

**Meeting Call for Regular Meeting of the Santa Cruz Division
Wednesday, November 30, 2022 at 2:30 p.m.**

ORDER OF BUSINESS

1. Approval of Draft Minutes
 - a. Draft Minutes of May 20, 2022 (AS/SCM/332)
2. Announcements
 - a. Chair Gallagher
 - b. Chancellor Larive
 - c. CPEVC Kletzer
3. Report of the Representative to the Assembly (none)
4. Special Orders: Annual Reports
CONSENT CALENDAR:
 - a. Committee on Affirmative Action and Diversity (AS/SCP/2028) p. 1
 - b. Committee on Academic Freedom (AS/SCP/2029) p. 8
 - c. Committee on Admissions and Financial Aid (AS/SCP/2030) p. 11
 - d. Committee on Academic Personnel (AS/SCP/2031) p. 20
 - e. Committee on Career Advising (AS/SCP/2032) p. 38
 - f. Committee on Courses of Instruction (AS/SCP/2033) p. 50
 - g. Committee on Development and Fundraising (AS/SCP/2034) p. 64
 - h. Committee on Educational Policy (AS/SCP/2035) p. 67
 - i. Committee on Emeriti Relations (AS/SCP/2036) p. 78
 - j. Committee on Faculty Welfare (AS/SCP/2037) p. 82
 - k. Committee on Information Technology (AS/SCP/2038) p. 95
 - l. Committee on International Education (AS/SCP/2039) p. 100
 - m. Committee on Library and Scholarly Communication (AS/SCP/2040) p. 104
 - n. Committee on Planning and Budget (AS/SCP/2041) p. 111
 - o. Committee on Privilege and Tenure (AS/SCP/2042) p. 123
 - p. Committee on Research (AS/SCP/2043) p. 127
 - q. Committee on Rules, Jurisdiction and Elections (AS/SCP/2044) p. 131
 - r. Committee on Teaching (AS/SCP/2045) p. 137
 - s. Graduate Council (AS/SCP/2046) p. 151
5. Reports of Special Committees (none)
6. Reports of Standing Committees
 - a. Committee on Committees – Updates to Committee Roster (AS/SCP/2047) p. 163
 - b. Committee on Courses of Instruction – Interim Guidance on Applications for Online Modalities - Summer 2023 (AS/SCP/2048) p. 165
 - c. Committee on Development and Fundraising – Proposed Amendments to Senate Bylaw 13.14 2 (AS/SCP/2049) p. 167
 - d. Committee on Educational Policy – Proposed Amendments to Senate Regulation 6.1.2, Enrollment in 19-22 units (AS/SCP/2050) p. 169
 - e. Committee on Faculty Welfare – Faculty Salary Report (AS/SCP/2051) p. 171
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

11/23/2022

Academic Senate
Santa Cruz Division

Dear Colleagues,

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

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

In addition to the annual reports of the 2021-22 Senate committees, the agenda's regular business includes:

- the Committee on Committees' updated 2022-23 Senate roster
- an oral report from Committee on Courses of Instruction (CCI) Chair Harrison on the recent CCI memo, *Interim Guidance on Applications for Online Modalities - Summer 2023*
- proposed amendments to Senate Bylaw 13.14, the Committee on Development and Fundraising charge
- the Committee on Educational Policy (CEP) proposed amendments to Senate Regulation 6.1.2 which governs undergraduate enrollment in more than 19 units and
- the Committee on Faculty Welfare's annual Faculty Salary Report.

Although the Senate is not involved in the ongoing bargaining with the four units currently striking, we have plenary authority for campus curricular processes that may be impacted by the ongoing labor action. Senate plenary committees are planning a communication about fall 2022 grades and final examinations that will reach all Senate faculty next week.

As the labor action continues, we aim to provide you with the latest available information. In keeping with that goal, we are sharing [Senate faculty HEERA rights to respect the picket line](#), authored by legal scholars from across the UC system. Additional guidance is forthcoming from systemwide [Senate Chair Cochran and Vice Chair Steintrager](#), and from the Senate regarding fall instruction. Please be attentive to emails from senate@ucsc.edu for these communications.

I look forward to seeing you at next week's meeting. I wish you all a safe and warm Thanksgiving holiday. I am thankful for you, my dear colleagues.

Sincerely,
Patty Gallagher, Chair



Academic Senate
Santa Cruz, Division

SUBMISSION OF PROPOSED CORRECTIONS TO THE MINUTES
May 20, 2022 Senate Meeting

The draft minutes from the May 20, 2022 Senate meeting were distributed via email on July 21st and will be presented for approval at the Senate Meeting on November 30, 2022. 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.

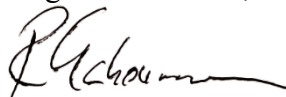
This approach gives Senators an opportunity to read and review changes before being asked to vote on them, provides the Senate staff and the Secretary with time to resolve any questions or inconsistencies that may arise, and minimizes time spent on routine matters during meetings. While proposed changes 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 29, 2022**. They should be addressed to the Secretary, c/o Academic Senate Office, via email to senate@ucsc.edu.

Roger Schoenman,



Secretary *pro tem*
Academic Senate
Santa Cruz Division

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Annual Report, 2021-22

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 AND ACTIVITIES

I. Highlights and Campus Climate Context

This was a year that witnessed multiple shifts in teaching modalities, and CAAD was particularly concerned with how to assess any potentially disproportionate impacts of remote and hybrid instruction, as well as interrupted research, upon different constituencies. With key administrative personnel (including the Disability Resource Center director) serving in interim capacities, and with the campus awaiting the appointment of a new Vice Chancellor for Equity, Diversity and Inclusion within a recently restructured organizational context, some of the campus activities in which CAAD routinely participates have been on hold. On a positive note, CAAD observed the early implementation stages of initiatives such as the Faculty Equity Advocates program and other appointments intended to foster a more inclusive community that is accessible to everyone, including disabled and neurodiverse people. The committee consulted with other Senate bodies to offer an equity-minded approach to the broader issues that arose this year, including remote instruction; the development of fully-online courses and programs; ongoing questions about how to use and assess diversity statements in faculty recruitment and personnel actions; the worsening housing environment in Santa Cruz; and two major SUA resolutions conveying significant student concerns.

II. CAAD Consultations with Campus Units

- **Gina Dent, Academic Senate Equity Advocate**

The committee met with the newly established Equity Advocate on November 1, 2021 to discuss this newly created position in the Academic Senate. While CAAD is the outward facing committee, the equity advocate is primarily inward facing, working to create equity within the Academic Senate itself. The discussion focused on perceived barriers that prevent faculty from taking on greater roles in shared governance, and on shifting the campus discussion from questions of compliance toward a deeper reckoning with histories of exclusion in the academy.

- **Jody Greene, AVPTL and CP/EVC's Special Advisor on Educational Equity and Academic Success**

The committee met with Greene on January 10, 2022 to discuss possible collaborations and involvement in student success and equity initiatives, which have become increasingly visible as campus priorities. Given the urgency of learning to better measure—and then to improve—overall student success, particularly in targeted areas in STEM with distressing attrition rates, how might CAAD help faculty make their teaching more equity-minded by design, while also maintaining a sustainable workload?

- **Judith Estrada, Executive Director and interim Chief Diversity Officer**

The committee consulted with Estrada on February 7, 2022 to received updates regarding the following:

- Ongoing restructuring of the Office of Diversity, Equity and Inclusion
- Director's efforts to catalog and centralize information about all campus initiatives related to DEI (following up on work by the 2020-21 CAAD, which produced a collaborative document with ODEI)
- Campus Inclusive Climate Council and Chancellor's Diversity Award, historically committees that have a CAAD representative, have been suspended while restructuring and new officer recruitment is in process
- Contributions to Diversity Requirements (C2D)
- Faculty Enrichment Funds: no longer committee-selected but available

- **Juan Poblete, Jeannie Fox Tree, Needhi Bhalla and Megan Moodie, Advancing Faculty Diversity/Faculty Equity Advocates Workgroup**

To recap from the previous year's CAAD report: the University Committee on Affirmative Action, Diversity, and Equity (UCAADE) introduced the FEA program for the UC system in 2001, but UC Santa Cruz did not have a program in place prior to the establishment of the Advancing Faculty Diversity workgroup in 2019. Their recommendations included a two-year proposal to develop and implement a faculty-led UC Santa Cruz's FEA program. CAAD met with representatives from the FEA workgroup (funded through a UC-wide initiative along with the VPAA) to discuss its May 2021 final report, and to assess the outcomes of the workgroup as it concluded its work. CAAD requested information about the following:

- Status of recruiting candidates to the new Faculty Equity Advocates Program (recruitment began in winter 2022), and the way these FEA appointees may work in concert with the equity officers and associate deans already appointed within come academic divisions
- Possible future changes in campus training for fair hiring practices, as well as in the use of the Contributions to Diversity Rubric
- Possible impact of recommendations on APO's Diversity Statement Guidelines

- **Graduate Division**

On March 29, 2022 the CAAD Chair and Analyst met with Lorato Anderson, newly created Director of DEI in the Graduate Division, for an informal touch-base about shared governance structures and the role of CAAD.

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

The CAAD chair participated in 4 full-day meetings during the academic year with UCAADE, which gathers representatives from the comparable committees (many with different names) at each UC campus, under the direction this year of UCAADDE chair Daniel Widener (UCSD). Our local reports from Santa Cruz focused on the implementation of new campus safety practices and policies, on the implementation of the Faculty Equity Advisors program (see above), and on the especially severe impact at UCSC of the statewide housing crisis. These meetings provided important insights into system-wide equity, inclusion, and access challenges that were in turn shared with CAAD. In addition to regular reports from the UC academic personnel office on systemwide progress on diversity goals and from the Academic Council, the major ongoing issues discussed at UCAADE were: the state legislature's mandate that UC funding be tied to the remediation of differences in success outcomes among different student populations; the implications of the larger campuses moving toward HSI status; the question of how many courses and potentially degree programs can be offered in an online format while maintaining UC-level educational quality and social equity in a broader sense; Academic Council recommendations on departmental political statements; and (perhaps most urgently) the two proposals for instituting ethnic studies requirements for UC admission from high school and via community college transfer (see V, below).

IV. CAPM Revisions

In 2020-21, CAAD initiated a revision to CAPM 101.000, regarding the process for requesting waivers of recruitment. The revisions made a clear distinction between waivers requested for spousal/partner hires and for Target of Excellence (TOE) hires, indicated best practices for entities making such requests, and clarified the process of appeal for denied waivers and the level of authority for such appeals. Following extensive Senate and administrative consultation, this revision went to APO for consideration in spring 2021. The CP/EVC consulted the Senate on a new proposal to streamline the review for spousal/partner hire waivers at the Divisional level, but this was ultimately rejected. The CP/EVC issued a memo on June 22, 2022 approving the revisions to CAPM 101.000 as proposed last year.

V. Systemwide Policies Regarding Ethnic Studies

Perhaps the most noteworthy and widely publicized correspondence that CAAD reviewed this year were two that involve proposed revisions to systemwide admissions policy. The California legislature recently added ethnic studies to state high school graduation requirements. In response, various working groups and committees have been examining ways to tie this recognition of the importance of this field knowledge to existing UC admissions practice. First, the committee twice reviewed Proposed Revisions to Senate Regulation 478 (which governs IGETC, the common community college transfer requirement package), as requested by BOARS. CAAD supported the development of a standalone IGETC Area 7 devoted to Ethnic Studies, suggesting an augmentation of the range of courses offered and requesting clarification of language around exceptions.

Later in the year, CAAD reviewed the proposed systemwide revision of Senate Regulation 424.A.3 (which governs high school admissions), which would add an Area "H" to the existing A-G requirements. Members expressed confidence in the detailed course criteria for the new ethnic studies requirement, which were developed by some of the most prominent ethnic studies experts in the University of California system and meet the same level of rigor expected of the A-G

requirements. They encompass the epistemological, methodological, and analytical approaches of ethnic studies while also acknowledging the inherent interdisciplinarity of the field and its attention to praxis. We are not concerned that these new requirements will place an undue burden on California high schools because 1) the new Area “H” requirement aligns with the new ethnic studies requirement for K-12 schools in California; 2) an area A-G course can be used to satisfy the Area H requirement; and 3) schools will have until 2030 to develop eligible courses if necessary. If finalized, 478 and 424 will create greater curricular alignment between high schools, community colleges, CSUs, and UCs.

CAAD applauds the recognition of ethnic studies as an essential element of the intellectual foundation that is expected of incoming University of California undergraduates. In light of these detailed and state of the art descriptions of Ethnic Studies courses, CAAD wonders whether it might be time for a review of the framing and/or the application of the campus’s own [General Education requirement in Ethnicity and Race](#).

VI. Subcommittee Work

- *Employee Housing Subcommittee*

A CAAD representative participated in the Employee Housing Subcommittee. Potential sites for on-campus housing development were discussed and the financial implications for employees were analyzed. The CAAD representative raised the questions as to whether staff employees will have equal opportunity to future housing as academic personnel, and what programs will be in place to help financially-disadvantaged employees to afford housing. The Subcommittee recommended continued engagement with UCOP on supporting additional financing opportunities for all employees (both staff and faculty).

- *Implementation Task Force for Inclusive Excellence in Graduate Education*

CAAD participated in the Student Success and Well-Being (SSWB) subcommittee of the Implementation Task Force for Inclusive Excellence in Graduate Education. The SSWB subcommittee met biweekly from March-June 2022 to assess existing professional development programming, mental health and wellbeing resources, and guidelines and best practices for faculty mentoring of graduate students on the UCSC campus. Through on-campus and UC-wide consultations, internal and external data gathering, and brainstorming, the subcommittee has established a clear set of next steps for improving campus resources to support graduate student success and well-being. The work of this subcommittee will continue through fall 2022.

- *Ombuds Office*

A CAAD representative met with the external review committee tasked with making recommendations about whether UCSC should re-establish an Ombuds Office.

- *MLK Convocation:*

CAAD participated in the organizing committee for the 38th Annual MLK Convocation on February 23, 2022. The committee extended a speaker invitation to critical race science and technology studies scholar Ruha Benjamin (Princeton University). Due to the ongoing COVID-pandemic, the MLK convocation was once again held over Zoom. 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 reflection from Reverend

Deborah Johnson, and a video commemorating the Tony Hill Award. Dr. Benjamin then gave a talk based on her book *Race after Technology*, about how new technological tools are entangled with the reproduction of racisms. This presentation was followed by a dialogue with UCSC Associate Professor of Sociology and Critical Race & Ethnic Studies Camilla Hawthorne. In addition, prior to the convocation, Dr. Benjamin met over Zoom with UCSC undergraduate and graduate students to talk about technology and racial justice.

VII. Correspondence

This academic year, CAAD issued correspondence on 36 requests. Below is a summary recap of that correspondence.

Systemwide

- Proposed Revision to Senate Regulation 478 (IGETC Ethnic Studies Area Requirement)
- Presidential Policy on Sexual Violence and Sexual Harassment Proposed Revisions
- Proposed Presidential Policy on Abusive Conduct and Bullying in Workplace
- Proposed Revised APM -759, Leave of Absence/Other Leaves Without Pay
- 2nd Review of Senate Regulation 478 (IGETC Ethnic Studies Area Requirement)
- Recommendations for Department Political Statements
- Proposed Revisions to Senate Regulation 424.A.3 (High School Admission A-G Ethnic Studies Area Requirement)
- Supplement to Military Pay
- Proposed Presidential Policy on Affiliations with Certain Healthcare Organizations

Divisional

- CP/EVC's Pilot Support Structures for Free Speech and Protest Review
- BSOE Reshaping Proposal
- DRC's Request for Faculty Feedback on Accommodate Faculty Notification Options
- WASC/WSCUC Reaccreditation
- DRC Request Access to Canvas
- VPAA's Proposed Remote Work Guidelines for Senate Faculty
- VPDUE's Academic Integrity Policy
- iVPGE's Request for Feedback on Proposed International Center
- CP/EVC's Revised CAPM 101
- Summer Campus Initiative Executive Summary
- CCI Request re Equity and Access for Online Courses
- Review of Proposed Revisions to CAPM 512.280 (Adjunct Professor Series)
- BSOE Admission and Diploma Proposal
- CP/EVC's Sea Change Bronze Award and Action Plan
- COT DRC FAQ Request
- Proposed Faculty Salary Equity Program for 2022
- CP/EVC Request for Proposed Housing Allowance for Provost Housing

In addition, CAAD reviewed 12 waivers of open recruitment proposals (Target of Excellence and Spousal/Domestic Partner proposals), including 3 that arrived in summer 2022.¹

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

VIII. Potential CAAD Name Change

Noting that the comparable committees at other UC campuses have shifted toward the language of equity and inclusion (i.e. “Committee on Diversity, Equity, and Inclusion”), and considering that the name of the aligned campus office is similar, the committee considered whether it should consider bringing a name change request to the Senate. The Chair and Analyst undertook a census of what comparable UC campuses call their committee, the composition of those committees, and the frequency of their meeting. This study found that UCSC’s CAAD meets more frequently than those at other campuses, but does not include a non-Senate faculty representative as two other campus bodies do. After discussion, the committee declined to pursue a name change at this time, noting that it evokes a specific history.

IX. Considerations for 2022-23 CAAD

- Consult with incoming VCDEI/CDO on replacement structures for the former campus climate committee, as well as awards and events committees. How can this office best engage with CAAD and other faculty governance bodies?
- Consult with the Senate Faculty Equity Advocate, and other leaders to address the persistent lack of a representative from BSOE on this committee despite efforts from COC to include one. Consider adding a NSF representative with appropriate compensation, in line with the two other comparable UC committees that include one.
- 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
- Continue to monitor and consult on the launching of Faculty Equity Advisors at UC Santa Cruz, in collaboration with the VPAA’s office.
- In consultation with VCDEI, Senate Faculty Equity Advocate, and FEAs, consider offering revisions to the Rubric to Assess Candidate Contributions to Diversity, Equity and Inclusion from the VPAA office.
- Consult further 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.
- Interface with the new Director of the Disability Resource Center to establish faculty liaisons.

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

Respectfully Submitted;

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Ryan Bennett (*W, S*)

Camilla Hawthorne

Phoebe Lam

Amy Vidali

Zhu Wang

Kirsten Silva Gruesz, Chair

Daniel Rodriguez Ramirez, GSA Rep.

Amalia Bostian, SUA Rep.

Daithi Willis, SUA Rep. (*F, W*)

August 31, 2022

COMMITTEE ON ACADEMIC FREEDOM

Annual Report 2021-22

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. Departmental Free Speech

The Committee on Academic Freedom (CAF) discussed a draft memorandum regarding Departmental Statements, and thought that the proposal reflected our values as UC faculty members and appreciated the precise language and pragmatic solutions presented in the letter. CAF believes that the proposed approach accomplished what it sets out to do.

We also had a few questions:

1. On page 1 in the "Background" section, the letter cited the statement from UCLA's Gender Studies Department and UCSC's Feminist Studies Department. In the earlier iteration for the UCAF meeting on September 23, 2021, the statement from UCLA's Asian American Studies Department was cited and discussed. We wondered why such a shift occurred.
2. In the "Recommendation" section on page 3, we wholeheartedly agreed that departments are responsible for clarifying who is being spoken for, including staff members, graduate students, and undergraduate students, when departments speak as departments. However, we are quite suspicious that the solutions provided immediately in the opening statement could resolve the representation conundrum. We believe that solutions such as listing the members' names would invite more confusion and potentially chilling effect or intimidation to the minority viewpoints, especially when legal liability and political persecution might ensue unpredictably.
3. We feel slightly uncomfortable about the language of recommendation #2, which may be construed as a challenge to the validation or legitimacy of how the political statement was made. Could it be conspiratorial or reached by a flawed democratic process? We undoubtedly do not assume that any departments in the University of California would arrive at their decisions flawlessly. At the same time, however, there is no need to second-guess our senate colleagues. We also like to confess that we do not have a better alternative

to replace recommendation #2. We understand that it is a thorny issue, and we feel that fewer recommendations may be a better approach to the problem.

II. Free Speech and Protest

the Committee on Academic Freedom (CAF) discussed the UCSC Cruz Pilot Support Structures for Free Speech and Protest and had the following observations and recommendations to share.

We appreciated the administration's plan to create a policy that will deescalate conflict during campus protests. However, we are concerned that the proposed administrative reforms will not achieve the desired outcome and ultimately come across as little more than window dressing. We find the overall document does not address the goal expressed by its title: the promotion of free speech and expression on campus when there are divisions between community members and the administration about campus policies. And we have three critical concerns:

1. The First Amendment and Protest Oversight Group (FAPOG) does little to change the previous situation in which senior administrators found themselves in an adversarial position with protesting campus community members. The proposed new structure is new only because it adds the police chief and a staff member responsible for marketing. As such, FAPOG seems like little more than a label for existing structures that control policing and now are expanded to control and coordinate campus messaging. We failed to see why the same senior administrators who presided over a response to recent campus protests with the heavy use of force, under a different name, would generate much of a different outcome.

We observed, if the goal is to change how the campus leadership navigates inevitable conflicts in the community, we suggested this was not the right way forward. We noted that the absence of other campus community stakeholders from the FAPOG group - notably faculty, staff, and students - maintained the adversarial stance that has existed on campus. The proposal was also seriously in conflict with conversations about policing taking place across the country. We noted that numerous reforms of policing to introduce community policing and civilian oversight, including in Santa Cruz, are much more sophisticated than the proposal currently under review.

2. We are concerned that the First Amendment Support Team (FAST) group, while potentially a valuable addition to the campus response during protest events, may have no teeth. There is no requirement or even procedure through which FAPOG consults with FAST. On its own, FAST appeared to be a paper tiger made up of faculty, staff, and students whose job is to consult with protestors for an unclear purpose.
3. It may create unrealistic expectations to require the Counseling and Psychological Services (CAPS) and the Campus Advocacy Resources and Education (CARE) team members to remain "neutral" as part of their involvement with the Protest Support Team (PST). Such a requirement may go against professional psychological and mental health care standards. It was also unclear that CAPS and CARE professionals could effectively remain neutral, given that they may have a different political stance from the protestors.

Moreover, we had three recommendations:

1. The protestors fundamentally regard senior administrators as adversaries, not representatives of the campus community. We recommended a solution that represents a genuine devolution of power over the campus response from a core group of administrators to a broader body that requires meaningful consultation with community members, including some campus faculty and students. Before undertaking any reforms, we recommended that senior administrators seriously consider whether their role is primarily to represent the interests of community members to the central administration and the state legislature or to govern the campus in the name of the latter. Increasing the former dimension - representation - is critical for community members to feel that honest conversations about the university can take place.
2. We recommended that the proposed changes should also include a mechanism of mandatory consultation between FAST and FAPOG in the time leading up to and during protest events.
3. We recommended clarifying that the neutrality requirement on service providers associated with the PST should not be interpreted as preventing clinicians from expressing attitudes about the protest in the context of providing individual mental health support to students.

III. Divisional and Systemwide Reviews

The following are issues on which CAF provided comment:

- Systemwide Review of Proposed Revisions to Academic Personnel Manual Section 025, and Section 671
- Systemwide Review of Draft Presidential Policy -- Abusive Conduct/Bullying in the Workplace
- Proposed Changes to the Systemwide Policy on Sexual Violence/Sexual Harassment

Respectfully submitted,

COMMITTEE ON ACADEMIC FREEDOM

Magy El-Nasr
Jevgenij Raskatov
Susana Ruiz
Roger Schoenman
Minghui Hu, Chair

Nolan Higdon, NSTF Rep.
Sam Hughes, GSA Rep.

August 31, 2022

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

Annual Report 2021-22

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 2022 and planning ahead for new modes of application evaluation for the 2023 cohort. As always, we worked closely with Undergraduate Education (UE), Enrollment Management (EM), and Undergraduate Admissions (UA), whose energy and creativity provided us with both information and options for setting policy.

I. WORK OF CAFA IN 2021-22

A. Changes in Policy and Practice

1. Coursework repeat policy for transfers. Until this cycle, individual departments determined to what extent repeated courses in community college would influence transfer admissions decisions. CAFA instituted a uniform policy this year to ignore repeated coursework and determine admission decisions for transfers based only on the final grades for courses that were eventually passed. This brings us into alignment with policy at all other UC campuses admitting undergraduates.

2. Admission and disqualification issues related to COVID-19. Conditions for disqualification of admitted first-year students for academic shortfalls in their senior year of college were returned to their pre-COVID state for students entering in fall 2022. But the holistic review reader guidelines for this cohort were written to encourage reviewers to give extra leeway to students who specifically explained extraordinary impacts that the COVID-19 pandemic had on their prior work.

3. Senior level transfers. Policy on admitting senior-level transfers was formalized in this cycle. Consideration of these students for admission will be on the basis of approval of an appeal, where the evaluation will center on their meeting all requirements for junior transfers, expectation that they will be able to fulfill all graduation (including residency) requirements within a year, and “a clear plan and maturely articulated motivations” for their change of university (and possibly major).

4. Second baccalaureate applicants. This policy was revisited after a number of years and formalized during this cycle. The policy is similar to that for senior-level transfers. An appeal must be filed and accepted to apply, the student has to meet all transfer requirements in their new field of study, they must have a clear explanation of why the second degree is necessary for their career plans, and the new field must be substantially different from the old one.

5. Holistic Review and selection of frosh applicants. This year was the first time that UC Santa Cruz used a holistic review with multiple scores, a new system approved by the prior CAFA in spring 2021. Instead of a single holistic review score, readers provided 8 scores that were 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). The noncognitive factors are resilience, maturity, special talents, alignment of achievements with proposed major, participation in certain academic preparation programs, involvement and leadership in community and school organizations, and likelihood to actively contribute to campus diversity and inclusion priorities. Holistic review instructions were modified and approved for the next cycle (for first-year students entering fall 2023) as well this year. The noncognitive factor related to participation in certain academic preparation programs was removed from the holistic review stage. The COVID-related language mentioned above was retained from the prior cycle (first-year students entering fall 2022).

6. Early Consideration. For the first time in a number of years, we did not do an early consideration / early notification process for athletes and other students with special talents. This change was decided by last year’s CAFA due to the extra administrative burdens imposed by state audits in the wake of the Varsity Blues scandal and due to increasing efficiency in the admissions office allowing larger numbers of early admission offers to be extended to students rated highly in the holistic review, a pool that includes a number of the academically strongest special-talent students already.

7. College Scholars. CAFA formally invited the Faculty Director of Undergraduate Honors Programs, Amanda Smith, to meet both the committee as a whole and to attend meetings of the data subcommittee during the early stages of the selection process, so as to understand the ways in which we promote equity in admissions by viewing achievement in the context of opportunity, so as to be able to apply similar considerations in the selection of students for the College Scholars program. While selection of Scholars will always remain the purview of the College Scholars program entirely, we look forward to continuing this level of coordination, since in addition to the great value of the program for the students, their timely notification of admission into the program is an important recruiting tool for CAFA/Enrollment Management/Admissions.

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 prior years, the Data Subcommittee met regularly with staff from Enrollment Management and admissions (and, this year, Institutional Research and Policy Studies (IRAPS), a highly successful collaboration which we hope will continue) in order to design selection criteria for each stage of admission offers (early, regular, and waitlist). Several admission scenarios were presented to the full CAFA for selection and approval. While there was no separate set of admission criteria for Baskin School of Engineering (BSOE) this year, a CAFA member served also as the BSOE representative on the Data

Subcommittee, in a sort of practice run in case BSOE's plan for generating a separate set of selection criteria during this process is approved for next year.

C. Correspondence

CAFA put extensive effort this cycle into reviewing two major proposals through the Senate consultation process. These are summarized here very briefly; the interested reader should consult the formal correspondence for a more nuanced and more accurate representation.

The first issue was the campus proposal for online initiatives. CAFA was skeptical overall of online degrees, pointing out that while they were being recommended by the administration as a way to expand enrollment significantly and relieve congestion on campus, the work of the subcommittees on campus analyzing the concept, and the work done previously by the systemwide committee, suggested that only very small, specialized, and expensive “boutique” programs would provide a UC-quality education. CAFA stressed that before investing in online degrees, the potential benefit of comparable investments on traditional education should be laid out for comparison. CAFA stated that if any undergraduate online degrees were instituted, they should be as upper-division programs only (for transfer students or students who were resident on campus for their first two years). This would reduce the cost and make it easier to justify the equivalence to an in-person degree. Finally, CAFA noted what we believe is a much higher-value way of staking out a unique position in the online space: having UC Santa Cruz coordinate a systemwide network of individual online courses chosen specifically to help UC students complete their degrees in popular majors, with campuses sharing the burden and each offering a few of these courses to be taken by anyone in the system.

The second major issue was the systemwide proposals for new Ethnic Studies (ES) requirements for transfer admission (as part of the Intersegmental General Education Transfer Curriculum (IGETC), in the wake of a similar requirement at CSU) and for frosh admission (in the wake of new statewide ES requirements for graduation from public high schools). While CAFA supported both proposals, we found significant issues to be addressed for the latter proposal. The statewide standards for high-school graduation run to 900 pages of text, and leave the content required for approved courses very broad; while the proposed UC requirements for the new “Area H” were brief and not necessarily actionable by non-experts. In our letter, we emphasized the need for a document meant to “translate” the UC standards in terms of specific parts of the documentation that high schools already have for the state graduation standards. We emphasized the need to consult with UCOP to make sure they are ready to evaluate course proposals in the way that UC faculty intend. Finally, we also proposed several measures to make sure that students from under resourced schools who may have trouble meeting both the state and separate UC standards still have a road to UC admission, perhaps by temporary approval of any course that meets the state standards to be allowed for Area H.

CAFA also commented on two drafts of BSOE's proposal for greater autonomy in admissions and the granting of degrees. We commented only on the first aspect, as being in our purview. While reserving ultimate authority over admissions policy for all undergraduate students, CAFA approved of a plan to have a representative of BSOE always on CAFA's data subcommittee to work on customized selection plans in each cycle for incoming BSOE

students, with the particular goal of improving equity and diversity metrics for their entering class.

II. ISSUES FOR THE NEAR FUTURE

A. Compare favorably

In the absence of standardized test scores, CAFA hopes and expects that BOARS will specify new guidelines during the 2022-23 academic year on how to evaluate whether admitted nonresident students as a whole “compare favorably” with California admits as required by state law and Regent’s policy. One possible solution discussed in the 2021-22 CAFA is to use first-year performance of California, domestic nonresident, and international students at UC Santa Cruz from a recent cohort to “correct” high-school grade point average (GPA) scores (which are not clearly comparable between California and other states, and even more difficult to compare with schools in other countries) before comparison is done on the mean GPAs of these three residency groups for the students being evaluated for admission to the 2023-24 class.

B. Ethnic studies (Area H)

There will likely be further discussion of this proposal in BOARS, Academic Council, and the divisional Senates this year, no resolution having been reached in 2021-22. CAFA should remain cognizant of the detailed work that was done in the committee this year analyzing the proposal and its implications, and continue to play an active role as the discussion progresses.

III. Admissions and Financial Aid for Fall 2021

A. Admissions¹

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. The campus received 574 applications for winter 2022; 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).

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

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. 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 4,887, including 4,346 California, 330 out of state and 211 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 2,070, including 1,976 California, 23 out of state and 71 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 2021-22, the Division of Undergraduate Education's Financial Aid and Scholarships Office provided support to 13,784 undergraduate students (77% of undergraduate population) and 1950 graduate students (98% of graduate population). The types of aid provided included grants, scholarships, fellowships, loans and/or work-study assistance.

1. Award Program Updates

At a federal level, the primary impact to students remains with the Federal HEERF funding. After 3 separate rounds of funding since March 2020 (CARES, CRRSAA, and ARP), the campus has received a total of \$44,692,560 for direct distribution to students as grant aid. As of June 2022, the campus has disbursed \$44,334,957 (99%) of the funds to a total population of 18,195 undergraduate and graduate students.

At a state and institutional level, there have been many new programs introduced or implemented over the past calendar year or in the coming year.

a. University Policy Changes

Tuition Stability Plan: In July of 2020, the Board of Regents approved a multi-year tuition plan that includes different tuition levels by cohort. The entering cohort for Fall 2022 will be the first cohort with this tuition plan.

Debt Free UC: UC has rolled out a model potentially providing a debt free path for a subset of students in 2022-23 as a first step toward the Governor’s goal of every undergraduate debt free by 2030, both through UC and State financial aid programs. (See MCS 2.0 below.)

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

b. *State Policy Changes*

The State of California has many expanded and new programs:

Middle Class Scholarship (MCS) 2.0: The Middle Class Scholarship Program is being expanded significantly.

- MCS is currently a \$37M program serving 11,700 UC students
- The California Student Aid Commission (CSAC) estimates it will grow to a \$240M program serving 114,000 UC students in 2022-23.
- Each award requires file exchanges with CSAC.
- Provides awards without regard to EFC, which will significantly complicate coordination with federal student aid rules.

Learning Aligned Employment Program (LAEP): The Governor’s budget more than doubled this work-study program from \$200M to \$500M. LAEP goes beyond a traditional work-study program, many of which fall outside the existing expertise in financial aid offices:

- Require MOUs with off-campus employers for each relationship and UC staff “shall review each LAE position to determine whether it satisfies all conditions.”
- Prioritize opportunities for certain students (e.g., low-income) and STEM fields.
- Provide academic credit, if possible.

c. *Other New or Expanded State Financial Aid Programs:*

- NEW: Community College Cal Grant Entitlement Program
- NEW: One-time \$15M in State emergency grants
- NEW: Dreamer Service Incentive Grant
- NEW: Augmented Cal Grants for student parents and former foster youth
- EXPANDED: Golden State Teachers Grant Program
- MADE PERMANENT: \$4M in summer financial aid

2. Current Financial Aid Funding Model and Data

The UC Education Finance Model (EFM), which utilizes a 33% return-to-aid (RTA) from tuition and fees to support low income students, continues to be closely reviewed by the system-wide EFM committee. This 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 2022-23 will be \$39,171. Non-residents will have an additional \$31,026 tuition charges, bringing the non-resident on-campus budget to \$70,197. Under EFM, 2022-23 UC Santa Cruz undergraduates who qualify for need-based assistance must pay approximately the first \$9,600 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 2021-22 the Financial Aid and Scholarship Office administered \$295 million in financial assistance to about 77% of our undergraduates, as compared to \$238 million / 72% in 2020-21. (*See table*)

2021-22 Source of Aid	Percent of Undergraduates	Amount Received	Average Award
Gift Aid (all sources)	66%	\$ 233,697,283	\$ 19,921
UCSC Scholarships*	15%	\$9,264,335	\$ 3,394
Federal Pell Grants*	33%	\$ 30,782,202	\$ 5,161
Student/Parent Loans	30%	\$51,810,667	\$9,704
Federal Work-Study	4%	\$ 1,493,440	\$ 1,968
* Included in gift aid			

Of the UC Santa Cruz students receiving bachelor's degrees in 2020-21, 49% of those who originally enrolled as first-time frosh borrowed student loans while attending. Those students have an average debt of \$20,191. 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 7.3% for 2018 (per Dept. of Ed.). The rate for the campus has been exceptionally low in recent years.

UCSC Year	3-Year Draft Default Rate	3-Year Official Default Rate
2017	2.9%	2.9%
2018	3.0%	2.9%
2019	1.3%	1.3%

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

2021-22 Scholarship Program	Recipients	Amount Received	Average Award
Regents Scholarships	217	\$ 1,040,954	\$4,797
Campus Merit Scholarships	256	\$ 483,621	\$1,889
Pister Leadership Opportunity Awards	22	\$ 175,155	\$7,961

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

<https://www.universityofcalifornia.edu/infocenter>

Respectfully submitted,

COMMITTEE ON ADMISSIONS AND FINANCIAL AID

George Bulman
Matthew Clapham
Pascale Giraud
Laura Giuliano
Marcella Gomez
Jennifer Taylor
David Smith, Chair

Rachael Patterson, SUA Rep.
Eva Chen, SUA Rep.

August 31, 2022

COMMITTEE ON ACADEMIC PERSONNEL

Annual Report, 2021-22

To: Academic Senate, Santa Cruz Division

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

In the year 2021-22, CAP had eleven representatives, three from Arts (one serving only in the spring, one only in the fall and winter), one from Engineering, two from Humanities, two from Social Sciences (one serving only in winter and spring), and four from Physical and Biological Sciences (including the Chair). The committee makeup could have been more representative of the campus, especially given the lack of a second member from the School of Engineering and the lack of representation from the biological sciences within PBSci. One member was a Teaching Professor, a first for CAP, reflecting the importance of increasing Senate faculty participation in the Lecturer with Security of Employment series at UC Santa Cruz.

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

I. Policies, Guidelines, and Recommendations

In addition to providing recommendations and consultations that fall under the purview of CAP as outlined above, the Committee continued discussions about time-sensitive issues, such as those related to COVID-affected advancement actions, recommendations on updates to salary limits, as well as CAP-internal guidelines.

I.A Consultation with the Administration

CAP appreciated the CP/EVC and Chancellor's continued willingness to consult with the CAP Chair on files with a potential for the final decision to differ from CAP's recommendation. Additionally, in two instances this year, the administration consulted with the full CAP committee. The outcomes of such discussions were quite uniformly (with very few exceptions) in the direction of the final authority maintaining their initial decision. Nevertheless, CAP felt that those regular consultations with the CAP chair, reported to committee members on a weekly basis, were useful in forming a continuing understanding of the final authorities' inclination and general attitude towards policy. CAP Chair Profumo also consulted with the Deans' Council once, first in relation to the "Achievement Relative to Opportunity" principle, and second in relation to accelerations based on especially meritorious service; and with individual deans on several occasions. CAP suggests that consultations with the CP/EVC and the deans be held at the beginning of each academic year as an additional tool for working toward shared metrics and approaches to evaluation.

I.B Waivers of Open Recruitment

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

I.C Personnel Review and COVID Impact

The pandemic has had a significant impact on students, staff, and faculty across all disciplines in many ways, both personally and professionally. Several COVID memos detail efforts by the campus to mitigate this impact in the personnel review process. The severity and nature of the impact varies from discipline to discipline and from faculty member to faculty member; importantly, the impact of the pandemic will be felt for many more years beyond the immediate pandemic stage of COVID-19. During this last year CAP has worked towards effectively incorporating an "Achievement Relative to Opportunity" (ARO) principle into the personnel review process, as strongly encouraged by the UC-wide Academic Council, to “*enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate’s normal ability to achieve expected outcomes*”¹. The system-wide Academic Council has unanimously endorsed [the final report and recommendations](#) of the Academic Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG). UC Academic Council Chair Robert Horwitz explicitly states that “The report proposes several concrete actions for campuses to implement and sustain over the next five years. One of the Working Group’s most important recommendations is to incorporate Achievement Relative to Opportunity (ARO) principles in the merit and promotion process, to recognize caregiving responsibilities and other constraints that impeded faculty scholarly progress during the COVID-19 pandemic.”²

We also agree with the Academic Council in its recognition and recommendation “that faculty struggles around child care and illness are not unique to the pandemic, and will likely persist for longer than five years. Therefore, we are encouraging the University to consider making the recommendations permanent as a way to support a more humane and inclusive academic culture.”

¹ Joint Senate-Administrative Mitigating COVID-19 Impacts on Faculty Working Group Final Report, Spring 2022, pg. 4. <https://regents.universityofcalifornia.edu/regmeet/may22/a6attach.pdf>

² UC Academic Council Chair Horwitz to Academic Senate Division Chairs, 5/26/2022, Re: Joint Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group Final Report

CAP is ready to work with the administration to implement and incorporate ARO principles explicitly in the Campus Academic Personnel Manual at UC Santa Cruz (as suggested by Chair Horwitz) and to widely publicize these principles to the entire campus community.

I.D New Abridged Process for Dean Authority Senate Appointments

A revised abridged process for the dean authority appointments of Assistant Professors and Assistant Teaching Professors (LPSOE), Steps I-III was put into place in 2021-22.

The new policy states that a review by CAP is not required for dean authority Assistant Professor, Assistant Teaching Professor, or Assistant Astronomer appointments with 25% or fewer dissenting votes by the Bylaw 55 voting faculty. CAP review is still required for all other Senate appointment and advancement actions. Only “yes” and “no” votes will be included for the purpose of calculating whether the 25 percent threshold is met or exceeded; “abstain,” “waive,” “absent not voting,” and “recused” will not be included. In the case of multiple department votes taken, final authority for the appointment decision is based on the highest step and salary with a majority positive departmental vote. Once it is determined by this method that the appointment falls under the dean’s authority, the vote which determines whether or not CAP will review the case is the one corresponding to the step and salary at which the dean makes the appointment offer. In the course of hiring negotiations, the dean has authority to revise the salary offered (up to Professor 3 equivalent) without the review returning to CAP or to the department for a new vote. Consultation with CAP continues to be necessary if deans have any reason to believe that a salary offer would not have support from greater than 25% of the voting faculty.

The new abridged review process includes the following stipulations as per CAP communication with Chancellor Larive³:

- CAP reserves the right to reinstate CAP review at any time;
- CAP will continue to be provided a quarterly report on all new dean authority appointments including rank, step, and salary, for which CAP review has been waived via this abridged process;
- Since this is an abridged process, no change should be made to the CAPM. If a permanent change to the campus review process for dean authority Senate appointments is desired in the future, a formal request for review of the proposed changes should be sent to the Chair of the Academic Senate, so that it may be distributed to the appropriate committees for consideration and feedback.

I.E CP/EVC Expansion of Exceptions for Retention Actions

In response to a request from CP/EVC Kletzer of March 10, 2022⁴, CAP commended the general direction of allowing for nimble action in time-sensitive situations, and noted that in

³ CAP Chair Profumo to Chancellor Larive, 4/04/22, Re: Revised Abridged Review Process for Dean Authority Senate Appointments

⁴ CP/EVC Kletzer to CAP Chair Profumo, 3/10/22, Re: Expansion of Exception for Retention Actions

the past the campus has lost excellent faculty members due to our inability to respond quickly to retention issues. However, CAP is concerned by the persistent lack of evidence provided of “a serious, credible, and imminent threat of losing the faculty member,” which leaves that phrase open to interpretation. The unintended negative outcome of such poorly justified retention cases could result in higher salaries for those individual faculty and exacerbate already existing overall faculty salary inequities across divisions and departments on campus.

In its response⁵ to the CP/EVC’s plan to expand exceptions for retention actions, CAP noted several problems with defining “a serious, credible, and imminent threat”. While formal offers and exact salaries would not always be necessary, a firm commitment that an offer is forthcoming, along with a salary range, would likely be sufficient to warrant a retention action.

More broadly, CAP encouraged the administration to take action in the direction of systematically rewarding deserving faculty members, including with a boosted version of the current Special Salary Practice (SSP) and with access for all faculty to a salary equity review mechanism in the context of, as well as outside of, regular merit reviews.

