus, and the long-standing efforts to establish CRES at UCSC. Council supported the efforts to strengthen and elevate the CRES discipline at UCSC through establishment of the CRES Department.

Council also raised concerns about the mechanism for creating the new department, i.e., creating yet another marginally resourced department with a majority of faculty with split appointments at the partial expense of an existing department (Feminist Studies) with an existing Ph.D. program. Council expressed concerns that, without a commitment of support from the division and the center for Feminist Studies, the departmentalization of CRES will not contribute to strengthening graduate education, and at worst, will negatively impact graduate education given the potential negative impacts on the graduate program in Feminist Studies. Council made several recommendations, intended to strengthen both CRES and Feminist Studies.

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 two proposals for a Five-Year Contiguous Bachelor's/Master's pathway: 1) from the Earth and Planetary Sciences (EPS) Department (designed to provide a five year pathway to the Earth Sciences Plan I M.S. degree for upper division UCSC students engaged in research with EPS faculty, and 2) from the Education Department (designed to provide a five-year pathway between the Critical Race and Ethnic Studies (CRES) B.A. and the Education MA/C. Council also reviewed a proposal for a five year pathway from the Computational Media (CM) Department, coordinating existing baccalaureate majors in the Computer Science B.S., Computer Game Design B.S., Games and Playable Media B.A., Computer Engineering B.S., Psychology B.A, or Cognitive Science B.S. with the existing Computational Media M.S. This pathway was not approved pending the department's submission of requested revisions to the proposal.

Council also reviewed and approved a proposal for Designated Emphasis (DE) in Microbiology and Environmental Toxicology (METX) intended for Ph.D. and Master's level students.

Requests for Suspension of Admissions
Council approved a proposal for suspension of admissions to the Feminist Studies Ph.D. program for the 2021-22 admissions cycle. Feminist Studies will update GC by June 15, 2022 regarding admission plans for the 2022-23 cycle.

Request for Discontinuances
Council reviewed a bundle of proposals related to the Computer Engineering (CE) programs and governance, which included a proposal to discontinue the suspended CE Ph.D., the CE M.S., and the CE BS/MS pathway. GC approved this set of discontinuance proposals.

External Reviews
Graduate Council annually participates in department and program external reviews. During 2020-21, Council reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming reviews in Anthropology, Critical Race and Ethnic Studies, Electrical and Computer Engineering, Environmental Studies, and Science Communication. GC also prepared responses to departments/program external review reports in preparation for closure meetings for History of Art and Visual Culture, History of Consciousness, and Mathematics. The Mathematics review surfaced additional issues, which Council requested be addressed in their Mid-Cycle report. It should be noted that in many instances there were program-level delays in the submission of external review materials to the VPAA for Council review, which created significant challenges to schedule appropriate Council review of the materials. Council will communicate with the VPAA that programs should be submitting review materials in a timely fashion to avoid risk of delayed review by Senate committees.

Council reviewed mid-cycle reports and made recommendations on the length of review cycle for Chemistry and Biochemistry, Linguistics. Council also reviewed several external review deferral requests for Environmental Studies, Applied Mathematics, Biomolecular Engineering, Computer Science and Engineering. Council did not endorse the external review deferral of Applied Mathematics, given that the internal viability review (for both Applied Mathematics and Statistics) that then-CP/EVC Tromp directed should take place in the 2020-21 year had not yet been submitted for Senate review.

Program Statement Changes
Council reviewed graduate program statement changes for the 2021-22 catalog copy. Graduate Council worked with the Registrar's Office to communicate deadlines to departments and programs to address the issue of late submissions of program statements from the programs and/or divisions (Office of the Registrar/Senate communication 10/15/20). The GC Chair worked with the Analyst in review and approval of all program statements. Council may revisit this practice next year and consider alternatives (e.g., GC sub-committee review of program statements).

GSI Requests
Graduate Council delegates to the Council Chair review and approval of Graduate Student Instructor (GSI) requests (graduate courses). Instances of graduate students assuming instructional

roles for graduate courses are relatively 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 graduate 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 15 GSI requests from Anthropology, Computer Science & Engineering, Earth and Planetary Sciences, Economics, Education, Feminist Studies, Film & Digital Media, History of Consciousness, Literature, Philosophy, Physics, and Statistics departments.

Fellowship Review
A Graduate Council subcommittee advised the interim Vice Provost and Dean of Graduate Studies on the selection of Cota-Robles Fellowships. See earlier sections of the report for extended discussion of the Cota-Robles review process this year and changes planned for the next review cycle.