I.F CAP Recusal Policy

A UC-wide comparison of CAP practices in 2020-21 showed that many CAPs on other UC campuses have members participate in the CAP discussions of files from their department so that they may provide valuable discipline-specific expertise and knowledge. Prior to 2021-22, UCSC CAP members voted at the department level and were recused from both the discussion and the vote of their department files at the CAP level. After discussing the pros and cons, CAP decided to follow the large majority of the other UC CAPs so as to not lose the valuable disciplinary expertise on CAP. Even though some CAP members have broad expertise and can provide guidance on how to evaluate files from other departments, CAP members agreed with other campus CAPs on the importance of the expertise and experience that each member brings to our deliberations. In order to ensure procedures that are unbiased, not prejudicial, and without undue influence, it was decided that the presentation and interpretation of the file will not be provided by the faculty member from the department. The expertise provided by the department member will be discipline-oriented, e.g., standards of the discipline, productivity assessment standards, which publication venues are important, which schools and sub-fields are high profile, changing or emerging focus in the discipline, etc. The CAP recusal policy was changed in fall 2021. Consequently, CAP members are now able to participate in the general discussion of files of their departmental colleagues, but will continue to be recused from the CAP vote if they have already voted at the departmental level. In special cases with conflict of interest beyond departmental affiliation, the department member will be recused from the entire discussion of the file.

When last year’s CAP voted in spring 2021 to institute the new recusal policy, members agreed to review the policy at the end of 2021-22 and then to issue a formal recusal policy.

⁵ CAP Chair Profumo to CP/EVC Kletzer, 4/12/22, Re: Expansion of Exceptions for Retention Actions

To that end, written guidelines about what is allowed and not allowed, and how to facilitate CAP discussion of cases so that it is not prejudicial, follow. Clear guidelines on the specifics of the recusal policy that CAP will follow in 2022-23 will inform the campus as well as CAP members.

Procedures for the New CAP Recusal Policy, 2022-23

Continuing existing practice, in fall 2022, both the case presenter and second reader of the file will not be faculty members from the candidate's department. Department members from the file being discussed will be recused from voting and will not take part in the discussion specifically leading to CAP's recommendation votes, unless they have not voted in their own department⁶. Department members will be present for the general discussion of the case, and will have access to the entirety of the file, including letters added to the file after the departmental vote. Questions addressed to the department member by CAP will be confined only to standards in the discipline, e.g., which publication venues have greatest visibility, which fields are high profile, changing or emerging foci in the discipline, etc. The department member will be recused and excused from the meeting when the vote takes place (unless they can vote at the CAP level, as specified above), or will be recused from the entirety of the discussion if the department vote is not unanimous, or there are any other questions or appearances of conflict of interest, as identified by the department member, the chair, or any CAP member. Any CAP member may choose to be self-recused from any case, including those from their home department.

This language will be used in the internal 2022-23 CAP Recusal Policy document, and will be highlighted in the next annual CAP and CP/EVC Memo.

I.G Book- or Text-based Disciplines

The guiding campus document for what are currently called book disciplines is a May 2020 memo, *Expectations for Promotion in the "Book Disciplines"*⁷ that appears to have generated several unintended negative consequences. We outline the key problems here:

1. The 2020 memo mentions in the first paragraph that an assessment for a major action can be based on a whole research portfolio rather than a single item, and that the memo concerns cases where the action rests primarily on "the" book. However, that short paragraph is often overlooked in practice, reflecting the imbalance of the memo, which spends more time stipulating exactly what needs to be completed regarding "the book." In practice, the assessments of the external evaluators ("peer review") are being discounted relative to the state of production of a single object, the book. CAP underscores the importance and value of external evaluators, such as the external letter-writers who have contributed to the file, who review the manuscript;

⁶ CAP had a few such instances, where a Teaching Professor could not, by departmental Bylaw 55 rules, vote in their own department, but they could vote at CAP meetings.

⁷ Interim CP/EVC Kletzer and CAP Chair Westerkamp, 5/04/20, Re: Expectations for Promotion in the "Book Disciplines", <https://apo.ucsc.edu/policy/communications/docs/evc-cap-to-faculty-book-disciplines-may-2020.pdf>

2. In the Humanities, Arts, and some of the Social Sciences, UCSC has experienced a delay at the Associate Professor IV level for a significant number of colleagues, and the additional strictures on “the book” further retard progress from Associate Professor III to promotion;
3. The memo does not align with the [2012 Working Group “Best Practices” document](#)⁸ because it raises the bar on promotion to full professor by, again, focusing on the state of “the book” as the single key indicator;
4. Further, the 2020 memo, dating from the start of the pandemic, does not take into account the state of the publishing industry, which has been affected by both COVID-19 and the economic downturn in academic publishing. Fewer and fewer academic presses are publishing fewer and fewer manuscripts, and there is now a proliferation of alternatives, many digitally-based, to the monograph. Additionally, the impact of COVID-19 slowed the review process for academic manuscripts down considerably, and acquisitions editors at academic presses have been open about the extended timeline they now encounter in securing external evaluators. For many years, there has not been a regularized normative process of receiving a manuscript and having it reviewed by external evaluators (peer reviewers) in a timely manner.

CAP discussed the issue of how to address the above problems and began to consider possible solutions. We recommend that next year’s CAP continue this work, creating a formal clarification of the May 2020 memo in an updated EVC/CAP Chair memo, which would include a comprehensive statement of principles, aligned with the spirit and substance of the 2012 Best Practices document. Finally, CAP strongly believes that promotion in text-based disciplines may be based on work that embraces public-facing and digital projects in Arts, Humanities, and Social Sciences (see *II.D. Public Facing Digital Humanities or Social Sciences Community Work* below).

II. CAP Review and Evaluation

II.A Service Expectations

Expectations for service vary at different ranks, and it is important that faculty members be aware of the expectations used in the CAP personnel review process. Sample expectations typical for excellent service at each rank are described below for each of the three professorial ranks. Note that the objective is not that candidates fulfill all listed “expectations”, but rather that these are possible examples for meeting expectations. Assessments of outstanding service would go beyond these expectations in time, effort, quality, responsibility, and/or quantity. We also note that service expectations for teaching professors are largely equivalent to those

⁸ UCSC Working Group Best Practices in Personnel Reviews (Humanities and Social Sciences Division), June 1, 2012 https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/27.-cap_s-best-practices-for-personnel-reviews-in-text-based-disciplines-humanities-division-and-social-sciences-division.pdf

of Senate faculty in the Professor series (see [APM 210](#) and a [campus memo](#)⁹).

(i) Service to Department, Division, College, Campus, UC-Wide

Assistants: Primarily department service: serving as members of departmental committees (including *ad hoc*); participating in department admissions work, recruiting events, panels, etc. No or very low expectation of division or Senate service.

Associates: Department, division, and Senate service: chairing a department committee, including search committees; serving on a divisional or Senate committee as members. Service expectations increase substantially after tenure in both quantity, work load, and leadership roles.

Full: Extensive and significant service at all levels. Expectation of heavy division, and/or Senate, and/or campus, and/or UC wide service (except when chairing a department). In addition to service described for previous ranks, add for example: chairing the department, serving on Senate committees, division service, campus service (colleges, centers, etc.), UC-wide service.

Step VI and Above Scale: Very extensive and significant service at all levels: department, and/or division, and/or Senate, and/or campus, and/or UC-wide service (except when chairing a department), for example chairing a Senate committee, etc.

(ii) Service to the Profession

Assistants: Reviewing manuscripts for journals, publishers; reviewing grants, fellowships, etc. conference service (reviewing conference proposals, serving on committees). All minimal at this rank.

Associates: Increased level of responsibility can reflect impact of research or scholarly work, increased grant reviewing, increased conference service (i.e. chairing a committee); reviewing tenure files.

Full: Increased responsibilities can reflect impact of research or scholarly work, editorial boards or associate editor work; chairing grant reviews, leadership in conference service; reviewing tenure and promotion files.

Step VI and Above Scale: Significant and recognized service to the profession, including editorial boards, associate editor, or editor work; chairing grant reviews, leadership in conference service; reviewing tenure and promotion files, etc.

(iii) Service to Communities (Non-University Organizations, K-12 Schools, etc.)

Assistants: Minimal service to communities, for example service required by the faculty's research, teaching, or mentoring.

Associates: Increased service to communities, for example outreach to local schools or organizations.

Full: Substantial service to communities, especially service related to the faculty's research, scholarly activity, teaching, or mentoring.

Step VI and Above Scale: Expectation of significant service load to communities.

⁹ CP/EVC Kletzer and CAP Chair Ito to Senate Faculty, 10/08/20, Re: Guidance for Evaluation of Teaching Professors and for the Application of the Campus Special Salary Practice https://apo.ucsc.edu/news-events/campus_memos/10-08-20-evc-cap-lsoe-eval-guidance.html

CAP recognizes that “invisible service” should be rewarded in the personnel review process. As such, reviewers may or may not know what work one actually does in a given service responsibility, so it is strongly recommended that candidates and departments briefly describe the time dedicated to a service obligation (e.g. we meet weekly, monthly, yearly for x hours), the effort involved (e.g. “This committee involved a reasonable amount of effort, beyond attending meetings, I was involved in other activities that took weekly/monthly effort or attention.”), and/or the resulting activities or products (e.g. “This committee entailed a substantial amount of effort beyond attending weekly meetings, including activities such as reviewing documents, revising documents, producing documents, creating other products, etc.”).

II.B Contextualizing Publications in Personal Statements and Letters

It is crucial that in preparing personnel file portfolios, the candidate and the department provide contextual information for journals and other publication venues. There are multiple ways to do this, and they vary by field: some journals provide acceptance rates; some disciplines use journal ranking or ratings; some disciplines regularly survey researchers asking them to identify the top 5 or 10 journals in that area. Other ways to contextualize journals include describing the audience (general research, researchers in a particular area, practitioners, etc.). Book publishers can also be contextualized and described in terms of the audience, status, and/or impact. Similarly, chapters in edited books can be contextualized by describing the status and impact of the editors or publisher.

Additionally, regarding what to include in the reviews, the most informative information about publications would include what is innovative, insightful, significant or particularly noteworthy about a candidate’s scholarly works, instead of merely summarizing the content of research publications. It is also essential for candidates to explain what revisions to previous submissions entail, so CAP can adequately evaluate the new version of materials included in a file.

Finally, in disciplines where multi-authorship is common, it is essential that the personnel files include a clarification on the nature of the candidate’s original contributions to the publication; it is also helpful to indicate the disciplinary practice of how authors are listed in a publication, since those practices differ widely across disciplines (e.g., alphabetical listing, listing according to amount of contribution, etc.).

II.C Campus Practice Issues

CAP strongly recommends that, in line with the [2017 VPAA memo](#)¹⁰, the Special Salary practice of A1 (acceleration with the addition of one-third step of off-scale salary) be

¹⁰ VPAA Lee to Deans, Department Chairs, and Senate Chair, 5/26/17, Re: UCSC Special Salary Practice Modifications https://apo.ucsc.edu/news-events/campus_memos/5-26-17-evc-memo.html#:~:text=RE%3A%20UCSC%20Special%20Salary%20Practice%20Modifications&text=The%20SSP%20allows%20for%20advancement,not%20affected%20by%20the%20SSP.

considered for files that are beyond outstanding for service, not only for research. To CAP's knowledge, during the 2021-2022 academic year, files were only awarded A1 at the EVC/Chancellor level if the faculty member's *research* was deemed to be beyond outstanding. This criterion, however, appears to be at odds with the 2017 memo, which clearly states that "*The criteria for merit and promotion advancement at all ranks and steps are not affected by the SSP*" (emphasis ours), and that "A1: In rare and exceptional circumstances, acceleration files that exceed the standard for a two-step advancement will be considered for an off-scale salary increase of one-third of a step." The first sentence stipulates that *the regular criteria must be applied* - i.e., research, teaching and service - when evaluating a file. The second sentence underscores that the A1 practice is not limited to research productivity. Moreover, G1 or G2 advancements (also part of the SSP) "are appropriate when performance is outstanding in two of the three areas or when performance is unusually outstanding in only one of the three areas." An A1 is, in actuality, a G1 on an accelerated file. Disallowing an A1 merit increase based on service might discourage faculty from undertaking major service obligations across campus, if that service results in negatively impacting one's research productivity, thus yielding a merit outcome that does not reflect that faculty member's performance in all three areas combined. CAP strongly disagrees with applying A1 only to beyond-outstanding research, and recommends allowing this type of advancement for beyond-outstanding service as well (the A1 already stipulates that *all three areas* meet the threshold of *outstanding*, so the faculty member will have proven to be productive in all three areas anyway). Similarly, for Teaching Professors, A1 should be considered for files that are beyond outstanding for teaching or service.

CAP notes that in 2021-22 there was some confusion with regards to accelerations being part of the considerations pertaining to the SSP: accelerations "of two or more steps" are contemplated by the CAPM 410.220, were awarded for many years prior to the creation of the SSP, and are therefore unrelated to the SSP. This is especially relevant in instances where an action's review period extends beyond the most-recent review period, which counts for the SSP.

CAP strongly encourages the administration to consider additional forms of allowable greater-than-normal actions within the scope of the SSP, to reward files that are beyond-outstanding in two or more areas (such as A2 and A3 actions, equivalent to an acceleration plus $\frac{2}{3}$ or 1 step in additional off-scale compensation).

II.D Public Facing Digital Humanities or Social Sciences Community Work

Increasingly, CAP has encountered faculty dossiers that include public-facing, community-oriented, and/or digital scholarship, primarily in (although we expect not limited to) the Arts, Humanities and Social Sciences Divisions. Several professional organizations are now offering guidelines for evaluating new types of scholarship, and these developments also require that the campus re-conceptualizes how to measure faculty research performance beyond traditional types of publications, and what evidence is required for effective evaluation. As APM 201-1-d posits, scholarly modes of presentation continually change: "As the University enters new fields of endeavor and refocuses its ongoing activities, cases will

arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility.”

For context, the [American Philosophical Association](#)¹¹ “encourages departments, colleges, and universities to recognize public philosophy as a growing site of scholarly involvement... [and] develop standards for evaluating and practices for rewarding public philosophy in decisions regarding promotion, tenure, and salary, so that faculty members who are interested in this work may, if they choose, pursue it with appropriate recognition and without professional discouragement or penalty...” The American Historical Association has also developed guidelines for evaluating [digital](#)¹² and [public-oriented](#)¹³ scholarship.

Since it is neither practical nor desirable to develop an overarching set of standards for excellence that covers all disciplines on our campus, it is crucial for departments and deans to contextualize the importance of public-facing, community-oriented, and/or digital scholarship for faculty reviews, by explaining how it meets or exceeds disciplinary standards. Accordingly, in cases where the faculty member’s scholarly activity includes work that extends beyond traditional forms of presentation (e.g., books, articles), inviting potential reviewers to assess the intellectual, research, and creative dimensions and overall impact of *all* modes of scholarship. Additionally, both the department and external reviewers should explain how the candidate’s public-facing, community-oriented, and/or digital scholarship interfaces with their teaching and service.

This last point is an important ancillary consideration for faculty evaluations, and it is in line with [UCOP’s recommendation](#)¹⁴ that “[a]lthough research is typically evaluated separately from teaching and service, these three elements of UC’s mission are, in fact, interdependent and can be synergistic....” In other words, instead of evaluating faculty performance separately in these three categories, research, teaching and service should be seen as integrally interwoven, particularly for faculty engaged in public-facing research and public service. Moreover, as APM 210-1-d states, “the review committee shall exercise reasonable flexibility, balancing when the case requires heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another.”

Community-engaged scholarship at UC Santa Cruz includes research conducted in partnership with non-academic agencies and organizations in our local community, across the country, and even internationally. These can include public agencies, non-profit organizations, K-12 schools or school districts, multi-sector collaboratives, and other

¹¹ <https://www.apaonline.org/page/publicphilosophy>

¹² <https://www.historians.org/teaching-and-learning/digital-history-resources/evaluation-of-digital-scholarship-in-history/guidelines-for-the-professional-evaluation-of-digital-scholarship-by-historians>

¹³ <https://www.historians.org/jobs-and-professional-development/statements-standards-and-guidelines-of-the-discipline/tenure-promotion-and-the-publicly-engaged-academic-historian>

¹⁴ The Pursuit of Collective Excellence in Research at the University of California, April 16, 2017
<https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/collective-excellence.....final.pdf>

community entities. Publication venues for the results of such scholarship might not be directed toward an audience of researchers but, instead, towards an audience of policy makers, practitioners, or activists. Such products and publications need to be included in files (with supporting descriptions) and considered as part of a candidate's productivity. Community engagement is a core component of UCSC's mission and vision, which include values of social and environmental responsibility and a commitment to community engagement.

II.E Pathways Between Series (Lateral Moves)

Pathways between series (sometimes called lateral moves) include a move from a ladder rank position to a position as Teaching Professor or from an appointment as a Research faculty to a ladder rank position. Although these lateral moves are not frequent, it is important to have clear guidelines for how these moves are offered to faculty, and how they are considered and assessed. This year's CAP noted that at present, it is difficult to find such guidelines other than hidden deep in the CAPM or APM. CAP would like to see campus-wide guidelines for faculty who would like to consider and prepare for making such pathway (lateral) moves during their career at UCSC. Such moves would allow ladder-rank faculty at any rank or step to transition into a Teaching Professor position, Teaching Professors to move into ladder-rank faculty positions, or Research Faculty to move into available ladder-rank positions. These options require that the process for such moves be described clearly and discussed with faculty.

II.F Recommendations to Facilitate the Review of Files

The [Recommendations to Facilitate the Review of Files](#)¹⁵ is a list of CAP recommendations to facilitate the review of files, which includes information on service expectations, file composition, justification for appointment and retention salaries, expectations for external reviewers, and Teaching Professor expectations. The document may be found on the CAP page of the Academic Senate website.

Additional tips and recommendations may also be found on the [CAP webpage](#)¹⁶:

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

III. Collaboration with Other Senate Committees

This year CAP worked collaboratively with several other Senate committees on a range of issues affecting faculty personnel actions.

¹⁵ CAP Recommendations to Facilitate the Review of Files, Spring 2021
https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/cap_recstofacilitatereviewoffiles_082021.pdf

¹⁶ Committee on Academic Personnel: <https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html>

A. Evidence of Excellence in Teaching (SETs and Other Forms of Evidence)

Current policy requires that each personnel file include at least two forms of evidence of excellence in teaching. CAP consulted with other campus units this year regarding recent revisions to the Student Experiences of Teaching Surveys (SETs). Chair Profumo attended a meeting with the Committee on Teaching (COT) on November 9, where ITS System Analyst and SET Service Manager Rebecca Peet presented an update on the campus shift to the new BLUE platform for SETs. CAP was asked to opine on three issues: (1) As the initial “overall effectiveness” question that was used in the original Personnel Review Teaching Table is associated with many layers of bias, CAP was asked whether it is important to mine old data to add a second question to the teaching tables from earlier time periods. COT additionally expressed an interest in hearing (2) how CAP regards low Student Experience of Teaching (SET) response rates and (3) whether an anonymity threshold and/or different thresholds across campus would raise concerns. CAP considered each of these questions during its meetings of November 18, 2021, December 2, 2021, and May 19, 2022.

With regard to the teaching tables for actions that predate the current teaching table, CAP considered whether the “overall teaching question” should be eliminated/replaced, whether it should be augmented with a second SET question, and whether the effort of mining additional data was worth the effort. Although the Personnel Review Teaching Table is one tool that is used by CAP and other reviewing bodies to assist in the evaluation of teaching, CAP conducts a holistic review of each file and looks for additional indicators of teaching effectiveness such as syllabi, other teaching materials, and personal statements regarding teaching. In addition, a team of CAP members reads each and every SET and student comment associated with every personnel file. CAP contends that in terms of institutional memory, there must be some acknowledgement that these former reviews included SETs and teaching tables that included the “overall effectiveness” question. As such, members ultimately agreed that any and all questions of those SETs could be influenced by the bias associated with those questions. Therefore, CAP is in favor of leaving the old teaching tables as they are including the “overall effectiveness” question. If desired, and as suggested by AVP Jody Greene, an asterisked comment at the bottom of the table could be included to note that the overall effectiveness question is likely to involve more bias, and has therefore been removed from the later revisions of SETs.

With regard to SETs response rates, CAP carefully notes the student response rate, and takes that information into account while weighing SET outcomes as part of the evidence of teaching effectiveness in our holistic review of teaching. We do find that it can be challenging to assess teaching excellence (or judging a file as beyond excellent) when response rates are very low. We appreciate COT’s and CITL’s efforts to encourage faculty to use best practices to increase response rates. Further, we plan to encourage the use of these best practices in future CAP communications to department chairs and faculty.

With regard to anonymity thresholds, we understand that graduate students and other students in very small classes may have concerns about whether their SETs ratings and comments may be identifiable. For this reason, SETs are generally not used for independent studies (though

we do see them in some files), and some departments do not use SETs in small classes. CAP is aware of other campuses that have created anonymity thresholds below which no SETs are given; having a campus-wide policy about which courses use SETs would be preferable to the current imbalance across departments. CAP invites COT (with CITL) to consider which threshold in the number of students should be considered as a minimum to request students to fill out SETs. CAP would be happy to discuss these issues with next year's COT, and would additionally welcome a conversation to consider whether SETs should be used for independent studies courses.

B. CAP/CFW: Addressing Salary Equity and Competitiveness

In summer and fall 2021, CAP and the Committee on Faculty Welfare (CFW) formed a working group to assess salary competitiveness and the effect of the recent curtailment of the Special Salary Practice. CAP and CFW issued a [joint memo to CP/EVC Kletzer on January 22](#)¹⁷ to urge the Administration to consider a number of measures to immediately address the demonstrable and worrisome lack of competitiveness of UCSC faculty salaries.

In particular, CAP and CFW recommended the following:

- A new and improved Special Salary Practice (SSP).
- A retroactive application of the 3% increase implemented in the UC 2021-22 Academic Salary Program¹⁸ to total faculty salaries (including off-scale salaries and the further off-scale portions of above scale salaries).
- A commitment that future increases across the board be applied to total salaries.

The working group found that UC Santa Cruz salaries continue to be lower than system-wide salaries, despite the cost of living in the Santa Cruz area ranking among the highest compared to our sister campuses. A comparative salary analysis by CAP Chair Profumo showed that while the differential between UCSC salaries and those on other UC campuses had been progressively improving as the intended result of the original Special Salary Practice, launched in 2012, this progress stopped and reversed with the modification of the Special Salary Practice in 2017-2018. A stronger Special Salary Practice is thus needed, at the very least restoring it to its original formulation.

CAP and CFW further recommended that UCSC should, like other UC campuses, apply centrally-mandated raises to total salaries, including at above scale. This is a matter of equity both across UC campuses and within UCSC ranks. Faculty at UCSC teach and research as much as faculty at other campuses. Indeed, the ratio of FTE per number of students is higher at UCSC than at any other UC campus.¹⁹ Within our ranks, the most obvious equity issue is

¹⁷ CAP Chair Profumo and CFW Chair Orlandi to Chancellor Larive and CP/EVC Kletzer, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz

¹⁸ UC President Drake to Chancellors, et al., 5/14/21, Re: 2021-22 Salary Program for Policy-Covered Staff Employees and Academic Appointees
<https://drive.google.com/file/d/1MEeakan40EOp209mB0BZdc5sVhAdKCq5/view>

¹⁹ Shared in a slide presentation at the September 13, 2021 UCSC Leadership Retreat. Based on data from the UC Info Center Data: <https://www.universityofcalifornia.edu/infocenter/student-faculty-ratio>

with Teaching Professors who were previously Lecturers with Security of Employment without off-scale salaries. Some Teaching Professors' salaries were given a significant off-scale portion when they transitioned to the Teaching Professor salary scales. Thus, had they not transitioned, they would have received an increase on their total salaries rather than on just a portion. CAP and CFW urged that this unintended negative consequence be rectified.

CFW receives annual salary data from the Academic Personnel Office and routinely conducts an annual analysis of UCSC salaries in comparison to our sister UC campuses. More recent CFW's reports have focused in part on the effects of the Special Salary Practice first implemented in 2012 and then modified in 2018. The CAP/CFW Working Group also focused on the effects of the SSP. The Working Group's analysis makes clear that, even without factoring in any cost of living, at all ranks, UCSC is not on par with the UC systemwide median and that, for two of the three ranks (Assistant and Full), this discrepancy in salaries is increasing. Figure 1 shows the Salary Differential between UCSC salaries and 9-campus median salaries as of 2018 (blue columns) and in 2020 (orange columns) for the ranks of Assistant, Associate, and Full Professor (REG and BEE scales aggregated).

Differential Salary between UCSC and 9-campus (REG+BEE)

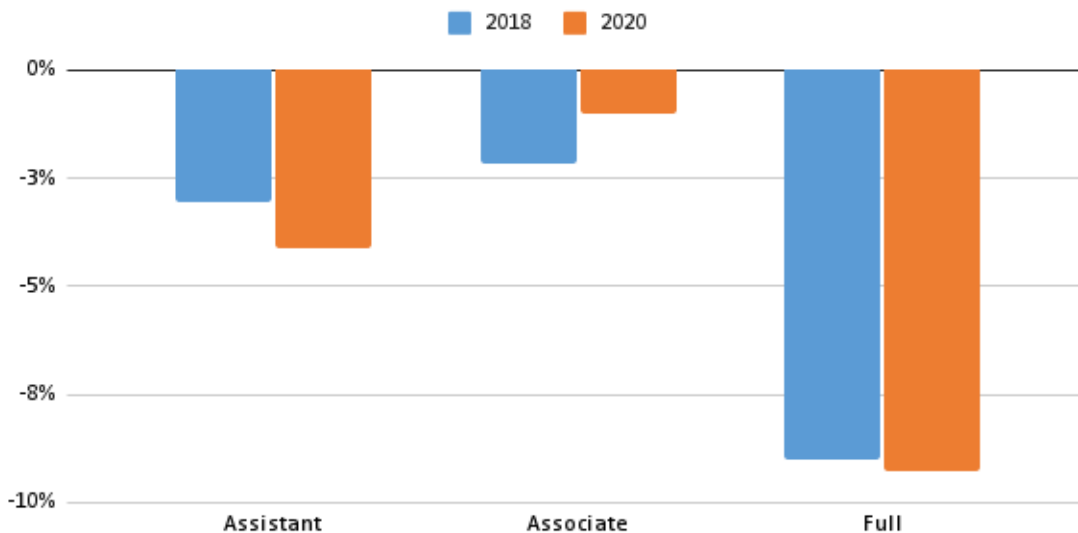


Figure 1. Salary Differential in 2018 and in 2020.

Even more worrisome are the trends the working group observed for salary growth. For UCSC to catch up to the other UC campuses, faculty salaries would need to grow faster at UCSC than elsewhere. Although our campus was making progress towards this goal with the original Special Salary Practice, following the modification and reduction of the SSP in 2017-18, this is no longer the case at the ranks of Assistant and Full Professor, with relative growth diminishing also at the Associate rank (see Figure 2).

Difference between UCSC and 9-campus yearly salary growth (positive: UCSC salaries grow faster than 9-campus average)

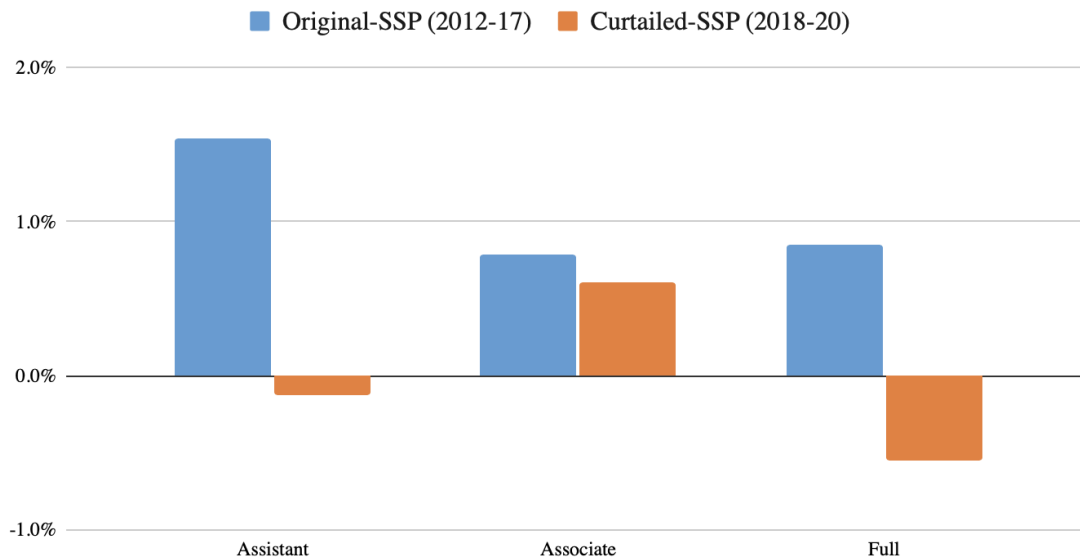


Figure 2. Salary Growth through time.

CAP and CFW recommended that a Senate/administrative working group be charged with designing a new Special Salary Practice that is better equipped to address system-wide disparities, as well as the concerning rise in inflation. The preliminary analysis indicates that the curtailment of the Special Salary Practice has borne out very minimal savings to the campus budget, while clearly compromising the competitiveness of UCSC salaries to attract and retain high-profile faculty members.

As for the 2021 centrally-sanctioned faculty salary increase which was part of a 3-year plan of increases to keep UC Salaries competitive nationwide, many other UC campuses (Berkeley, Davis, Irvine, Los Angeles and San Diego) have applied the 3% increase in salaries to full salaries (both on- and off-scale portions). Some of these campuses also applied the raise to total above-scale salaries. At UC Santa Cruz, by contrast, this modest increase was applied only to the on-scale portion of our salaries. The Working Group failed to see a rationale for this decision, particularly given the data discussed above, and the problematic situation of Teaching Professors already described. At UC Davis, for example, the increase was originally applied to on-scale salaries only, but the administration there changed course in response to Senate feedback. CAP and CFW urged the UC Santa Cruz Administration to do the same²⁰. If this practice of applying increases only to portions of faculty salaries were to continue, it would exacerbate existing disparities between UC Santa Cruz and other UCs.

²⁰ CAP Chair Profumo and CFW Chair Orlandi, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz

Even though such increases in salary may seem small, they have a cumulative effect on faculty remuneration and pension. The Working Group strongly recommended the 3% increase of the 2021-22 Academic Salary Program to be retroactively applied to the full off-scale portion of faculty salaries. Furthermore, all future, across-the-board faculty salary increases should be applied to full salaries on our campus.

The CAP/CFW Working Group reiterated that competitiveness in remuneration is central to the ability of the University to attract and retain excellent faculty and it should be one of the administration's top priorities.

C. Career and Salary Equity Reviews

Three years ago Senate faculty in the Lecturer with Security of Employment series (LSOE/Teaching Professors) across the UC system were placed on a rank/step system of salary scales that is identical to that of the ladder series. However, there is still a need to update certain campus practices, procedures, and policies to bring the series more in line with ladder rank faculty, which is an overarching system-wide goal. In particular, the possibility for a Career Equity Review (CER) at tenure or promotion reviews that is available to faculty in the ladder series is not yet available to faculty in the LSOE (Teaching Professor) series at UC Santa Cruz, whereas the CER is currently available to this series on at least 5 of our 8 sister campuses²¹. Similarly, the designation of "Distinguished Professor of Teaching" for LSOE who are above scale is not available at UC Santa Cruz. CAP shared a CAP correspondence on the topic²² with the Senate Executive Committee, and received strong endorsement "that the CAPM and applicable campus practices be updated to ensure that both Career Equity Reviews and a "Distinguished Professor" option be made available to our valued Teaching Professor colleagues"²³.

UC Santa Cruz does not currently have any program of salary equity review, as is available at other UC-system campuses and to faculty administrators on this campus. CAP strongly encourages the Administration to initiate such a salary equity review process for all faculty

²¹ UC Irvine, Career Equity Review: <https://ap.uci.edu/programs/career-equity-review/>

UC Santa Barbara, Career Equity Review:

<https://ap.ucsb.edu/policies.and.procedures/red.binder/drafts/2021.01/combined.pdf>

UC San Diego, Career Equity Review:

https://adminrecords.ucsd.edu/Notices/2003/2003-7-7-1.html?_ga=2.97296927.1228805072.1633736532-343382683.1630628999

UC Los Angeles, Merit Equity Review:

<https://www.college.ucla.edu/aptoolkit/dossier-toolkit/regular-professor-series/tenured-professor-merit-equity-review/>

UC Davis, Career Equity Review:

<https://academicaffairs.ucdavis.edu/career-equity-review>

²² CAP Chair Profumo to Chancellor Larive and CP/EVC Kletzer, 10/14/21, Re: Career Equity Review and Distinguished Professor Designation for Teaching Professors

²³ Senate Chair Brundage to CP/EVC Kletzer, 10/29/21, Re: Career Equity Review and Distinguished Professor Designation for Teaching Professors

members at any point in their career when they conclude such a review is warranted. CAP notes that the purpose of the current “equity” program, the CER, is not about salary equity. Instead, the CER review considers whether a faculty member is at the appropriate step. A misplacement of step can be due to multiple issues (described in the CER directions). However, the CER process does not include or address any issues due to a comparison with the salary of other faculty at the same rank and step. The CER is most appropriately carried out at the time of promotion, since it uses external review letters to make decisions about the appropriate rank and step (not salary). Salary equity issues, instead, might emerge, potentially, at any time. CAP also intends to clarify that a salary equity review process is different from the “one-time salary equity program for 2022” adjustment based on average salary that will take place in 2022-23. In the future, CAP encourages the UCSC campus to explore possible ways to address issues of salary equity.

Acknowledgments

The academic personnel review process depends on the collective work of many hands. We acknowledge AVP Grace McClintock and the extraordinary staff of the Academic Personnel Office. These knowledgeable, helpful, and hardworking staff are critical to the personnel review process, providing the information that CAP needs to get its work done. In particular, CAP members thank Ibukun Bloom for his tireless efforts and great patience in working with the DivData system and for being ready at a moment’s notice to answer complex personnel questions. CAP acknowledges the work and skill of departmental and divisional staff in helping to prepare and process personnel review files, and is grateful for the dedicated divisional academic personnel coordinators and analysts.

In addition, we wish to note the successful collaborations with the Committees on Teaching (COT), Faculty Welfare (CFW), Affirmative Action and Diversity (CAAD), and Planning and Budget (CPB).

Our deepest appreciation goes to Jaden Silva-Espinoza, our Senate Analyst. While juggling the work of several Academic Senate committees, and despite the difficulties of the past year, in which all work and meetings were remote, Jaden continued to serve CAP with dedication and professionalism. CAP functions smoothly in large part because of Jaden, whose quick-thinking, problem-solving, multitasking abilities and long-term, institutional knowledge of Senate functioning as well as CAP practice are beyond comparison. Her contributions to the personnel review process are immeasurable.

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

We consider it a great privilege to have served on CAP during 2021-22, and are grateful to our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted,

COMMITTEE ON ACADEMIC PERSONNEL

Zsuzsanna Abrams

Frank Bäuerle

Amy Beal (*S*)

Maureen Callanan (*W, S*)

Kate Edmunds

Susan Gillman

Piero Madau

Roberto Manduchi

Judit Moschkovich

Derek Murray (*F, W*)

Jie Qing

Stefano Profumo. Chair

August 31, 2022

COMMITTEE ON CAREER ADVISING

Annual Report 2021-22

To: Academic Senate, Santa Cruz Division

INTRODUCTION

The Committee on Career Advising (CCA) met every other week throughout the academic year to conduct business regarding their charge to develop, implement, and evaluate mentoring activities that enhance the likelihood of faculty promotion and retention. This year 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 2021-22 is provided below, followed by suggestions for the new committee.

I. New Faculty Welcome Day

Associate Vice Provost for Teaching and Learning & Founding Director, Center for Innovations in Teaching and Learning Jody Greene and Academic Senate Vice Chair Patty Gallagher hosted the New Faculty Welcome Day (formerly called New Faculty Orientation) on September 17, 2021 at the Coastal Biology Building Seminar Room. The event opened with an optional tour of the Coastal Science Campus given by Elizabeth Howard, Director, Younger Lagoon Reserve.

Agenda items for the event included: Welcome by Vice Provost for Academic Affairs Herbie Lee, an Introduction to the University, Santa Cruz Faculty Association (SCFA) Presentation, Introduction to Our Students and Their Resources, a Welcome from the Chancellor, Advancing Faculty Diversity, Equity and Inclusion Presentation, and Getting Started with Your Research, and Research Roundtables Discussion. The NFWD was very well attended and the informal feedback received from the attendees was very positive.

II. 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 three mentor choices, and CCA used them to facilitate the matching process. Most mentees who filled out the form were matched with one of their top two choices. CCA continued the practice, initiated last year, of not assigning a mentor to new faculty that did not express interest in participating in the FMP. Also, mentor/mentee assignments were sent to mentors before they were finalized to allow the mentors to weigh in on decisions. In 2021-22, UCSC had 39 incoming faculty, 21 of which elected to be matched with a mentor. In total, the 2021-22 program had 94 mentors and 168 mentees (new and returning). 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 revised the mentor call survey to include an option for mentors to include their research website or URL in lieu in addition to their CV and refined questions to be more inclusive. 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 related issues in addition to

general career & campus advice), and strongly suggests making this a part of the official process for next year. During the matching process and throughout the year, CCA received increasing requests for mentors with a specific experience or background which proved challenging to accommodate. In particular, finding female mentors in STEM fields was difficult for CCA during 2021-22. Additionally, mentees that requested a mentor after fall quarter were often left with fewer mentor options.

CCA communicated with mentors and mentees at least once each quarter offering support. In the fall CCA contacted mentors and mentees about their initial meeting. The committee endeavored to make the relationship and expectations clear for both parties. Mentors and mentees were encouraged to meet once per quarter to discuss research, teaching, and service.

The Faculty Mentorship Program Online Meet & Greet was held virtually via Zoom on November 23, 2021 with 22 attendees (primarily new faculty but also mentors and some returning mentees). The event consisted of an introduction to CCA, the FMP and the CCA Slack Platform. Participants went into smaller breakout rooms to get to know one another and discuss what makes a good mentor, what CCA events are most helpful, and hopes for the FMP this year. After which the group came back together for a fruitful discussion on the same topics. Mentees expressed a desire to get reassurance from their mentors that they are on the right path to achieve their goals. Questions came up about planning a research sabbatical. Experienced mentors advised that it is helpful to keep mentorship “mentee driven” but also be direct in providing information that your mentee. Peer mentoring was recommended. A list of resources was requested. Work/life balance came up as well.

In the winter quarter, CCA provided some ¹[topics](https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-mentorship-program/potential-discussion-topics.html) for FMP participants to discuss along with the ²[Faculty Career Resources](https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/index.html) which also provides important information for new faculty. CCA encouraged participation in the open response period for the Proposed Policy for Systemwide Review: Abusive Conduct/Bullying in the Workplace which was also mentioned in the Chancellor’s Campus Update email on November 23rd.

In the spring, CCA communication focused on upcoming events for mentees and mentors. CCA provided resources to mentors from The National Center for Faculty Development and Diversity (NCFDD, a professional development service to which the university subscribes) and widely read education and management publications (*Inside Higher Ed* and *Harvard Business Review*). Collectively, the resources focused on aspects of mentoring for which mentors and mentees had requested assistance, such as support for book-length projects (Book Proposal Boot Camp: How to Craft a Winning Book Proposal in 4 Weeks), developing robust mentoring networks, and supporting minoritized faculty. CCA elected not to send a survey to mentees and mentors inquiring about their experience with the program this year, in an effort to reduce faculty burnout. CCA recommends a well-designed experience survey be considered by next year’s committee.

¹<https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-mentorship-program/potential-discussion-topics.html>

² <https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/index.html>

III. Social Event

On May 12th an in-person spring social was held at the University Center Rotunda and Levin Lanai. While the event was poorly attended, mentors and mentees that did attend made meaningful connections across divisions. CCA noted that attendance was likely impacted by Covid concerns.

IV. Quarterly Workshops

CCA co-hosted the *Fall Research Workshop* with the Office of Research Thursday, December 9th 2021. The purpose of the event was to invite new faculty and their CCA Faculty Mentor Program (FMP) mentors to learn more about research development at UCSC. Presenters from the Office of Research include: John B. MacMillan, Interim Vice Chancellor for Research; Heather Bell, Director Research Development; Laverne Estanol, Director of Research Compliance Administration; Lisa Coscarelli, Director of Research Integrity and Export Control; and Deirdre Beach, Director, Sponsored Projects.

Topics covered included: grant submission processes, new research development support, SEED funding initiatives, tools for finding grant opportunities, cross-disciplinary research, timelines and tools for submitting and managing funding requests, and information about grant management. The workshop was intended to be driven by participant needs, and, to facilitate this, CCA shared a google form survey for submitting questions in advance. This was particularly successful as it allowed presenters to shape their presentations and engage prior to the event. CCA also invited a Faculty Panel consisting of Jason Nielsen, Professor / SCIPP Director, Physics; Xavier Livermon, Associate Professor, Critical Race and Ethnic Studies; and Steve McKay, Associate Professor, Sociology Department to discuss research within their respective divisions. CCA appreciates their participation. Also present for the Q&A were divisional research support staff: Hannah Jasper, Research Development Analyst for the Arts Research Institute and Ashlee Tews, Director of Research Development for Social Sciences. Their inclusion was greatly appreciated. Slides and a recording of the workshop were posted for those unable to attend to view asynchronously. Questions from attendees included:

- I'm a teaching professor whose lab is only undergraduates (no grad students). Are there any grants that are an especially good fit for a smaller, undergraduate-only lab?
- How should we handle planning a budget? What resources are available to help with budgeting?
- How do course releases interact with merit increases?
- Who should we ask to help us budget for internal funding requests?
- Curious about "smaller" funding opportunities for teaching professors to support small undergraduate research projects or education research.

CCA partnered with CITL to host a *Path to Tenure Workshop* on Thursday, March 3, 9:00-10:30am. After a brief introduction and welcome, AVPTL Jody Greene gave an overview of the tenure process and who reviews personnel files. CAP Chair Stefano Profumo explained the process used by CAP, and provided recommendations on effectively presenting research and service 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: Ingrid Parker, Professor, Ecology & Evolutionary Biology; Bryan

Donaldson, Associate Professor, French Applied Linguistics, Chair of Languages and Applied Linguistics; and Elisabeth Cameron, Professor, History of Art and Visual Culture. Questions from attendees:

- Especially mindful of the interdisciplinary nature of many UCSC departments, how can pre-tenure faculty ensure that the external scholars invited to submit tenure letters are indeed appropriate/in the appropriate subfield?
- I belong to a subfield that is not represented in my department or on campus, with very different norms around publishing and grants. External funding matters much more in my subfield, but it does not matter in my department. How can I balance these differences as I work toward tenure?
- If we want to delay the tenure review on account of having a child or covid-19 impact (and have confirmation from the dean's office a few years back), when does the choice to actually use these need to be made?
- How will the effects of the COVID-19 pandemic be taken into account for tenure evaluations?

CCA and CITL co-hosted the *Preparing for your first personnel review Workshop* Tuesday, May 10th 12:30 - 2:00. As with all workshops this year, it was conducted virtually via Zoom. Moderator CCA Member Melissa Gwyn provided a brief introduction & welcome. Associate Vice Provost for Teaching and Learning (AVPTL) Jody Greene Director of Center for Innovations in Teaching and Learning (CITL) introduced the stages of the personnel process, how to use the personal statement to represent relevant activities, and strategies for documenting teaching. AVPTL Greene also provided a useful demo of updating the biobibliography a faculty repository for information on scholarly/creative work. Committee on Academic Personnel (CAP) Chair Stefano Profumo weighed in on what is expected in the first review in multiple disciplines. There was an extensive Q&A. Senior Analyst Academic Personnel Office Ibukun Bloom was also available to answer questions. The discussion was interactive and there were many questions; this was the only workshop for which CCA did not receive advanced questions from attendees likely due to the busy time of year.

V. CCA partnership with Academic Mothers Group

CCA and the Academic Mothers Group co-hosted an informal discussion: *Being a mother in academia and related leave policies* on Friday, June 10th from 1:30-2:30pm. The discussion was held on zoom. CCA accepted questions in advance. The purpose of this discussion was to create a space where faculty could talk with each other about their experiences with UCSC's child-related leave policy and their careers. A small group of attendees had a brief but productive conversation. New faculty expressed interest in a more formal follow-up event at which APO could provide a general overview of policies, as the process and options are not transparent to new incoming faculty. Attendees stated that the availability of information regarding child-related leave seems to vary depending on the department.

VI. CCA Outreach to Department Chairs and Managers

CCA reached out to department chairs and managers to advise them that CCA would be releasing a call for mentors for the 2022-23 academic year in Spring. CCA is hopeful that department chairs and managers will encourage tenured faculty and lecturers with security of employment to

participate and to share the Faculty Career Resources page, which provides additional support related to various areas of faculty career development and advancement.

VII. Faculty Workplace Experience and Negative Acts Survey

A research-supported Faculty Workplace Experience and Negative Acts Survey, which aimed to identify, evaluate, and suggest ways to mitigate bullying and other kinds of abuses that lead to departments (and other units) becoming less functional, was developed by the previous CCA (2020-21). This year's CCA inherited the task of finalizing the details of the survey and overseeing its execution.

This year's CCA worked with IRAPS in the fall quarter to refine the survey questions and to consider details of the survey rollout. However, external events substantively changed the environment, and CCA eventually chose not to go forward with the survey. Specifically, although all members of this year's CCA support efforts to root out bullying, concerns were raised about the intended audience of the survey (only Senate faculty, not all faculty) and the timing of the survey: new system-wide bullying policies were already being proposed early this year, so a UCSC-only survey would be too narrow and too late to give meaningful feedback on the new policies, and contract negotiations were underway with Unit 18 Lecturers. In an effort to distribute the revised survey to *all* faculty, CCA consulted extensively with Senate Leadership, Campus Leaders, IRAPS, and the campus lead Labor Relations Analyst. CCA ultimately determined that a survey like this should be reconsidered a few years from now, after the new system-wide policies have taken effect and there is more clarity about how to distribute the survey more broadly.

VIII. 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 was sent in late Spring 2022. CCA laments that this program was not fully tested as Covid travel limitations greatly impacted the use of these funds and CCA recommends it be attempted in future should funds become available again because CCA would not prioritize this over other mentoring options.

IX. CCA Slack Channel

CCA members hosted a Slack channel (a messaging application) as an informal option for new faculty and mentors to connect. This channel saw very little activity during the year, suggesting that such an option on its own does not foster additional connections. However, it may be worth re-examining if CCA explores having FMP “at large” with expertise in particular subjects who advise multiple FMP participants.

X. Website Updates

In consultation with the Committee on Academic Personnel (CAP), CCA revised their guidance to mentors in regards to documenting mentorship for their personnel files. In previous practice mentors were to request a formal letter from CCA which required input from mentees. Letters were infrequently requested, and CCA members were concerned that this important service work was

not sufficiently acknowledged. CCA now recommends that mentors include information about their FMP service in two places in merit review materials: in the biobibliography and in the personal statement.

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

XI. Senate Reviews (Non-Routine Work)

(Systemwide Senate Review) Draft Presidential Policy -- Abusive Conduct/Bullying in the Workplace; January 10,2022

XII. Overall Lessons From 2021-22

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

XIII. Proposed CCA Priorities for 2022-23

- As the diversity of the faculty continues to improve with new hires, there is outsized demand for mentors from groups currently underrepresented on our campus. This places an unfair burden on their time. Options for course release or other compensation should be considered.
- 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 advocated for a more explicit inclusion of teaching professors in personnel workshops, and we encourage a continued focus on this moving forward.
- CCA should look into ways of introducing mentors to mentees before the mentor-mentee assignment process begins, for example, CCA could invite mentors to a portion of the new faculty orientation so that they can meet their potential mentees. Alternatively, the fall workshop on Research could be shortened and immediately followed by a social event to which both mentors and mentees could be strongly encouraged to attend.
- 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.
- Connect FMP mentees with³ Faculty Community Networking Program.

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

Respectfully submitted,

COMMITTEE ON CAREER ADVISING

Owen Arden, Computer Science and Engineering

Melissa Gwyn, Art, (*W*, *S*)

Heather Shearer, Writing Program

Karolina Karlic, Art, (*F*)

Fernando Leiva, Latin American & Latino Studies

Steven Ritz, Chair, Physics, Chair

Morgan Gardea, Senate Analyst

August 31, 2022

³ <https://academicaffairs.ucsc.edu/faculty-community-networking-program/index.html>

Appendix I.

CCA Fall Research Workshop Agenda

Location: Zoom

DATE: Thursday, December 9th

TIME: 1:30 - 3:00 PM

PURPOSE:

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

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

2 minutes	Welcome <i>Invite OR to begin their presentation.</i>	CCA Chair Steve Ritz
10+5 minutes	Overview of Research at UCSC + briefly talk about industry alliance + ORUs	John B. MacMillan, Interim Vice Chancellor for Research
5+5 minutes	Research Development	Heather Bell, Director
10+5 minutes	Research Compliance	Laverne Estanol, Director of Research Compliance Administration and Lisa Coscarelli, Director of Research Integrity and Export Control
5+5 minutes	Office of Sponsored Projects	Deirdre Beach, Director
1 minute	<i>Steve transition to Faculty Panel. Invite the panel to introduce themselves and answer pick 2 questions.</i>	CCA Chair Steve Ritz
15+5 minutes	Faculty Panel and Q&A <i>Panelists will each start with a brief introduction, then pick two of these:</i> <ul style="list-style-type: none">• The most useful research advice you've received• The most surprising thing you learned about doing research at UCSC• The thing you wished you had been told as a new researcher at UCSC	Faculty Panel: <ul style="list-style-type: none">• Jason Nielsen, Professor / SCIPP Director, Physics• Xavier Livermon, Associate Professor, Critical Race and Ethnic Studies• Steve McKay, Associate Professor, Sociology Department

	<p><i>Steve Invite divisional research staff to introduce themselves and advise they may be able to answer questions for Q&A.</i></p> <p>Questions from google</p>	<p>Divisional Research Support:</p> <ul style="list-style-type: none">• Hannah Jasper, Research Development Analyst for the Arts Research Institute• Holly E. Unruh, Executive Director, Arts Research Institute• Ashlee Tews, Director of Research Development for Social Sciences
5 minutes	<p>Closing</p> <p><i>Steve thanks all for attending</i></p>	CCA Chair Steve Ritz

*To be recorded unless attendees object

Appendix II.

CCA Workshop: Path to Tenure

Thursday, March 3, 9:00 – 10:30am

Conducted virtually via Zoom

Event Description:

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

Advance questions from the audience can be found here.

Duration	Presenter	Notes	Target start time
2 minutes	CCA Moderator Fernando Leiva	Brief introduction & Welcome Ask if ok to record for those unable to attend?	9:00
15+5 minutes	AVPTL Jody Greene of Center for Innovations in Teaching and Learning (CITL)	Overview of the tenure process and who reviews personnel files. Discuss ways in which faculty can provide evidence of excellence in teaching in their personnel files and share advice for planning a successful path to tenure.	9:02
10+5 minutes	CAP Chair Stefano Profumo	Recommendations on effectively presenting your work in personal statements. <ul style="list-style-type: none"> Teaching Professors process Research and Service in path to tenure 	9:22
3 minutes	Senior Analyst Ibukun Bloom from the Academic Personnel Office (APO)	The role of the Academic Personnel Office (APO) in the tenure review process.	9:37
15 minutes (5 minutes each)	Faculty Panel <ul style="list-style-type: none"> (PBSci) Ingrid Parker, Professor, Ecology & Evolutionary Biology Department (HUM) Bryan Donaldson, Associate Professor, French Applied Linguistics, Chair of Languages and Applied Linguistics (ARTS) Elisabeth Cameron, Professor, History of Art and Visual Culture 	Panelists will introduce themselves and share their response to the following questions: <ul style="list-style-type: none"> <i>What was something you learned in your path to tenure you considered essential to the process that wasn't particularly obvious?</i> <i>Is there any advice you would give regarding reaching tenure specific to your division?</i> <i>Top two things to consider</i> 	9:40

5?	CCA Moderator check in		9:55
30 minutes	Open Q&A session for attendees	Moderated by CCA Member. Questions can be directed to any presenter or faculty panelist. Mention post-event evaluation form MG to share link in chat. (10:25)	10:00

Appendix III.

CCA and CITL Workshop: Preparing for your first personnel review

Agenda

Tuesday, May 10th 12:30 - 2:00 Conducted virtually via Zoom

Join Zoom Meeting

Workshop Event Description:

	Duration	Presenter	Notes
12:30	2 minutes	CCA Member - Melissa Gwyn, Art	Brief introduction & Welcome <ul style="list-style-type: none"> ○ Brief look at the questions asked in advance
12:35	30 minutes	AVPTL Jody Greene of Center for Innovations in Teaching and Learning (CITL)	<ul style="list-style-type: none"> ○ introduction to the stages of the personnel process and why it takes 9 or more months to get an answer back ○ how to use your personal statement to represent your activities ○ documenting your teaching for the academic personnel process ○ how to present research progress.
1:05	55 minutes	Extensive Q&A and Open Conversation	<ul style="list-style-type: none"> ○ Allow participants to ask detailed, specific questions ○ Senior Analyst Academic Personnel Office Ibukun Bloom and CAP Chair Stefano Profumo can additional insights ○ Post event survey
1:59	1 minute	CCA Member - Melissa Gwyn, Art	Thank presenters and attendees. Reminder of the Spring Social - Thursday @ 2:00 pm. There will be appetizers and beverages. Location is the University Center

COMMITTEE ON COURSES OF INSTRUCTION

Annual Report, 2021-22

To: Academic Senate, Santa Cruz Division

The Committee on Courses of Instruction (CCI) met bi-weekly throughout the academic year to review campus and systemwide policies, all matters relating to courses of instruction (including review of new courses and revisions to courses), consult with other committees and administrative units, approve of graduate student instructors, undergraduate teaching assistants, and consider student petitions and student grade grievances. This academic year proved to be challenging, given the uncertainty surrounding COVID-19. Emergency remote course offerings and implementation of the revised online course policy also added to the complexity of course review. CCI attempted to strengthen channels of communication by having the CCI Analyst attend Committee on Educational Policy (CEP) meetings with the CCI Chair. CCI also established the practice of sending out an early fall correspondence advising Course Sponsoring Agencies (CSAs) of important CCI deadlines. Despite these efforts there was significant confusion among CSAs, faculty, CCI, and other campus units regarding course modality and the approval process.

I. Delegation of Authority to Course Sponsoring Agencies in 2022

In response to COVID-19 health and student housing concerns, a mix of emergency remote, online and in person instruction was offered during the 2021-22 academic year. In fall 2021, 34.80% of courses were offered in an emergency remote modality. In winter 2022, 8.90% of courses were offered in an emergency remote modality. In spring, 2022 12.50% of courses were offered in an emergency remote modality.

Confusion related to emergency remote requests greatly impacted the online course review process. Some of these requests were more accurately directed to the Academic Personnel Office as they were instructor-based requests for remote accommodations. For detailed information regarding the timeline and procedures employed for Senate delegations please see the Committee on Educational Policy 2021-22 Annual Report.

II. Course Approvals

Between September 1, 2021 and August 17, 2022, the committee reviewed and approved 453 courses. Of those, 156 were proposals for new courses, and 297 were course revision proposals.

III. Online Course Review

Implementation of the CEP and GC Policy on Undergraduate and Graduate Online and Hybrid Courses (presented to the Senate at its May 19, 2021 meeting) for winter 2022 courses was hampered by ongoing precarity following a largely remote fall 2021 quarter. CCI was inundated with online course requests. The volume was significant and the response time was limited. Limitations of the CAT System also impacted the ability of CCI to track requests. CEP graciously pitched-in and reviewed courses alongside CCI. Unfortunately, confusion regarding pathways for temporary remote authorization and APO requests influenced many of these submissions which CCI and CEP denied because they cited temporary circumstantial justifications such as COVID-19 concerns, available housing for students, individual student need to quarantine, and classroom

space. While these issues are extremely important, they were not pedagogical justifications and did not warrant permanent or three-year online approval. In cases where winter 2022 online course requests were denied, CSAs were advised of the option to offer the course in an emergency remote mode. Emergency remote mode was seen as a remedy for temporary circumstances related to COVID-19.

While many of the course requests for spring 2022 no longer included direct mention of COVID-19, some continued to list non-pedagogical justifications. CCI has identified several challenges in terms of policy implementation and language that may be contributing to the widespread difficulty that instructors are experiencing in advancing pedagogical justifications for their online course applications. There also continues to be confusion about what "hybrid" means, as the guidelines for hybrid were focused on in-person courses (a modified "flipped" course). Revising the policy to include a very clear set of definitions would help to provide clarity for all parties. CCI has asked CEP and GC to consider revising the policy and to develop a list of online course principles to ensure learning outcomes are met, students continue to benefit from the overall UC experience and courses maintain the same high level of quality instruction. Specifically, CCI has asked for guidance regarding target percentages for online courses that CSAs will deploy for their programs. CCI has concerns that modality is only reviewed ad hoc at an individual course level.

In an effort to support instructors in developing quality online courses and successful online course requests, CCI developed the CCI Online Course Guidelines Living Document. This is a living document posted on the CCI webpage. The document will be updated where future FAQs will be added. It is available on the CCI Course Toolbox for Faculty & Staff page and will be updated regularly.

On March 24, 2022 CCI, CEP and GC announced that CCI had the option to provisionally approve synchronous and hybrid courses for fall 2022. This was intended to allow CCI the opportunity to gather information regarding learning outcomes and the impacts of online courses on student success. CCI later requested an extension of the option to provisionally approve online courses for the remainder of the 2022-23 academic year which CEP and GC granted (August 15, 2022). CCI has also asked that CEP request that CSAs report which courses they intend to offer online, so that the overall department plan regarding modality can be understood.

Currently, 213 (or 3.76%) of UCSC courses are approved for online or hybrid modalities. Any course approved for an online mode is also approved to be offered in person without additional CCI review. Some courses are approved for more than one online modality. A breakdown of the current online mode approvals is listed below:

Type of Mode(s)	Number of Approved Courses
Asynchronous	143
Synchronous	19
Hybrid	37

Asynchronous + Synchronous	6
Synchronous + Hybrid	4
Asynchronous + Hybrid	2
Asynchronous + Synchronous + Hybrid	2
TOTAL	213

While current limitations of the CAT system make it difficult to track online or hybrid requests that were not approved, CCI is working with the Registrar's Office to request updates to the CAT system.

IV. Ongoing Syllabus Requirement Issues

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

- Breakdown of Student Hours. Intended to allow students to develop a time management plan for their studies—for example, this would enable students who read relatively slowly to know that a course may be extra demanding for them.
- Closed Week Policy reminder. No examinations, tests, assignments, papers, final projects or final performances that result in more than 12.5% of the final grade (other than individual make-up exams) may be given during the last week of instruction. This restriction does not apply to Summer, which does not have a closed week.
- Policies on collaborations, citation, and academic integrity should be course-specific. CCI noted that clarification regarding academic integrity policies are especially important in courses where collaborative work and outside resources are used.

When a course was returned to the CSA, CCI asked that instructors use track changes in the revised syllabus to expedite review. This matched with a summary note in the comment field allowed CCI to respond more quickly to course requests requiring additional information.

V. Other General Course Review Issues CCI Observed:

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

- Cross Listing: Classes are not always identical at the course catalog level, built as two separate classes but with shared room/enrollment. Only one department (the primary department) should submit a proposal. The other cross-listed versions should be listed on that same proposal, as cross-listed courses.
- A course revision to change enrollment restrictions should include evidence of stakeholder consultation with all departments that are affected.

- Courses taught in conjunction/mezzanine: Undergraduate and graduate courses taught together with shared room and enrollment. Both classes should be submitted as separate proposals, though the related questions are on the Graduate course form. Undergraduate and graduate components need to have the same number of units and distinct learning objectives or outcomes. In general, there is a higher expectation for graduate students.
- Topics Courses should include multiple sample syllabi.
- Thoughtful consideration should be given when determining whether to submit a new as opposed to submit a course revision.
- CCI noted that new, GSI taught, course submissions should be designed in conjunction with their faculty mentor.
- Summer session course proposals should meet the requirements equivalent to a 10-week course in terms of content, instructional hours, and requirements.

VI. Changes to Global Seminar Procedure

At the request of Interim Vice Provost of Global Engagement Hughey, CCI and the Committee on International Education (CIE) revised the Global Seminar course review process to allow CSAs to submit appropriate Global Seminars as Course Revisions in the CAT system. This differs from past procedure in which all study abroad courses offered for the first time were reviewed as new courses, even if they have been offered on the campus in previous quarters. The committees agreed that a course equivalency applied when the course included the same number of credits, General Education requirement designations, learning objectives and academic content; therefore, a Global Seminar meeting these criteria should be reviewed as a course revision. The committees noted that should a course have an increased number of credits or variation in the content, the course must be submitted as a new course. CCI cautioned that location may significantly change the learning objectives and warrants review as a new course. Courses not previously recommended by CIE and Global Engagement will still need to be reviewed by CIE/Global Engagement as previously structured. This is to ensure that CIE review criteria are met.

VII. GE Pre-Approvals on the UCSC Campus Credit Abroad Database

Building on the procedure CCI established in 2020, CCI continues to add to the GE Pre-Approvals UCSC Campus Credit Abroad Database. CCI has determined that courses will remain on the list for three years with the removal based on the approval quarter. Courses not previously approved will continue to require that the student petition CCI for a GE substitution.

VIII. Telecast Courses

In response to a request from the Computational Media Department Manager regarding telecast courses at UCSC Silicon Valley Campus, GC and CCI confirmed that telecast courses should adhere to point-to-point instruction and proposed changes to instructional modality must go through the formal approval process with CCI. Changes to the mode of instruction must be thoroughly detailed and will only be considered for compelling pedagogical reasons.

IX. Student Petitions

Deferred Student Petition Review from Summer 2020-21

CCI 2020-21 deferred making decisions on non-urgent student petitions received after July 1, 2021 to allow for broader review when the committee reconvened. Urgent petitions were reviewed by the CCI Chair over the summer. The decisions are as follows: 81 student petitions were received over summer. Of these 63 (78%) were approved and 18 (22 %) were denied. The largest number of deferred petitions were Add a Course/Drop a Course (27, 33%), followed by Grade Option Change: Graded to Pass/No Pass (21, 26%), Substitution of GE Requirements (13, 16%), Withdrawal Grade (12, 15%), Waiver of Senior Residency Requirements (3, 4%), Catalog Year Rights (2, 3%), Grade Option Change: Pass/No Pass to Graded (2, 3%), Grade Change (1, 1%).

Student Petition Review 2021- 22

The committee made decisions on 242 student petitions received during the 2021-22 Academic Year. Of these (181, 75%) were approved and (61, 25%) were denied. The largest number of petitions reviewed were for Withdrawal Grade (70, 29%), followed by Grade Option Change: Graded to Pass/No Pass (68, 28%), Add a Course/Drop a Course (35, 14%), Substitution of GE Requirements (35, 14%), DC Substitutions (17, 7%), Writing Requirement Extensions (5, 2%), Waivers of Senior Residency requirements (4, 2%), Grade option changes: Pass/No Pass to Graded (3, 1%), Grade Change request (3, 1%), Catalog year change requests (1, 0%), and Transfer/Duplicate Credit Exception (1, 0%).

Grade Grievances

CCI reviewed two grade grievances during 2021-22. One grievance was delayed from 2020-21 due to the lateness of the grievance and the instructor being on leave. Of the two grade grievances, one was approved and one was withdrawn. CCI has continued to remind students that they must first attempt to resolve the grade grievance with the instructor. If the matter is not resolved, the student should submit the grievance and documentation in writing to the executive officer of the academic sponsoring unit (department chair or college provost).¹ The reduction in grade grievances filed is interesting to CCI and the committee hopes that improved clarification regarding academic integrity has helped to reduce grade grievances being elevated to CCI review. CCI is looking forward to the fully revised Academic Integrity Process.

X. CARS (Community Application and Review System)

CARS was launched in Summer 2020 to review student grade grievances, student petitions, Graduate Student Instructor requests, and Undergraduate Teaching Assistant requests. Email notifications of CCI's decisions were sent on the Tuesday following each CCI meeting. The notifications were sent to the student, college advisors, CCI Chair, CCI Analyst, and the Registrar. CCI decisions were logged by petition type on the CCI Student Petition Decision Log and shared with the Registrar Advising Systems Team, Registrar ERT, Preceptors, and 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. Improvements to CARS this year include: assigning GSI reviews directly to CCI members (previously these reviews were assigned by alpha), the ability to automate GSI approval notifications for Divisional Human Resource representatives if the CruzID is entered by the form author. CCI is continuing to make minor changes to improve the efficiency of the CARS notification system.

¹ Appendix C. Undergraduate Academic Assessment Grievance Procedure

XI. Delegated authority to approve Catalog Year Changes for General Education (GE)

Based on a precedent set by CEP in 2017, CCI delegated authority to approve Catalog Year Changes for General Education (GE) Requirements to Academic Preceptors. This decision was prompted by a request from Academic Preceptors and supported by the Council of Provosts. Preceptors cited the increase in students seeking readmission as the justification for this delegation. CCI members noted that the committee has relied heavily on the support of college advisors when reviewing these requests in the past and that CCI has consistently approved requests which the colleges support. In light of this and in an effort to reduce workload of preparing additional petitions for students, CCI delegated this authority until fall 2022. GE Substitutions which may be related to Catalog Year changes continued to be reviewed by CCI.

XII. Writing Requirement

In response to a September 23, 2021 memo from the Writing Program and Office of the Registrar advising that they would not be enforcing the Composition (C) Requirement deadline for the 2021-2022 academic year, CCI agreed that the enforcement of this deadline had become untenable. CCI recommended that should significant changes be needed to implement a more holistic and sustainable approach to the administration of the (C) requirement, this be done in consultation with the CEP and CCI.

XIII. Waiver of credit Summary

While the Senate eliminated SCR 10.1.6 in 2019, CCI continued to receive occasional requests for waivers of credit. Previously, SCR 10.1.6 had allowed students to petition for a waiver of up to two credits. CCI responded to all requests asserting that following the 2019 revision, CCI no longer has the authority to approve waivers of credit. CCI noted that increased flexibility in the Senior Residency Requirement was intended to help resolve this issue. The committee may want to monitor this and consider sending additional correspondence to help clarify this change.

XIV. Teaching Appointments

Between September 1, 2022 and August 17, 2022, the committee considered 257 requests for Graduate Student Instructor (GSI) teaching appointments and 18 for Undergraduate Teaching Assistant (UTA) appointments. Unfortunately, CCI observed that occasionally GSI requests were incomplete or included competency sections drafted by the graduate student themselves. CCI has advised CSAs that incomplete or improperly drafted requests lead to slower review times and may lead to a request being denied.

The Committee on Courses of Instruction Faculty Oversight and Mentoring Agreement² was revised on August 27, 2020. CCI continues to remind CSAs that mentors overseeing more than two GSIs should be compensated or have their service recognized. It is helpful when departments include an explanation of how they are addressing circumstances in which more than two GSI mentees are assigned along with their requests. For Summer Session, this policy is modified to

² [Committee on Courses of Instruction Faculty Oversight and Mentoring Agreement](https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/cci-faculty-oversight-and-mentoring-agreement-revised-1217202.pdf)

<https://senate.ucsc.edu/committees/cci-committee-on-courses-of-instruction/cci-faculty-oversight-and-mentoring-agreement-revised-1217202.pdf>

allow for the Department Chair to oversee or appoint and compensate a faculty member to oversee GSIs. CCI notes that subject matter expertise is essential for the Faculty Mentor.

XV. Consultations

CCI welcomed Online Education Director Tassio on March 28, 2022 to discuss Online Course Review. This discussion was a step forward in aligning CCI pedagogical justifications with those of Online Education. Topics discussed included:

- Definitions of asynchronous and synchronous.
- Definition of hybrid.
- Discuss the distinction between remote instruction and online courses.
- CCI shared the CCI Online Course Guidelines.
- Discuss what CCI views as sufficient pedagogical justifications.
- Scope and timeline of online proposal call, possibly establishing a separate calendar for these reviews.
- Request to share data analysis on MATH 19A/B. CCI was interested in what data points were collected, who collected it. This information may help CEP, CCI, and GC draft the assessment criteria and procedures for provisionally approved courses.

XVI. Correspondence

- CCI to CSAs RE: Deadlines for 2021-22 Academic Year; September 16, 2021
- CCI to Writing Department RE: Notification of Change to the Composition Requirement Deadline Enforcement; October 6, 2021
- CCI to CEP RE: Delegation Regarding GE Enforcement to CCI; October 6, 2021
- CCI to Preceptors RE: Catalog Year Changes for General Education Requirements; October 22, 2021
- CEP and CCI to CPEVC RE: 10/24/2021 Memo Request Delegation for Emergency Remote Instruction for Winter, Spring and Summer 2022; November 1, 2021
- CCI to ASC RE: Request for Faculty Feedback Accommodate Notification; December 7, 2021
- CCI to CEP RE: Online Course Policy Concerns; February 17, 2022
- CCI to VPGE RE: Course number options for UC Santa Cruz faculty-led Global Seminars; February 18, 2022
- CCI to ASC RE: Academic Integrity Policy; March 1, 2022
- CCI, CEP and GC to CSAs: Provisional Approval for Synchronous and Hybrid Fall 2022 Courses; March 24, 2022
- CCI to BSOE RE: Course revisions to labs; April 1, 2022
- CCI to CAAD RE: Assessing Diversity and Equity in Online Courses; April 1, 2022
- CCI to ASC RE: Summer Campus Initiative Executive Summary, May 2, 2022
- CCI to CEP and GC RE: Online Policy: pedagogical justifications and permanent approval procedure; May 4, 2022
 - enclosed:
 - Proposed updates to CCI Online Course Guidelines Living Document
 - CCI Recommendations: Permanent approval procedure for online and hybrid courses

- CCI to CEP and GC: CCI Requests Provisional Approval for courses received in 2022-23; August 15, 2022

XVII. Recommendations for 2022-23 CCI

- Continue to send early fall correspondence regarding course and GSI deadlines to CSAs.
- Continue to engage with possible changes to the Student Academic Conduct Policy.
- Consider having faculty commit to a 3-year term on CCI, because continuity in membership will better ensure policy decision uniformity over time. Terms should be staggered so that only a third of the committee is new each year. A succession plan, such as one year as Vice Chair before serving as Chair, would also be valuable.
- Discuss adding a new requirement for syllabi: contingency planning for campus disruptions. With fires likely to be frequent in fall quarters and campus-wide strikes also quite likely any quarter, every faculty member should be thinking about how their course will continue in the face of disruption. CCI needs to decide whether to require contingency plans in the syllabi and, if required, what standards to apply to evaluating them.
- Train new members on accessing records of previous decisions, so they can use this information to guide and regularize future decisions on student petitions. Consider documenting discussions and generating a best-practices document.
- Allow the committee flexibility to make decisions quarter-by-quarter due to the very unusual circumstances around remote instruction.
- Collaborate with CEP, GC, Online Education, CITL, and the administration to develop online course principles.

The committee thanks the Office of the Registrar staff for their work to support students, including updating records related to student petitions. CCI would like to especially thank Kalin McGraw, Associate Registrar; Curriculum Management, Don Moonshine Curriculum Management Project Manager; and Marie Yoo, Academic Preceptor, for their work advising CCI.

Respectfully submitted,

COMMITTEE ON COURSES OF INSTRUCTION

David Harrison

Stacy Kamehiro (*W,S*)

Alexandra Junell Brown (AJ), SUA Rep.

Amanda Rysling

Andrew Skemer

Jeremy Yamashiro

Kalin McGraw, Associate Registrar, *ex officio*

Marie Yoo, Academic Preceptor, standing guest

Yat Li, Chair

Morgan Gardea, Senate Analyst

August 31, 2022

Appendix I.

Committee on Courses of Instruction (CCI) Online Course Request Guidelines Updated August 2022

In accordance with the [Committee on Educational Policy \(CEP\) and Graduate Council \(GC\) Policy on UC Santa Cruz Undergraduate and Graduate Online and Hybrid Courses](#), CCI can permanently approve online course requests. CCI will be providing the criteria for permanent approval later this academic year. For 2022-23 AY, CCI will also have the ability to provisionally approve all modes of online and hybrid instruction. This is meant to provide CCI an opportunity to gather information about student success in online courses through the development of CCI's reporting requirements.

How does CCI assess the effectiveness of online courses?

A successful online course presents educational experiences that differ from those associated with in-person courses, but provides students with an equivalent learning 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.

CCI Recommendations for Online and Hybrid Course Approval or Modification Requests:

1. Determine mode³:

- **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. Note that when a hybrid course has less than 50% in-person contact hours, the course approval process for Synchronous Online or Asynchronous Online should be used. An appropriate measure of contact hours is the equivalent time spent in-person for a standard, fully in-person version of a course of the same credit count. *Per CEP and GC policy, please note that 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.* Labs taught by a TA are not considered face-to-face contact hours.
- **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, 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

³ Please refer to the [visual workflow](#) to determine the mode of instruction.

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.
 - Other modes of instruction that make use of online technology but are not permanent or long term modes are:
 - *Remote* - Emergency use only approved by APO for individual instructor accommodations or when delegated by CEP/CCI/GC.
 - Individual students requesting temporary remote access - instructor's discretion to offer *Emergency Remote Attendance*.
2. Verify syllabus includes all [CCI Syllabus requirements](#). Attach a syllabus for all types of online mode requests, including Hybrid. Syllabus should clarify what portions of the course will be online and what portion of the course will be in person (if any).
3. In addition to answering supplemental questions (linked above), proposals for online and hybrid courses should consider:
- Proposals for online or hybrid courses must include a proposed syllabus. Modality of all aspects of the course should be noted in the syllabus.
 - Pedagogical explanations *could* include:
 - How the learning outcomes of the course can be met in an online modality.
 - Makes use of an online technology enabled teaching strategy that creates new learning opportunities and/or student engagement opportunities, increase or retains the same level of student participation and faculty interaction with students
 - Employs strategies for online mode that increase flexibility without compromising learning outcomes
 - Provides students with different ways to engage with the course material.
 - Improvements to accessibility and access
 - For required courses, CSA's need to provide at least 1 in-person offering of required courses in an academic year.
 - Sections and Labs: secondary offerings may be offered in person even if a course is online. Departments and instructors should pay careful attention to class setup and student messaging in the event that an online course will have required in-person secondary sections (i.e. if students cannot successfully complete the course from a remote location).
 - CEP recommends offering exams in person whenever possible. If the course uses remote proctoring for exams, information regarding the method for remote

proctoring (i.e., ProctorU ⁴ or Zoom-based proctoring) must be included on the syllabus. Please work with the Registrar's office to confirm space is available.

- For New Courses, please note that any new course approved for an online or hybrid mode is by default also approved to be scheduled in person without additional CCI review.
- CCI, CEP and GC have the ability to also temporarily approve remote modes of instruction. These cases could include classroom capacity issues and/or a department or programs inability to mount their curriculum as initially planned.

Please note that student housing (accessibility) and classroom space are important issues on our campus, however they are not considered sufficient pedagogical justification for permanent approval of an online offering.

4. CEP and CCI recommend contacting Online Education and CITL for support in designing courses for online or hybrid modalities. Additionally, both units are available for consultation on proposing new courses or modifying the offering format of an existing course.

5. Requests can be submitted directly in CAT (Curriculum and Tracking) system. If you need to request access, or have other issues entering the system, email cmphelp@ucsc.edu. A visualization of the online and hybrid course workflow is available [here](#).

Answers to Frequently Asked Questions (FAQ):

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

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

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

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

⁴<https://senate.ucsc.edu/committees/cep-committee-on-educational-policy/cep-correspondence/cep-and-vpaa-to-students-re-proctoru-060320.pdf>

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

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

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

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

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

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

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

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

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

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

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

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

Appendix II.

Modality Report (Provided by the Office of the Registrar)		
Fall 2021		
<u>Modality Interpreted</u>	<u>COUNT of offerings by modality</u>	<u>Percent of Total</u>
<u>H</u>	<u>16</u>	<u>1.50%</u>
<u>IP</u>	<u>668</u>	<u>60.80%</u>
<u>O</u>	<u>32</u>	<u>2.90%</u>
<u>RE</u>	<u>382</u>	<u>34.80%</u>
<u>Grand Total</u>	<u>1052</u>	
<u>IP = In person primary meeting</u>		
<u>O = Online (asynchronous or synchronous)</u>		
<u>RE = Remote instruction (approved by APO, CEP/GC, CSA)</u>		
<u>H = Hybrid in-person and online (approved by CCI)</u>		
Winter 2022		
<u>Modality Interpreted</u>	<u>COUNT of offerings by modality</u>	<u>Percent of Total</u>
<u>H</u>	<u>4</u>	<u>0.30%</u>
<u>IP</u>	<u>934</u>	<u>85.90%</u>
<u>O</u>	<u>52</u>	<u>4.80%</u>
<u>RE</u>	<u>97</u>	<u>8.90%</u>
<u>Grand Total</u>	<u>1068</u>	
<u>IP = In person primary meeting</u>		
<u>O = Online (asynchronous or synchronous)</u>		
<u>RE = Remote instruction (approved by APO, CEP/GC, CSA)</u>		
<u>H = Hybrid in-person and online (approved by CCI)</u>		

<u>Spring 2022</u>		
<u>Modality Interpreted</u>	<u>COUNT of offerings by modality</u>	<u>Percent of Total</u>
<u>H</u>	<u>9</u>	<u>0.80%</u>
<u>IP</u>	<u>958</u>	<u>83.70%</u>
<u>O</u>	<u>34</u>	<u>3.00%</u>
<u>RE</u>	<u>143</u>	<u>12.50%</u>
<u>Grand Total</u>	<u>1121</u>	
<u>IP = In person primary meeting</u>		
<u>O = Online (asynchronous or synchronous)</u>		
<u>RE = Remote instruction (approved by APO, CEP/GC, CSA)</u>		
<u>H = Hybrid in-person and online (approved by CCI)</u>		

COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Annual Report 2021-22

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 2021-22

CDF worked this year to build our relationship with UR as a valued resource for providing a diversity of faculty perspectives on fundraising initiatives, which included discussions with various UR staff. We also worked on various initiatives to make funding opportunities besides standard grant funding more transparent to faculty.

II. Key Consultations and Points of Impact

During fall quarter, CDF members participated in the interview process for the new Assistant Vice Chancellor of University Relations and were pleased that Priya Mehta was hired for the position. Ms. Mehta and Vice Chancellor of University Relations Mark Davis both attended most CDF meetings during which we provided feedback on a number of topics, such as suggestions for how UR staff could better support departmental fundraising; how faculty fundraising campaigns might be better explained and targeted to receive a more favorable response from faculty; and the topics listed below.

We had visitors at several meetings to discuss specific topics:

- Board Opportunity Fund (BOF) - We discussed with Steve Bruce, member of the Foundation Board of Trustees and Chair of the BOF, how CDF and BOF might collaborate on identifying faculty research projects for funding and how the application for BOF funding might be revised to make it more accessible to faculty and to student groups. We provided written feedback on the current version of the application.
- College Fundraising - Representatives of the Council of Provosts and additional UR staff joined us for a discussion of fundraising for endowment and current use needs in the colleges. The Provosts attending provided UR staff with a helpful history of the colleges at UCSC and the Council of Provosts and UR agreed to continue the conversation separately from CDF.
- Foundations - Sarah Carle, Director of Foundation Relations, provided CDF members background on Foundation fundraising at UCSC. CDF members explained some of the challenges for faculty in navigating who to talk to on campus about applying to different foundations. We discussed ideas for a future faculty workshop on applying to foundations for funding.

- Business Engagement - Ryan Sharp, Assistant Vice Chancellor for Innovation and Business Engagement briefed CDF on the various activities of his office and we provided feedback on various topics.
- Center for Advancement of STEM - CDF member Enrico Ramirez-Ruiz presented to the committee his plan for the Center for Advancement of STEM and CDF members provided feedback.

We undertook three activities to better inform faculty how they can engage with University Relations.

- We advertised the faculty fundraising FAQs page that was developed by CDF and UR during the 2020-2021 academic year.
- We discussed ideas for faculty fundraising workshops with various UR staff which resulted in a plan for three workshops to be offered starting in the 2022-2023 academic year: (1) a general overview of UR and Donor Engagement, (2) Foundation Relations, and (3) Innovation and Business Engagement.
- CDF Chair Holl and UR Staff worked on a detailed outline for an informational sheet on “Alumni Engagement and Development Strategies for Departments.” The committee provided feedback and will continue to work with UR to complete this document in the coming year.

Following on the recommendation of the 2021-2022 CDF committee, we worked with the Chancellor’s Office and COR to plan a symposium that showcases a diverse suite of interdisciplinary faculty research for OR, UR, and the broader campus community. Chair Holl took the lead in coordinating with COR, University Relations, Campus Provost and Executive Vice Chancellor (CPEVC) Lori Kletzer, and Interim Vice Chancellor for Research John MacMillan to plan and advertise this symposium which will be held Oct. 7, 2022. COR members provided feedback on symposium plans and three members reviewed applications during summer 2023.

III. Potential Issues for 2022-23

A number of activities from the 2021-2022 academic year will continue into the coming academic year including the Faculty Interdisciplinary Research Symposium, implementation of the faculty fundraising workshops, and completion of the informational sheet on Alumni Engagement and Development Strategies for Departments. In addition, our understanding is that the campus will be undertaking a strategic planning process during the coming year and in parallel will be starting to plan for the next Comprehensive Campaign. Based on discussion this year with VCUR Davis and AVCUR Mehta, we understand that CDF will play a key role in providing feedback on Comprehensive Campaign planning and anticipate this will be a focus of our work in the coming year.

Respectfully submitted,

COMMITTEE ON DEVELOPMENT AND FUNDRAISING
Nicholas Brummell
Jimin Lee
Enrico Ramirez-Ruiz

James Zachos
Ben Leeds-Carson
Mark Davis
Karen Holl, Chair

August 31, 2022

COMMITTEE ON EDUCATIONAL POLICY

Annual Report 2021-22

To the Academic Senate, Santa Cruz Division:

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

The committee has dealt with the following issues this year:

I. TRANSITION OUT OF COVID-19 TEACHING AND LEARNING

This academic year began with fall 2021 instruction including a mix of remote, online and in-person offerings.¹ While the communication had largely been around the return to in-person teaching and learning, there were multiple factors (limited housing availability, family responsibilities, and health issues) that made it a transitional year with the need for multiple modifications and adjustments. CEP received multiple requests from the CP/EVC to consider how to support the many students that decided to not return to the Santa Cruz area, and the implications for making timely progress toward major declaration and time to degree.

a. 2021-22 Delegations

i. Winter 2022

On October 25, 2021, the CP/EVC sent a delegation request to CEP, CCI and GC for the winter, spring and summer of 2022. Given the winter schedule going live on November 12th, CEP and CCI delegated to course sponsoring agencies (CSA's) the ability to determine the mode of instruction for undergraduate courses on November 1st. This delegation did not include mezzanine courses since this is GC's oversight. CEP and CCI asked for CSA's to submit a record of which courses were being switched with the justification in early December.

ii. Spring 2022

In a follow up to the November 1, 2021 joint communication, on November 23rd, CEP, GC, and CCI sent communication to CSA's to provide the following for spring quarter requests via a google form:

- How many juniors and graduate seniors are impacted?
- What are the reasons for making this course decision?
- Report any proposed modification to program requirements that are impacted by changing to remote instruction.

¹ Please refer to the February 25, 2021 where CEP, CCI and GC announced jointly with the CPEVC 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, CPEVC announced that instruction would largely aim to be in-person. The delegation to course sponsoring agencies remained.

b. Remote Teaching and Learning

i. Emergency Remote Attendance

The committee reviewed and discussed recent inquiries regarding instructors making temporary provisions for students who are unable to return to campus. CEP was sympathetic to the current need for the practice of allowing the use of zoom for in-person courses when students are not able to attend the course. The committee did not require that this information be collected and reported back to the Academic Senate. Additionally, it noted concern for Unit 18 lecturers and that any instructor should not be forced to teach in multiple modalities. This correspondence was sent to the CP/EVC and the VPAA and posted on CEP's website.²

c. Student Union Assembly (SUA) Resolution

In January 2022, the SUA presented a resolution in support of hybrid and remote options to continue the remainder of the 2021-22 academic year. They also further urged for CEP to and CCI to require instructors to allow for flexibility in grading; record and post lectures and course materials online whenever possible; and extend P/NP threshold. This was discussed both at CEP and at Senate Executive Committee (SEC) meetings. Faculty members were sympathetic, this concern echoed at maybe campuses was elevated to the Academic Council.

On May 24, 2022, University of California President Drake issued the, "Academic Council Response to Calls for Universal Hybrid Instruction." Academic Council determined that remote instruction has not proven to be completely effective pedagogically, and thus could not support mandating recordings of classes.

d. Committee on Courses of Instruction

i. Online Course Policy

The implementation of the online policy this year was fraught with an unexpected number of proposals with the onset of campus returning to in-person teaching and learning. With fall quarter predominantly still in remote learning, the number of proposals for winter and spring quarter were unforeseen and CCI had the difficult responsibility of having to evaluate.

At the end of the spring quarter, CCI sent 3 memos to CEP and GC requesting feedback regarding how pedagogical justifications should be defined and used in CCI review the ability to provisionally approve hybrid and synchronous courses in the same way as asynchronous courses.

ii. Online Course Proposals

In the fall quarter, due to the increased number of online course proposals to CCI, CEP reviewed 34 courses to help support the workload of CCI.

iii. Provisional Approval for Synchronous and Hybrid Fall 2022 Course Proposals

In the spring quarter, CCI requested the ability to provisionally approve synchronous and hybrid course proposals for fall 2022, which would be the same pathway for approval as asynchronous courses.