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:

- CEP Proposed Changes to GSI Appointment Criteria for Undergraduate Courses (October 2020)
- Request for Exception to Admit to FDM Ph.D. Program (November 2020)
- Associate Provost Position Description: Office of CP/EVC (November 2020)
- Senate Committee on Career Advancement (CCA) Proposal to Assess Faculty Climate in External Reviews (December 2020)
- Committee on Courses of Instruction Request for Graduate Council Review of Graduate Syllabus Requirements; Review of Course Form in CAT (December 2020)
- CP/EVC Proposal for Documented Discussions Protocol: "Less Serious" Faculty Conduct (December 2020)
- Campus APU (Academic Programs and Units: Policy and Procedures Governing Establishment, Disestablishment, and Change) Proposed Revisions (December 2020)
- VPAA Request to Review the Center for Innovations in Teaching and Learning (CITL) external review and funding renewal request (February 2021)
- Systemwide Review: Proposed Revisions to University-wide Police Policies and Administrative Procedures (April 2021)
- VPAA Request for Review of Proposed Remote Work Policy for Senate Faculty (April 2021)
- UCSC Charter for Online Programs Initiative (Framework for Exploring the Viability of Online Degree Programs) (April 2021)
- Systemwide Review: Proposed Revisions to SVSH Frameworks for Faculty and Staff (April 2021)
- UCSC Critical Response Program (CRP) Plan Draft (April 2021)
- VPDUE Commencement of Academic Activity Proposal (May 2021)
- CEP and GC Policy on UCSC Undergraduate and Graduate Online and Hybrid Courses (May 2021)

- Faculty FTE Transfer Requests & Joint Appointment Requests (n=11) (May 2021, June 2021)
- Systemwide Review: Presidential Campus Safety Plan Draft (June 2021)
- Request for Arts: Games & Playable Media Administrative Home Change and Theater Arts Department Simple Name Change (Bundled Request) (June 2021)
- Systemwide Review: Fee Policy for Graduate Students In Absentia Registration (June 2021)

The Council deliberated a guest policy, and agreed to extend a formal invitation to new Assistant Dean of Graduate Studies Stephanie Casher to attend Council meetings as a guest for 2020-21 (GC to iVPDGS 11/9/20). Graduate Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2021-22:
- Strengthening Graduate Education —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. This includes participation in the implementation working group following the Joint Senate-Administration Working Group on Graduate Education (JWG) Report (March 2021)
- Continued assessment of Cota-Robles Fellowship review process
- Continue review and analysis of Master's Incentive Program (MIP) funding via the Graduate Council/Committee on Planning and Budget/Graduate Division Working Group
- Assessment of the role that Master's programs play in the broader graduate education ecosystem, including evaluating the prevalence and structure of "en route" Master's to ensure there is appropriate separation of requirements for a program's en route Master's and doctoral degrees
- Collaborate with VPDGS on issues related to graduate education, both pro-active and routine, including related to diversity, equity, and inclusion
- Monitor emerging CCGA and systemwide consensus with respect to self-supporting graduate programs reviews (CCGA/UCPB); advocating for continued systemwide review of Master's programs; and tracking the integration of dual degree program guidance into the Compendium. All three issues were taken up systemwide this year
- Monitor and/or review findings and/or report of the campus Student Conduct Review Task Force and campus disciplinary process
- Review the internal viability reports from 1) Applied Mathematics, 2) Statistics departments in early fall quarter
- Ensure revised process to appoint student representatives to Senate committees is put into practice
- Monitor revision of the campus guiding document (APU) on authority to establish new departments

Respectfully submitted,

GRADUATE COUNCIL
Dorian Bell

Michael Chemers (W, S)
Gregory Gilbert
Rajarshi Guhaniyogi
Robert Johnson
Juhee Lee (F, W)
Longzhi Lin
Patricia Pinho
Edward Shanken
Maziar Toosarvandani (W, S)
Quentin Williams, *ex officio*
Donald Smith, Chair

Katharin Peter, LAUC Representative
Taylor Cool, Graduate Student Representative
Azucena Lucatero, Graduate Student Representative (F)
Levi Matsushima, Graduate Student Representative (F, W)
Jonathan Myers, Graduate Student Representative

August 31, 2021

The following nominations are updates to those appearing in the Call.

Career Advising
Addition: Melissa Gwyn (W, S)   Art
Addition: Heather Shearer   Writing Program
Removal: Maya Peterson   History

Courses of Instruction
Stacy Kamehiro (W, S)   History of Art/Visual Culture

Development and Fundraising
Addition: James Zachos   Earth & Planetary Sciences

Educational Policy
Addition: Robin Hunicke   Digital Arts and New Media
Addition: Dianne Hendricks   Biomolecular Engineering
Yiman Wang (S)   Film and Digital Media

Emeriti Relations
Addition: Lisbeth Haas   History

Faculty Reseach Lecture
Addition: Howard Haber   Physics

Faculty Welfare
Yihsu Chen (W, S)   Electrical & Computer Engineering
Tsim Schneider (F, S)   Anthropology

Graduate Council
Addition: Andy Fisher   Earth & Planetary Sciences
Removal: Maziar Toosarvandani   Linguistics
Removal: Lora Bartlet   Education

International Education
Addition: Jeremy Hourigan (ex officio) Faculty Director, Global Engagement
Addition: Anjali Arondekar   Feminist Studies
Rebecca Braslau (F, S)   Chemistry & Biochemistry

Planning & Budget
Addition: Cameron Monroe   Anthropology

Research
Addition: Aims McGuinness   History
Removal: Alma Heckman   History

Rules, Jurisdiction & Elections
Addition: Maziar Toosarvandani   Linguistics

Teaching
Addition: Albert Narath   History of Art/Visual Culture