² CEP to CP/EVC Kletzer and VPAA Lee re Emergency Remote Attendance, 12-02-2021

On August 16, 2022, the chairs of CEP and GC extended CCI provisional approval for synchronous and hybrid online course proposals for the 2022-23 academic year. It was also noted that CCI will be developing their requirements for the final report requesting permanent approval.

II. UNDERGRADUATE EDUCATION RESOURCES

a. Classroom Capacity Issues and New Program Proposals

i. Correspondence to the Committee on Planning and Budget

As a follow up to previous communication with the Committee on Planning and Budget (CPB), CEP sent correspondence requesting to communicate with the Physical Planning Director to prioritizing academic spaces when reviewing major maintenance and major projects on campus.

ii. CSE Request for Overflow Classrooms

In the fall, CSE submitted a request to employ the use of overflow classrooms for high enrollment courses. The committee was sympathetic to the impact of space constraints on campus. CEP noted that while this could be beneficial for campus theoretically, there are several significant logistics that cannot be overlooked, including the improbability that overflow rooms would be near the main classroom, and the overall lack of available overflow rooms. The committee recommended that while generally not approved, departments could ask divisional analysts to attend the quarterly large lecture scheduling meeting with the Office of the Registrar to determine availability.

iii. CSE Emergency Remote Section Request

The committee approved the request from the CSE department for authorization to teach some of the offering of CSE 20, CSE 30, CSE 12, and CSE 13S remotely for 2022-23 due to the excess yield from frosh admission offers to CSE. As this oversized cohort advances through the CSE major over the next four years, the Committee recommended early planning to manage the increase in demand for major requirements. This includes ensuring appropriate capacity for in-person upper-division courses, offering additional support for these students beyond their first year, and closely monitoring enrollment caps. Consideration could also be given to reducing frosh admission targets into the major for 2023-24 to further manage capacity constraints in the upper-division curriculum.

b. Chemistry Redesign

In spring 2021, CEP reviewed a draft proposal of the redesign of the General Chemistry sequence. CEP advised the department that the proposal should be submitted to the VPAA so that it could be reviewed also by CPB to determine if there were any space or resource issues. Due to some unforeseen circumstances, the routing of the proposal was delayed until winter 2022 for CEP and CPB review. While the committee was unanimously supportive of the proposal and changes to the sequence, there were significant challenges in process and other department dependencies for this to be implemented for the 2022-23 academic year.

After multiple conversations and consultations, the committee approved the launch of CHEM4 for the 2022-23 year, as long as course entry is restricted to the Chemistry and

Biochemistry departmental programs only (CHEM B.A., CHEM B.S., and BMB) and/or by petition (at the instructor's discretion). Additionally, the committee offered several suggestions for how to coordinate a successful launch of the remaining Chemistry redesign for the 2023-24 year. CEP will continue to consult and collaborate with the department and division to ensure a successful transition.

c. *College Scholars Program*

The committee met with Faculty Director of the Undergraduate Honors Program, Amanda Smith, to discuss the status of the College Scholars Program and review the proposed expansion to a 4-year program that is inclusive of transfer students. The committee was supportive of the proposal and sent a letter of continued support to the CP/EVC.

III. ONLINE UNDERGRADUATE DEGREE PROGRAMS

a. *VPAA's Online Programs Initiative Final Report*

The committee reviewed the Online Program Initiative Report Executive Summary that emerged from the 2020-21 working group that the VPAA and CEP Chair co-facilitated. The committee's response noted that while each subcommittee report provided members with principles and options to consider, as well as practical approaches the campus might take to mount online degree programs, the overall package of materials left the committee wondering if UC Santa Cruz is ready to make a unilateral decision about this initiative. However, the committee was amenable to a small-scale pilot program, such as the one afforded by the potential Creative Technologies degree.

In starting small, the campus would be afforded the opportunity to build an infrastructure to support online students *over time*. This approach would allow UC Santa Cruz to be cautious and innovative at the same time: It would afford having an opportunity to assess carefully students' experiences in an online program, their access to campus resources, and the quality of their educational experiences. The committee strongly encouraged that a cohesive plan be developed for assessing the value, impact, and wider implications of the pilot program, which would require local reporting potentially on a yearly basis.

b. *Creative Technologies B.A. Proposal*

The committee spent considerable time discussing a preview and the final proposal for the Creative Technologies B.A. proposal. In the preview proposal, CEP identified 3 major areas that required additional development: 1) student concerns, 2) faculty and staff, and 3) assessment and program learning outcomes. The final proposal included a matrix that addressed the issues raised in the draft proposal. CEP supported the proposal and noted that it would be an excellent pilot for an online program at UC Santa Cruz and supported a 2023-24 launch.

c. *CP/EVC's Online Programs Project Charter Group*

In November, the CPEVC 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

This year, the CAT team made several updates to the undergraduate sections including the new required section: Getting Started in the Major for both frosh and transfer students. Additionally, for relevant programs and departments, a math placement and language placement is required. Departments were also required to review the major qualification information to ensure alignment with CEP's revised policy.

CEP additionally reminded departments that all statements should include a cover letter in the "Department Information and Documentation" form. It also reminded departments to continue to pay close attention to the major qualification sections and that the information on department websites is aligned.

In the spring, VPDUE Hughey asked CEP to include summer quarter in all catalog course planners beginning with the 2023-24 catalog. This would include the orientation course and College 1 (for frosh). Additionally, programs can place Writing 1 (if needed) in the first winter, and Winter 2 in or before the winter of the second year. The committee will review this during the 2022-23 program statement review for efficacy.

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. Revisions to the Priority Enrollment Policy

- The University Registrar, on behalf of Services for Transfer and Re-entry Students (STARS) and the SUA submitted a request to expand priority enrollment to include students with dependents. This will further support students with dependents in their ability to complete required courses and programs in a timely manner as they balance their own schedules, children's schedules, work and other unpaid labor responsibilities.
- Baskin Engineering Excellence Scholars (BEES) students were granted priority enrollment during the fall, winter and spring quarters of their first year as part of the BEES program. This first-year experience program is designed to serve 40-45 of the most disadvantaged and historically marginalized students who have proposed majors in BSOE.

b. Revisions to the Concurrent/Open Enrollment Policy

[Open Campus/Concurrent Enrollment through UC Extension](#) provides course enrollment on a space-available basis for students or community members seeking to take a single course during a fall, winter, or spring quarter at UC Santa Cruz. Students pay pro-rated, per-unit tuition to UC Extension, such that the tuition for a 5-unit course in Open Campus is 5/15 of the quarterly full-time resident tuition at UC Santa Cruz. Students in Open Campus/Concurrent Enrollment do not pay Student Services Fees or Campus Fees, and as a result do not have access to many of the student services and student groups available to term-activated students. The policy was revised to include: “Students are required to provide copies of any unofficial transcripts to the instructor to determine sufficient preparation and eligibility.”

c. *Major Qualification Policy and Course Repeats*

Given that Admissions will no longer consider repeats in admissions decisions for transfer students, it would not be fair to admit a transfer student and then refuse to allow that student to declare their intended major as listed on their UC Santa Cruz admissions application. Community college courses are comparatively inexpensive, and students taking Community College classes are often working or they have other obligations. When life interferes, they sometimes “drop” a class by just not finishing it; this does not necessarily reflect an inability to succeed in a major. Effective with the fall 2022 transfer class, major qualification policies that consider course repeats, or grades below a certain threshold, may only consider non-passing or below-threshold grades that are received after matriculation to UC Santa Cruz.

d. *Revisions to the Policy on Revising Requirement for Undergraduate Programs*

Due to a number of programs revising their requirements for undergraduate programs, the committee modified the policy to add in best practices for making significant changes that should occur outside of the annual winter catalog program statement review. The stakeholder form was updated and the visual workflow process map was created.

VI. Preparatory Education and Placement

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

i. *Waiver of ELWR and Senate Regulation 10.5.2*

The committee approved the request to temporarily waive the following enrollment deadlines for writing requirements for the 2021-22 and 2022-23 academic years due to the lack of classroom space and instructors to offer sufficient number of courses:

Due to [UC Santa Cruz Senate Regulation 10.5.2](#), students who enter the university without having satisfied the Entry Level Writing Requirement (ELWR) must enroll in a program of study designed to satisfy ELWR every quarter of enrollment until the requirement is met, and must be completed by the start of students’ second year, with the exception of students who begin their writing course sequence in Writing 25.

ii. *C Requirement*

The committee approved the Writing Program's request to discontinue enforcing the C requirement deadline through discontinuing a student's enrollment in the 7th quarter. CEP supported the following enforcement processes:

- Proactive enrollment in Writing 2 for students in their final quarter before reaching the deadline and for those who are beyond their deadline; and
- For those students who fall subject to disqualification at the end of a term, have reached their deadline, and have not completed the C requirement, CEP supports the colleges requiring the student to take the class as a condition of continued enrollment, or to complete the requirement elsewhere prior to readmission (if they are barred or disqualified based on their academic standing). These actions are consistent with [Senate Regulation 12.2b](#): *Continued registration of an undergraduate student subject to academic disqualification is at the discretion of the Faculty of the student's college or their agents and is subject to such conditions as they may impose.*

iii. Directed Self-Placement

The Writing Program implemented year 2 of its localized writing placement process, Directed Self-Placement (DSP). 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. Students' standardized test scores for Entry Level Requirement (ELWR) satisfaction were accepted; however, given that ACT/SAT scores are no longer required for admission to a UC, fewer students entered having satisfied the ELWR.

Second-year DSP results were similar to first-year results, with a higher demand for Writing 1, *Introduction to Composition*, than in years prior to DSP. To accommodate student demand, the Writing Program worked with the Committee on Courses and Instruction (CCI) to waive the three- or four-quarter requirement for ELWR satisfaction so that students could complete ELWR without receiving enrollment holds. Because DSP will continue in the 2022-2023 AY, central administration should consult with the Humanities Division about what support may be needed for DSP to become a sustainable, permanent program.

iv. University of California Committee on Preparatory Education (UCOPE)

Member WouldGo served as the CEP representative to UCOPE through January 2022, with Writing Program Acting Chair Amy Vidali serving from January through June. 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. The committee convened an Entry Level Writing Requirement task force

to evaluate the ELWR, which completed its work in two phases. Formal documentation and reporting for this task force should be available in the 2022-2023 AY, which will provide recommendations moving forward on systemwide placement processes. Finally, the Analytical Writing Placement Exam will no longer be centrally funded by the UC System, beginning in September 2022, and is no longer required for demonstration of the ELWR.

VII. Academic Program Establishment, Modification, Suspension and Discontinuance

- Community Studies B.A. changed the administrative oversight from Oakes College to the Sociology department.
- Latin and Latino Studies and Education combined B.A. major was approved.
- The Critical Studies concentration in the Film and Digital Media department was discontinued.
- The Global Community Health B.A. and B.S. were approved creating two parallel undergraduate degrees between the Social Sciences and the Physical and Biological Sciences divisions. As a result, the Human Biology B.S. will be discontinued beginning in 2022-23.
- The CHEM4 sequence was approved for the 2022-23 academic year.
- The History of Consciousness minor was reinstated for 2022-23.
- The Physics department established a concentration in Computational Physics in the Applied Physics B.S.
- The Mathematics Theory and Computation B.S. degree from the Mathematics department was approved. As a result, the Computational Math concentration will be discontinued.
- The new charter and bylaws for Art and Design: Games and Playable Media B.A. was endorsed by the committee.

VIII. Reviews

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

Systemwide

- *Proposed Revisions to SR 478 (IGETC)*
- *2nd Systemwide Senate Review of SR 478*
- *Systemwide Review of SR 424.A3*

Divisional

- *VPAA Online Programs Charter Initiative Review*
- *CP/EVC Pilot Structures for Free Speech and Protest Review*
- *BSOE Reshaping Proposal*
- *DRC Request for Faculty Feedback on Accommodate Faculty Notifications*
- *VPAA Planning for WASC/WSCUC Reaccreditation*
- *VPAA Five Year Perspectives 2022-2026-27*
- *DRC Request Regarding Access to Canvas*
- *VPAA Revised Proposed Remote Work Guidelines for Senate Faculty*
- *VPDUE Academic Integrity Draft Policy Proposal*
- *iVPGE Request for Feedback on Proposed International Center*
- *VPDUE Commencement of Academic Activity*
- *Summer Campus Initiative Executive Summary*

- *VPAA and VCIT Technology-Enhanced Teaching and Learning Advisory Committee*
- *Revised Baskin School Direct Admission and Diploma Proposal*
- *COT Request for Feedback on DRC FAQ Guidelines*

Additionally, CEP participated in the external review process for the following departments and programs: Latin and Latino Studies, Literature, Digital Arts and New Media, Physics, Critical Race and Ethnic Studies, Theater Arts, Electrical and Computer Engineering, Writing Program, Molecular, Cell and Developmental Biology, Anthropology, Environmental Studies, Philosophy, Art, Computational Media, Psychology, Feminist Studies, Colleges, and Language and Applied Linguistics.

IX. OTHER ITEMS

a. Global Engagement Program Review Process

In the fall, Assistant Vice Provost for Global Engagement Becky George proposed a review process for the committee to follow when considering new Independent Provider Partners. The follow process was established:

A. Universities could be coded into categories as follows:

1. Those with a higher or equal ranking to UCSC per ARWU, THE and Q.S.
2. Those that are current or past UCEAP approved universities.
3. Those with lower rankings, or no rankings

B. Approval could be considered as follows:

1. For the Universities that fall into category 1, they may be considered as automatically approved.
2. For the Universities that fall into category 2, they may be considered as automatically approved provided the reason for UCEAP program cancellation is not academic (such as low enrollments, closure of UCEAP support office, etc.).
3. For the Universities that fall into category 3, GE will provide background information as to why these universities should be approved. This could include world region specific information about rankings; faculty connections; specific academic programs of strength with recruitment limited to those departments; other pertinent information. In addition, for each university in this category, GE will seek out a faculty champion that can attest to the quality of the institution.

C. GE will submit future lists for consideration with no more than 6-8 institutions, organized by world region or country with no more than 2 falling into category 3.

b. Summer Session 2022 Delegation

VPDUE Hughey requested delegation of summer session courses to Course Sponsoring Agencies (CSA's) for summer sessions 2022. This request came out of pressing issues such as increased housing costs in Santa Cruz, and the desire to support students in minimizing their time-to-degree. CEP approved this delegation with the conditions that a report be submitted to CEP and CCI by November 2022 to demonstrate financial and educational efficacy and to determine if future delegations should be made.

c. ENGR Course Code Request

Associate Dean Whitehead submitted a request to establish a divisional course code (ENGR) for Baskin School of Engineering. The request was denied as it was unclear what kind of course would be created where a faculty member wouldn't have a home department.

d. UCEP

Much of UCEP's work over the course of the year involved the UC-wide approach to possible online degrees. Because UC Santa Cruz has the only proposed (but as yet unapproved) online undergraduate degree, this will have a disproportionate impact on UC Santa Cruz. The year finished with UCEP refusing to review the UC Santa Cruz program and pushing for legislation (SR 630) that would make UCSC's proposed online degree against regulations.

Online degrees were not the only topic, but they were the only unusual topic. UCEP also discussed many issues related to the COVID-19 pandemic and the normal renaming, establishment, and up keeping of the various undergraduate degrees across the system.

X. Subcommittee

a. Bay Tree Bookstore Committee

The Bay Tree Bookstore subcommittee regularly met to help successfully convert to a user-friendly on-line text bookstore managed by Akademos, Inc. The Adoption and Booklist Committee that supervised this transition included a CEP faculty representative. Conversion of the Bookstore to an on-line campus resource was initiated in the Spring quarter of 2021 and smoothly proceeded to complete the transition by fall 2022. Along this timeline, the Akademos team provided training sessions for both faculty and students, reviewed the specific needs for the UCSC library and the student cohorts, and made proper arrangements for inclusive and equitable access opportunities for all students. The CEP member provided necessary inputs to all these steps during several Bookstore Committee meetings. The online bookstore is now fully operational and the faculty and student engagement has been seamless. This online conversion has opened up physical space at the Bay Tree Bookstore building for DRC use, and at present is providing textbooks and other course materials to the UC Santa Cruz students at less-than-market price.

XII. Carryforward 2022-2023

a. Computer Science and Engineering Department Enrollment Management Plan

CSE's Enrollment Plan was due to the Senate by January 21, 2021. In May, the committee requested an update on the status of the enrollment management plan and the report.

b. Assessment of Online Course Policy

CEP, GC and CCI to continue discussions to determine if and how the policy and/or supplemental questions should be modified.

c. Directed Self-Placement (DSP)

Assess how the DSP is functioning and working for our campus. Additionally, the committee will consult with the Writing Program to discuss the longer term implications of waiving ELWR and C deadline and requirements.

d. Summer Delegation Efficacy

Committee to review the data and report from VPDUE to determine if future delegation to CSA's for mode of instruction is appropriate.

- e. Review and assess the pedagogical contributions that arose from COVID-19 to see how they can be integrated into our collective teaching and learning at UC Santa Cruz.

f. *Classroom Capacity*

Continue working with CPB, additional Senate committees, and campus stakeholders to develop guiding principles for classroom capacity issues.

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

Throughout the year, CEP was provided with valuable input from Associate Registrar Kalin McGraw, Stacey Sketo-Rosner from the Office of Campus Advising Coordination, and Carmen Robinson from the Baskin Engineering Student Excellence, Engagement, and Inclusion. We also thank analysts Rebecca Hurdis and Morgan Gardea for the enormous amount of work they did in supporting the work of the committee and serving as a repository of knowledge about CEP activity in previous years.

Respectfully submitted,

COMMITTEE ON EDUCATIONAL POLICY

Elisabeth Cameron

Dianne Hendrick

Robin Hunicke (*F, W*)

Kenneth Kletzer

Carl Lamborg

Pardip Mascharak

Tanner WouldGo

Tchad Sanger, University Registrar, *ex officio*

Yat Li, CCI Chair *ex officio*

Tracy Larrabee, Chair

Chidinma Onyekonwu, SUA Rep.

Dora Rasch, SUA Rep. (*W, S*)

Alan Christy, Provost Rep.

August 31, 2021

COMMITTEE ON EMERITI RELATIONS

Annual Report 2021-22

To: Academic Senate, Santa Cruz Division

The Committee on Emeriti Relations (CER) met three times during the 2021-22 academic year. This year, CER's pro-active agenda included a follow-up report on new faculty retiree experiences with the Retirement Administration Service Center (RASC) in 2020-21, continued collaboration with the Emeriti Association and the CP/EVC on the Edward A. Dickson Emeriti Professorship Award, consultation with Pathways to Retirement Faculty Liaison, Don Brenneis, and the development of a FAQ sheet designed to help faculty considering retirement in their negotiations with chairs and deans. CER also provided feedback on the systemwide review of the Negotiated Salary Trial Program (NSTP) Phase II Taskforce report.

The Chair of CER is an *ex-officio* member of the Committee on Faculty Welfare (CFW) and attended committee meetings throughout the year. The Chair also represented CER on the Retiree and Emeriti Center (REC) Steering Committee, participated in several pre-retirement and post-retirement events, and attended the fall CUCRA/CUCEA meeting in October 2022. In addition, the Chair met twice with RASC Interim Executive Director Bernadette Green to discuss UCSC emeriti and survivor concerns about service and proposed plans for improvement and reorganization, participated in a forum organized by the UCSC Retiree Association with RASC Client Relationship Manager Michelle Estes, and worked with RASC Call Center Manager Doug Kanigher to test the new RASC phone tree system.

UCSC Faculty Retiree Experience with RASC, 2021 Update

CER continues to be concerned about the generally poor service provided to UCSC emeriti faculty, retired staff, and their survivors by the UC Retirement Administrative Services Center (RASC). As a follow up to the December 9, 2020 CER report on recent faculty retiree experiences with RASC¹, Chair Habicht Mauche sent an email to all emeriti faculty who retired between January 1 and July 1, 2021 asking them to report on their experiences with the retirement process and RASC. Over half of this emeriti cohort responded to CER's queries and all reported generally negative experiences working with RASC during their retirement process. CER summarized these experiences and offered several proposed action items in its *UCSC Faculty Retiree Experience with RASC, 2021 Report Update* (November 5, 2021). Despite major changes in the management team and organizational structure at RASC, little appears to have improved in terms of the frontline service provided to retirees. The 2021 cohort of retirees continued to experience unreasonably long wait times for information from the RASC call center and secure messaging system, and often received inaccurate answers to their inquiries. They also reported significant delays in retirement processing, with most of those responding indicating that they had yet to receive a pension check several months after their retirement date. Another recurring problem was that retirees were often dropped from their health and dental coverage, with no warning or notice, due to software glitches in the RASC system.

¹ UCSC Committee on Emeriti Relations Report on UCSC Faculty Retiree Experience with RASC, 2019-2020, December 9, 2020

On February 17, 2022, CFW discussed and endorsed CER's report update on 2021 UCSC faculty retiree experiences, and forwarded the report to the University Committee on Faculty Welfare (UCFW). UCFW considered the report at its March 2022 meeting, but declined to endorse it. However, the report was also sent to the UCSC Senate Executive Committee (SEC), which endorsed it, and sent it forward to the Academic Council, who also endorsed it, and forwarded it to President Drake for administrative action.

Anecdotal information suggests that retirement processing times may be improving, but that response times through the call center and secure messaging system are getting worse (with response times of up to a week). While CER appreciates the hard work and good intentions of the current RASC leadership, their actions need to be assessed in terms of rapid and measurable improvements in support and services for retirees and their survivors. Next year's CER should continue to work with CFW, UCFW, SEC, and the Academic Council to monitor faculty retiree and survivor experiences with RASC moving forward.

Divisional and Departmental Benefits to Emeriti

CER met with Pathways to Retirement Faculty Liaison, Don Brenneis on February 28, 2022. The committee presented Prof. Brenneis with a spreadsheet developed by CER in 2020-21 that summarized the uneven diversity of resources and services provided to emeriti faculty by the various academic divisions. In some cases, these resources are clearly posted on divisional websites, but in other cases they are not well publicized and faculty are often given conflicting information from chairs, deans, or assistant deans. CER is deeply concerned about a lack of transparency and equity in terms of the resources and services provided to emeriti across divisions and departments. The committee looks forward to working collaboratively with the Pathways to Retirement program to encourage deans and chairs to publicly share information with their faculty about what resources and services are routinely available to emeriti in their departments/divisions, and which are open to negotiation. We expect that having this information more accessible and publicly available would encourage inter-departmental and inter-divisional discussions of best practices across the campus. Prof. Brenneis offered to bring up the issue of campuswide practices and equity with his counterparts at other UC campuses. CER looks forward to hearing a report on his findings in 2022-23.

In response to this issue, this year's CER has developed [a set of suggested questions](#) regarding access to services and resources that prospective retirees should consider discussing with their deans or chairs.² In addition, next year's committee will work collaboratively with the Pathways to Retirement Program, divisions, and departments to disseminate this counseling document widely across campus.

Post Mortem Email Access

In winter 2020, CER contacted the Committee on Informational Technology (CIT) about the feasibility of creating a campus policy that would allow a faculty member to authorize one or more individuals to access their UCSC email account after death. CIT took up this issue, consulted with

² CER Questions to Consider While Preparing for Retirement: https://senate.ucsc.edu/committees/cer-committee-on-emeriti-relations/cer_retirementqstoconsider_081622.pdf

former Vice Chancellor for Information Technology (VCIT) Van Williams, and wrote to Chancellor Larive and CP/EVC Kletzer to raise the issue and offer a list of possible policy/procedure solutions³. In summer 2021, Chancellor Larive met with Senate, IT leadership, and Campus Counsel to discuss, and charged a working group to address the issue. Unfortunately, no policy proposal was submitted to the Senate for review in the 2021-22 academic year. CIT has been informed that the working group has met and is close to finalizing its recommendations. CER looks forward to seeing a draft policy and a formal request for Senate review in fall 2022.

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.

2022-2023 Dickson Professorship Award

The call for 2022-23 proposes went out to Senate faculty, divisional deans, and department chairs on November 8, 2021 with a deadline for submissions of January 10, 2022. The original call resulted in one proposal from the Arts Division. In an attempt to elicit additional proposals, CER extended the deadline until January 17, 2022, but none were forthcoming. The proposal was forwarded to the Emeriti Association Dickson Award Review and Nomination Committee, which passed its recommendation to CER. CER in turn sent a final recommendation to the CP/EVC for approval. CER is pleased to continue its collaboration with the Emeriti Association in this endeavor.

The 2022-23 Dickson Professorship was awarded to **Edith (E.G.) Crichton**.

Edith (E.G.) Crichton, Art Department

Project Title: "Q+Public Comes Out"

Professor Crichton will utilize the reward to acquire the services of a professional web designer to assist with the development of a website and social media presence for the Q+Public project. This project aims to provide a bridge between academic and public discussions and representations about and within the LGBTQ+ community. Along with the web and social media presence, the project includes a magazine (of which Prof. Crichton is a founder and co-editor) and an impressive Rutgers Press book series.

CER acknowledges the impact that the COVID pandemic has had on emeriti's ability to conceive, plan, and execute new projects. We are hopeful that this situation will improve in 2022-23. In fall 2022, CER will discuss strategies for increasing the visibility of the Dickson Award and increasing the number of proposals in advance of sending out the call for proposals.

Because of the complications presented by the COVID pandemic, CER has been generous in granting extensions to the 2020 and 2021 Dickson Award recipients so that they could complete

³ CIT Chair Takayama to Chancellor Larive and CP/EVC Kletzer, 6/14/21, Re: UCSC Email Access Post Mortem

or modify their proposed projects. However, moving forward, CER needs to remind recipients that the Dickson is a single year award and that projects need to be completed within this timeframe. Extensions should only be granted for unusual extenuating circumstances.

CER continues to be in discussion with CP/EVC Lori Kletzer about the delegation of authority and level of flexibility provided to CER to approve requests for budget changes by award recipients. Currently, CER has been granted authority to approve changes up to 20% of the total project budget.

Acknowledgements

CER would like to acknowledge the wonderful support that it receives from its analyst, Jaden Silva-Espinoza.

Respectfully submitted,

COMMITTEE ON EMERITI RELATIONS

Linda Burman-Hall

Lisbeth Haas

Ingrid Parker

Carl Walsh

Nico Orlandi, *ex officio*

Judith Habicht Mauche, Chair

August 15, 2022

COMMITTEE ON FACULTY WELFARE

Annual Report, 2021-22

To: Academic Senate, Santa Cruz Division

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

CFW's work in 2021-22 focused on developments both on campus and systemwide with regards to issues affecting faculty welfare and faculty quality of life detailed below.

I. 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 2021-22 Faculty Salary Analysis Report, which may be found on the CFW Senate webpage ([link](#)).

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 2018 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 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 Office (APO), must include a cost of living component.¹ Unfortunately, APO's reports have yet to include a cost of living analysis as requested. CFW will continue to monitor the situation in 2022-23, and awaits developments on this front.

Key Findings:

This year's analysis, like the 20-21 analysis, reveals that: 1) The original Special Salary Practice (SSP) implemented in 2008 was reduced too soon. 2) Once cost of living is included as a variable, UCSC's salaries lag significantly behind salaries at virtually every other UC campus.

The SSP, which enabled our campus to make progress in terms of equity with other UC campuses, was reduced in 2017-2018 before UCSC could catch up with the 9-campus median. Median salaries of UCSC faculty continue to lag behind other UC campuses. 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 also noted in CFW's cost of living analysis from 2017-18 and 2020-2021.²

¹ UCSC Academic Senate Resolution on the Commitment to Ensure Salary Equity and Competitiveness within the UC System, November 2019

² Committee on Faculty Welfare, Faculty Salary Analysis, April 2018

In spring 2021 and fall 2022, CFW collaborated with the Committee on Academic Personnel (CAP). The two committees formed a working group that assessed salary competitiveness and the effect of the modification of the SSP in 2018. In January of 2022, the committees communicated to the Chancellor and CP/EVC the findings that the salary gap is present and is likely increasing, and proposed that the SSP be improved to address the issue.³ The transmittal also recommended that the 3% increase implemented in the 2021-22 Academic Salary Program be retroactively applied to total faculty salaries (including off-scale salaries) and that future across the board increases be applied to total salaries as well. CP/EVC Kletzer acknowledged the seriousness of the salary issues, but communicated to the Senate that the money saved from applying the 3% increase only to on-scale portions of salaries would be used to supplement a salary equity program to be implemented in 2021-2022. CP/EVC Kletzer also committed to applying future increases, including the 2022-2023 4% Academic Salary Program increase to full salaries (including off-scales). This is a crucial measure since other UC campuses apply increases to total salaries. CFW needs to continue to monitor this situation.

II. Housing

The Employee Housing Advisory Workgroup (EHAWG), on which CFW had a representative, met inconsistently during the fall 2021 and winter 2022 quarters. Discussed more below, the EHAWG was abruptly disbanded at the start of the spring 2022 term after financial analysis completed by two companies contracted with UCSC identified an “extremely large gap” between new employee campus housing development costs and projected revenue, and determined that current employee housing plans were unfeasible.

The inconsistency with scheduling meetings during the fall and winter quarters stemmed partly from Vice Chancellor for Business and Administrative Services (VCBAS) Sarah Latham’s departure from UCSC in December 2021. When meetings of the EHAWG were convened, discussions centered on housing affordability, and more generally on continued planning for the proposed second phase of the Ranch View Terrace employee housing project: Ranch View Terrace Phase II (RVT2).⁴

With the understanding that planning would continue for building additional housing on campus and being aware of VCBAS Latham’s impending departure from UCSC, CFW hosted a consultation with VCBAS Latham on October 21, 2021.⁵ During the consultation, VCBAS Latham provided updates on the status of campus housing, childcare, and backup care. VCBAS Latham clearly understood the importance of building additional housing and, with the green light from the 2021 Long Range Development Plan (LRDP), indicated that the EHAWG would be tasked with reviewing housing plans as soon as winter 2022. The VCBAS also fielded a question relating

³ CFW Chair Orlandi to Chancellor Larive and CP/EVC Kletzer, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz.

⁴ For the previous fiscal year (2020-21), VCBAS Latham set a goal to select three RVT2 housing scenarios/models. The three models were based, first and foremost, on financial considerations. Additionally, each of the three models was based on an analysis of the data collected from two sources: a Faculty and Staff Housing Market Analysis conducted through 2019-20, and Employee Housing Goal Sessions that were held in spring of 2021. Such sessions included representatives from the Staff Advisory Board (SAB), CFW, and the Committee on Planning and Budget (CPB).

⁵ Orlandi to Latham, 11/12/21, Re: Post Consultation – October 21, 2021.

to the idea of providing rental subsidies for employees in need; VCBAS Latham indicated that the University is in a secure financial situation and may now be in a position to explore this kind of nuanced approach to mitigating the housing crisis. CFW noted that the Campus Welfare Committee, the principal group formed out of the 2003 Housing Access Policy (HAP) that formulated guiding principles, eligibility requirements, and other employee housing policies, was disbanded and temporarily brought back together with a different charge and focus. VCBAS Latham reported that she recently brought up the need with CP/EVC Kletzer to assign a new group with Senate representation to review housing policies and update or revise the housing models by the end of 2022-23. Latham additionally suggested that every three years, an ad hoc group be charged to re-examine the housing policies and determine if updates are needed. As one way to continue pressing University administrators to meaningfully respond to a worsening housing crisis, next year's CFW should consider requesting an update from the CP/EVC on the establishment of these housing committees.

Another conversation organized before VCBAS Latham's departure took place at a EHWAG meeting on November 15, 2021. VCBAS Latham invited representatives from Landed (a financial services company) to present their shared equity down payment support program for public school employees. Landed specifically aims to lower barriers to accessing housing by providing financial assistance to reach a 20% down payment on a home without income restrictions (Landed provides up to 15%, or up to \$120,000, of a deposit amount; the home buyer provides at least 5%). With home buying success stories from employees at other colleges and universities in California, Landed offers one more tool for UCSC employees to access housing and UCSC announced a partnership with the company soon after the presentation. It is too early to tell whether or not the program is successful in assisting some UCSC employees attempting to break into the housing market. To this end, in a few years CFW may want to collaborate with the administration to conduct a small study to learn more about the program's successes and shortcomings for UCSC. CFW contends that, as the Landed representatives readily admitted during their presentation, this shared-equity program is a limited service that might help less than 10% of our employees. In a recent communication as of July 7 2022, Landed announced that "due to higher than average market uncertainty," Landed's equity share is increasing from 2.5% to 3.3% for every 1% that they contribute. This development might further limit the scope of the program. CFW holds that the housing crisis will need to be addressed by several diverse and robust solutions, including the expansion of employee housing. Outsourcing to a third party company alone will not solve the problem.

In this context, CFW found it surprising that the EHWG was disbanded in April 2022. According to the Employee Housing Advisory Workgroup 2018-2022 Report,⁶ financial analyses by two companies contracted with UCSC (JLL, a global commercial real estate services company, and TEF Design) revealed an insurmountable and "extremely large gap" between development costs and potential revenue from the sale of the new houses.⁷ It was therefore concluded that the current employee housing plans for RVT2, which the EHWG had been working on since 2018, were unfeasible. No alternative plan for home construction was proposed. However, recommendations

⁶ Employee Housing Advisory Workgroup to Kletzer, 5/12/22, Employee Housing Advisory Workgroup 2018–2022 Report.

⁷ Employee Housing Advisory Workgroup to Kletzer, 5/12/22, Employee Housing Advisory Workgroup 2018–2022 Report.

for next steps in the EHWG report include: engaging UCOP to identify home financing opportunities; retaining a local real estate company to assist employees with locating rental properties; exploring development opportunities off campus; establishing a 501(c)(3) to purchase units in the community for direct lease to UCSC employees; exploring housing payment vouchers; generating seed capital for housing projects by reevaluating calculations in the Housing Resale Pricing program; developing a new charge for exploring a financially feasible development project that might be accomplished in smaller incremental phases; explore state funding to subsidize housing construction; and updating the HAP to reevaluate waitlist priorities and increase access to existing housing stock.⁸

To draw greater attention to the dire housing needs of current employees, this year CFW sent a memo to Chancellor Larive and CP/EVC Kletzer requesting “Immediate Remediations for Essential Needs” for childcare and housing.⁵ The memo, which did not receive a response, proposed four housing solutions meant to spark discussion:

1. Create a housing subsidy for employees seeking additional financial assistance for a down payment on a home when a MOP loan and any accrued savings are increasingly not enough for the highly competitive housing market and cost of living on the Central Coast;
2. Provide rental and mortgage assistance for employees who may be directing more than 30% of their take-home pay for housing;
3. Begin planning for additional on and off-campus housing needs beyond—and parallel to—current RVT2 efforts, including fast-tracking home design, bidding, and construction at UCSC’s Westside Research Park and other locations; and,
4. Identify medium-term emergency housing solutions for employees who, as the 2020 CZU wildfire demonstrated, might not be able to return home. The regental authorization leading to the purchase of the Laureate Court apartments in the late-1990s could be seen as precedent for similar purchases of units for employees in dire need.

In order to identify and establish affordable housing as a top campus priority, CFW proposed a resolution at the May 20, 2022 Senate meeting on mitigating UCSC’s housing crisis⁹ with short, mid, and long term solutions, which was later voted on and approved by the Senate.¹⁰ CP/EVC Kletzer’s opening remarks at that Senate meeting spoke to the resolution, and gestured toward engaging in an active discussion regarding housing in 2022-2023. The CP/EVC expressed specific interest in a “modified for-rent model” for bolstering housing availability, and set a goal for developing a “staged plan” or program in which at any given time one employee housing project is being planned, one is under construction, and one is ready for move in. CFW looks forward to these proactive steps. However, as of the drafting of this report, there are no concrete plans for building additional employee housing on campus, no plans for acquiring additional existing properties to house current and future UCSC staff and faculty, no models for the creation of emergency short-term housing for unhoused employees in direst need,¹¹ and there are no short-

⁸ Employee Housing Advisory Workgroup to Kletzer, 5/12/22, Employee Housing Advisory Workgroup 2018–2022 Report, pgs. 16-17.

⁹ [Resolution to Mitigate UCSC’s Housing Crisis, May 2022](#)

¹⁰ Orlandi to Kletzer and Larive, 1/13/22, Re: Immediate Remediations for Essential Needs –Childcare and Housing.

¹¹ [Committee on Faculty Welfare, Annual Report 2020-21](#)

term solutions nor a long-term vision for addressing the festering housing crisis affecting UCSC. The Santa Cruz (city and county) housing market continues to skyrocket, and equitable access to affordable housing continues to be out of reach for many current UCSC employees, as well as many future employees who are actively being recruited to campus through the Faculty 100 initiative.¹²

Looking forward, CFW will need to remain actively and doggedly involved in discussions about housing, particularly (1) to hasten the development and implementation of concrete plans for building more homes for current and future employees, and (2) to advise University administrators on other practical solutions for mitigating UCSC's housing crisis.

Employee Housing Repricing Program

Each year, the CP/EVC sends a request for Senate feedback on the UCSC Re-Pricing Program Recommendation for the following year. The proposal is prepared by Colleges, Housing, and Educational Services (CHES), and CFW and CPB provide feedback. The 2022-23 proposal included a proposed 2.43% pricing increase from the 2020-21 approved Campus Affordability Value, and a proposal to include Economics and Engineering new hire salaries in the “campus affordability value” calculation for the 2023-24 Employee Housing Resale Pricing Program and beyond. CFW supported neither the proposed 2.34% increase for 2022-23 nor the inclusion of the BEE scales in future resale pricing proposals.¹³

CFW's response noted that annual increases, particularly those in recent years, have not resulted in increasing unit turnover, nor in securing seed capital for future employee housing/capital building projects. Further, CFW has repeatedly argued that UCSC employee housing prices are not “affordable,” since they are out of reach for the majority of junior faculty in a single income household, and even more so for our valued UCSC staff. The 2022-23 Recommendation for Campus Affordability Value notes that the proposed increase would price units at approximately 43.33% of 2021 actual market sales. However, with the Santa Cruz real estate market being one of the most expensive in the country, this is not “affordable” for many UCSC employees in desperate need of affordable housing. The committee raised concerns that including the BEE scale in the “affordability” calculation would only make employee housing even less affordable to a large number of campus employees. The committee has since been informed that the proposed 2.34% increase for 2022-23 was approved by the CP/EVC.¹⁴

For several years, the Employee Housing Re-Pricing Program has failed to reach two of its four intended goals: to sell affordable homes and generate revenue for expansion of program services and seed capital for additional units, and to increase unit turnover. The Employee Housing Re-Pricing Program is outdated, and is clearly not serving our campus amidst a severe and unrelenting housing crisis. As such, CFW strongly recommends that our campus take immediate action to

¹² “UC Santa Cruz announces ambitious investment to hire 100 additional faculty over decade, part of broader effort to advance student success and research excellence”, February 8, 2022, *UCSC Newscenter*, <https://news.ucsc.edu/2022/02/faculty-expansion.html>.

¹³ CFW Chair Orlandi to Senate Chair Brundage, 6/08/22, Re: UCSC Employee Housing Re-Pricing Program Recommendation (2022-23)

¹⁴ CP/EVC Kletzer to Interim Vice Chancellor for Business and Administrative Services Kamaleswaran, 6/15/22, Re: 2022/23 Employee Housing Resale Pricing Program

rethink how employee housing is done on our campus and consider the creation of a new campus employee housing program that will best serve our campus community in both the short and long term.

III. Healthcare

CFW has continued to monitor healthcare and dental care at UCSC and we continue to identify access and affordability of care as two serious issues. This year we were also made aware of issues with retirees' healthcare coverage, particularly problems with the Medicare supplement coverage for out of State retirees.

Retirees who live out of state cannot participate in the United Health Care Medicare Advantage Plan. They are given a supplement of \$3,000 to purchase Medicare supplemental insurance from a broker who is specified by the UC. This supplement is insufficient and well-below what UC is contributing to support Medicare plans for instate retirees. CFW holds that the supplement should be increased or that retirees who live out of state should be allowed to use United Health Care Medicare Advantage Plan, which is a national plan. Retirees should not be penalized for choosing to live out of state.

As for the rest of our faculty, 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, accessed 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 or Scotts Valley to access the full range of services. Currently, Watsonville Community Hospital is at risk of closing after years of financial struggle.¹⁵ As such, we risk losing one of only two hospitals in Santa Cruz County. This is extremely concerning as access to healthcare for Santa Cruz faculty and staff is already severely limited. CFW will continue to monitor the situation.

While PAMF has served the campus community well, there has been a consistent threat of losing our access to it, 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.

Access is also an issue when it comes to dental care. This year CFW has received several complaints that in many areas, dentists no longer accept Delta Dental. Since Delta Dental is the only plan available to UC faculty and staff (with either an HMO or a PPO option), CFW urges UC to offer an alternative to Delta. During a consultation with UCFW in April of 2022, Vice President of Systemwide Human Resources Cheryl Lloyd was made aware of this problem. CFW should continue to monitor it.

¹⁵ <https://www.santacruzsentinel.com/2022/06/30/watsonville-hospital-still-needs-12-million-after-state-funding-secured/>

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 a more affordable plan with PAMF is necessary. In the past, CFW has 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 moving PAMF into another plan. As UC Care increasingly seems unable to provide low costs, we strongly recommend that the administration independently explore other healthcare plan options in order to maintain our campus's access to PAMF. A separate plan could be created to provide access to PAMF/Sutter, much like that which was created in the past with the recently retired Western Health Advantage Plan, which aimed to increase healthcare access for UC Davis enrollees. During a UCFW meeting in July 2022, it emerged that some progress is possibly being made on this front. We await further information and a more formal announcement.

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.¹⁶ 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.¹⁷ 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 agreement are retroactive to July 15, 2021, returning Dignity Health facilities to Anthem health plans

Consultation with UCSC Healthcare Facilitator

CFW consulted with UCSC Healthcare Facilitator Marianne McIvor in fall 2022. Compensation and Benefits Manager Madlyn Norman-Terrance and AVC and Chief Human Resources Officer Steven Stein were also in attendance. During the meeting, we discussed the challenges of finding primary care doctors that are accepting new patients, and issues with securing timely appointments with established primary care doctors in Santa Cruz. CFW was informed that at the time of the consultation there were no PAMF/UC Care primary physicians that were currently accepting new

¹⁶ Kletzer and Latham to UC Santa Cruz Community, 7/20/21, UC PPO plans impacted by Anthem Blue Cross-Dignity Health Contract Termination

¹⁷ 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

patients, and that there was a similar issue with Blue and Gold/Physician's Medical Group providers with patients having to wait months to see a primary care physician. CFW considers this to be a crisis situation. Although we were additionally informed that our campus is working to bring UCSF primary care doctors closer to campus to increase access, it appears that our campus's access to care continues to erode.

We briefly discussed the high premium costs and instability of the UC Care PPO plan, which is the only PPO plan offered to UC employees, and noted that the plan is currently also the only way for our employees to access PAMF/Sutter providers. PAMF access must be affordable in order to be accessible. The need for a PPO plan that provides coverage out of state was also discussed. CFW will consider how it might advocate on both of these fronts in 2022-23.

IV. Childcare

CFW continues to monitor childcare on our campus as childcare needs have become particularly acute since the pandemic. Due to pending litigation, the building of a campus childcare facility is on hold. There was some progress on improving the back-up care program; however, more needs to be done.

In fall 2021, CFW consulted with former VCBAS Latham on the following childcare issues.

1. Members asked for an update on the building of childcare facilities on campus as part of the Student Housing West project, and were informed that it was still on hold due to legal action.
2. On the back-up care program, CFW expressed concerns on several aspects of the program, including the very limited services offered by Bright Horizons and available to UCSC,¹⁸ the lack of clarity in the information provided to faculty about the total cost and tax implications of using the service,¹⁹ and the lack of information about the usage of the program so far. Accordingly, CFW followed up with correspondence to CP/EVC Kletzer²⁰ to request an expansion beyond Bright Horizons affiliated services, to recommend some specific changes to the back-up care webpage for better transparency concerning costs, and to request quarterly reports on the number of uses of this program and on any reported issues.
3. CFW members raised questions about the affordability of childcare when it is established on campus. It seems that the campus childcare is set to be at market rate for employees, which is not affordable for some. CFW asked for consideration of providing subsidies for faculty, like those for students. Specifically, CFW requested that a workgroup, such as the one previously charged with determining access to the program, be charged to consider what a sliding scale or partially subsidized program might look like for UCSC employees, and provide recommendations for how such a model could be financially supported.
4. CFW requested routine updates on the status of childcare development on campus.

¹⁸ CFW to VCBAS Latham, 11/12/21, Re: Post Consultation - October 21, 2021

¹⁹ CFW to VCBAS Latham, 10/05/21, Re: Back-up Care and Information re: Total Cost to Users

²⁰ CFW to CP/EVC Kletzer, 3/31/22, Re: UCSC Back-up Care Program

CFW to CP/EVC Kletzer, 6/08/22, Re: Your 5/18/22 Correspondence on the UCSC Back-Up Care Program

Following the consultation, CFW was surprised to learn that Chancellor Larive had made the decision to have UCSC continue to provide in-house childcare services once the new center is built, thereby removing Bright Horizons from the childcare program.²¹ CFW regards this as a positive development, and was pleased to hear that due to the work of countless stakeholders and campus workgroups, the program, curriculum, and access policy for the center are ready to go. Prior work by the 2017 Child Care Work Group -- which serves as the guiding principle for the campus childcare program -- was carried out independently from any third-party vendor. CFW members hope that this new development will help to expedite the delivery of campus childcare and not cause further delay.

In winter 2022, CFW made a request to the Chancellor and the CP/EVC to provide immediate remediations for childcare needs.²² The committee suggested that the campus should consider and build on the wealth of ideas and recommendations made by various campus task forces for potential interim solutions for childcare that may be put in place before the long-term facility and program are built. For example, the 2011 Child Care Task Force (CCTF) submitted a supplemental report²³ with more than 10 interim solutions, which included a Fund Dependent Care Assistance Program (Solution #5, which a 2015 staff committee also researched as part of their charge), Vouchers/Reimbursements (Solution #6), and Resource and Referral Services (Solution #7). The supplemental report weighs the advantages and potential issues of each solution and is worth looking into with the current perspective and in greater depth than the 2011 CCTF was charged with.

CFW recognizes that childcare needs have intensified since the COVID-19 pandemic began. The advantages of the solutions in the report may now outweigh the issues of concern that were brought up ten years ago. Thus, CFW urges the administration to consider these potential solutions and other additional possibilities to provide faculty the much needed relief in the near term.

V. Back-up Care

The back-up care program was expanded to some extent in winter 2022 to include out-of-network services beyond Bright Horizons and increase the number of hours provided to faculty. However, faculty were desperately in need of more support, especially those with young children. In the effort to further improve the effectiveness of the program, CFW provided a list of recommendations to CP/EVC in March, 2022,²⁴ including:

1. Adding “How-To” instructions on [the campus website](https://ches.ucsc.edu/back-up-care/)²⁵ for using and getting reimbursed for the out-of-network options of the back-up care program.
2. Conducting a survey at the end of the first year to poll employees on their dependent care needs and their experience with the back-up care program to gauge the usage, understand

²¹ Chancellor Larive to CFW Chair Orlandi, et al., 10/21/21, Re: Preview: UCSC to continue in-house childcare services

²² CFW to Chancellor Larive and CP/EVC Kletzer, 1/13/22, Re: Immediate Remediations for Essential Needs - Childcare and Housing

²³ UCSC Child Care Task Force, Supplemental: Interim Solutions, February 28, 2011

²⁴ CFW to CP/EVC Kletzer, 3/31/22, Re: UCSC Back-Up Care Program

²⁵ <https://ches.ucsc.edu/back-up-care/>

the barriers that kept people from using the program despite a need, and seek general feedback on the program.

3. Consideration of a multi-pronged approach for further strengthening back-up care support. In addition to the program operated by Bright Horizons, CFW recommended a coalition with local care providers as a separate program that jointly contributes to the support system. Rather than relying solely on employees themselves finding an out-of-network provider in the time of need, the campus could provide a stronger infrastructure by seeking agreements from licensed care centers and licensed individual providers to be listed and contacted.

The CP/EVC responded to CFW's recommendations²⁶ and noted that as suggested, the website had been updated with step-by-step instructions, and mentioned plans for a survey in October 2022. However, with regards to CFW's third suggestion for seeking a coalition with local care providers, a suggestion was made that this was not necessary since many employees turn to friends and family for assistance when needed. CFW notes that UCSC has long perpetuated the idea that childcare is an individual's problem and thereby solutions around an individual's available resources are sufficient. CFW strongly urges the administration to address childcare issues and solutions (including the Back-Up Care program) with an institution-based, not an individual-based, approach. CFW acknowledges that not all faculty and staff with childcare needs have family members or friends nearby who have the time or flexibility in work schedule to provide childcare support. CFW continues to urge the campus administration to support the formation of a coalition with local care providers as a separate component to strengthen the support system UCSC can provide to employees. Further, CFW recommends that the campus serve as a liaison to encourage and increase provider participation in the Bright Horizons Back-Up Care network.

VI. Transportation and Parking

The Advisory Committee on Campus Transportation and Parking (ACCTP) met 8 times in 2021-22. Representatives from CFW, the Committee on Planning and Budget (CPB), and a faculty member at large were included in the committee membership. This year, the ACCTP considered short term planning and making adjustments to bus service based on usage. The ACCTP received reports that the TAPS projected operational balance is well sustained. Long term planning included continued research on zero emissions transportation systems and associated costs.

This year, the ACCTP was informed that the campus was successfully able to negotiate an agreement with eBikes to roll out a bike share program. The installation of decks is slated for summer 2022. TAPS is looking into possible subsidies in order to incentivize users. UCSC participation in the program has functioned as a catalyst for other municipalities to participate, including, the City of Santa Cruz, the County of Santa Cruz, Capitola, and Cabrillo College.

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

VII. Retirement

UC Retirement Administration Service Center (RASC)

²⁶ CP/EVC Kletzer to CFW Chair Orlandi, 5/18/22, Re: UCSC Back-Up Care Program

In addition to reports from the University Committee on Faculty Welfare (UCFW), of which Chair Orlandi is a member, the Chair of the Committee on Emeriti Relations (CER) sits as an *ex officio* member on CFW, and brings matters of concern to retired faculty to the attention of the committee. CFW continues to be concerned about the generally poor service provided to UCSC emeriti faculty, retired staff, and their survivors by the UC Retirement Administrative Services Center (RASC). On February 17, 2022, CFW discussed and endorsed CER's *UCSC Faculty Retiree Experience with RASC, 2021 Report Update* (November 5, 2021), which summarized the experiences of UCSC emeriti faculty who retired between January 1 and July 1, 2021. Despite major changes in the management team and organizational structure at RASC, little appears to have improved in terms of the frontline service provided to retirees. The 2021 cohort of retirees continued to experience unreasonably long wait times for information from the RASC call center and secure messaging system, and often received inaccurate answers to their inquiries. They also reported significant delays in retirement processing, with most of those responding that they had yet to receive a pension check several months after their retirement date. Another recurring problem was that retirees were often dropped from their health and dental coverage, with no warning or notice, due to software glitches in the RASC system. CER's update on 2021 UCSC faculty retiree experiences was forwarded to UCFW, which considered the report at its March meeting, but declined to endorse it. However, the report was forwarded to the UCSC Senate Executive Committee, which did endorse it, and sent it forward to the Academic Council, who also endorsed it, and forwarded it to President Drake for administrative action. Anecdotal information suggests that retirement processing times may be improving, but that response times through the call center and secure messaging system are getting worse (with response times of up to a week). Next year's CFW should continue to work with CER to monitor faculty retiree and survivor experiences with RASC moving forward.

VIII. International Faculty Welfare

This year CFW received repeated complaints from several international faculty of severe problems obtaining and retaining visa status to continue working at UCSC. Some faculty members risked being deported because of delays in the processing of their green card. Other faculty members risked losing their health insurance coverage during the pandemic due to issues with the renewal of their visas.

In response to these problems CFW wrote a letter to CPEVC Kletzer,²⁷ and consulted with VPDUE Hughey and AVP/Senior International Officer Becky George on May 12, 2022. The consultation included a general orientation on standard visa issuance processes, and a discussion of current bottle-necks, staff turnover, and recent and planned improvements in the International Student and Scholar Services (ISSS) unit.

The COVID pandemic seems to have created a perfect storm of visa issuance problems. Many embassies and consulates closed and/or processed fewer requests. The US Citizenship and Immigrations Services (USCIS) Department was backlogged, increasing the typical approval time from 6 months to 9 months. In addition, we learned that USCIS removed customer service from its mission, which led to more difficulty in getting answers to standard inquiries.

²⁷ CFW Chair Orlandi to CP/EVC Kletzer, 4/12/22, Re: International Faculty Welfare

AVP George shared that premium processing is available for a fee of \$2,500 to expedite H1B petitions, and a recommendation has been made to our campus departments to pay this fee so that these petitions may be processed in 2 weeks, rather than 9 months. CFW was also informed that the premium process will soon be expanded to J visa petitions. Although either the department or individual scholar pays for premium processing, CFW contends that no individual should have to pay these fees, and strongly recommends a campus standard be created to include these fees in all approvals of international faculty hires (e.g., divisions should set aside \$2,500 to cover premium fees in the case that international faculty are hired.)

Members were concerned to hear about the recent staff turnover in International Student and Scholar Services (ISSS). Staff and business continuity in a unit like ISSS is absolutely essential. As such, CFW was happy to hear that the 2 newly hired Scholar Advisors appear to be interested in staying long term. We were additionally pleased to hear that there will be cross training so that both advisors will be able to assist with H1B, scholar, and student issues.

We understand that a new and improved database was purchased in 2019, which has been customized and will enable scholars to upload documents directly into the database and enable ISSS to communicate directly with scholars through the system, thereby improving workload.

At the time of consultation, CFW was informed that there was no mechanism in place to track and assess problems and get feedback on petitions and ISSS issues that arise. However, during our discussion, it was noted that the new system can timestamp and track timing from filing to approval, and the ISSS team can now look at timelines to ensure that all is going well. AVP George additionally suggested that a survey might also be a good idea and noted that she would speak with her team about the possibility of developing a survey for H petitions. CFW strongly supports both of these proposed methods of evaluation.

With regards to permanent residency petitions, we were informed that UC contracts one of three with outside attorneys approved by the UC. In terms of assessment/evaluation, CFW recommended a tracking system be put in place to assure attorney accountability and follow through. In addition, a feedback system, such as a survey, should be offered to scholars that interact with the attorney.

In sum, there are several faculty concerns in this area and some reasons for optimism. CFW should continue monitoring the situation in 2022-2023.

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 APO Staff, Committee on Academic Personnel (CAP) Chair Stefano Profumo, Professor Steve McKay, Healthcare Facilitator Marianne McIvor, Compensation and Benefits Manager Madlyn Norman-Terrance, AVC and Chief Human Resource Officer Steven Stein, VPDUE Richard Hughey and AVP/Senior International Officer Becky George, Committee Analyst Jaden Silva-Espinoza, Academic Senate Director Matthew Mednick, and Academic Senate Chair David Brundage and the Senate Executive Committee (SEC).

Respectfully submitted,

COMMITTEE ON FACULTY WELFARE

Yihsu Chen

Christopher Connery (*F, W*)

Tsim Schneider (*F, S*)

Gustavo Vasquez

Su-hua Wang

Judith Habicht Mauche, *ex officio*

Nico Orlandi, Chair

August 15, 2022

COMMITTEE ON INFORMATION TECHNOLOGY

Annual Report, 2021-22

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 2021-22 academic year was largely focused on providing guidance to the administration and UCSC community on university and systemwide IT issues as described in the following report. Summaries of major work may be found below. Representatives from CIT additionally served on the University Committee on Academic Computing and Communications (UCACC), the Vice Chancellor for Information Technology (VCIT) Search Advisory Committee, and the VCIT Recruitment Senate Executive Committee Subcommittee.

Senate Survey on IT Priorities

In spring 2022, CIT launched a survey to help identify pressing technology needs. The survey was sent to Senate faculty (including Emeriti) and Adjunct Professors. Response rate was 27% with even distribution across divisions and a greater proportion of Full Professors compared to other ranks. The vast majority of respondents support ongoing maintenance of basic productivity software such as Microsoft, Adobe, and Google products. Beyond that, needs vary significantly across divisions. The survey indicated that many faculty are not aware of all of the software options available to them. In terms of hardware, 55% of all faculty (strongest majorities in BSOE and PBSci) require the use of specialized hardware or cloud computing. Of those faculty, 39% reported that in terms of research, it was either important or essential that their hardware be located on campus as opposed to an off-site data center. Across campus, 53% of faculty reported that they do not have enough space or a long-term solution for data storage (31% were not sure about capacity). More than a third of faculty are publicly sharing their data in a variety of ways, suggesting that university-wide best practices would be useful. Whereas 58% of faculty reported little need for technical support on data management in the proposal stage of research, survey results indicated that more support is needed in the implementation stage. The campus IT services most essential to faculty are wireless connectivity (94%), software licensing (94%), network bandwidth (91%), access to IT support staff (88%), and data security (82%). The lowest rates of satisfaction are with the university websites, computer hosting, high performance computing clusters, and wireless connectivity in some areas of campus but not others.

Collaboration with the Vice Chancellor for Information Technology

Following the departure of former Vice Chancellor for Information Technology (VCIT) Williams, CIT invited Interim VCIT Byron Walker to be a standing guest for a segment of each of the bi-weekly CIT meetings. During the 2022-22 year, iVCIT Walker updated the committee on many Information Technology Services (ITS) activities, including proposed IT governance committee charters and workflows, plans for moving computer hardware to the offsite colocation facility, the UCSC website redesign project, VCIT recruitment, and provisional IT governance committees.

Charters for Campus IT Governance Groups

In the spring 2022, the Academic Senate received a request to comment on the draft charter for a proposed Technologically-Enhanced Teaching and Learning Advisory Committee. Although CIT recognized the urgent need for an IT advisory committee dedicated to teaching and learning, members were concerned about the timing of establishing any new governance committees before the imminent arrival of the campus' new VCIT. CIT members would like to see incoming VCIT Aisha Jackson's input and signature on the charge of a committee that she will be executive sponsoring. Further, in its committee response¹, CIT raised concerns about the lack of specificity in the enumerated charges of said committee, and the lack of Senate representation on the proposed membership roster. Given that instruction and curriculum falls squarely within the Senate's purview of shared campus governance, any such committee should have explicit and broad Senate representation. Further, CIT noted that Chancellor Larive had recently asked that the Information and Technology Executive Steering Council be reorganized and reconstituted. The Executive Steering Council was originally designed to provide recommendations to the Chancellor, CP/EVC, and VCIT on IT strategy, investment prioritization, policies, and principles, and was designed to act as an executive funnel by which the recommendations and concerns from other IT campus committees would be directed. CIT has been informed by iVCIT Walker that the charter for this revised group is currently pending. As such, CIT raised concerns that proposing new campus IT committees with individual purviews before the charter of a new IT Executive Steering Council is established would essentially be akin to drawing the cart before the horse. CIT contends that the proposed relationship of all campus IT committees to the IT Executive Steering Council should be clearly referenced in all IT committee charters. CIT concluded its feedback by acknowledging that there may be pressing IT concerns that cannot wait for the arrival of the new VCIT, and in that case CIT recommended that a temporary ad hoc committee be convened to assess and provide appropriate recommendations in the interim.

CIT additionally provided feedback to iVCIT Walker on the draft charter for a proposed Committee on Research Computing and Data Infrastructure². CIT recognized the urgent need for an IT advisory committee, but questioned the timing of the proposed establishment, and once again raised concerns about the lack of Senate representation in the membership roster, and the lack of explicit details about the roles and responsibilities of the committee, including its relationship to the IT Executive Steering Council.

UCSC Website Redesign Project

In 2017-18, CIT was informed during a consultation with ITS and University Relations staff that the UCSC main website would be undergoing a major redesign³. At that time, and every year since, CIT has recommended and requested that a formal request for Senate feedback be made on the proposed plans.

¹ CIT Chair Alvaro to Senate Chair Brundage, 5/03/22, Re: Technology-Enhanced Teaching and Learning Advisory Committee

² CIT Chair Alvaro to iVCIT Walker, 6/17/22, Re: Draft Committee on Research Computing and Data Infrastructure Charter

³ CIT Chair Robertson to Turner, Silva, and Knight, 1/23/17, Re: CIT Consultation on 11/15/17

In May 2021, former CIT Chair Leila Takayama made yet another request for full Senate review, this time both to then VCIT Van Williams, and Vice Chancellor of University Relations (VCUR) Mark Delos Reyes Davis.⁴ The memo included explicit details regarding what the Senate would be interested in knowing/reviewing, and the appropriate process for initiating the review. Former VCIT Williams confirmed by email on May 21, 2021 that a formal review would be presented to the Senate, expected in fall of 2021.⁵ A few days later, CIT received official correspondence from VCUR Davis and VCIT Williams stating that with the recent arrival of VCUR Davis and the recent hiring of a new IT Chief Experience Officer, they were in a process of reestablishing the project implementation structure and goals. The memo noted that the two divisions would seek consultation with Senate Leadership in late summer, or early fall 2021.⁶

In October 2021, in an email response to an offer from VCUR Mark David to consult with CIT and provide an informal update on the progress of the redesign project, CIT again reiterated the request and need for a full and formal Senate review. In February 2022, in response to a request from Chief Experience Officer Phyllis Treige to provide an update, CIT Chair Alvaro again reiterated the request.

A formal request for Senate feedback was ultimately received on May 11, 2022, after the standard May 1 deadline for new Senate business. The proposal was less comprehensive than CIT expected, and suggested that a significant number of decisions have already been made without any stakeholder feedback. Perhaps most notably, it appears that WordPress was chosen as the platform in 2021, despite CIT's position (stated since 2017) that a decision should not be made without Senate feedback.

Senate Chair Brundage communicated to VCUR Davis, iVCIT Walker, Chief Experience Officer Treige on May 18, 2022 requesting a delay of the development plans in order to perform a comprehensive Senate review in fall 2022. In his response, received on June 8, 2022,⁷ VCUR Davis communicated that due in part to changes in leadership since the redesign project began, the scope of the project has changed significantly. In addition, the strategy for rollout has become less top-down and more incremental, with individual campus units proceeding at different paces. He favors making a fresh start at Senate consultation, dividing the website redesign project into two sub-efforts: the UCSC Gateway Website, for which the principal stakeholders are end users such as prospective students, and the Enterprise Web Service, whose principal stakeholders are content creators such as faculty. VCUR Davis proposed that the nature of Senate consultation be specifically through providing feedback on a draft survey to gather feedback from internal stakeholders, visitors to the UCSC gateway website, and website managers.

The UCSC website is the face of many areas that are within the Senate's purview such as academic programing, graduate student recruitment, outreach, program requirement, research, etc. As such,

⁴ CIT Chair Takayama to VCUR Davis and VCIT Williams, 5/13/21, Re: Senate Consultation on UCSC Website Redesign

⁵ VCIT Williams to CIT Chair Takayama, 5/21/21, Re: CIT: Request for Senate Consultation - UCSC Website Redesign

⁶ VCUR Davis and VCIT Williams to CIT Chair Takayama, 5/27/21, Re: Campus Website Redesign

⁷ VCUR Davis to Senate Chair Brundage, 6/08/22, Re: Web Improvement Program Update

and in the spirit of shared governance, CIT reiterates that it is essential that the full Senate be consulted on the major plans associated with the project, particularly given our long history of requests for review. This is an important issue for the Senate, and as the recent ITS Priorities Survey revealed, a key concern across all UCSC faculty.

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.

CIT recognized 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, after consultation with then VCIT Van Williams, CIT wrote to Chancellor Larive and CP/EVC Kletzer to lay out the issue with associated systemwide, campus, and Gmail policies, and offered a list of possible policy/procedure solutions.⁸ 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. In summer 2021, Chancellor Larive met with Senate, IT leadership, and Campus Counsel to discuss, and charged a working group to address the issue.

Regrettably, no policy proposal was submitted to the Senate for review in the 2021-22 academic year. In consultation with iVCIT Walker, CIT has learned that the working group has met and is close to finalizing its recommendations. Much of the policy effort this year was legal in nature, and iVCIT Walker has indicated that from an IT perspective, the policy should be straightforward to implement. CIT expects to see a formal request for Senate review in fall 2022.

Incoming VCIT

With the departure of the former Vice Chancellor for Information Technology Services (VCIT), Van Williams, who is now the new chief information officer for the UC system, the campus initiated a search for a new VCIT in the fall of 2021. Members of CIT actively engaged in the search process, including the service role of Prof. Yuan Ping as a member of the Search Advisory Committee (co-chaired by University Extension Dean PK Agarwal and Vice Chancellor of University Relations Mark Davis) and the service role of Prof. Jerome Fiechter as a member of the VCIT recruitment SEC subcommittee (chaired by the UCSC Academic Senate Chair David Brundage). These two members of CIT were directly involved with the search process in terms of screening top candidates, participating in group discussions during the screening process, participating in the town hall meetings and interviews with the top candidates, and submitting a report to the Chancellor with summary evaluations. On April 5, 2022, the campus announced Aisha Jackson as the incoming VCIT, who will assume office in August 2022.

⁸ CIT Chair Takayama to Chancellor Larive and CP/EVC Kletzer, 6/14/21, Re: UCSC Email Access Post Mortem

Transition to Collocation Facility for HPC computing

A transition to a collocation facility (colo) is underway to meet existing and projected demand for high performance computing (HPC) research on campus. The UCSC data center, except for equipment that logistically cannot be moved to the collocation facility, is planned to close by 2024. CIT recommends that ITS establish an ad hoc committee charged with collaborating with faculty relying on HPC for their research to establish guidelines for equipment hosted at the collocation data center as soon as possible. These guidelines should at minimum include information on (1) colocated equipment lifetime (i.e., sunseting), (2) range and detailed cost of ITS services for installation and support of colocated equipment, and (3) expected timeline and required steps between equipment being received on campus and equipment being in production mode at the collocation facility. Clear guidance on costs and timelines will improve faculty confidence and buy-in with regard to their HPC equipment being placed in the collocation facility.

Recommendations for CIT in 2022-23

- Transition with new VCIT - Participate in Senate onboarding/shared governance.
- IT Governance Charters - Monitor - Should be linked with re-envisioned Executive Steering Committee (rosters should include Senate and faculty at large representation)
- Post Mortem Email Access - Monitor - iVCIT informed should have campus plan/policy for Senate review in near future.
- Monitor move to colo amidst survey results showing few faculty willing to give up ad hoc data storage on campus.
- Website Redesign - Monitor request for feedback on stakeholder survey.

Acknowledgements

The CIT acknowledges and thanks iVCIT Walker for his collaboration this past year, as well as Assistant Director for Assessment and Survey Research Anna Sher and Survey Research Analyst Randy Uang for their insights, expertise, and support on the ITS Priorities survey. CIT would especially like to thank Senate Analyst Jaden Silva-Espinoza for her truly exceptional guidance, support, perspective, and patience throughout the 2021-2022 academic year.

Respectfully submitted,

COMMITTEE ON INFORMATION TECHNOLOGY

Jerome Fiechter

Melissa Jurica

Dongwook Lee

Heiner Litz

Adriana Manago

Yuan Ping

Zac Zimmer

Peter Alvaro, Chair

Animesh Tiwary, SUA Rep.

Samantha Shears, GSA Rep.

August 6, 2022

COMMITTEE ON INTERNATIONAL EDUCATION

Annual Report, 2021-22

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 engaging with and reviewing proposals from Global Engagement related to internationalization initiatives, collaboration with the administration on global seminar (formerly faculty led study abroad) proposal reviews, and consultations related to international student admissions, enrollment and success.

Campus International Student Center

CIE's collaboration with the Division for Global Engagement (GE) on efforts for a campus International Student Center began last year (see CIE Annual Report 2020-21), and included CIE review of GE's planning to make the space a reality. During 2020-21, CIE consulted with Assistant Vice Provost (AVP) George for updates on the efforts to secure a space and open the International Center, and also sent out communications to Campus Provost and Executive Vice Chancellor (CP/EVC) Kletzer (4/6/21) and Chancellor Larive and CP/EVC Kletzer (6/4/21) in support of the center. Throughout 2021-22, CIE continued to work with GE and consulted about how to best support GE efforts to secure space and funding for the center. During winter quarter, CIE consulted with Vice Provost for Global Engagement (VPGE) Richard Hughey and AVP Becky George, who shared a draft proposal for the International Center. CIE requested and received additional budgetary information related to the proposal. In its response (CIE to VPGE and AVP, 12/13/21), the committee reiterated its broad support for the proposal, and expressed enthusiasm for continued collaboration with GE, including about how CIE could continue to advocate for the International Center. CIE provided some substantive feedback on the proposal and its budget, and was pleased that the GE proposal included CIE's recommendation for an advisory committee with various stakeholders, as CIE strongly agreed this was a critical piece of the planned center's governance. CIE also suggested it would like to see more details about aspects of the proposal (including staffing plans) and also suggested that GE request broader Senate review (Committee on Planning and Budget, Senate Executive Committee, and perhaps other committees). AVP George quickly responded to CIE's feedback, and CIE reviewed the revised information. In its communication (CIE to VPGE and AVP 1/19/22), the committee expressed appreciation for the GE response, and noted that two additional question areas remained, regarding the plan for recruitment of the advisory board, and the next steps toward securing funding. CIE also again recommended that the proposal be circulated for Senate comment, at least to CPB and SEC. GE subsequently requested broader Senate feedback on the proposal. By the end of the academic year, the planning for the International Center was still ongoing and the timeline for launch was unclear. During a final consultation of the year with VPGE Hughey and AVP George, they communicated that GE was still waiting to hear outcomes regarding a potential space and funding for the Center, though there was still hope of launching in fall 2022. CIE expects that any outcomes will be communicated in the new academic year, and CIE plans to continue to collaborate with GE on this issue, beginning early in fall quarter.

Review of Global Seminar Proposals

CIE received and reviewed two global seminar proposals (recently rebranded from faculty-led study abroad proposals). Given the ongoing COVID-19 pandemic, submissions for global seminars are still lower than would have been otherwise expected. CIE reviewed the proposals through use of its standard criteria, and guided by its agreement that these courses are 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; as usual this aspect is 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.

Of the two proposals reviewed, one was recommended for course development and one was not recommended as proposed, though CIE encouraged revision and resubmission (CIE letter dated 2/25/22). On second review of the latter proposal, CIE, recommended it for approval, with a few remaining reservations (CIE letter dated 4/19/22). This year, GE/CIE resumed joint review of the proposals after the first round of committee review, which took place at the end of winter quarter, with AVP George and Study Abroad Director Michel and the full committee (3/8/22).

CIE provided feedback on the Global Seminars timeline early in the fall. The call timeline has shifted to an earlier fall deadline, and CIE anticipates that this change will better support faculty intending to submit a proposal. CIE anticipates that global seminar proposal submission deadlines in early January will continue, allowing CIE to review proposals during winter quarter and faculty proposers to be informed by spring quarter of GE decisions.

This year, VPGE Hughey requested CIE, CCI, and CEP comment on a proposal that would allow course sponsoring agencies to submit some Global Seminars as course revisions rather than have all study abroad courses offered for the first time be reviewed as new courses (even if they had been offered on campus in previous quarters). Prior to this review, all new study abroad courses were reviewed as new courses. The responding committees issued a joint response (2/18/22) and agreed that a course with the same number of credits, GE designations, learning objectives, and academic content should be reviewed as a course revision in the CAT system. This would require some work between CCI and the Office of the Registrar. The joint communication noted it would like to see the process require department chair confirmation that a course revision, and not a new course, is the appropriate pathway. Courses with an increased number of units or variation in content must be submitted as a new course. Courses not previously recommended by CIE/Global Engagement will still need to be reviewed by CIE/GE, to ensure that CIE review criteria are met. A slightly revised review procedure that incorporates the agreements and that ensures that CCI is copied on GE recommendations and communication about courses recommended for CCI approval was also outlined in this communication.

During summer 2022, the CIE and CCI chairs were informed about issues involving a breakdown in support for instructors for two Global Seminar courses. This situation raised serious concerns about available support for instructors, graduate student instructors, and students taking the course.

Faculty raised the issue with both GE and CCI/CIE. Once the concern was brought to CCI/CIE, the committee chairs were also in communication with GE to ensure that there was sufficient support for the course (on the ground third party provider as well as GE support). In addition, the Chairs determined a need for further engagement between CCI and GE on the process for review of any course change requests along with post-review of courses more broadly. Requests for changes initiated after a course has been approved can be strengthened and the process formalized to ensure that CCI is provided with all of the relevant information needed to decide on any proposed changes, and that CCI has access to all relevant information in order to review these requests. CIE will collaborate with CCI next year on a set of recommendations and guidelines for requests for changes and exceptions, as well as review of existing reporting/assessment requirements for study abroad courses post-offering.

International Enrollment and Recruitment

CIE annually consults with Associate Vice Chancellor for Enrollment Management (AVCEM) Michelle Whittingham on international recruitment, admissions, and enrollment related issues. This year, the committee was interested in learning more about planning for international admissions within the context of continuing COVID-19 impacts and restrictions. AVC Whittingham shared information on international undergraduate enrollments and targets, recruitment/yield plans, and collaboration with Global Engagement on recruitment efforts. AVC Whittingham also shared some demographic data by gender and division, provided after the consultation and in response to questions during the consultation. The committee was very interested in the information provided and engaged AVC Whittingham in questions about diversifying the applicant pool in terms of geographic region, gender and fields of study.

International Student Welfare and Success

The committee's interest in international student welfare and success imbues many aspects of CIE's work, as is evident in other sections of the report. This year, the committee consulted with Vice Provost and Dean of Graduate Studies (VPDGS) Peter Biehl, new to the campus this year, for a focused conversation on international graduate student education and success. While oversight of aspects of student success are shared by different divisions on campus, consultation with the VPDGS provides a critically important view into international graduate student experiences. CIE focused its questions to VPDGS Biehl on his plans and vision for international graduate education, including funding, international graduate student specific programming, and his thoughts on the possibility of an International Student Center. VPDGS Biehl discussed his background and support for international education and also took some time to discuss some of the planned work of the Implementation Task Force for Inclusive Excellence in Graduate Education.

This year, CIE also had the opportunity to review a proposal from VPDUE/VPGE Richard Hughey on undergraduate academic integrity policy and a new academic integrity office. One aspect of CIE's feedback on this proposal, from its purview of international education, focused on seeking additional information about an issue the committee has heard about anecdotally—that there are significant numbers of international students involved in cases of academic integrity on our campus. Given that, CIE agreed that there should be resources provided for international students to better understand the expectations of academic work and writing, but also expressed interest in seeing the data on international students and academic integrity cases. CIE received a draft report that analyzed some of this related data. The report focused on College 9 and then-College 10 cases

from 2016-20. CIE was interested in seeing campus-wide data, covering both undergraduate and graduate cases. CIE will consider next year whether to explore this issue further in 2022-23.

CIE Representation

Chair Hankamer served on the systemwide UCIE committee.

CIE Consultations

In addition to the consultations discussed above with VPDGS Biehl (4/12/22) and AVCEM Whittingham (5/10/22), CIE also consulted with Global Learning Director Michel (11/16/21) on topics related to Study Abroad, as well as quarterly with VPGE Hughey and AVP George (11/2/21, 2/22/22, 5/24, 22) on various topics related to international education.

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:

- Course Numbering Options for UC Santa Cruz Faculty Led Global Seminars (CCI/CIE/CEP Joint Response February 2022)
- Undergraduate Academic Integrity Policy and New Office Proposal (March 2022)
- Review of Instructor Eligibility: Global Seminars (April 2022)
- VPDUE Final Report for the Summer Campus Initiative (April 2022)

Continuing Issues for CIE in 2022-23

- Continue to engage with Global Engagement on a model of collaboration that enhances communication and shared governance on issues related to international education
- Continue to engage in conversations about strategic planning process outcomes and implementation planning, including investment in internationalization initiatives within campus budget constraints;
- Continue monitoring and collaborating with GE on efforts for an international student lounge/resource center
- Continue collaboration with administration (and CCI as needed) in review of global seminars (formerly faculty led proposals)
- 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

Anjali Arondekar

Rebecca Braslau (*F, S*)

Kent Eaton

Lars Fehren-Schmitz

Slawomir Tulaczyk

Fitnat Yildiz (*F, W*)

Jeremy Hourigan, *ex-officio*

Jorge Hankamer, *Chair*

James Read, GSA Rep.

August 31, 2022

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

Annual Report 2021- 22

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) is charged with advising the campus administration on local and systemwide library and scholarly communication policies. Scholarly communication refers to the multi-faceted modalities by which research and creative work are made public and encompasses issues related to publishing, technology, archiving, and copyright. The committee also advises on the administration of campus libraries and on matters concerning acquisition and management policies for collections. The committee meets biweekly to support this charge and to better understand and learn about the challenges and opportunities facing our libraries. Below we summarize our actions for the 2021-2022 academic year.

I. Library Budget, Collections and Space Orientations

Based on the precedent established in 2019, the first meetings in the fall were orientations. Associate University Librarian for Planning and Resource Management (AUL), John Bono, provided an overview of the library budget. This helped the committee to gain a basic understanding of the library budget, including funding levels, spending and how the budget is organized. The library budget is divided into two categories: collections and non-collections funds. Members expressed interest in understanding the differences in library budgets across the UC system. AUL Bono advised that currently the Campus Provost/Executive Vice Chancellor allocates funds to the library based on the prior year. COLASC members were concerned that funding is not based on student enrollment and that this will strain the library as campus grows. Associate University Librarian for Collections and Services, Kerry Scott, also spoke to the committee and provided an overview of the library's acquisitions (what the library buys or licenses) and access (how the library makes what we have not bought or licensed accessible to the campus community) strategies. She discussed three considerations when thinking about issues of acquisition and access in relation to budget (constraints & stewardship), collective collection, and scholarly production & communication (including open access or OA). She also discussed the manner in which the library manages demand-based acquisitions, including detailing the process through which both students and faculty can request the library to acquire materials. There was some discussion about the ways in which the library had navigated the pandemic, working to provide as much access as was possible through the acquisition of licenses and through the Hathi Trust Collection. Members noted the benefits of the "Book Reserves Form" located on the library website.¹

II. Physical Access to Library Collections Post COVID

Students and faculty were able to physically access the library beginning July 1, 2021. Due to staffing shortages, hours were not back to pre-pandemic levels during finals week. COLASC may want to inquire regarding staffing and hours in the future.

¹[Book Reserves Form and Media Reserves Form](https://library.ucsc.edu/services/reserves/book-reserves-form), <https://library.ucsc.edu/services/reserves/book-reserves-form>

III. Open Access and Open Educational Resources

The past two years have seen major developments in opportunities for open access (OA) publication. The most striking took place in March of 2021, when the University of California (UC) concluded a “transformative open access agreement” with Elsevier, the world’s largest academic publisher. There have been other such transformative agreements since, including two major ones that were announced this year: a pilot agreement with Wiley (University of California Santa Cruz is one of five UC campuses selected for this one-year pilot agreement) and an agreement, reached by the UC system along with the California State University system and Statewide California Electronic Library Consortium (SCELC), with the American Chemical Society (ACS), the fourth largest publisher of scholarly journal articles by researchers in the UC system. The general nature of these transformative agreements is to direct library funds which previously have gone to journal subscription fees to instead pay for open access publishing, while still maintaining full UC access to the journals in question. But the details are complex, and there remains much confusion and concern among UC researchers about exactly how the new system will work.

In light of this, and in light of the increased interest generally in OA publishing and in open educational resources (OER), COLASC spent most of this year investigating and helping to spread information about options in these areas. This process began with a presentation by Scholarly Communication Librarian Martha Stuit. The presentation included available author services, consideration of the changing publishing landscape, description of library support for graduate students as new authors, and ample time for questions. Members determined that it would be beneficial to share this information more broadly with faculty.

COLASC members settled on the idea of a workshop via Zoom for faculty and graduate students. As reflected in its playful title, “How I Learned to Stop Worrying and Love Open Access,” the 90-minute workshop aimed to make open access more appealing and accessible to a varied faculty audience. Held on May 6, 2022, the workshop combined a general overview of UC open-access policy with a tour through opportunities open to UCSC researchers.

The first half of the workshop served as an introduction. UCSC’s Scholarly Communication Librarian (SCL), Martha Stuit, guided attendees through today’s publishing landscape, resources at UCSC and a summary of relationships with publishers, author’s responsibilities, the different types of OA (Green, Diamond/Platinum, and Gold), and long-term open access issues. SCL Stuit emphasized the benefits of open access for faculty, including more readers, increased citations, and copyright retention, as well as meeting funder requirements for OA publishing, where these exist. SCL Stuit also discussed the benefits to others: no barriers to reading, no barriers to use in teaching, the fulfillment of UC’s public mission, and a general public good. SCL Stuit’s broad takeaways included the following (drawn from SCL Stuit’s slides): (1) The publishing landscape is a big, flawed system, and not any one person can change it. Advancing open access will require all authors and libraries working together. (2) UC is making huge strides to move toward open access, and everyone at UCSC has a role to play in that effort. The system is pursuing new “transformative” agreements with publishers (which can have a large impact on the publishing landscape as a whole, given our large size), and is offering other new open access options. (3) Authors have a voice and choices in their publishing decisions. They are publishing open access in a variety of ways when it is possible and makes sense for them. (4) OA policies, publisher

agreements, discounts, and support allow authors to consider when and how to open up their research and scholarship.

The SCL's presentation was followed by a panel of researchers who shared their experience with open access publication. In choosing panelists, the committee sought to represent a spectrum of experiences with open access, not just across different disciplines, but also different forms of publication.

The first panelist was COLASC member Kyle Parry, Assistant Professor of History of Art and Visual Culture at UC Santa Cruz. Kyle focused on his experiences in the humanities as well as the challenges of open access for scholars working in fields with image permissions and cultural protocols around the use of certain images. Kyle and his co-editor were able to make their book, *Ubiquity: Photography's Multitudes*, open access by combining three grants, one from UC Santa Cruz's Arts Research Institute, one from Northwestern University (where the co-editor was a doctoral student), and one from Katholieke Universiteit Leuven's library.

The second panelist was Rachel Holser, Assistant Research Biologist at the University of California, Santa Cruz. Holser emphasized experiences in working with one of the UC's transformative agreements as well as the barriers to access to scientific research along geographic and economic lines. Holser recently published an open access paper in *Proceedings of the Royal Society: B* thanks to UC's Transformative Open Access Agreement with the Royal Society, and has contributed to publications in a number of OA journals, including *Science Advances*, *Frontiers in Marine Science*, *Frontiers in Physiology*, and *Animal Biotelemetry*.

The third panelist was Fernanda Ferreira, Professor of Psychology and Member of the Graduate Program in Linguistics at the University of California, Davis. Professor Ferreira discussed the opportunities and challenges in open access with respect to the establishment and editing of journals. Ferreira previously served as Editor-in-Chief of the *Journal of Experimental Psychology: General* and recently helped found a new Open Access journal called *Glossa Psycholinguistics*, which is hosted on the University of California's platform eScholarship. Professor Ferreira is a member of the Linguistics Panel of the National Science Foundation and currently a standing member of the National Institutes of Health Study Section on Language and Communication.

Finally, the fourth panelist was Katie Fortney, Copyright Policy & Education Officer with the California Digital Library. Fortney discussed open access from policy and university perspectives. Fortney provides the UC campus libraries and their communities with educational resources and policy guidance on copyright and rights-management issues, particularly those related to the CDL's scholarly research and publishing services via eScholarship and special collections access platforms like Calisphere and the Online Archive of California. She supports the UC open access policies through her work as part of the Office of Scholarly Communication, and maintains the UC Copyright website as part of her role on the Standing Subcommittee for Copyright Policy of SLASAC (Systemwide Library and Scholarly Information Advisory Committee).

In reflecting on the workshop, the committee agreed that it, in spite of a somewhat smaller attendance than hoped, it was an overall success, with several of the attendees asking pertinent

questions and clearly learning from the presentations and panelist discussions. As the workshop was recorded, much of it will be available for review for anyone interested.

IV. Consultations

On November 18th, Angela Cline, Director, Business and Financial Analysis and other guests gave a presentation summarizing the upcoming changes to the Bay Tree Bookstore, now to be called the Bay Tree Campus Store. The presentation included a preview of the Akademos platform which has been selected to replace in store purchase of textbooks. The platform works on mobile and laptop devices. Students can access it, using their current credentials, from either a course Canvas site or a direct URL, ucsc.textbookx.com. The platform will display enrolled courses for the student and show required and optional material for each course. It offers new, used, rent and digital purchase options, as well as a marketplace which links to sellers or other students across the country. There is an eLibrary to make eBook and other courseware purchases easier to access. Select students may be able to use Third Party Aid for payment. Students can contact txtbooks@ucsc.edu with any questions. Customer service and support is provided by Akademos, as well as a UCSC Course Material Strategist. The platform also displays the price for each item on Amazon and provides a link, since students will be comparing anyway. The physical book store will be for campus merchandise. The COLASC undergraduate student representative inquired about how the marketplace feature can support small business bookstores. The university librarian representative inquired about links to the library catalog and materials that are free to students. The university librarian representative had concerns that free library resources need to be more prominently displayed. Some members seconded this concern, and suggested some simple changes to improve this. Akademos staff advised that the Amazon price can be shown but not linked. The COLASC undergraduate student rep advised a “Shop Local” banner could be added that stands out to reflect the values of campus. Some but not all members felt such changes were needed. Members were concerned about interface issues. COLASC may want to follow up on the success and challenges that arise following broad implementation. Other guests in attendance for the consultation included: Doug Lang, BTB Director; Russell Markman, UCSC Project Manager; Chris Kesicke, Director of Business Development Akademos; Cecelia Noble, Director of Business Development Akademos; Hattie Linam, Client Success Manager Akademos.

Following this consultation COLASC members attended several Implementation Committee meetings (and subcommittee meetings) but not all. Members noted that adoption of the new platform was gradual and detailed guides were created to assist faculty and students. Members were glad to see that library resources were made clear but remained concerned regarding the prominence of OER, book prices, and student privacy.

On March 31st, 2022 Community Archivist, Rebecca Hernandez, consulted with COLASC regarding her newly created role (which was established following the retirement of the Regional History Project director). Hernandez explained what a community archive is, outlined the role of a community archivist, and discussed opportunities for the program in future. The program hopes to document the memory of local groups often left out of traditional archives. COLASC is pleased to see the library moving in exciting new directions and looks forward to future updates.

On April 28th, 2022 Katharin Peter, Library Head of Research Support Services, was invited to talk about the Online Learning Librarian recruitment and Daniel J. Story, Digital Scholarship

Librarian, also discussed the library role in remote learning during the pandemic. This consultation served to inform COLASC of past and future online learning opportunities and issues. The Library recruitment for an Online Learning Librarian has concluded and Sheila García Mazari began August 1.

During the pandemic, the library found that helping faculty and students access online materials required a different approach. Changes were made to the library website to streamline student searches and support faculty goals of low/no cost educational resources. The library supported instructors in developing digital assignments which paired well with online learning: digital mapping, podcasting, and video essays. Instructors have increased web-based assignments, including digital exhibits and story maps. The library is also involved in the digital instruction project run with Online Education (OE) and CITL. Remote learning removed some physical limitations and allowed for a shift from collections focused to expertise focused teaching. The Library has also completed recruitment for an Undergraduate Engagement Librarian, Laura Aguilera (as of July 13th) to help shape the first-year experience, exploring how the library can help introduce new students (especially first generation and minoritized students) to academia. The Library is looking for ways to engage with faculty on open educational resources (OER).

COLASC Members discussed these updates and one member recalled the library's assistance in helping find an OA textbook significantly reducing materials costs for students.

V. LAUC Reps on COLASC

In the past, LAUC (the Librarians Association of The University of California) has been represented on our committee by its Chair and Chair-elect, who were invited to sit with COLASC; this arrangement was reflected both in our bylaws and in the LAUC bylaws. LAUC recently changed their bylaws to allow for greater flexibility, and COLASC discussed changing our own bylaws to match. The proposed change was to replace "The Chair and Chair-elect of the UCSC Librarians Association are invited to sit with the Committee" with "Two representatives from the UCSC Librarians Association are invited to sit with the Committee." COLASC approved this change at its January 13th meeting. The change was later reviewed by the Committee on Committees and the Committee on Rules, Jurisdiction, and Elections (CRJE). CRJE made minor wording recommendations which COLASC approved. The change was voted on and approved by the Academic Senate at the March 9th Senate Meeting.

VI. Membership in ARL

COLASC was pleased that, following a rigorous application process, the UCSC Library joined the Association of Research Libraries, effective January 1, 2022. As their website states, the ARL "is a membership organization of libraries and archives in major public and private universities, federal government agencies, and large public institutions in Canada and the US. [The ARL] advocate on research libraries' behalf, convene our research and higher education partners, share intelligence on current issues, and develop the next generation of diverse library leaders." COLASC congratulates the Library on this achievement.

VII. Science & Engineering Library Tour

On May 12, 2022 COLASC members toured the ongoing renovations to the Science & Engineering Library. Greg Careaga, who is the library representative on the projects, and Kristy Golubiewski-Davis, the Head of Digital Scholarship, guided committee members and answered questions on the renovations.

The renovations included in the tour included the Active Learning Classroom and the new Information Commons on the main (middle) level. These renovations began in 2017, and the Hispanic Serving Institution Science, Technology, Education, and Math Hub opened in 2019. On the Sandra M. Faber Floor (upper level), COLASC members were shown the increased seating capacity for students (now 440 chairs), improved access to electricity for all seats, and four new reservable group study rooms. This floor opened on January 10, 2020. On the lower level, COLASC members observed the library's Digital Scholarship Innovation Studio, compact shelving that will allow the library to better maintain and grow its print collections, and a new lactation room. This portion of renovations were still in progress at the time of the tour. All floors included improved ADA accessibility; non-gendered bathrooms; acoustic ceiling tiles and panels; new carpets, paint, and furniture; and upgraded HVAC (ventilation) systems.

VIII. Reviews

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

Systemwide

- (Second Systemwide Senate Review) Proposed Presidential Policy on UC Research Data, May 13, 2022

Divisional

- UCSC Cruz Pilot Support Structures for Free Speech and Protest, November 12, 2021
- Planning for WASC/WSCUC Accreditation - Request for Theme Suggestions, June 1, 2022
- SEA Change Bronze Award Narrative and Action Plan Draft, June 1, 2022

IX. Recommendations to COLASC 2022-23

- Further action to take following the OA workshop. Survey of faculty, report?
- Consider other ways faculty can further OA publications?
- Invite Bay Tree Campus Store leaders to consult and provide a progress check regarding the online course materials platform.
- Communicate broadly library resources to faculty and students and share with other COLASCs.
- Library events calendar promotion.
- Recommend that the new faculty orientation includes library introduction. Consider if an event to reorient faculty on library resources is needed.
- Science & Engineering Library Tour follow up and inform faculty of resources.
- Follow up on the Proposed Presidential Policy on University of California Research Data outcome.
- Consider a consultation regarding library instructional/information literacy work and collaboration with the Writing Program.

COLASC would like to thank Scholarly Communication Librarian Martha Stuit and the OA workshop panelists for their contributions.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

Margarita Azmitia, Psychology (*W, S*)

Martin Deveck, Literature (*F, W*)

Jeffrey Erbig, Latin American & Latino Studies

Madhavi Murty, Feminist Studies

Kyle Parry, History of Art/Visual Culture (*W, S*)

Elizabeth Cowell, University Librarian, *ex officio*

Daniel Story, LAUC Chair, *sits with*

Martha Stuit, LAUC Chair-elect, *sits with*

Abe Stone, Philosophy, Chair

Morgan Gardea, Senate Analyst

Jacob Abrahams, GSA Rep.

August 31, 2022

COMMITTEE ON PLANNING AND BUDGET

Annual Report, 2021-22

To: Academic Senate, Santa Cruz Division:

Overview

In the midst of multiple global crises, this past year also brought systemic changes to three revenue streams that benefit UC Santa Cruz and might fundamentally shift our campus approach to planning: increases in the state budget; increases in undergraduate tuition at cohort levels; and adjustments to the UC rebenching model, which determines how state monies flow to UC campuses. Additionally, UC achieved historically unprecedented gains through its investment portfolios. In the fall of 2020, however, UCSC was bracing for a rather different future: in addition to preparing for a full year of remote work, the campus was deliberating how to react to a permanent cut in the state budget, and was planning for scenarios of additional permanent cuts of five, ten, and fifteen percent. These new and anticipated budget cuts came after more than a decade of austerity measures. And yet, while the world suffered through the COVID-19 pandemic, the state of California experienced two consecutive years of tax returns at historically high levels: in 2020-21, California state tax returns were close to \$14.5 billion above the June budget act level; and 2021-22 tax returns were closer to an extraordinary \$97 billion above the June budget act level.¹ As a consequence, the state budget included two consecutive years of five-percent base increases in ongoing UC General Fund resources, as well as other significant permanent and one-time funds.² Additionally, the governor agreed to “five-year compacts”, which provide annual five percent increases in operating budgets each year over five years. Regarding systemwide tuition, the state and UCOP agreed to undergraduate cohort tuition increases for each incoming freshmen and transfer class, keeping those rates flat for each cohort for six years. Regarding rebenching, UCOP applied what it calls the “95% guardrails”, whereby new state funds are to be redistributed so that no campus falls below 95% of the average systemwide unweighted per-student funding. These guardrails increase state revenue flows to UCSC since it previously was at a disadvantage with no medical center and smaller numbers of doctoral students compared to most other UC campuses. Finally, the UC Office of the Chief Investment Officer (CIO) announced in August 2021 the largest one-year gain in investment assets ever, a 29 percent increase to \$168 billion.³ The March 2022 Chief Investment Officer report to the regents stated that UC investments had already gained \$22.1 billion over the prior year.⁴

And yet, the COVID-19 pandemic continues, as do other geopolitical and climate events and corresponding economic shifts: supply chain issues, inflation, rises in interest rates, and a recession threat into 2023. With even Silicon Valley and other tech sector companies in the state of California freezing spending and/or laying off employees, it is difficult to anticipate conditions for

¹ These numbers were provided by UCOP representatives during their monthly briefs to systemwide University Committee on Planning and Budget (UCPB). As the tax return updates were ongoing, the numbers are not final.

² <https://www.ebudget.ca.gov/2022-23/pdf/Enacted/BudgetSummary/HigherEducation.pdf>

³ [www.universityofcalifornia.edu/press-room/uc-assets-grow-38-billion-2021-168-billion-endowment-returning-337-percent-and-](http://www.universityofcalifornia.edu/press-room/uc-assets-grow-38-billion-2021-168-billion-endowment-returning-337-percent-and-pension#:~:text=The%20University's%20investment%20portfolios%20contain,end%20of%20the%20fiscal%20year)

[pension#:~:text=The%20University's%20investment%20portfolios%20contain,end%20of%20the%20fiscal%20year](http://www.universityofcalifornia.edu/press-room/uc-assets-grow-38-billion-2021-168-billion-endowment-returning-337-percent-and-pension#:~:text=The%20University's%20investment%20portfolios%20contain,end%20of%20the%20fiscal%20year)

⁴ <https://regents.universityofcalifornia.edu/regmeet/mar22/i1.pdf>

budgetary stability let alone sustained growth. All that said, CPB approached the past year (and approaches the coming year) with a sense that these systemic revenue shifts ought to change our campus approaches to planning: from year-to-year decision-making to multi-year planning; from austerity measures (e.g. cuts) and considerations (e.g. “zero sum” logic) to enhancement measures (to stabilize and strengthen programs and units); and from incentives and decisions to “chase growth” to strategies for “shaped growth.” Campus leadership has established initiatives that will shape our planning: the 10-year “faculty 100” plan, with the goal of a net increase of 100 Senate faculty and a corresponding decrease in student-to-faculty ratios to UC norms; a budget initiative to develop tools and a calendar for multi-year planning; and the regularization of resource calls, which render transparent the many campus needs beyond Senate faculty recruitments. While fully appreciative of these rationalizing moves, all intended to increase transparency and regularize planning and budgeting, CPB nevertheless flags **housing** (for students, staff, and faculty), **space** (classroom, lab, and office space), and **capital planning** as ongoing and largely deferred matters that require urgent attention.

CPB reaffirmed pre-existing committee principles by which it would deliberate and decide upon issues (see CPB’s annual report for 2020-21), whether in response to crises, new initiatives, or annual/routine business. At all turns, CPB emphasized diversifying, stabilizing, and strengthening programs, units, and the educational experiences of students; advocating for shaped growth where appropriate; minimizing the damage of cuts where possible; and being vigilant and responsive to the ways in which circumstances, planning, and/or policy might impact the campus community differentially and asymmetrically. In these ways, CPB committed to critically imagining what is possible beyond the pressures of austerity, and to avoid, wherever possible, recommendations to decisions that would leave long term negative impacts to campus programs and community welfare.

This report is organized by the following sections:

- Shared Governance and Consultation Process
- Faculty FTE Review
- Space and Capital Planning
- Online Undergraduate Degree Statement
- VPDUE Proposals
- Regular Committee Business
- Local and Systemwide Issue Review
- Continuing Issues for CPB in 2022-23

Shared Governance and Consultation Process

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

The committee typically has a standing consultation with the CP/EVC at its weekly meetings, and this year consulted with CP/EVC Kletzer during fifteen of these meetings. CPB also schedules

formal consultations with the Associate Vice Chancellor for Budget and Planning (AVCBAP) annually for overviews of the campus budget and budget outlook, and other topics as needed (this year, an overview of the planned campus Academic Resource Model [now Fresh AIR] and campus carryforward and deficit balances). Over the summer, the CPB Chair and Analyst will plan to work with AVC Register to make any necessary changes to the consultation calendar for 2022-23 in order to support CPB engagement in key issues of budget and planning, and to efficiently support areas of collaboration between CPB and Office of Budget and Planning BAP). AVC Register also regularly attended the CP/EVC standing consultations.

CPB consults with the academic deans every fall informally, then again in winter on their division's faculty FTE requests to the CP/EVC. Graduate Council (GC) and Committee on Educational Policy (CEP) Chairs are also annually consulted in winter on the faculty FTE requests. In 2021-22, CPB also consulted twice with iVCBAS Kamaleswaran (May, June 2022) on issues related to capital planning, space, housing, and other areas of shared interest and collaboration.

In 2021-22 CPB continued to examine consultation processes to ensure transparency and collaboration. We discussed creating clearer guidelines about consultation materials needed for timely and effective decision-making. We often found, when reviewing requests, that we simply didn't have enough information (either from a division or a department) to make an informed recommendation. CPB has emphasized that attention to its guidelines for information required prior to personnel consultations will prevent delays in these time-sensitive processes

CPB members were also involved with two newly established groups. The Implementation Task Force for Inclusive Excellence in Graduate Education (ITF) was convened in the fall of 2021 to implement the recommendations of the Joint Senate-Administration Working Group on Graduate Education (JWG). Chair Neuman served as co-Chair of the Steering Committee and Budget Committee; Analyst Bañuelos and member Angelo served on the Student Success and Welfare Subcommittee; and Members Monroe, and Venturi served on the funding sub-committee. The campus also established the University Space Committee, on which CPB member Venturi serves ex officio.

Faculty FTE Review

This year's review involved two changes which will likely carry forward in subsequent years. One, CP/EVC Kletzer shifted the timeline so the entire faculty FTE review process begins and ends earlier in the academic year, with the hopes of getting offers to candidates earlier. Two, both the on-cycle and off-cycle proposals included requests for the center to cover start up packages, anticipating the yet-to-come academic resource model.

CPB received the FTE requests on January 11, 2022 and reviewed the submissions over most of the winter quarter. CPB restructured historical data to analyze longitudinal trends of hiring, separations, central vs divisional positions, and faculty and student growth/contraction by department and division. CPB established teams that were assigned to analyze and present the proposals of specific divisions: the analysis involved reviews of the historical data in relation to divisional proposals, and facilitated discussion of each division's submissions. After each presentation and discussion, CPB spent two additional sessions discussing each FTE request in the context of its home division and each division's case for central position(s). CPB also received and restructured datasets to look at faculty and student growth over a sixteen-year period (from 2003-04 to 2019-20) as well as student-to-faculty ratios from a variety of angles: looking at faculty

FTE as budgeted, payroll and Senate FTE; and looking at students as total student FTE, undergraduate, majors, masters and doctoral. We examined each variable and the different combinations of workload ratios by department and division, comparing departments to their division and then to the campus average. This data was provided by the Office of Budget and Planning and was restructured to present comparative analysis both over time and within a single year.

CPB first examined and ranked the positions within a division and then examined the case each division made for central position(s). 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; namely, how the proposed FTE positions would: a) stabilize and strengthen existing undergraduate and graduate programs; and b) support established campus initiatives. In ranking FTE requests, CPB also 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 this principle in mind, the specific factors CPB prioritized when evaluating each FTE request were (in unranked order): 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.

In addition, at a high level, CPB's approach to the 2022-2023 FTE requests review was to recommend a proactive and aggressive hiring stance given both the favorable financial climate and the Faculty 100 announcement made in fall 2021. In regards to the financial climate, CPB believes that UCSC has seen the ill effects of the decision to pause faculty hiring in the wake of the 2008 financial crisis and notes that student-to-faculty ratios are still higher overall at UCSC than at any other UC campus. CPB agrees that it is critical to continue an aggressive hiring path to meet departments' current needs and new ones that will arise from future student growth. In terms of the Faculty 100, CPB made FTE recommendations with this initiative in mind, and strove to articulate and model principles that could be used to inform those hiring decisions. Specifically, we hope that as the campus moves into the Faculty 100, this hiring initiative will be used to:

- **Strengthen and stabilize existing departments**, ensuring that each department and program achieves the critical mass required to mount its curriculum and allow each faculty member sufficient time for the various mentoring and teaching activities, administrative and service responsibilities, and research and sabbatical leaves that are required for advancement.
- **Engage in proactive, longer-term strategic thinking** about the size and shape of the university as an ecosystem. Indeed, CPB hopes to see the campus shift paradigms from "chasing growth" to "shaping growth," and expects such change in the planning process to result in a coherent and cross-divisional strategy for expanding the faculty while considering other factors such as the size and health of individual departments. We see this as an opportunity for faculty at the department level to have a voice in multi-year planning and vision, and for the campus to develop a clear long-term vision for department sizes, student population, program sizes and degrees, and space.

- **Make creative use of FTE positions.** CPB strongly supported several dean requests in this year's FTE planning that were innovative, cross-divisional, and/or supported campus-wide goals that did not fit neatly into departmental hiring plans. Though CPB was not able to recommend all of these positions within the current year funding envelope, CPB welcomes and encourages such innovative thinking among departments and divisions as we set forth on the FTE 100 goal.

CPB also noted two ongoing, interrelated challenges that are critical issues for future hiring and retention, especially with the additional Faculty 100 goal: **housing** and **space constraints**. Needless to say, attracting and adding competitive faculty presumes the existence of affordable housing and dedicated, adequate office, lab, and classroom space. The campus is well aware of housing challenges, both in terms of current limitations and the prohibitive cost of new construction. Space also remains a critical issue; while CPB was unable to get a systematic detailing of the number of faculty being hired without offices and labs, it did note that all 15 of BSOE's requests had the office and lab space marked as TBD. CPB flagged in its FTE recommendations, and underscores now, the urgency of the need to address both of these space-related matters in order to secure and retain faculty.

Space and Capital Planning

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

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

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

- Regular lecture time was reduced to accommodate one extra teaching slot each day, thus impacting the syllabus and total instructional hours.
- The campus is challenged to approve or support innovative new programs and sometimes even new courses due to classroom space constraints.

- Faculty FTE recruitment is now constrained by space shortage, including laboratory space and, more recently, office space. This shortage, in conjunction with increasing undergraduate enrollment, is causing significant strain on faculty and students.

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

Online Undergraduate Degree Statement

Beginning in 2020-21, CPB has been responding to both systemwide and campus-specific reports on the challenges and opportunities in developing and launching an online degree program. Catalyzed by a proposal for an online degree program from the Division of the Arts and by investigation into the subject at the systemwide level, the campus opted to examine the issue of online degree programs in general before turning to the specific proposal under consideration. The campus established several undergraduate online degree working groups on which CPB members participated. These groups worked, first, to surface questions about such programs, and then to examine specific requisites and boundaries (e.g., regarding student experience, curricular integrity, budget, and so on). CPB's responses to reports of these working groups can be summarized as consistently having heeded the following maxim: Any online degree program must be a UC-quality program, and investments in this new approach must be sufficient—indeed must be *robust*—to meet UC-level expectations for educational and research aims. Consequently, CPB asserted that any online degree program should not:

- be considered a cost-effective way of scaling enrollment;
- be viewed as a solution to the campus challenges of housing shortages and expenses;

but rather should:

- be seen as a value-added investment in the array of programs already offered by the campus;
- be funded independently of the resources of existing programs, many of which have been resource-starved in the last two decades.

In AY 2021-22, CPB reviewed and supported one proposal that met these criteria: the Arts Division's Creative Technologies program. As one of two inaugural proposals for online degree programs that underwent review at systemwide Senate and administrative levels this year, this program, if approved, will set a standard for subsequent online program proposals that will be approved at the level of the separate campuses, and thus must clearly establish its contribution to UC education. The proposal satisfies these principles. First, the campus has committed to investing substantial resources, including additional Senate faculty and visiting artists; office spaces; TAs; a faculty program director; multiple staff FTE; and substantial funds for initial course development costs. Second, while this program shows great potential to recruit a strong and diverse student pool, it was not built with revenue growth as a driving aim. CPB urges that this combination of factors (significant investment in resources and a focus on programmatic quality rather than revenue neutrality) should be adopted broadly in proposals for future online programs. Additionally, CPB found the most promising element of the Creative Technologies

proposal to be tied to its educational and research mission: namely, that *the online modality is native to the program's pedagogical, research and community-building aims*. CPB thinks it is worth considering whether programs that leverage the added value of teaching and conducting research in digital environments should be prioritized in future planning efforts.

Proposed Faculty Salary Equity Program

CPB was not actively involved in the design of the 2022 Faculty Salary Equity Program nor was it given access to key data such as the average salary of UCSC Senate faculty for each rank and step as of October 1, 2021. Such data seemed very important to assess the salary equity program proposed in May 2022 from a planning and budget viewpoint. Having the Senate (Committee on Faculty Welfare and CPB) involved in the design of the program can yield stimulating discussions, strengthen the program, and make it more equitable. CPB looks forward to engaging with the Administration in developing the program further in the upcoming years.

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

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

VPDUE Proposals

Two proposals emerged from the office of the Vice Provost and Dean of Undergraduate Education (VPDUE). The first, a pre-proposal, suggested changes to the campus undergraduate academic integrity policy and outlined a plan for an Academic Integrity Office. As the policy itself is more a matter for CEP than CPB, CPB limited its comments to the latter, a new office meant to disentangle academic from disciplinary conduct issues, establish greater consistency in decisions about academic integrity cases, and reduce related workload among faculty, staff, and administrators.

Because of the preliminary status of the proposal, CPB could not provide its customary evaluation of the budgetary impacts and trade-offs that would be involved in creating the office. The committee found itself asking basic questions about the number, type, and role of proposed staff and faculty director; the amount of space the center would require; the budget for the center and

its source(s). However, CPB did opine firmly against the proposition that the center be (partially) funded by fees assessed of students accused of academic integrity violations.

CPB also responded to the final report of the Summer Campus Initiative. CPB appreciated the work and imagination of the working group, which outlined strategies for promoting, strengthening, and growing summer programs as a means of supporting campus priority goals.

CPB found the administrative and procedural recommendations (labeled OP1-OP4 in the report) to be relatively well considered. Still, the committee noted that the sequencing and priority of these activities were unclear, as were the amount of additional resources required to support them. We recommend that a clearly prioritized plan with resource implications be developed for implementing these recommendations.

CPB was more critical of a second group of recommendations (labeled BR1-BR4). These raised significant questions around planning and governance. The committee found that, if implemented, they would call for changes to the orientation of the campus as a whole. These recommendations appeared to consider the summer program in isolation from the regular business of the campus, and in so doing, reenacted the problem that the report seeks to solve. Of particular concern was the suggestion to recruit “summer only” Teaching Professors, a proposal that raised questions around hiring processes, shared governance, and faculty working conditions. Indeed, the recommendation to create “combined full year appointments” as part of an initiative to “Standardize summer as a significant aspect of faculty and curricular planning” would involve a major renegotiation of faculty working conditions and campus processes. Such change, if contemplated, should emerge from high level strategic planning driven by campus goals rather than by a Summer Campus Initiative (the tail should not wag the dog).

CPB expects that any change to summer session would provide opportunities and would incentivize (rather than create pressure for) faculty and graduate student participation. Thus, CPB urged serious reconsideration of the second group of recommendations, with input from CPB, GC, CEP, faculty, and other stakeholders.

Regular Committee Business

External Reviews

CPB annually participates in department and program external reviews. During 2021-22, CPB reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming reviews for Colleges, Digital Arts and New Media (DANM), Feminist Studies, Latin American and Latino Studies, Literature, MCD Biology, and Physics. CPB also prepared responses to department/program external review reports in preparation for closure meetings for Anthropology, Critical Race and Ethnic Studies, Electrical and Computer Engineering, Environmental Studies, Science Communication (closure meeting delayed to 2022-23), Theater Arts (now Performance, Play, and Design), and the Writing Program. Anticipated but not received/reviewed were the self-study for Ecology and Evolutionary Biology and report for Art & Design: Games and Playable Media. The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for Art, Computational Media, Languages and Applied Linguistics, Philosophy, and Psychology. CPB reviewed external review deferral requests for Film and Digital Media.

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 (one), Humanities (two), PBSci (two), Social Sciences (one). CPB also reviewed five requests for authorization for other off-cycle recruitments from BSOE (three-including one request for two hires and one request for four hires), Social Sciences (one), and jointly from Arts, Humanities, and Social Sciences (one). CPB reviewed requests for six Presidential Postdoctoral Fellows and Chancellor's Fellows Program Hire requests (one in Arts, one in BSOE, three in Humanities, one in Social Sciences), three Target of Excellence (TOE) waiver of open recruitment requests (one in BSOE, two in PBSci), and nine Spousal/Partner waiver of open recruitment requests (one in Arts, one in BSOE, three in Humanities, one in Social Sciences, and three in PBSci).

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

Local and Systemwide Issue Review

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

Local

- Education/LALS Combined Major Pathway Proposal (October 2021)
- Materials Science & Engineering M.S., Ph.D. Proposal (October 2021)
- Microbiology B.S. Proposal (October 2021, April 2022)
- 2022-23 Faculty FTE Draft Call (October 2021)
- UC Santa Cruz Pilot Support Structures for Free Speech and Protest (November 2021)
- Statistics Department Internal Viability Report (November 2021)
- Applied Mathematics Department Internal Viability Report (November 2021)
- Community Studies Administrative Home Change (November 2021)
- Faculty FTE Transfer Requests & Joint Appointment Requests (n=4) (November 2021, December 2021, June 2022)
- BSOE Proposal Direct Admissions and Conferral of Degrees (January 2022, June 2022)
- Environmental Sciences B.S. Updated Charter and Bylaws (January 2022)
- Administrative Planning for WASC/WSCUC Reaccreditation (January 2022)
- Film and Digital Media Critical Studies Concentration Discontinuance Proposal (January 2022)
- Proposed Revisions to CAPM 407.690; 803.620; 600.311; 602.330 (January 2022)
- Geographic Information Systems, Spatial Technologies, Applications and Research (GISTAR) M.S. and Professional Degree Supplemental Tuition (PDST) Proposals (January 2022)
- Global and Community Health B.A. and B.S. Proposals (February 2022)
- History of Consciousness Minor Reinstatement Proposal (February 2022)
- Five-Year Perspectives List 2022-23 to 2026-27 (February 2022)
- UC Santa Cruz International Center Proposal (March 2022)
- Proposal to Redesign the Undergraduate Chemistry Curriculum (March 2022)
- Proposal to Establish Undergraduate Concentration in Computational Physics (March 2022)

- Environmental Sciences B.S. Interim (Three-Year) Report (April 2022)
- Creative Technologies B.A. Proposal (April 2022)
- Proposed Revision to CAPM 101.000: Waivers of Open Recruitment for Senate Faculty Positions (April 2022)
- Proposed Revisions to CAPM 300.240; 304.241 (April 2022)
- UC Santa Cruz Technology Enhanced Teaching and Learning Advisory Committee Draft Charge (May 2022)
- Dance M.F.A. Revised Proposal (May 2022)
- Proposed Revisions to CAPM 512.280 (May 2022)
- UC Santa Cruz 2022-23 Employee Housing Re-Pricing Program Recommendations (May 2022)
- Technology and Information Management Interim Report (June 2022)
- Art + Design: Games and Playable Media B.A. Revised Charter and Bylaws (June 2022)
- Coastal Science and Policy MS. Interim (Three-Year) Report (June 2022)
- WASC/WSCUC Request for Themes (June 2022)
- Patent Royalty Research Share Income Disposition Proposed Policy (June 2022)
- SEA Change Bronze Award Narrative and Action Plan Draft (June 2022)
- Proposed Update to College Provost Housing Stipend, CAPM 306.240 (June 2022)

Systemwide

- Proposed Presidential Policy on Sustainable Practices (December 2021)
- Draft Presidential Policy: Supplement to Military Pay (April 2022)
- Negotiated Salary Trial Phase 2 Report (June 2022)
- Recommendations for Department Political Statements (reviewed but did not respond)

Continuing Issues for CPB in 2022-23

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

CPB will continue to collaborate with:

- the Office of Budget and Planning, including on enhancing CPB review of budgetary frameworks and budgetary data;
- the Division of Finance, Operations, and Administration (FOA) (formerly Business and Administrative Services—BAS) on committee participation and review of capital planning issues, continue monitoring and engaging in issues of space planning (including through CPB representation on University Space Committee)
- the disciplinary deans and CP/EVC on faculty FTE at planning and review stages.

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

CPB will continue its participation in, and will monitor and review the work of, the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF).

CPB plans to re-engage CP/EVC Kletzer, VPDUE Hughey, and VPDGS Biehl on undergraduate and graduate enrollment planning.

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET

Hillary Angelo

David Cuthbert (*F, S*)

Raphe Kudela (*W*)

Andrew Mathews

Matt McCarthy

J. Cameron Monroe

Sriram Shastry

Don Smith (*F*)

Daniele Venturi

David Brundage, *ex officio*

Patty Gallagher, *ex officio*

Elizabeth Abrams, *Vice Chair*

Dard Neuman, Chair

Daniel Halpern-DeVries, SUA Rep.

Margaret McDevitt-Irwin, GSA Rep. (*F*)

Rachel Pausch, GSA Rep. (*W, S*)

August 31, 2022

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 2021-22

To: Academic Senate, Santa Cruz Division

I. Grievances

Three grievances were filed with the committee during the 2021-22 academic year, two by the same grievant. Following preliminary investigation, the committee made positive prima facie determinations on the two by the same grievant, but the case was still being negotiated at the end of the committee's term. The committee made a preliminary prima facie determination on the third grievance, which was filed late in summer, leaving preliminary investigation to the incoming committee.

II. Charges

One charge was presented by the administration against a member of the faculty this year, ten days before the end of the committee's term, leaving a hearing or other resolution to the proceeding term.

III. Divisional and Systemwide Reviews

A. Proposed Changes to the Systemwide Policy on Sexual Violence/Sexual Harassment

The committee discussed the proposed changes to the systemwide policy on Sexual Violence/Sexual Harassment and identified two areas of potential confusion. The first involved the creation of a new category of confidential resources with the inclusion of "members of the clergy" (II (2)(C)(e)). The committee saw some inconsistencies and felt that further clarity was needed in terms of clergy members' duty to report, especially since some clergy might also be appointed as faculty members. The second area of confusion involved "no contact options." The committee was concerned about the unilateral nature of no-contact orders and wondered why the university would not restrict the Complainant from contacting the Respondent, since presumably such contact would be inviting a response from the Respondent.

B. Systemwide Review of Academic Personnel Manual Subsection 759 (APM 759)

P&T discussed the proposed revisions to section 759 of the systemwide Academic Personnel Manual (APM 759). The committee had two overarching concerns regarding the changes in policy. The first had to do with the possible rationale behind providing an exemption to policies regarding leaves without pay specifically for "entrepreneurial pursuits." As proposed, this policy would seem to have advantaged those faculty who engage in commercial activities, since it offered no such exemption to those who would use this time to engage in purely intellectual and/or artistic pursuits. P&T thus suggested that other categories of exemptions should be explicitly included such as "scholarly research and creative activity."

The second involved the intellectual property issues that might arise during extended leave for entrepreneurial pursuits. The committee held that the policy language must make crystal clear how these new policy provisions interact with campus IP/patent policy, specifically in regard to how

the campus would differentiate between IP developed using campus resources and that by the wholly independent “entrepreneurial pursuits” of the faculty member.

C. Proposed Presidential Policy on Abusive Conduct/Bullying in the Workplace

The committee held a lengthy discussion about the proposed Presidential Policy on Abusive Conduct/Bullying in the Workplace. Our comments and concerns largely revolved on two obviously related but still separable issues: one regarding the content of the policy and the other regarding implementation. Our discussion regarding content was robust, and we did not reach consensus. Most members agreed on the need for such a policy, given the prevalence of bullying within the university, and felt that the contemplated behaviors named in the policy sufficiently articulated the range of concerning behaviors. Recognizing that any adjudication of this policy would require judgment on very difficult issues, they also felt that the examples of reasonable actions that do not constitute Abusive Conduct/Bullying were important to include and would provide adequate guidance to whatever bodies investigate and hear these cases. Dissenting members expressed concern about further university overreach and bureaucracy, and squelching of freedom of speech (about which all members agreed), and felt that existing policies were probably sufficient to cover the most egregious bullying behaviors. They also questioned whether any investigative or regulatory body could judge these behaviors fairly or consistently. In addition, they questioned whether this policy would actually protect those whose minority voices are often squelched by bullying.

Regarding implementation, the committee was completely in agreement that the policy was insufficient in articulating or even contemplating appropriate investigatory bodies and adjudication processes to ensure due process and safeguards. The committee specifically noted that in trying to address bullying and abusive behaviors across all campus constituencies, the policy did not adequately incorporate existing policies and procedures for faculty grievances and discipline, nor did it address how complaints across different campus constituencies would be handled.

Based on our discussions, P&T recommended the following:

- That the policy be prefaced with a clear and unequivocal statement that academic freedom, and the speech that this principle allows, is the lifeblood of the university, and that the free exchange of ideas is necessary for the discovery and dissemination of knowledge.
- That the policy be amended to include or refer to a clear chain of action, and a flowchart akin to the SVSH adjudication framework. This should clarify who the investigatory and deliberative bodies are or will be, and it should absolutely reference that cases involving faculty grievants and respondents will be handled by P&T.
- That if new organizations are required to handle complaints under the new policy, funding for those organizations needs to be provided from the center as part of the policy implementation.
- That the policy be amended to specify the analogues for “supervisors and managers” for faculty (probably department chairs and deans) while also recognizing and addressing that many
- complaints of bullying are directed towards one’s superiors, such as chairs and deans. The normal faculty grievance process should also be explicitly included here as a logical recourse.

D. Military pay

The committee asked for clarity on what “non-compliance” means, given that the proposed policy could be read as a failure of the administration to provide supplementary military pay.

E. Systemwide Review of Recommendations for Department Political Statements

P&T discussed the proposed Recommendations for Department Political Statements. Most members of the committee felt that the two recommendations together are the best one could hope for in balancing the free speech rights of the majority against the potential silencing of the minority and, moreover, that the specific recommendations give needed guidance to P&T should a case involving departmental political statements come before the committee. At the same time, the committee recognized that these recommendations were unlikely to mitigate the potentially contentious intra-departmental dynamics that might arise when such statements are discussed and faculty hold minority views.

F. Campus Academic Personnel Manual subsection 512.280

The committee reviewed revisions to subsection 512.280 of the Campus Academic Personnel Manual (CAPM), which primarily involves delegation of authority to the divisional deans and waiver of review by the Senate Committee on Academic Personnel (CAP), for all actions in the Adjunct Professor series. Since Adjunct Professors are not Senate members we were surprised to learn that Senate CAP ever reviewed these files and had assumed these were reviewed by DIV-CAP. Therefore, we supported the proposed changes.

G. Proposed Revisions to Campus Academic Personnel Manual (CAPM) Subsections 300.240 and 304.241

P&T discussed the proposed revisions to sections 300.240 and 304.241 of the Campus Academic Personnel Manual (CAPM). Overall, the committee was pleased that the proposed revisions addressed lacunae that has caused concern in the past. However, member suggested that College Provosts and Associate College Provosts should be covered by the same policy as Department Chairs and Vice Chairs (CAPM 312.245) since college provosts, like deans, often must curtail their research and teaching activities while serving in these administrative positions, yet no other policy makes explicit provision for the merit review process for those in these titles.

H. Academic Integrity Policy

The Committee reviewed a draft of the proposed Policy on Academic Integrity provided by the Vice Provost and Dean of Undergraduate Education. Although P&T was not assigned review, in light of the importance of the policy it opted to review and attend to issues even beyond committee purview.

Members supported the overall goals of the proposed policy to create greater separation of the academic and administrative aspects of academic misconduct cases and to achieve greater consistency in the handling of such cases. The committee expressed concern about the significant costs of this expansion of administrative functions, but it also recognized that a dedicated office was better suited to achieve these goals than the current scheme. Members opposed the idea of fining students to pay for the office, however.

Other concerns member raised included the need for:

- definitions of academic misconduct to be as clear and objective as possible.
- further guidance about procedures once misconduct is determined to have occurred.
- attention to incentives for participation on the board
- clarity on obligations to report, including by Graduate Student Instructors (GSI) and Teaching Assistants (TA).

IV. Advisory Opinions

A. Ombudsman Program

P&T met with a systemwide ad hoc committee to discuss reinstatement of the ombud office. Among other things, the committee felt that a person occupying this office would need to be well trained in policies and procedures related to grievances and disciplinary action. At the same time, the committee argued that a grievant should never be expected to go through the ombud office to demonstrate they have exhausted all remedies.

B. Remote Work Guidelines

The committee reviewed a revision of the remote work guidelines developed by the Vice Provost of Academic Affairs (VPAA). Repeating our prior concern, the committee wished for more clarity about what constitutes a compelling reason for working remotely, in case the committee were to see a case that disputed a remote work situation.

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
Jennifer Derr
Shelly Grabe
Sean Keilen
Hamid Sadjadpour
Julie Guthman, Chair

August 31, 2022

COMMITTEE ON RESEARCH

Annual Report 2021-22

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) is charged with reviewing campus and system-wide policies and issues related to UCSC's research mission. The committee also advises and collaborates with the Office of Research to promote faculty research. COR directly supports faculty researchers by awarding faculty research grants (FRG) and travel grants (SMT/ICT), 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 2021-22 year was to discuss and implement a new COR Faculty Allowance (CFA) program which will begin its roll out in fall 2022. In addition, COR administered a campus-wide survey to assess the impact of the COVID pandemic on faculty productivity.

II. COR Faculty Allowance (CFA) program

Building on the work of last year's committee, COR proposed a new funding model for internal research support. Acknowledging the severe and disparate effects of the COVID pandemic on research activities and in light of the discrepancies between the research stipends faculty receive here compared to other UC campuses, COR concluded that a stipend of \$2,000 per senate faculty member for 3-5 years would be the most direct way to help meet the diverse needs of faculty restarting and repairing their research endeavors.

Thanks to a generous allocation by Campus Provost and Executive Vice Chancellor (CPEVC) Lori Kletzer, a new COR Faculty Allowance (CFA) has been created that will provide an allowance of \$2000 to all FTE Senate faculty who apply for it. COR expects this new funding model will reduce barriers for many of our faculty, address aspects of equity, and allow faculty to focus more time on research and other scholarly activities. COR has developed a streamlined application process in which faculty will indicate the requested amount (up to \$2,000) and check off which categories the funds are planned to be spent on (e.g. research equipment and materials, graduate student funding, conference travel, publishing fees, etc.). This information will provide COR with prospective data on how the new faculty allowance is being spent across the divisions. Similarly, future applications will require reporting back on how previous CFA funds were spent. COR will work with research analysts to ensure consistency across the campus regarding allowable expenses. The goal is for CFA funds to be flexibly spent toward any scholarly activities, much like startup funds are spent. By default, CFA funds have a two-year period in which they must be spent.

Although the new funding model does not maintain a separate funding source for the SMTP (Scholarly Meeting Travel Program), COR anticipates being able to fund SMTP from carry-over funds as well as the main fund supporting the CFA. Based on the first year of implementation, COR will determine whether there are enough left-over funds to support larger grants (e.g. \$10,000 - \$20,000 awards) in the second year and beyond.

III. COVID Impact Survey

In order to assess the impact of COVID on faculty research activities and give faculty a chance to voice their concerns, COR administered a campus-wide COVID impact survey distributed to all senate faculty. The survey included 20 questions asking faculty to reflect on how the pandemic has impacted their research, teaching, service, mentoring, and other activities. Preliminary results of the survey are described below.

Overall, 121 respondents completed the survey, representing faculty from across the divisions: 30% from Social Sciences, 24% from Physical & Biological Sciences, 23% from the Humanities, 12% from Baskin School of Engineering, and 11% from the Arts. Several questions asked faculty to quantify the pandemic's impact and increased demands on various scholarly activities using a 5-point scale (from 1 = little to no impact/increased demands, to 5 = significant impact/increased demands). The mean and median responses are summarized in the table below:

	Mean	Median	# Respondents
Impact on data/information acquisition	3.8	4	119
Impact on interaction with colleagues	4.1	5	121
Impact on travel	4.6	5	120
Impact on publishing/performing/exhibiting	3.8	4	119
Increased demands on teaching	3.6	4	117
Increased demands on service	3.1	3	117
Significant setbacks for graduate trainees	3.6	4	111

Finally, the survey asked faculty to estimate the *financial* impact the pandemic had on their research activities. Responses were distributed as shown in the table below:

Financial impact	None	\$1K - \$5K	\$5K - \$10K	\$10K - \$20K	Over \$20K
% Responses	24%	8%	13%	14%	42%

Overall, the median reported impact was in the \$10K - \$20K range, and although it is not possible to quantify the precise average impact, it is clear that the pandemic has had considerable financial impact on most UCSC faculty's research activities.

The survey also included some open-ended questions asking faculty to describe aspects of the pandemic impact that were not specifically covered by the questions, as well as to suggest steps the university could take to ameliorate the situation moving forward. Next year's COR will analyze

these open-ended responses and include them as part of a comprehensive report.

IV. Research Grants

A. Funding Overview

The committee has two funding sources, the Education Fund and University Opportunity Fund. The annual budget for the COR grant program (FRG/NFRG) was allocated at \$196,805, plus a carry forward of \$49,488 and other budget adjustments of \$44,172 for a total of \$290,465. This year the COR SMT/ICT program was funded at \$125,483 with a carry over of \$121,389 for a total of \$246,272. These carry overs are the result of COVID-19 related travel restrictions that had a significant impact on research activity in FY 20-21.

New Faculty Research Grants (NFRGs): The NFRG program provides new faculty with access to funding in the current fiscal year. It has proved helpful to new faculty as they establish their research careers. Of the 15 NFRG requests, all were funded. This is an increase of 2 applications from last year's 13 proposals submitted. The average amount of the awards was \$1,500 and the maximum amount awarded for this program was \$2,000. All NFRG proposals were reviewed by COR.

Faculty Research Grants (FRGs): The number of grant applications in this category was 98, which is 15 proposals up from 83 applications in 2020-21. However, this year COR was able to fund roughly 100% of the FRG proposals at an average award amount of \$2000.

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 \$1,000 Scholarly Meetings (SMT) or \$250 Inter-Campus (ICT) travel grant, respectively. This program is funded annually in the amount of \$125,483. As travel restrictions and other challenges to research activities were lifted, COR saw a significant uptake in the number of applications for the SMT/ICT grant. This year all 104 of the completed applications were approved compared to the 22 completed and approved applications in 2020-21.

Research Grant Program	Funded	Amount
New Faculty Research Grants (NFRG)	15	\$27,486
Faculty Research Grants (FRG)	98	\$194, 704
Travel Grants	104	\$110, 337
Total		\$332, 527

V. Reviews of Policy and Process

A. Divisional

- Graduate Students Inclusion in the Areas of Expertise Tab on the Campus Directory
- Proposed Implementation of the Faculty Allocation Program

- Staffing Levels of Our Campus's Institutional Review Board (IRB)
- Review of the Patent Royalty Research Share Income Disposition

B. Systemwide

- Systemwide Review of Proposed Presidential Policy on Sustainable Practices
- Department Political Statements
- Proposed Revisions to Academic Personnel Manual (APM) §759
- Proposed Revisions to Academic Personnel Manual (APM) §25 and §671
- Systemwide Review of the Report of the Negotiated Salary Trial Program Phase Two Taskforce

VI. Upcoming Agenda for 2022-23

The committee will further explore the following topics in 2022-23:

- COR will assess the rollout of the CFA and prepare a report on how funds were used across divisions and across different categories of spending. Based on the number of faculty who receive this support, COR will be able to determine whether there are sufficient funds to expand the following year's rollout by including larger grants.
- COR will further analyze the results of the COVID impact survey, in particular examining the open-ended responses in which faculty expressed in their own words how the pandemic has impacted their scholarly activity.

Respectfully Submitted;

COMMITTEE ON RESEARCH

Michael Hance

L.S. Kim

Aims McGuinness

Francois Monard

Tyler Sorensen

Massimiliano Tomba

Gina Athena Ulysse

Jarmila Pittermann, Chair (*F, W*)

Nicolas Davidenko, Chair (*S*)

Quinn Brail, GSA Rep.

August 31, 2022

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

Annual Report 2021-22

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 2021-22. This report summarizes the Committee's work during the year.

I. Guidance on Senate Bylaws

A. Proposed Amendments to Divisional Senate Bylaw 13.24.1

The Committee on Rules, Jurisdiction and Elections (RJ&E) discussed the proposed amendments to Senate Bylaw (SB) 13.24.1, the charge for the Committee on Library and Scholarly Communication (COLASC).

The proposed change would have the UC Santa Cruz Librarians Association (LAUC-SC) appoint two ad hoc LAUC-SC members in place of the Chair and Chair-elect. The specific change read as follows:

The UC Santa Cruz Librarians Association (LAUC-SC) shall appoint two ad hoc LAUC-SC members who are invited to sit with the Committee.

After reading SB 13.4.1 et seq., members thought that further clarity was needed with regard to the status of the LAUC-SC members. This is because the bylaw clearly differentiates between representatives, who are non-voting members with the general right to participate in committee deliberations (13.4.2), and invitees, who do not have this right (13.4.3). As such, the language should reference whether the LAUC-SC members fit within the defined class of representatives. If they are not, then the amended bylaw should specifically refer to the LAUC-SC members as invitees.

As well, RJ&E suggested not using the term appoint. We understand that the appointment is made by, and is internal to, the LAUC-SC. However, given the need for further clarity to SB 13.4.2, a matter that is currently under discussion, and to avoid any ambiguity or possible misinterpretation, we suggested that the term "select" would be better and offered the following language for the proposed amendment:

The UC Santa Cruz Librarians Association (LAUC-SC) shall select two ad hoc members who are invitees and sit with the Committee.

During the Senate meeting of March 3, 2022, the proposed amendment, with RJ&E's suggested language, was approved by the Senate.

B. Voting Rights for Teaching Professors on CAP

The Committee on Rules, Jurisdiction & Elections (RJ&E) discussed the issue raised regarding the Voting Rights for Teaching Professors on the Committee on Academic Personnel (CAP).

Divisional Bylaw SCD 13.4.1 and 13.4.2 specify the membership and voting rights with respect to committees. Specifically, they provide:

- 13.4.1 Membership. All voting members of all committees must be members of the Santa Cruz Division. Representatives are non-voting members of the committee. Other persons invited to sit with Standing Committees are not members of the committee. (*Am 3 Dec 69, 6 Nov 91, Am 21 May 04, 20 May 09; CC 31 Aug 98; EC 31 Aug 99, 31 Aug 04*)
- 13.4.2 Representatives. Representatives on Standing Committees as provided in these Bylaws shall be appointed by such bodies as may be recognized by the Divisional Committee on Committees. Representatives include undergraduate and graduate students, postdoctoral scholars, and non-Senate teaching faculty. Representatives have the right to participate in committee deliberations except as provided in Bylaw 13.4.4. (*Am 3 Dec 69, 6 Nov 91, Am 21 May 04, 20 May 09; CC 31 Aug 98; EC 31 Aug 99, 31 Aug 04*)

The two classes of non-voting attendees at committee meetings are designated as “sitting with the committee” or as “representatives.” The CAP charge Divisional Bylaw SCD 13.10 does not include any non-voting members. Teaching Professors are members of the Divisional Faculty Senate, and so can be appointed to CAP as voting members, as the Bylaws are currently written. The issue before University Committee on Rules and Jurisdiction (UCRJ) seems to pertain to the question of whether Teaching Professors, given that they have security of employment, are considered to be tenured or not. The UC San Diego CAP restricts their membership to tenured divisional members. The UCSC CAP charge has no such restriction so it is unclear that the case before UCRJ would have any bearing on the present concern.

Our conclusion is that, as the bylaws are currently written, the current Teaching Professor on CAP is permitted to vote on all CAP cases as a member of the committee in 2021-22. If the UCSC Faculty Senate wishes to restrict when Teaching Professors could vote on CAP, it would need to change the CAP charge in its Divisional Bylaws.

II. Comments on Senate and Campus Policy and Process

A. Interpretation of APM 160-30

The Committee on Rules, Jurisdiction, and Elections of the Santa Cruz division was asked to render an interpretation of subsection 160 of the systemwide Academic Personnel Manual (APM). We considered this request with the understanding that the APM is not a policy of the Senate, and thus any interpretation offered may not be binding. With that said, we considered the language of the APM and related subsections. We drafted a request for guidance to the UCRJ in an effort to determine if our interpretation of the policies in question was consistent with that of systemwide R&J.

The core question was whether the statement, “documents contained in a file of a pending academic review are not considered academic personnel records for purposes of APM 160-30 until that review is completed and a final decision has been issued” was internally consistent with the plain meaning of the APM. Moreover, was this interpretation consistent with those sections of the APM that incorporate by reference subsection 160-30?

We could find no stipulation in either APM-160 or APM-220 that the contents of a file do not become records until the review is completed and a final decision is made.

APM-160-20-b defines the specific contents of academic files that are records and distinguishes between confidential, personal, and non-personal records. APM-160-20-c describes an individual's access to these records, which includes, in APM-160-c-2 and APM-160-c-3, their access during the review. We thus concluded from our reading of APM-160 that the contents of a file before a personal action is concluded are considered records. The access to and ability to comment on the records during review described in APM-160 is also consistent with campus practice.

APM-160-30, which describes an individual's ability to request corrections or deletions to academic records, does not require that this request be made only after the review is completed, or put any restriction on when this request can be made. Nor does it state that, for the purposes of that section, file contents are not records.

APM-220-80 Recommendations and Review: General Procedures makes repeated reference to APM- 160. In particular APM-220-80-d refers to file contents as defined in APM-160-20-b as records, and applies specifically to the time before the departmental recommendation is determined.

d. Before the departmental recommendation is determined, the chair shall provide the candidate the opportunity to inspect all documents in the personnel review file other than confidential academic review records (as defined in APM - 160- 20-b(1)), and shall provide to the candidate upon request a redacted copy (as defined in APM - 160-20-c(4)) of the confidential academic review.

APM-220-81-l states:

l. At the San Diego and Santa Cruz campuses, where the administrative structures are significantly different from those on other campuses, the Chancellors shall establish in writing review procedures which are in principle equivalent to those described in this and other parts of APM -220.

Given the possibility that the Santa Cruz Campus Academic Personnel Manual (CAPM) might differ from the APM, we also reviewed CAPM-410.220 and CAPM-200.160 with regard to records and general review procedures. We find the CAPM and APM to be consistent. The definition of academic personal records is described in CAPM-200.160-A and refers to file contents as records without any reference to a time restriction as to when they become records. CAPM-200.160-D regarding the opportunity to request corrections, addition or deletions refers directly back to APM160-30.

UCRJ received these considerations and in turn deferred to the systemwide University Committee on Privilege and Tenure (UCPT). In their response, UCPT observed, in part, the following:

After a careful review of APM 160-30 and APM 220-80, UCPT has unanimously determined that the divisional administration's interpretation of APM 160-30 is inconsistent with both the letter and the spirit of the provision.

At issue is whether, pursuant to APM 160-30, an individual has a right to request redactions, corrections, or additions to the academic personnel records during an ongoing academic review (a right that would be additional to the candidate's uncontested right, granted under APM-220-80-e and 80-h, to make a written comment on the departmental recommendation that becomes part of the personnel review file as the review proceeds.)

According to the divisional administration's interpretation, APM 160-30 does not create a right to make such requests during an ongoing academic review.

This interpretation is incorrect.¹

B. Proposed Revisions to Campus Academic Personnel Manual Subsections (CAPM) 300.240 and 304.241

RJ&E discussed proposed revisions to sections 300.240 and 304.241 of the Campus Academic Personnel Manual. RJ&E members appreciated the effort made to bring clarity to the CAPM with regard to tenure but noted other opportunities for increased clarity.

First, members observed that 300.240 aligns us with the APM but questioned why the “adjusted for fiscal year” language was removed in subsection F.2.iv. 300.240.F.2.iv: With the language “adjusted for fiscal year” removed, this passage makes it seem as if the salary requirement could be met simply by paying deans their regular monthly salary for 12 months instead of 9 months, which would increase their annual salary by 33%. It appears that the intent of the prior language was to ensure that deans should receive a higher per-month salary and not merely be paid more because they now worked 12 months instead of 9.

The committee also had some questions regarding Section K. Specifically, what are the parameters of the activities that should be reported as “uncompensated professional activity”?

300.240.K.ii-iii: These paragraphs impose limitations and reporting requirements for all outside professional activities, compensated as well as uncompensated. The Committee wondered if this also included Category III outside activities, as defined in the Academic Personnel Manual, subsection 025, which include the development of scholarly or creative works. For regular faculty, Category III activities do not require reporting nor do they count toward the maximum days allowed for outside professional activities (APM-025). The Committee found it odd to impose limits on scholarly work for deans when deans at the same time were subject to “standard research expectations for faculty” (CAPM 300.240.M).

300.240.K.iv: This paragraph appears partly redundant and partly contradictory with the preceding paragraph (300.240.K.iii). CAPM 300.240.K.iii says that deans may engage in 12 days of compensated and uncompensated outside professional activity per fiscal year without deductions from accrued vacation, whereas 300.240.K.iv provides that deans may engage in 12 days of compensated outside professional activity without deductions from accrued vacation. Together, these paragraphs leave it unclear whether uncompensated activities count toward the 12-day limit

¹ UCPT_RJ&E_interpretation of APM 160-30_06132022

Similarly, 304.241.B.4 provides: “A fiscal-year faculty administrator who accrues vacation may engage in up to twelve work days of compensated outside professional activities without deducting from vacation leave balances. In excess of twelve workdays and up to the limit of 48 calendar days, accrued vacation leave shall be used.” Could the policy clarify that this applies to 100% Faculty Administrator positions, but not to less than 100% positions? The 12 and 48-day restrictions are listed in APM - 246 - Faculty Administrators (100% Time), but not in APM - 241 - Faculty Administrators (Positions Less Than 100%). In addition, unlike the revised CAPM 300.240, the revised CAPM 304.241 makes no other mention of the 48-day restriction on total outside activities. Members noted that the CAPM is more restrictive on this issue than the APM is.

C. Academic Integrity Policy

The Committee discussed the proposed revisions to the campus’ Academic Integrity Policy (AIP). A number of observations surfaced in the course of our discussion. Currently the college provosts handle academic integrity issues (Duties of the Provost:

<https://apo.ucsc.edu/policy/capm/308.240.html>). This has made it difficult for faculty in the situation where offenders are from two or more different colleges. If the investment is to be made in the creation of the Conduct Board it would seem that it should be the single point of contact for faculty in academic integrity cases. This would also help to address the workload concerns that have arisen. Additionally, the policy seems to leave the decision to escalate a case to the Board to the College Provosts, but there is no clear statement of the criteria for escalation, which could lead to inconsistencies in the proposed process. Also having a diversity of college provosts involved in the decisions to sanction can lead to an unfair variation in outcomes for students.

Members identified a number of possible paths forward. One is to eliminate college provosts entirely from academic integrity cases. This would improve consistency and allow for the establishment of clear evenly applied standards and a single point of contact for faculty. This would require a revision of the CAPM portion referred to above regarding the duties of the Provost. This was the path preferred by the committee.

Alternatively, the Conduct Board could serve as the single point of contact for faculty and the Board could then refer cases to the provosts as appropriate. This would ensure consistency in referral. In cases in which multiple colleges are involved the Conduct Board could adjudicate all such cases. Minor cases involving only a single college could still be delegated to the provosts, but this process would ensure consistency and fairness in regard only to “who decides” but still invites inconsistency with regard to the implementation of sanctions. We note with concern that the draft modifications of academic integrity policy recommend “what grades appear on the transcript as fundamentally an academic issue that is separable from the student discipline process,” thereby encouraging the establishment of academic policy or regulation for the grade option separate from disciplinary policy. The Committee believes the “preservation of grade” option is critical if academic integrity policies are to have real consequences, and therefore recommends CEP takes action to preserve this in conjunction with disciplinary policy. We also urged that every effort should be made to streamline the process as much as possible so that it will be used as widely as possible.

III. Divisional and Systemwide Reviews

In addition to the items listed above, RJ&E provided comment on the following requests for review.

A. Divisional

- Proposal for the Baskin School of Engineering (BSOE)
- Baskin School of Engineering Direct Admission and Diploma Proposal

B. Systemwide

- Systemwide Review of Presidential Policy on Affiliations with Certain Healthcare Organizations, Implementing Regents Policy 4405
- Systemwide Review of Academic Personnel Manual Subsection 759 (APM 759)
- Proposed Changes to the Systemwide Policy on Sexual Violence/Sexual Harassment

IV. Updates of the Santa Cruz Division Manual

The following updates were made for the 2021-22 manual of the Santa Cruz Division. There are two classes of changes.

1. Changes due to divisional legislation

- Divisional Senate Bylaw 13.24.1

2. Conforming changes

- College Nine now John R. Lewis College

V. Elections and Ballots

Committee on Committees Elections

RJ&E reviewed COC nomination petitions, wherein there were two (2) candidates for the two (2) open positions. SCB 11.4 specifies that “If the number of nominees is equal to the number of places to be filled, all the nominees will be declared elected.” RJ&E certified the two members as elected to COC.

Respectfully submitted,

COMMITTEE ON RULES, JURISDICTION, AND ELECTIONS

Martha Zuniga

Audun Dahl

Eleonora Pasotti

Kenneth Pedrotti, Chair

August 31, 2022

COMMITTEE ON TEACHING

Annual Report 2021-22

To: Academic Senate, Santa Cruz Division

The Committee on Teaching (COT) met remotely approximately every other week throughout the academic year to conduct business regarding their charge of fostering and promoting effective teaching. COT continued ongoing activities including the implementation of the Student Experience of Teaching surveys (SETs), communicating with faculty about best practices for increasing 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 third year's recipient of this award. Teaching on our campus was, for another year, significantly impacted by the unusual and continued events of the global COVID-19 pandemic. COT continued to prioritize 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

The campus returned to using the Standard SETs form that was approved in 2019, and slightly revised in spring 2021. Questions 5, 6, and 12 still remain for the teaching table. After several years of modifications to the SETs, it is a welcome change to be able to work with the existing survey as a tool that both supports instructors and students, and provides departments and CAP a consistent data source in the larger project of recognizing teaching as part of personnel actions. COT has continued to work with Information Technology Services (ITS) and AVPTL Greene to monitor the roll out of Blue, the platform that supports the SETs. This year we also worked on plans to add additional options for faculty to use in Blue, including mid-quarter feedback and optional questions. These two tasks will likely continue in 2022-2023.

A. Teaching Assistant (TA) SETs Update

In order to create better consistency between SETs for instructors and TAs, and to reduce bias in responses, the committee made minor adjustments to the TA form (Appendix I).

Mismatched SETs: In the spring, COT chair was informed by the SETs team that there is a small percentage of TA SETs that have been submitted for the incorrect TA. Instructional Tech (IT) Integrator Michael Nardell has been working on determining the scope of the problem (likely less than 3%), and believes that half or more of these instances could be easily resolved. However, AVPTL Greene expressed additional concerns such as courses in which students don't have an assigned TA, and suggested that students have the option to write in the name of their TA or the name of the TA with whom they most worked. Nardell then suggested a two-step solution: asking students if the assigned TA is the TA with whom they worked, and if not, asking for the name of the TA for whom their evaluation is intended. Nardell is working on this matter with Vice Provost for Academic Affairs (VPAA) Herbie Lee and AVPTL Greene. COT may

have a role to play in helping develop instructor guidance on best practices to ensure the correct TA is evaluated. COT should follow up on this concern in fall 2022.

B. Anonymity Thresholds

In 2020-21 AVPTL Greene raised the question of possibly establishing anonymity thresholds for SETs as a topic for COT. In 2021-22 COT worked on investigating perceptions of the issue among students and instructors and developing some guidance for best practices around SETs in small classes. In developing a policy going forward COT seeks to balance the risk of reprisals against students in small courses (particularly graduate courses) with the need for feedback in those courses and the possibility of unintended impacts on undergraduate majors that rely on small classes. Graduate Council (GC) expressed reservations about losing SETs in graduate courses when COT raised the possibility of setting anonymity thresholds during a visit to GC, so COT has worked on gathering more information this year.

In order to develop a fuller sense of graduate students' perceptions of these issues, we surveyed graduate students in Spring 2022 (Appendix II). Next year COT plans to analyze the results and gather data from the Office of the Registrar on the mean graduate class size and frequency of class sizes to evaluate the potential impact of establishing a threshold at various levels (e.g., 4, 10). With this information COT plans to develop advisory language to share with departments about best practices around using SETs in small classes. We'd like to couple this with suggestions on how to solicit and engage feedback in graduate courses, because some grad students expressed frustration about the perception that instructors are not responsive to suggestions. It will be important to consult GC as COT moves forward on this matter.

C. Question Bank

The new SET platform BLUE supports instructor designed questions and there has been interest on COT as well as in the broader community in utilizing this functionality once the implementation of the BLUE platform was stable. In recognizing that we want to continue the work of AVPTL Greene and previous COT committees on revising the SET questions to reduce bias and improve the information in responses to questions, COT felt it was important to provide instructors with a question bank that they could choose from to better ask questions about particular topics in their courses that are not already covered by the regular SET questions. COT formed a subcommittee (Chair Jones, Soleste Hilberg, Robin Dunkin) to draft a question bank from which instructors could choose questions if they wish. The subcommittee consulted with AVPTL Greene as well as ITS Rebecca Peet on the content of the questions as well as the technical parameters and roll out. The entire committee reviewed the questions in the question bank at our final COT meeting. After consulting with IT regarding implementing a trial of custom questions in COT member Robin Dunkin's summer course, it was decided that there is additional work to do before the custom question functionality is ready for roll out. We will reconvene on this issue in fall 2022 with the intention of trialing the custom questions in a few select courses in fall 2022. Finally, a messaging campaign will accompany the roll out in the first week of instruction to ensure that all instructors are aware that BLUE can now be used for mid-quarter feedback and instructors can utilize the question bank as well as create their own questions.

D. Student Response Rates on SETs

Collaboration with ITS and Routinized Messaging

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 (2021-22), the response rates dropped slightly in fall and winter but increased overall in spring. We note some variation in rates across divisions which suggests that perhaps some targeted outreach might be worth exploring next year. This year COT worked with ITS to help improve communications by shifting messaging to canvas and regularizing a calendar for communication strategies for each quarter.

Table 1: SET Return Rates AY 2021-22

TERM	Arts	Hum	PBSci	BSOE	Soc Sci	Colleges	Overall
Fall 2021							
	37	46	45	44	47	54	45
Winter 2022							
	32	45	42	51	47	40	43.82
Spring 2022							
	33	45	42	47	47	43	43.42

II. Teaching Awards

This year COT worked with the Office of the Chancellor to clarify and affirm the Chancellor's ongoing support for the teaching awards program and to establish an award amount of \$1000 for all recipients of the COT administered teaching awards. The committee also shifted the timing of the review of nominations for the awards, completing the 'Distinguished' in winter quarter and the 'Excellence' in spring. We recommend this approach going forward to improve workload distribution, though further consideration of timing, given the hecticness of spring events, may also be appropriate. We also developed two different events with particular interest in promoting the Distinguished in Teaching Award, which had had no public event since its founding due to COVID disruptions. Our goal with these reorganized events was to bring greater attention to the recipients and the awards themselves.

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.¹ In 2021-22, COT evaluated nominations by 335 students, for over 235 different instructors. We see this as evidence of the extraordinarily strong commitment by UC Santa Cruz faculty and instructors to students and their learning. At the same time, we note that the number of nominations has fallen in recent years; COT should keep monitoring this

¹ 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.

and, if necessary, revisit the mechanisms for soliciting nominations. Faculty recipients each received a \$1,000 cash award. Peter Weiss received the Ron Ruby award, funded separately by the PBSi division, with a \$2000 cash award.²

2021-22 Excellence in Teaching Award Recipients (in alphabetical order):

- micha cárdenas, Arts, Games and Playable Media
- David Draper, Statistics
- Elena Finkbeiner, Coastal Science and Policy
- Kyle Robertson, Philosophy
- Brenda Sanfilippo, Writing Program
- Gina Ulysse, Feminist Studies
- Peter Weiss, Chemistry and Biochemistry, Ron Ruby Award Recipient
- Daniel Wirls, Politics

To celebrate the past three years of teaching awards recipients, COT and the Chancellor's office organized an afternoon outdoor gathering and reception at the Cowell Provost House on June 3rd to distribute the physical awards and recognize the winners. This event replaced the previous tradition (on hold for the past two years due to COVID) of a luncheon with the recipients and the Chancellor. The idea behind this shift was to bring greater attention to the awards and the recipients, given that some past winners have felt like it was almost a secret. COT invited the divisional deans and department chairs of individual recipients as well. Chancellor Larive and EVC Kletzer attended and participated in the event. There seemed to be a good spirit at the event, and the majority of recipients attended. Senate staff (Rebecca Hurdis and Michele Chamberlin) did extraordinary work to make the event happen so successfully, even in the absence of campus catering and other logistical support. COT should consider whether this format and timing is one to pursue going forward; the last week of classes was a hectic one, and putting the event together was a significant labor commitment from staff. Next year's number of awardees will be smaller, so it may make sense to return to a luncheon model, which might also return the organization to the chancellor's office.

B. Distinguished Teaching Award

This year, COT invited nominations for the third annual Distinguished Teaching Award, created in 2019-20. In contrast to the student-nominated Excellence in Teaching Award, this is a campus-wide faculty-nominated award. Department chairs, Program chairs, and College Provosts were invited to nominate one person from their department or program for "The Distinguished Teaching Award." This year the committee discussed ways to make diversity, equity, and inclusion (DEI) more central to the process of selecting winners. COT updated the nomination form to begin addressing some of these concerns. Next year, COT plans to again review the language of the call and the form to help course sponsoring organizations best understand how to prepare nominations.

Previously, the committee used a simple nomination form, designed last year, asking nominators to comment on three questions:

² The PBSi Division notified COT in April 2020 that they were increasing the Ron Ruby award from \$750 to \$2000. The ETA awards were increased from \$400 to \$1000 in 2021-22 following the Chancellor's commitment to continued financial support of the awards going forward.

- 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?

This year, we transitioned to using a Google form and modified the questions down to two to help reduce the burden of workload:

- Please tell us how your colleague has contributed to a transformative change in the culture of teaching on campus beyond their own classroom.
- How has your colleague contributed to educational equity within your department and across campus?

There was an additional option to provide more comments if necessary. The committee received 10 nominations from outstanding faculty across the five divisions. Every COT member read all of the submitted nominations, created a short list and met to discuss the candidates and make the difficult decision. COT members were delighted to choose Nick Mitchell, Associate Professor of Feminist Studies and Critical, Race and Ethnic Studies, as this year's Distinguished Teaching Award winner.

COT, in conjunction with [Alumni Week](#), held their inaugural event on Wednesday, April 20, 2022 from 12:00pm to 1:30pm via zoom.³ With introductory remarks by Chancellor Larive, this event gathered the three inaugural recipients of the Distinguished Teaching Award (Ingrid Parker (Ecology and Evolutionary Biology), John Tamkun (Molecular, Cell and Developmental Biology), and Jackie Gehring (Legal Studies) in conversation with Sylvanna Falcón (Latin American and Latino/a Studies) to discuss their contributions to the culture of teaching that has long distinguished UC Santa Cruz.⁴ The roundtable discussion focused on how these outstanding teachers engage their students, drawing on their research in creating dynamic learning experiences for UC Santa Cruz students. We heard from some attendees and participants that the online format made it possible for people to attend. It also simplified the creation of a recording that can be circulated and posted to support the goal of bringing greater attention to the awards. Several participants mentioned appreciating the conversational format (as opposed to a formal talk from an individual recipient). Next year COT should consider what format of event is most desirable, perhaps in conversation with Nick Mitchell, this year's awardee. In terms of timing, we had considered trying to align the event with CITL's convocation, but CITL preferred another time. Next year COT should review the scheduling options early to determine the best options.

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 did not convene during this academic year. COT inquired whether the new proposed VPAA and VCIT Technology-Enhanced Teaching and Learning Working Group will replace this group.

³ For a recording to the event, go here: https://youtu.be/_jcXh_FNuGI

⁴ For the agenda and questions discussed at the spring DTA 2022 event go [here](#).

- Disability Resource Center (DRC) and Senate Workgroup: Beginning in winter 2022, COT had a representative attend the informal Senate/ADA/DRC coordination meetings, which took place about twice a quarter. Organized by Matthew Mednick and Lucy Rojas, these informal meetings were part of an effort to improve communication among these campus groups. The meetings were useful venues for sharing information and questions about best practices for instructors and the operations of the DRC. COT helped coordinate questions and suggestions to support ongoing collaboration through more effective information-sharing. Next year this constellation of people will not continue to meet, though there was a desire for finding ways for the Senate, DRC, and ADA to keep channels of communication open. One possibility for COT to explore for 2022-23 is inviting the DRC director or another staff member to visit COT periodically.
- Baytree Bookstore Committee: From December of AY 21-22, COT had a representative at eight meetings on the implementation of an online campus bookstore developed for UCSC by Akademos. While the transition began in the fall and winter, it was complete for spring quarter. This year was focused on the technological aspects of implementation, with additional discussion of marketing strategies and user experience. Both a student and a faculty advisory board will be established to provide ongoing communication regarding user experience.

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 SR 478 (IGETC)
- Presidential Policy re Abusive Conduct and Bullying
- Systemwide Proposed SR 478 (IGETC): Second Round
- Systemwide Senate Regulation 424.A.3

Divisional:

- VPAA's Online Charter Programs Initiative
- DRC's Request for Faculty Notification Accommodate
- CP/EVC's Pilot Support Structures for Free Speech and Protest
- Academic Integrity Policy Proposal
- VPDUE's Commencement of Academic Activity
- DRC's Request for Access to Canvas
- VPAA's Revised Proposed Remote Work Guidelines for Senate Faculty
- Proposal for International Center
- Summer Campus Initiative Executive Summary
- VPAA and iVCIT Technology-Enhanced Teaching and Learning Workgroup Proposal
- VPAA WASC/WSCUC Accreditation Theme Suggestions

Additionally, COT in conjunction with the Senate Chair and CEP Chair, sent recommendations for the DRC to Associate Vice Chancellor Ebonée Williams on June 24, 2022. The correspondence provided suggestions on ideas for supporting effective communication through formatting, communication venues, and process.

C. COT consulted regularly with AVPTL Jody Greene to continue to find ways to work closely with CITL though our consultations were somewhat less frequent than in 2020-21. We also consulted with Leslie Kern, ITS Learning and Instructional Tools Product Manager and the ITS SETs team (Rebecca Peet, Brian Boulware, and Mike Nardell) to help facilitate better links between COT and the groups within ITS who are focused on instructional technology.

Kresge Classroom and Space

As the construction of the new 600-person classroom and associated smaller classrooms at Kresge was well underway during the 2021-2022 academic year, COT reached out to Jolie Kerns, Director of Physical and Environmental Planning. Jolie Kerns as well as Jean Nilsson, Chair Jones, Robin Dunkin, and Rebecca Hurdin met in January of 2022 to discuss the planning for ensuring that these classrooms are as flexible as possible to accommodate a wide range of pedagogical styles including active learning. Jean followed up on February 3, 2022 to say that the smaller classrooms had already been fully planned to have flexible seating and ample white board access. The larger 600-person lecture hall has fixed seating but does have some more active learning-friendly aisles that will facilitate greater accessibility between teaching teams and students. An outcome from this meeting beyond information gathering for the already underway Kresge classroom complex, is a commitment by Jolie Kerns to involve COT in future classroom building projects from the outset to ensure faculty voices are present in the conversation from the beginning of classroom design.

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).
 - Follow up with Mike Nardell (IT) and Vice Provost for Academic Affairs (VPAA) Herbie Lee and AVPTL Greene on efforts to resolve concerns over mismatched TA SETs.
 - Follow up with Mike Nardell and Brian Boulware from ITS on testing and rollout of custom questions for SETS.
 - Work with CITL and ITS to roll out mid-quarter feedback and optional additional questions for SETS.
 - Identify anonymity thresholds for small classes, including graduate classes, to guide future assessment strategies. Develop guidance on how best to gather feedback in graduate courses.
- Outreach to the newly configured Teaching and Learning Center to talk about best strategies for communication and consultation.
 - Continue to consider ways to support faculty (in conjunction with CITL) in further developing alternative ways to assess teaching excellence (beyond SETs)
- Awards events: review the events organized in 2021-22 and evaluate what approach makes most sense going forward. (e.g., how many events to have? What kinds of events to have? When to schedule?)
- Consultations:

- Explore how best COT can work with ITS to support instructional and learning technologies. Consultation was less frequent in 2021-22, likely due to the extremely heavy workload for ITS.
- Explore how to create a routine consultation with DRC. COT may be an appropriate venue for aspects of this, but it might also be something for SEC to undertake, given the interest that multiple Senate committees (CAAD, CEP, GC) have in issues related to the DRC.
- Reconvene discussion with ITS on university wide recommendations for audience response systems to reduce burden on students.

Thank you to all the members of COT for their contributions of time, energy, and reflection this year. Our work was greatly enriched by having perspectives from students and instructors from across the university. The work of the committee simply could not happen without the expertise and patient guidance of our analyst, Rebecca Hurdis. The committee benefited enormously not only from her extraordinary organization skills but also from her institutional memory, foresightedness, and remarkable goodwill in the face of another unpredictable year.

Respectfully Submitted;

COMMITTEE ON TEACHING

Noriko Aso

Robin Dunkin

Soleste Hilberg

Albert Narath (*F, W*)

Tanya Merchant (*S*)

Catherine Jones, *Chair*

Clara Weygandt, NSTF Representative

Alexie Barbee, SUA Representative (*W*)

Theresa Hice Johnson, GSA Rep.

August 31, 2022

Appendix I. Standard TA SETs

Modified Fall 2021

Student Experience of Teaching (SET) Survey Teaching Assistant Form

A Collaboration of COT and CITL, in consultation with IRAPS and ITS

SURVEY

The purpose of this **anonymous** survey is:

1. To seek your reflection on your experience with your TA in support of your learning in the course;
2. To provide your TA with feedback that may be helpful to them in assessing and improving their effectiveness.

The TA will not see the forms until after grades have been submitted and SETs for the course have been completed.

STUDENT INFORMATION

1. What is the name of your Teaching Assistant?
2. What is your intended or declared major? If undecided, please write “undecided.”

SECTION TYPE

3. What was the attendance policy regarding sections for this course?
 - All Mandatory
 - All Optional
 - Some Mandatory/Some Optional

INTERACTION WITH TA

4. How many times did you attend section or lab with the TA this quarter (10-week term)?
 - 0 times
 - 1-2
 - 3-4
 - 5-7
 - 8 or more times
5. How many times did you meet with this TA in office hours or by appointment?
 - 0 times
 - 1-2
 - 3-4
 - 5-7
 - 8 or more times

SURVEY:

*Instructions to students: **Please respond as to how frequently the TA did each of the following. If you did not have direct experience of a practice mentioned below, please select “unable to comment.”***

*(Scale is: **unable to comment/never/occasionally/somewhat frequently/frequently/very frequently**).*

6. ~~The TA communicated material and concepts clearly.~~ **The TA explained concepts in ways that supported my learning.**
7. The TA organized sections/lab meetings well.
8. Section meetings/labs included opportunities for students to contribute and interact.
9. The TA provided sufficient support and encouragement for my participation in sections/labs.
10. When needed, the TA was able to help me prepare for assignments (papers, quizzes, exams).
11. The TA provided useful feedback on my assignments if part of the TA duties.
12. The TA was able to answer my questions and clear up misunderstandings about the course material and concepts.
13. The TA made me feel as though I could succeed in this class.
14. The TA was available in scheduled office hours or by appointment outside of class time (whether or not I attended office hours.)
15. ~~The TA was effective in supporting my learning in the course as a whole.~~ **Activities during sections were well structured and had clear goals.**

Suggestions/Comments

Your insights can be valuable to the TA as they seek to improve the learning experience of other students in the future.

16. Please describe any specific teaching practices that your TA used that particularly helped you to learn the material and/or develop your own critical perspectives on the material.
17. Please describe any specific teaching practices that your TA used that helped you engage with the course material or that encouraged you to feel that you could succeed in the course.

18. Please describe any specific teaching practices that were less helpful for your learning, or offer constructive suggestions that might improve your TA's effectiveness.

Appendix II. Graduate Student Survey re SETs in Graduate Seminars

Graduate Student Survey

The Committee on Teaching (COT) is seeking feedback from UC Santa Cruz graduate students regarding SETs (Student Experience of Teaching) in graduate seminars. We are seeking your insights in order to understand whether the imperfect anonymity of SETs responses in small classes impedes the ability of grad students to provide feedback to instructors. We're also interested in your ideas about alternative or additional ways for grad students to share feedback on courses.

This is a confidential and anonymous survey. Responses will not be shared with departments or instructors. Although you may take courses and complete SETs for instructors in many departments, we ask that you limit your responses to your primary department. The results will be reviewed internally by members of the Academic Senate to inform policies and best practices with SETs. It should take about 10 minutes to complete.

* Required

1. **Division ***

Mark only one oval.

- ☐ Arts
- ☐ Baskin School of Engineering
- ☐ Humanities
- ☐ Social Sciences
- ☐ Physical and Biological Sciences

2. **Department or Program (optional)**

3. **Are SETs an effective tool to provide feedback to instructors for graduate seminars? ***

Mark only one oval.

- ☐ Strongly Agree
- ☐ Agree
- ☐ Somewhat agree
- ☐ Disagree
- ☐ Strongly Disagree
- ☐ No opinion

Survey re Anonymity Thresholds

4. Do you regularly complete SETs for your graduate seminars? *

Mark only one oval.

☐ Yes

☐ No

5. Do you have concerns about the possibility of retaliation for information you provide through the SETs?

Mark only one oval.

☐ Yes

☐ No

☐ Maybe

☐ Other: _____

6. Have you experienced or witnessed retaliation in your department based on SETs feedback? *

Mark only one oval.

☐ Yes

☐ No

☐ Maybe

7. How responsive are your instructors to the feedback provided? *

Mark only one oval.

☐ Very Responsive

☐ Somewhat Responsive

☐ Not Responsive

☐ Don't know

8. Does your department engage with the feedback received from SETs? *

Mark only one oval.

- ☐ Yes
☐ No
☐ Don't know

9. If yes, please provide brief details.

10. What obstacles do you think get in the way of your completing SETs?

11. What would make you feel comfortable in providing feedback via the SETs? Do you have suggestions on other ways of sharing feedback that might complement SETs? *

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Google Forms

GRADUATE COUNCIL 2021-22 Annual Report

To the Academic Senate, Santa Cruz Division:

This past year has seen the continuing impacts of COVID-19 on the campus, along with continuing concerns about barriers to graduate student welfare and success, and what can be done to strengthen graduate education. This year, we had new leadership in the Graduate Division, which is committed to finding effective solutions to challenges faced by graduate students and programs, including approaches for securing needed resources and improving student welfare. Graduate Council (GC) continued to participate in wider campus efforts related to graduate education, and focused proactively on issues of fellowship review and other policy and process reviews. Regular business included review of graduate program curricular changes, review of new graduate degree proposals and non-degree program proposals, participation in the external review for departments and programs, and review of GC's delegation policy. As it does annually, Council consulted extensively with the Vice Provost and Dean of Graduate Studies (VPDGS) and other Graduate Division colleagues on issues throughout the year, including an orientation on the “state of graduate education” for members at the start of the year, fellowship review, and discussion of the block allocation formula and procedures. A detailed summary of the Council’s work in 2021-22 is provided below.

Graduate Council Engagement with Campus Strategic Planning Related to Graduate Education

Last year, Graduate Council included in its annual report¹ a brief history of its engagement and efforts to catalyze campus strategic planning and action for strengthening graduate education. In 2020-21, partly in response to these efforts, the Chancellor and the Campus Provost/ Executive Vice Chancellor (CP/EVC) collaborated with the Faculty Senate to launch the Joint Senate-Administration Working Group on Graduate Education (JWG). The JWG focused its efforts on developing a comprehensive revenue analysis for the graduate enterprise, exploration of alternative graduate student funding models, development and analysis of a Faculty Graduate Education Survey, and analysis of Graduate Division staffing. The group was co-chaired by then-Graduate Council Chair Don Smith and then-iVPDGS Quentin Williams. This year, new VPDGS Peter Biehl has launched the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF), which seeks to implement recommendations from the JWG March 2021 report. The ITF includes two subcommittees focused on (a) funding and (b) student success and wellbeing. Graduate Council has been an active participant in this work, with representatives serving on and contributing to the ITF. Graduate Council Chair (F,W) Lissa Caldwell serves on the ITF Steering Committee and chairs the Student Success and Wellbeing subcommittee of the ITF, which also included Graduate Council members Banu Bargu and Greg Gilbert. Graduate Council Chair (S) Andy Fisher serves on the funding subcommittee of the ITF. Graduate Council will continue to actively contribute and participate in the ITF in the 2022-23 year. As noted last year, Council welcomes this sustained focus and commitment by the UC Santa Cruz community to strengthen

¹ Graduate Council [Annual Report 2020-21](#).

graduate education and to center graduate student wellbeing and success, and looks forward to continued engagement in these efforts.

Policy and Process Reviews, Changes, and Revisions

During 2021-22, Graduate Council reviewed issues and requests broadly related to policy and process with impacts on graduate education that are highlighted below.

COVID-19 Request from Faculty Graduate Directors in Social Sciences

Graduate Council received a request from five faculty graduate directors in the Division of Social Sciences regarding impacts of the pandemic on new and continuing graduate students, particularly the time required for students who began work in Fall 2021 to pass their Qualifying Examination and advance to candidacy. The graduate directors referenced the memo prepared by Graduate Council and the VPGDS in spring 2020 (see GC and VPDGS to Department/Program Chair and Faculty Directors re COVID-19 impacts on Graduate Education, 4/19/20), which implemented temporary, blanket adjustments to several policies and timelines, and requested that Council implement an extension of the timeline for the Qualifying Examination for the entire cohort of Ph.D. students that began work in fall 2021. After careful consideration of this request and discussion of current conditions and challenges faced by graduate students and programs, Council noted that while the campus continues to feel impacts from the pandemic, we are now in a position to take a more measured approach, and it is preferable to make use of the existing exception-to-policy process as needed for individual students (the VPDGS is empowered to make exceptions to policy in response to departmental requests). Graduate Council recommended that departments work with individual students, and if an extension is needed, follow the existing process to request an extension on a case-by-case basis (GC response dated 6/10/22).

Discussions about COVID-19 impacts are also taking place at the systemwide level. In July 2022, the Coordinating Committee on Graduate Affairs (CCGA) and the UC Council of Deans wrote a letter, endorsed by the UC Academic Council and subsequently sent to President Drake, expressing concern about the long-term impacts of the COVID-19 pandemic on graduate education and graduate students at the UC. The letter cites the work of local campus graduate councils and graduate divisions in addressing COVID-19 impacts and calls for systemwide solutions to these complex systemwide challenges, including the need for increased funding. Graduate Council will continue to monitor these discussions in the coming year.

Delegation for Emergency Remote Instruction

During fall quarter, CP/EVC Kletzer requested that the Committees on Educational Policy (CEP), GC, and the Committee on Courses of Instruction (CCI) consider delegation for decision for emergency remote instruction to course sponsoring agencies for winter, spring, and summer 2022 (CP/EVC to CEP, GC, CCI 10/25/22). CP/EVC Kletzer noted that while initial plans for winter 22 were for a return to default in-person instruction, the administration discovered that “a small but significant number of students may need to remain fully remote in winter and spring quarters.” While in the past, the Senate has delegated this authority on a quarterly basis, GC made the decision (communicated separately from the other committees due to the constraints of every-other-week meetings) to delegate authority to course sponsoring agencies for graduate courses, and graduate/undergraduate courses taught in conjunction (“mezzanine” courses), for winter and spring 2022. Council communicated that when possible requests of this nature should be provided

more time for review, so that the Senate can deliberate a thoughtful, unified response where possible. In a follow-up communication from CEP, GC, CCI (dated 11/23/21) the committees acknowledged the challenges and impact on workload for the campus, and clarified the reporting requirements for courses that were moved to remote instruction. The Graduate Council Chair also met with Chairs from CEP and CCI to discuss this issue.

Remote Instruction: Instructor Accommodations

CP/EVC Kletzer subsequently requested (CP/EVC to CCI, CEP, GC Chairs 8/24/22) that CCI, CEP, and GC Chairs review a request regarding accommodations for remote instruction in fall 2022 for instructors with immunocompromised household members. The committees jointly responded (CEP/CCI/GC to CP/EVC 8/26/22) that the Senate views instructor medical accommodations as a personnel issue that is within the administration's purview. However, the committees also noted that the Senate has no objections to the practice of accommodating academic appointees with their own medical conditions or to the extension of option for remote instruction for fall 2022 with an immunocompromised household member. However, committees urged that departments carefully consider the impacts to students, and explore options for approved online or hybrid instruction where possible, to minimize negative impacts on students.

Online Course Policy

Graduate Council worked throughout the year with CEP and CCI on requests related to online course policy. During winter quarter, GC reviewed a formal request for guidance from CCI, and GC subsequently supported the request to create a category of provisional approval for synchronous online and hybrid courses with clear sunset provisions. Graduate Council noted that a course provisionally approved for synchronous online and hybrid modality must be offered in that modality at least once within three years, and if a program wishes to convert a course modality permanently, the program is required at the end of three years or by the third offering of the course, to submit a formal proposal for a permanent change. GC agreed to work in coordination with CEP and CCI to determine the types of information required for secondary review (GC to CCI 3/8/22). CEP, GC, CCI subsequently communicated to the campus regarding concerns raised about review of online course applications, and that CEP and GC had granted CCI's request to provisionally approve synchronous and hybrid course requests for fall 2022 (3/24/22).

During spring quarter, CCI requested GC and CEP review of a set of documents to aid in CCI's review of online and hybrid course approvals. These documents discussed proposed updates to the CCI Online Course Guidelines Living Document, permanent approval procedures, and additional issues related to existing online course policy. Council provided detailed feedback (GC to CCI 6/27/22) and further recommended that CCI update the CCI Online Course Request Guidelines document, prepare a cover memo discussing the proposed changes, and provide examples of courses that made a successful transition to hybrid/online, in order to facilitate Graduate Council review of a revised proposal. GC understood that these issues should be addressed ideally before the start of fall quarter 2022.

During summer 2022, CCI updated and requested review of an Online Course Best Practices document and requested further guidance from CEP/GC along with the Center for Innovations in Teaching and Learning/Online Education CITL/OE administration (CCI 7/21/22). The GC Chair provided feedback on the document, and provided additional feedback on questions related to

issues of classroom capacity, equity and access, and delegations of authority related to provisional approvals. Graduate Council expects to continue to work with CCI and CEP in fall 2022 as CCI finalizes essential policy, rubric, and guidance documents that will aid programs, faculty, and instructors as they prepare proposals for shifting course modality. Graduate Council appreciates that CEP will be the leading committee on this issue, which will have immediate and widespread impact on undergraduate and graduate education, and looks forward to working with both CEP and CCI in the coming year to streamline and clarify processes and criteria used to review course and modality-shift proposals.

UC HSI Pre-Professoriate Fellowship

During winter 2022, Graduate Council was asked by the Graduate Division to give input on the review process and evaluation criteria for the UC HSI Professoriate Fellowship (UC President's Pre-Professoriate Fellowship). This year was the first year the fellowship call went out to the campus. Given the limited time to respond, GC did not participate in this year's review but provided feedback for a pilot year review (GC to VPDGS 2/2/22). GC recommendations for 2022 included delegating pilot review to the Graduate Division, with the expectation that the review would be adjudicated by faculty members, as selected by the Graduate Division. During spring quarter, Graduate Council consulted with Associate Dean of Graduate Studies and Postdoctoral Affairs Don Smith (the topic was the process and outcomes for the HSI fellowship and a discussion of the Cota-Robles outcomes for this cycle). Associate Dean Smith provided an update on the review process used this year, as well as the number of applicants. During this consultation, Council discussed its participation in the review of the HSI applications for the next cycle. GC expects to review the call at the annual fall meeting when Council also reviews the Cota-Robles and Dissertation Year Fellowship calls. GC will provide input in advance of the review process regarding evaluation criteria for the next fellowship cycle, and the review subcommittee will include a subset of Graduate Council members, similar to the process for the Cota-Robles review.

In Absentia Policy: Local Campus Region Definition

VPDGS Biehl consulted with Graduate Council on the planned revision to the *In Absentia* local campus region definition. The UC systemwide *In Absentia* policy was recently revised, giving Graduate Deans at each campus, in consultation with constituents, the ability to "establish a local campus region within which in absentia registration will not be considered." Other UC campuses have defined the local campus regions in varying ways (distance from campus, travel time from campus, and by defining counties within and outside the local campus region). Graduate Council supported adopting a county-based definition, and recommended that the following counties fall within the UC Santa Cruz local campus region: San Mateo, San Francisco, Marin, Contra Costa, Santa Clara, Monterey, San Benito, Alameda, Santa Cruz. All other counties fall outside the local campus region and can be considered for *In Absentia* applications (GC to VPDGS 2/7/22).

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, no changes were made by Council to the Delegations of Authority document, which was communicated out during winter quarter (GC to VPDGS VPAA and CCI 1/19/22).

Last year, Council extended permanently its 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).² Graduate Council will continue to set policy and consult with CCI on graduate course review and approval as needed. This year, Graduate Council, CEP, and CCI worked together on a number of issues related to online course review, described earlier in this report, and discussion and consultation on online course review will continue during the next academic year.

VPDGS Consultations

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

“State of Graduate Education” Overview

Graduate Council welcomed new Vice Provost and Dean of Graduate Studies, Peter Biehl. Council focused initial consultation on questions in the following areas: 1) general mission and vision for Graduate Division; 2) initiatives and priorities for the division in the coming year; and 3) opportunities for GC and Graduate Division to collaborate toward strengthening of graduate programs across the campus. Last year, Council noted it would re-integrate a review of graduate enrollment trends (# of applicants/yield both campus aggregate and by department/program and division, detailed applicant diversity data) as part of the annual first VPDGS consultation, and GC provided data from last spring’s consultation to this year’s Council. VPDGS Biehl also took the opportunity to engage in discussion about the campus’s relatively recent AAU status and to introduce the planned Implementation Task Force for Inclusive Excellence in Graduate Education, with a focus on implementation of recommendations from the Joint Senate-Administration Working Group on Graduate Education (JWG) Report (2021).

Review of Block Allocation Formula

This annual consultation focuses on an orientation on the block allocation formula. Given what Council learned about the Master’s Incentive Program (MIP) during last year’s annual consultation³ this year, Council requested that the VPDGS also discuss his perspective on the role of master’s degrees in graduate education at UC Santa Cruz, and specifically about support for master’s students. GC also asked for an update regarding continuing impacts of COVID-19, including on the upcoming admissions cycle.

² See the GC 2020-21 Annual Report.

³ The work of better understanding MIP and how the funds are used across the campus was eventually taken up by a Graduate Council/Committee on Planning and Budget/Graduate Division working group after the work of the JWG was completed in 2021, and then eventually folded into the work of the ITF funding subcommittee (currently in progress).

VPDGS Biehl also provided a written update on graduate academic integrity cases and reported that there were no further re-delegations of authority. GC had requested a written update on these issues, to be discussed during the consultation only if needed.

Dissertation Year and Cota-Robles Fellowship Report

Graduate Council consults annually with the VPDGS for a report on the process and outcomes for the Dissertation Year Fellowships (DYF) and the Cota-Robles Fellowships awarded in the most recent cycle, and to discuss the calls for the DYF and CR Fellowship upcoming cycles. Council members that have served on the CR subcommittee in the past discussed the process. Feedback on the call was communicated formally in a memo from GC to VPDGS Biehl (dated 12/1/21). Given that major changes were introduced last year, GC did not have major changes for the DYF and CR calls for the 21-22 cycle. Graduate Council requested that the call note the decision to delay enforcement for an additional year of the criteria that students who are awarded the DYF must complete their dissertations in the award year in order for the program to remain eligible for a DYF award in the following year. This decision was made by GC in recognition of continuing impacts of COVID-19.

Given the changes to the CR review process made last year (see GC Annual Report 2020-21) and implemented this year, Council also confirmed the timeline of review and emphasized the need to make applications available in a timely way to address the expanded review process for the coming cycle.

GC appreciates continued collaboration with the VPDGS on fellowship review. The VPDGS annually collects data on the divisional review and evaluation process for the DYF, since GC agreed to delegate the DYF review to the divisions, and this information is reviewed by Council along with the annual reporting of awards and outcomes data for both fellowships. GC expects a similar approach to be taken for the HSI (UC President's Pre-Professoriate) fellowships going forward.

Graduate Admissions Report

This annual consultation typically focuses on a report of graduate admissions, including applications, admissions, and acceptances. More recently, Council has incorporated a request for five-year trend data in racial/ethnic diversity in applications, offers, acceptance, and matriculation data, overall and broken down by division, to help assess progress in increasing graduate student diversity at UC Santa Cruz. Graduate Council has also asked for information on international students, including data on international students by country.

Consultation on graduate admissions did not occur during 2021-22, as a result of a staff shortage and difficulty in aligning schedules in the Graduate Division. Council looks forward to adding this consultation back into the annual schedule next year, early in fall 2022, as it provides critical information for Graduate Council and a valuable foundation for the discussion of collaboration between GC and Graduate Division on a variety of projects and mutual goals.

Consultations: VPGE and COT Chair

Graduate Council consulted with VPGE/VPDUE Richard Hughey and with Committee on Teaching (COT) Chair Kate Jones. Consultation with VPGE/VPDUE Hughey centered on two

topics: 1) visa processing fees, and 2) the proposed summer campus initiative. On the issue of visa processing fees, GC reviewed prior communication from and to the Senate Chair (Senate Chair communication dated 10/15/21, VPGE response dated 11/5/21). Council discussed the apparent lack of a mechanism for visitors to pay fees outside of the recharge process, and the potential inequities across divisions and departments that the current fees and mechanism for payment may create; numerous campus programs and centers have the ability to charge fees against credit cards, and it seems like adding this basic capability could be helpful for visa requests. During the consultation, VPGE/VPDUE Hughey and AVP Becky George discussed the current visa processing structure. Questions raised by Council were considered, and it was agreed that VPGE/VPDUE Hughey and AVP George would explore if any other options might be possible, including establishing a process for charging these costs as a "miscellaneous fee," and exploring different mechanisms whereby a department might get support on a case-by-case basis. GC has not yet heard back about resolutions to this issue. On the summer campus initiative, Council followed up on an earlier informal chair discussion organized by the VPDUE and request for Senate review of the proposal, and sought more information about the aspects of the proposal that directly related to graduate education, in order to better understand the full scope of the impacts to graduate students and graduate education (financial, concrete plans for offering summer courses). The consultation informed Council's subsequent discussion of the proposal, resulting in a formal statement (GC response to Senate Chair dated 5/2/22).

During winter quarter, Graduate Council consulted with COT Chair Kate Jones. Chair Jones reached out to Graduate Council for a discussion about development of anonymity thresholds for Student Evaluations of Teaching (SETs). Graduate courses were an area of particular concern as COT reviewed this issue, and the committee was seeking feedback on what best practices might look like as well as other forms of assessment. Chair Jones provided a working document for GC review ahead of the consultation, which formed the basis for discussion. COT was especially concerned that SETs for low-enrollment graduate courses could result in student identities being known. In contrast, GC expressed concern that low-enrollment graduate courses are some of those that are most in need of SETs, as they provide important information concerning the high value many graduate students place on these classes for academic, technical, and professional development, and small classes can be especially difficult to justify purely based on a ratio of students/faculty. Chair Jones noted COT was in an exploratory phase in its review of this issue, and that COT would seek further comment from GC at a future date.

WASC/WSCUC Accreditation Review

Graduate Council engaged with the Office of the Vice Provost for Academic Affairs (VPAA) on two activities related to the upcoming campus WASC/WSCUC⁴ accreditation review, planned for fall 2025. During winter, Council responded to the VPAA's project outline for planned Senate consultation for the WASC review process, including a multi-year plan for campus preparation for the review. Council appreciated being informed early in the process regarding the opportunities for Senate engagement and input on the various stages leading up to review. During spring quarter, Council responded to the VPAA's request for themes for the accreditation review. Chancellor Larive and CP/EVC Kletzer will select the themes based on feedback received from the constituents consulted by VPAA Lee. GC focused its feedback by emphasizing the importance of graduate programs and graduate students being explicitly represented, as there has been a tendency

⁴ Western Association of Schools and Colleges/Senior College and University Commission.

in past planning efforts for graduate programs and students to be represented implicitly or not at all (GC to Senate Chair 6/10/22).

Council also concurred with VPAA Lee's proposal to form a steering committee as was done during the last WASC review, and emphasized the need to include Graduate Council representation (likely the GC chair). GC looks forward to continued work in this area.

Faculty FTE Recruitment Requests

While Graduate Council typically reviews faculty recruitment requests and provides feedback to the CP/EVC, this is the second year that GC has opted out of full committee review of the requests.⁵ Like last year, this decision was driven by workload and the need to devote additional time to other critical issues for Graduate Council within its limited every other week meeting schedule. The Graduate Council Chair, however, continues to receive and review the requests annually. The Council Chair reviewed the 2022-23 requests and participated in consultations held by the Committee on Planning and Budget (CPB) with each of the academic deans. The GC chair also provided input in its annual consultation with CPB on the requests, in the context of GC's focus on graduate education.

Regular Committee Business

New Degree Proposals

Graduate Council reviewed three new graduate degree proposals this academic year. GC responded to a proposal for an inter-divisional and inter-departmental M.S. and Ph.D. in Materials Science and Engineering (MSE), including requested revisions (December 2021). Council expects a revised MSE proposal to be submitted early in the 2022-23 academic year. A revised proposal for a low-residency M.F.A. in Dance was reviewed and GC provided feedback for revisions (June 2022). Council expects a revised proposal to be submitted in early 2022-23. Finally, Council reviewed two versions of a proposal for an M.A. in Geographic Information Systems, Spatial Technologies, Applications, and Research (GISTAR) with Professional Degree Supplemental Tuition (PDST) (March 2022, June 2022). Council approved the revised proposal, which was subsequently forwarded to CCGA by the campus for systemwide review (July 2022).

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 a Five-Year Contiguous Bachelor's Master's Pathway for Mathematics/Education MA/C, effective fall 2022. A second Five-Year Contiguous Bachelor's/Master's Pathway for Latin American and Latino Studies BA and the Education MA/C was reviewed in fall 2021. A revised proposal was received during the summer and will be reviewed by Council when it reconvenes in fall 2022.

External Reviews

Graduate Council annually participates in department and program external reviews. During 2021-22, Council reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming reviews in: Digital Arts and New Media, Feminist Studies, Latin

⁵ Graduate Council review of the faculty recruitment requests began in 2012-13, in the context of campus planning for graduate growth.

American and Latino Studies, Literature, MCD Biology, and Physics. GC also prepared responses to departments/program external review reports in preparation for closure meetings for: Anthropology, Critical Race and Ethnic Studies, Electrical and Computer Engineering, Environmental Studies, and Theater Arts (now Performance, Play, and Design). Anticipated, but not received, was the self-study for the Ecology and Evolutionary Biology Department. Council reviewed mid-cycle reports and made recommendations on the length of review cycle for: Art, Computational Media, Languages and Applied Linguistics, Philosophy, Psychology. GC reviewed an external review deferral request for Film and Digital Media.

Internal interim (three-year) reports for Games and Playable Media (due June 2021) and Serious Games (due June 2022) remain outstanding. GC expects to review these reports early in fall quarter 2022.

GC again noted multiple program-level delays in the submission of external review materials to the VPAA for Council review. Delays create challenges for completing reviews by GC and other Senate committees.

Program Statement Changes

Council reviewed graduate program statement changes for the 2022-23 catalog copy. This remains a time-consuming and tedious process, requiring significant effort from most GC members, especially the Analyst and Chair. Graduate Council also works annually with the Registrar's Office to set and communicate deadlines to departments/ programs and divisions for submission of proposed program statement changes to the Senate. Council has been working with the Registrar's Office in anticipation of potential changes for the next (2023-24) cycle, and collaboration will continue in late summer/early fall to prepare for the next cycle of deadlines. The chair and analyst are also working to streamline and standardize the GC review process, with the hope of simplifying member workflows in 2022-23.

GSI Requests

Graduate Council delegates to the Council Chair review and approval of Graduate Student Instructor (GSI) requests (graduate courses). The systemwide University Committee on Educational Policy and the Coordinating Committee on Graduate Affairs have taken the position that graduate students should not take on an instructional role for which they can influence the grade of another graduate student's performance, unless faculty oversight of the assessment process is sufficient to prevent any semblance of conflict of interest. In practice, it is common for GC to approve GSI requests for graduate courses that focus on TA training, and applicants this year were especially qualified and well-prepared to take on this important role. In 2021-22, GC reviewed and approved 1 change of title request to a previously approved GSI request from Literature, and 19 new GSI requests from: Anthropology, Astronomy and Astrophysics, Computational Media, Ecology and Evolutionary Biology, Economics, Education, Electrical and Computer Engineering, Earth and Planetary Sciences, Film and Digital Media, History of Consciousness, Literature, MCD Biology, Music, Physics, Sociology, Statistics. GC Chairs note that, although reviews of GSI requests are done on a rolling basis⁶, it becomes difficult to respond quickly late in the academic year. It is in departments' interests to submit GSI requests in accordance with GC deadlines to assure a timely response. In addition, GC frequently had to go

⁶ See [GC Policy and Form for GSIs for Graduate Courses](#) for deadlines.

back to departments to confirm that there was a suitable mentoring plan in place, with an explicit statement that a faculty mentor will serve as co-instructor. This requirement is noted on the first page of the GSI Policy and Form.

Fellowship Review

A Graduate Council subcommittee advised the Vice Provost and Dean of Graduate Studies on the selection of Cota-Robles Fellowships. During its spring consultation with Associate Dean Smith (discussed in the HSI Fellowship section above), Graduate Council briefly discussed the outcomes of the review cycle and the new expanded review process that was applied this year. Overall, GC was impressed with the qualifications and achievements of nominees, reviews went smoothly, and fellowships were reasonably distributed across divisions and programs. The most critical problem with the fellowship process is that there are insufficient resources to support many qualified candidates, which impedes recruitment of outstanding applicants who receive stronger support packages from other institutions. Improving direct financial support for graduate students in the form of fellowships should remain a high priority for UC Santa Cruz.

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:

- Graduate Division Request: Campus Directory “Areas of Expertise” (October 2021)
- Applied Mathematics Department Internal Viability Report (November 2021)
- Statistics Department Internal Viability Report (November 2021)
- Revised Proposed Systemwide Presidential Policy on Sexual Violence and Sexual Harassment (SVSH) (November 2021)
- UC Santa Cruz Pilot Support Structures for Free Speech and Protest (November 2021)
- Faculty FTE Transfer Requests & Joint Appointment Requests (n=4) (November 2021, December 2021, June 2022)
- Disability Resource Center Request for Faculty Feedback on Accommodate Faculty Notification Options (December 2021)
- Education Department Plan for Contiguous Five-Year Bachelor’s/Master’s Pathways (December 2021, April 2022)
- Proposal for a Five-Year Contiguous Bachelor’s/Master’s Pathway: LALS/Education MA/C (December 2021)
- Proposal for a Five-Year Contiguous Bachelor’s/Master’s Pathway: Mathematics, Education MA/C (December 2021, April 2022)
- Five-Year Perspectives List 2022-23 to 2026-27 (January 2022)
- BSOE Proposal: Direct Admissions and Conferral of Degrees (January 2022, May 2022)
- Systemwide Recommendations for Department Political Statements (February 2022)
- UC Santa Cruz Revised Proposed Remote Work Guidelines for Senate Faculty (February 2022)
- VPDUE: Undergraduate Academic Integrity Policy and New Academic Integrity Office Proposal (March 2022)
- CCGA Request: English Language Testing Requirements (Review and Informal Response) (March 2022)

- Natural Language Processing (NLP) M.S. Proposed Curricular Changes Proposal (March 2022, April 2022)
- VPDUE Commencement of Academic Activity Updated Request for Feedback (Quarterly Verification System) (March 2022)
- Revised Microbiology B.S. Proposal (April 2022)
- Review of Draft Charge: UCSC Technology Enhanced Teaching and Learning Advisory Committee (May 2022)
- VPDUE: Summer Campus Initiative Report and Proposal (May 2022)
- Committee on Teaching DRC Instructor Communications Working Document (May 2022)
- Coastal Science & Policy MS Interim (Three-Year) Report (June 2022)
- CCI Request: Review of Online Course Best Practices Document (Informal Chair Review and Response July 2022)
- CCI Request: Provisional Approval for Hybrid and Synchronous Courses 22-23 (Joint Response with CEP, August 2022)

The Council deliberated its guest policy and agreed to extend a formal invitation to Assistant Dean of Graduate Studies Stephanie Casher to attend Council meetings as a guest for 2021-22 (GC to iVPDGS October 4, 2021). Graduate Council guest policy is agreed to by Council members at the start of each academic year.

Continuing Issues for GC in 2021-22

Graduate Council often starts the year with a long list of concerns and actionable topics that require attention, and looking ahead to the 2022-23 academic year, we expect another busy calendar. In particular, GC anticipates engaging on these topics (among others):

- Strengthening Graduate Education — Council will continue to actively participate in and monitor campus planning for supporting and strengthening graduate education, graduate student financial support, and overall graduate student well-being. This includes continued participation in and collaboration with the Implementation Task Force and engagement with campus strategic planning to assure that issues of particular importance to UC Santa Cruz's graduate mission in education, research, and service are well represented and prioritized.
- Participation in fellowship review for Cota-Robles and HSI/UC President's Pre-Professoriate, and oversight of DYF Fellowship program
- Continue collaboration with CEP and CCI in review of online course policies.
- Collaboration with VPDGS on issues related to graduate education, both proactive and routine, including diversity, equity, and inclusion
- Contributing to CCGA and systemwide oversight of self-supporting graduate program reviews
- Monitoring and commenting on nascent plans that may lead to GSR unionization
- Consultations with Disability Resource Center on issues related specifically to graduate student needs
- Participation in preparation for WASC/WSCUC review
- Monitor and/or review findings and/or report of the campus Student Conduct Review Task Force and campus disciplinary processes

- Monitor revision of the campus guiding document (APU) on authority to establish new departments
- Oversight of catalog copy, curriculum, and degree requirements and policies for graduate programs.

Respectfully submitted,

GRADUATE COUNCIL

Banu Bargu

Michael Chemers

Gregory Gilbert

Robert Johnson

Sharon Kinoshita (*F, W*)

Juhee Lee

Leila Parsa

Brant Robertson

Rachel Walker (*S*)

Peter Biehl, *ex officio*

Melissa L. Caldwell, Chair (*F, W*)

Andrew T. Fisher, Chair (*S*)

Katharin Peter, LAUC Rep.

Alison Barrett, GSA Rep.

Jessie MNG Lopez, GSA Rep. (*F, W*)

Isaac Karth, GSA Rep.

August 31, 2022

COMMITTEE ON COMMITTEES

To: Academic Senate, Santa Cruz Division

The following nominations are updates to those appearing in the Call.

Academic Personnel (CAP)

Addition: Beth Stephens

Art

Admissions & Financial Aid (CAFA)

Addition: Manel Camps

Microbiology & Environmental Toxicology

Affirmative Action & Diversity (CAAD)

Addition: Yat Li

Chemistry & Biochemistry

Removal: Phoebe Lam

Ocean Sciences

Committee on Committees (COC)

Addition: Nic Brummell

Applied Mathematics

Courses of Instruction (CCI)

Addition: Lily Balloffet

Latin American & Latino Studies

Addition: David Bernick

Biomolecular Engineering

Addition: David Harrison, Chair

Computer Science and Engineering

Addition: Robert Johnson

Physics

Addition: Amanda Rysling

Linguistics

Addition: Vanita Seth

Politics

Development and Fundraising (CDF)

Addition: Shiva Abbaszadeh

Electrical and Computer Engineering

Addition: Mayanthi Fernando

Council of Provosts Rep. Kresge; Anthropology

Addition: Enrico Ramirez-Ruiz

Astronomy & Astrophysics

Educational Policy (CEP)

Addition: Vicki Auerbuch Stone

Microbiology & Environmental Toxicology

Addition: David Cuthbert, Chair

Theater Arts

Addition: Elizabeth Beaumont

Politics

Addition: Cormac Flanagan

Computer Science and Engineering

Addition: Alma Heckman

History

Addition: Dianne Hendricks

Biomolecular Engineering

Addition: Kenneth Kletzer

Economics

Addition: Kyle Parry

History of Art/Visual Culture

Addition: John Tamkun (W, S)

Molecular, Cell, & Developmental Biology

Removal: Tanner Wouldgo

Writing Program

Faculty Research Lecture (CFRL)

Addition: Brant Robertson

Astronomy & Astrophysics

Addition: Yiman Wang

Film & Digital Media

-

Graduate Council (GC)

Addition: K.C. Fung

Economics

Addition: Andrew Moore (F, S)

Ocean Sciences

Removal: Francois Monard

Computer Science and Engineering

Information Technology (CIT)

Addition: Hikaru Saijo (F, W)

Economics

International Education (CIE)

Addition: Hannah Ralia (F)

Psychology

Library and Scholarly Communications COLASC)

Removal: Kai Zhu

Environmental Studies

Planning & Budget

Removal: David Cuthbert

Theater Arts

Privilege & Tenure (P&T)

Addition: Robert Boltje

Mathematics

Addition: Emily Brodsky

Earth & Planetary Sciences

Addition: Phillip Hammack (W, S)

Psychology

Addition: Onuttom Narayan, Chair

Physics

Addition: Hamid Sadjadpour

Electrical and Computer Engineering

Removal: Jennifer Derr

History

Research (COR)

Addition: Elliott Campbell

Environmental Studies

Addition: Michael Stone

Chemistry & Biochemistry

Career Equity Review Advisors

Addition: Emily Brodsky

Earth & Planetary Sciences

Addition: Carla Freccero (F)

Literature

Addition: Eileen Zurbriggen

Psychology

P & T Grievance Advisors

Addition: Julie Guthman

November 30, 2022

November 14, 2022

Divisional Deans
Department Chairs
Program Directors
College Provosts

Re: Interim Guidance on Applications for Online Modalities - Summer 2023

Dear Colleagues,

The Committee on Courses of Instruction (CCI) is drafting a guide to applications for online modalities with an anticipated availability of Winter 2023. This note is aimed at instructors applying for online modalities in Summer 2023 who will not have the benefit of that guide.

To facilitate CCI's review of online course requests, applicants should provide syllabi for:

- The requested online modality.
- The in-person version of the course.

When constructing the application, attention should be paid to addressing:

- How the requested online modality supports course learning outcomes.
- Differences in teaching strategies between modalities.
- Consistency of evaluation methodology across modalities.

Once CCI have reviewed the online course proposal, the outcome will be one of:

- Application is returned with observations.
 - A revision based on those observations may be submitted.
- Course is approved for the requested modality.
 - Approval is subject to review after three calendar years.
- Course is granted Provisional Approval for the requested modality in Summer 2023 only.
 - A further application is required if the modality is desired long term.

CCI requests instructors / divisions are mindful of the [course approval deadline](#), specifically, online course requests for Summer 2023 must be submitted to CCI by January 15th, 2023.

Sincerely,



David Harrison, Chair
Committee on Courses of Instruction

cc: Cynthia Larive, Chancellor
Lori Kletzer, Campus Provost and Executive Vice Chancellor
Richard Hughey, Vice Provost and Dean of Undergraduate Education
Peter Biehl, Vice Provost and Dean of Graduate Studies
Herbert Lee, Vice Provost for Academic Affairs
Adrian Brasoveanu, Associate Campus Provost
Monica Parikh, Director, Summer Session
Jody Greene, Associate Vice Provost for Teaching & Learning
Robin Dunkin, interim Director, Center for Innovations in Teaching and Learning
Michael Tassio, Director, Online Education
Patty Gallagher, Chair, Academic Senate
Melissa Caldwell, Vice Chair, Academic Senate
David Lee Cuthbert, Chair Committee on Educational Policy
Andrew Fisher, Chair, Graduate Council
Matthew Mednick, Director, Academic Senate
Senate Executive Committee
Tchad Sanger, University Registrar
Kalin McGraw, Associate Registrar, Curriculum Management
Denise Booth, Assistant Registrar, Curriculum Management
Stephanie Moore, Assistant Dean, Arts Division
Alice Szeto Gallup, Arts Director of Academic Planning and Resources
Amy Bruinooge, Assistant Dean, Humanities Division
Jessica McKenna, Director of Academic Programs and Planning, Humanities Division
Kyle Eischen, Assistant Dean of Academic Planning and Research, Social Sciences
Lindsay Hinck, Associate Dean, Physical and Biological Sciences Division
Carrie Häber, Assistant Dean, Planning and Academic Programs
Joy Ishii, Divisional Resource Analyst, Physical and Biological Sciences Division
Jim Whitehead, Associate Dean, Baskin School of Engineering
Jill Esteras, Director of Academic Planning, Baskin School of Engineering
Department Managers
College Academic Managers

COMMITTEE ON FUNDRAISING AND DEVELOPMENT

Proposed Amendments to Senate Bylaws 13.14 et seq. Committee on Development and Fundraising Charge

To: Academic Senate, Santa Cruz Division

The Committee for Development and Fundraising voted unanimously to make three changes to the committee charge. First, we feel that the representative provost from the Council of Provosts should be a voting member. This person participates in all the meetings and discussions and is a member of the Academic Senate. Therefore, we feel that their voice should have equal weight to other faculty members on the committee.

Second, we would like to add the Associate Vice Chancellor of Development (AVCD) as a *sits with* member of the committee. In practice the AVCD has attended most of the CDF meetings over the past few years, as they oversee Divisional Development Officers and many of the activities that are key to faculty fundraising. Given that our charge is to collaborate with University Relations to facilitate faculty fundraising from private donors and industry, it is important that a UR representative attends most of our meetings. However, both the Vice Chancellor of University Relations (VCUR) and the AVCD have busy schedules, so in practice often only one of them can attend. Therefore, we would like to include both of them as *sits with* members.

Third, we have added a clause to the charge clarifying that our Committee “aims to increase access to University Relations for all faculty members but does not advocate for individual research projects or campus initiatives.” CDF is a relatively new committee and some faculty have approached CDF members asking the members to promote their research project. So, we want to clarify that our role is to make sure that private and industry fundraising on campus is accessible and understandable to as many faculty as possible, rather than promoting specific projects.

13.14 Committee on Development and Fundraising (En 17 May 19)	No change
13.14.1 There are at least six Santa Cruz Division members that include a representative from each of the academic divisions (Arts, Humanities, Social Sciences, and Physical and Biological Sciences) and the School of Engineering. A representative provost from the Council of Provosts and the Vice Chancellor of University Relations (VCUR) are invited to sit with the Committee. (Am 1 Jun 20)	There are at least six Santa Cruz Division members that include a representative from each of the academic divisions (Arts, Humanities, Social Sciences, and Physical and Biological Sciences), and the School of Engineering, and a ^A representative provost from the Council of Provosts, and ^{The} Vice Chancellor of University Relations (VCUR) and the Associate Vice Chancellor of Development (AVCD) are invited to sit with the Committee. (Am 1 Jun 20, XXX)

<p>13.14.2 The Committee serves as a point of interface between the Academic Senate and the Administration to promote faculty engagement in campus fundraising and development as well as to collaborate with University Relations in those efforts. The Committee also consults regularly with the Vice Chancellor for Research.</p>	<p>No change</p>
<p>13.14.3 The Committee advises the Chancellor, Campus Provost & Executive Vice Chancellor, and VCUR on priorities, policies and strategies related to fundraising and development.</p>	<p>13.14.3 The Committee advises the Chancellor, Campus Provost & Executive Vice Chancellor, and VCUR, <i>and</i> <i>AVCD</i> on priorities, policies and strategies related to fundraising and development. (<i>Am XXX</i>)</p>
<p><i>13.14.4</i></p>	<p><i>13.14.4 The Committee aims to increase access to University Relations for all faculty members but does not advocate for individual research groups or campus initiatives. (En xxx)</i></p>

Respectfully submitted;

COMMITTEE ON DEVELOPMENT AND FUNDRAISING

Shiva Abbaszadeh, Electrical and Computer Engineering

Vilashini Cooppan, Literature-Critical Race Studies

Enrico Ramirez-Ruiz, Astronomy & Astrophysics

Jennifer Maytorena Taylor, Film & Digital Media

Mayanthi Fernando, Council of Provosts Representative, sits with

Mark Davis, Vice Chancellor for University Relations, sits with

Karen Holl, Environmental Studies, Chair

COMMITTEE ON EDUCATIONAL POLICY
Amendment to Regulations for Chapter 6
Student Program of Studies

To: Academic Senate, Santa Cruz Division

The Committee on Educational Policy would like to expand student opportunity and responsibility by significantly automating the process of enrolling in greater than 19 credits. These students should be provided the freedom to craft their own challenging courses of study in pursuit of their academic goals.

This proposed amendment to SR 6.1.2 is in conjunction with updating CEP's existing Policy for Enrollment in Greater Than 19 Units.

CEP permits all students with a cumulative GPA of 2.5 or higher to enroll in up to 22 units starting the first day of instruction without special process or permission.

Students should be fully aware that 3 hours of academic work per week is expected for each credit hour (UC Senate regulation 760), and thus a 22-unit load would correspond to 66 hours of work each week.

Existing Regulation	Proposed Regulation
6.1.2 An undergraduate student is permitted to carry less than 15 credit hours only after obtaining approval from the college provost or the provost's designee. Such approval does not confer full-time status on the student who does not meet the requirements of SCR 6.1.1. The privilege of carrying more than 19 credit hours is in general reserved for the superior student and requires approval from the provost of the college or the provost's designee.	6.1.2 An undergraduate student is permitted to carry <i>fewer</i> less than 15 credit hours only after obtaining approval from the college provost or the provost's designee. Such approval does not confer full-time status on the student who does not meet the requirements of SCR 6.1.1. The privilege of carrying more than 19 credit hours is in general reserved for the superior student <i>students with a greater than 2.5 GPA or</i> and requires approval from the provost of the college or the provost's designee.

Respectfully submitted;
COMMITTEE ON EDUCATIONAL POLICY
Elizabeth Beaumont
David Harrison, CCI Chair, ex officio
Alma Heckman
Dianne Hendricks

UNIVERSITY OF CALIFORNIA, SANTA CRUZ
Committee on Educational Policy – Amendment to Regulation 6.1.2

AS/SCP/2050-2

Kenneth Kletzer
Kyle Parry
Victoria Auerbuch Stone
Tchad Sanger, ex officio
David Lee Cutbert, Chair

Fall November 2, 2022

COMMITTEE ON FACULTY WELFARE

Salary Analysis, 2021-22

Background: The Committee on Faculty Welfare (CFW) has monitored faculty salaries for over a decade with the main focus on the parity of UCSC faculty salaries with those of faculty at other UC campuses. CFW has closely monitored the effects of the Special Salary Practice (SSP) introduced in 2008 and modified in 2018. In addition to tracking the gap between faculty salaries at UCSC and at other UC campuses, CFW has consistently argued that such analysis needs to include a cost of living variable. A 2019 Senate resolution¹ called for a cost of living (COL) variable to be included in the campus's annual analysis of faculty salaries, and in the resulting Annual Report of Faculty Salary Competitiveness. However, this variable has yet to be included in the campus's annual analysis and report.

This year's CFW analysis shows that since the modification of the Special Salary Practice in 2018, UCSC faculty salaries have fallen further behind other UC campuses, even without the inclusion of COL. Adjusting for cost of living exacerbates this trend significantly, with UCSC salaries falling behind virtually every other campus in the UC system. This makes UCSC faculty salaries non-competitive.

The SSP instituted in 2008 had an explicit goal of equating UCSC faculty salaries to the median salaries across the UC system (9 campuses)². This goal has not been achieved and we are falling further behind. CFW's 2020-21 salary analysis showed that the modification of the SSP in 2018 had been premature and the associated report called for the restructuring of the SSP and other measures aimed at closing the gap in salaries.³ CFW calls again this year for a restructuring of the SSP.

CFW also deems it crucial that all centrally sanctioned salary raises be applied to full salaries (including off-scale salary) rather than to just the on-scale portion of salaries. In 2021-2022 the UCSC administration decided to apply the 3% increase sanctioned by the Academic Salary Program only to on-scale salaries. CP/EVC Kletzer communicated to the Senate that the money saved from applying the 3% increase in this way would be used to supplement a salary equity program to be implemented in 2021-2022. CFW disagreed with this decision. CP/EVC Kletzer has since committed to applying future increases, including the 2022-2023 4% Academic Salary Program increase to full salaries (including off-scale salary). This is a crucial measure since other UC campuses apply increases to total salaries. CFW will continue to monitor this situation.

Lagging faculty compensation is especially worrisome in the light of the campus's ongoing effort to recruit talented and diverse new faculty. Given the severe crisis in housing availability and affordability in the Santa Cruz area, elevating UCSC faculty salaries to be on par with other UC campuses after the cost of living adjustment becomes manifestly critical.

¹ UCSC Academic Senate Resolution on the Commitment to Ensure Salary Equity and Competitiveness within the UC System, November 2019

² Senate-Administrative Task Force on Faculty Salaries Report, September 10, 2008

³ [Committee on Faculty Welfare, Faculty Salary Analysis, 2020-21](#)

Key Findings:

This year, CFW compared the salaries of UCSC faculty within each rank (Assistant Professor, Associate Professor, Professor) with the median salary of the corresponding rank faculty on other UC campuses. The comparison was done in two different ways. First, we used 9 campuses (all except for UCSF) as a comparison group when we looked at how UCSC relative salaries changed between the previous years and the most recent one analyzed here (2020). We used the 9-campus reference group because it was used in previous analyses. Second, we used an 8-campus reference group (all except for UCSF and UCSC) for the rest of the analysis. UCSC was excluded in order to compare two independent sets of data. We do not see a reason for including UCSC in the reference dataset except for historical consistency. We believe that there is little value in comparing UCSC to itself. We recommend adopting the 8-campus reference group to avoid skewing analysis results in the future. UCSF was excluded due to its unique focus on graduate professional education in medical fields. In this year's analysis, we also did not separate Regular and BEE scales for the sake of brevity. Both Regular and BEE salaries show the same trends.

We find that UCSC faculty salaries are below and are falling further behind salaries of faculty on the other UC campuses. Figure 1 shows that UCSC faculty salaries lag behind those of UC peers in each of the three ranks. Furthermore, the gap in salaries has stayed the same or increased, when compared to 2018, for both the Assistant Professor and Professor ranks. We suspect that this particular trend is not observed at the Associate level simply because of the significant number of Associate Professors that get “stuck” at that rank at UCSC. To confirm this hypothesis we would need to compare the number of years that Associate Professors spend at that rank at UCSC and at other UC campuses. We could not conduct this analysis this year, but we encourage the administration to look into this issue.

In order to understand UCSC's negative trend in salaries further, we compared the rate of salary increase between UCSC and the rest of the UC campuses. Figure 2 shows that since 2018, UCSC salaries have increased slower than UC salaries for both the Assistant Professor and Professor ranks. However, prior to 2018, UCSC seemed to be catching up to the rest of UCs in all three ranks.

Cost of Living

Any salary equity and competitiveness analysis is incomplete unless cost of living in the diverse campus locations is considered. Santa Cruz county is one of the most expensive places to live not just in California, but in the whole country.⁴

CFW has conducted analyses that take cost of living into consideration in 2017-2018, and 2021.⁵ We repeat this analysis this year. In the interest of continuity, we use data from two calculators that have been used in the past – the Living Wage Calculator, developed by the Department of Urban Studies and Planning at the Massachusetts Institute of Technology (MIT), and www.relocation.com (Relocation). To these two calculators, we add the Self Sufficiency Standard

⁴ <https://www.bea.gov/news/2021/real-personal-consumption-expenditures-and-personal-income-state-2020>

⁵ [Committee on Faculty Welfare, Faculty Salary Analysis, May 2017](#)
[Committee on Faculty Welfare, Faculty Salary Analysis, April 2018](#)
[Committee on Faculty Welfare, Faculty Salary Analysis, 2020-21](#)

developed at the University of Washington (SSS). We added this calculator after consultation with Professors Steven McKay and Miriam Greenberg, who used this calculator in their COLA analysis for graduate students⁶. The SSS, like the MIT calculator, focuses on the real cost of bundles of items that people need in a given region. We excluded the Regional Price Parities developed by the Bureau of Economic Analysis (BEA), which CFW used in a previous report, because the BEA does not focus on bundles of essential items and instead relies exclusively on self-reported expenditures. Such reliance is problematic for two reasons. First, self-reported expenditures are likely not reflective of the expenditures someone faces in a region; that is, it is not reflective of the actual cost of items in a given area. Second, what someone decides to spend money on, particularly in conditions of financial duress, is likely not reflective of what they need in order to achieve an acceptable quality of life. We thus excluded the BEA and introduced the SSS. In all other respects, we employed the same methodology as in the 2017 report.

Figure 3 shows the comparison between UCSC median faculty salaries and those of other UC campuses after the cost of living adjustments have been made according to the three models above. It is clear that the adjustment reveals an even larger lag of UCSC salaries than what the unadjusted numbers show. Furthermore, we compared UCSC median salaries to each of the UC campuses separately. Figure 4 shows that UCSC salaries are behind every UC campus with the possible exclusion of UCI. We note that UCI is located in an expensive housing area, but, unlike UCSC, it has an effective faculty housing program that is not taken into account by the COL calculators.

Senate Collaboration on Addressing Salary Equity and Competitiveness at UC Santa Cruz

In spring 2021 and fall 2022, CFW collaborated with the Committee on Academic Personnel (CAP) to form a working group that assessed salary competitiveness and the effect of the 2018 modification of the SSP. In January 2022, the committees communicated to the Chancellor and CP/EVC the findings that the salary gap is present and is likely increasing, and proposed that the SSP be improved to address the issue.⁷ The transmittal also recommended that the 3% increase implemented in the 2021-22 Academic Salary Program be retroactively applied to total faculty salaries (including off-scale salaries), and that future across-the-board increases be applied to total salaries as well.

In a response to Senate Chair Brundage,⁸ CP/EVC Kletzer acknowledged the seriousness of the problem but suggested that the SSP does not need to be modified because it is already one of the most progressive programs among the UC campuses. The CP/EVC additionally shared plans to implement both a one-time salary equity program to increase faculty salaries that are low for their rank and step relative to UCSC peers, and a new option for faculty to request a salary equity review to complement the current Career Equity review that focuses solely on rank and step.

CFW has three concerns about this response.

First, the goal of the UCSC SSP is to allow UCSC salaries to catch up with other campuses. As has been shown repeatedly in CFW's analyses, this has not happened yet. Consequently, we

⁶ University of California, Santa Cruz, Report from the Graduate Student Cost of Attendance and Living Calculator Project, September 2020

⁷ CFW Chair Orlandi to Chancellor Larive and CP/EVC Kletzer, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz.

⁸ CP/EVC Kletzer to Senate Chair Brundage, 3/07/22, Re: Faculty Salaries.

believe the modified SSP is not progressive enough. A more aggressive SSP is warranted, and it should be more impactful than current programs at other UCs. To provide a further data point for this claim, we repeated an analysis that CFW conducted in 2017. We included faculty at each rank who are high earners – faculty who are in the 10 and 25 percentiles of high salaries (Figure 5). Faculty who are high earners are also presumably high achievers. We compared their salaries to those of high earners in other UC campuses. We found that UCSC salaries lag behind in this category even more so than for all of the faculty combined. This gives us reason to believe that high achievers on our campus are not adequately rewarded, and this is an issue that an improved SSP could help correct.

Second, other UC campuses are also implementing a one-time salary equity program to improve low salaries at different ranks and steps. This was a measure sanctioned centrally by the UC. Thus, the UCSC program will likely not succeed in addressing inequities *vis-a-vis* UC peers.

Finally, although a salary equity review process will be helpful to address individual cases of salary compression and inversion, CFW contends that such a review will put the burden of righting institutional inequities on individual faculty. Developing such a program acknowledges the existence of unequal compensation for equal work and therefore calls for a systemic solution that should include a reform of the entire system of compensation at UCSC. Therefore, CFW supports the equity review program, but does not consider it as a substitute for an improved SSP.

Respectfully submitted;

COMMITTEE ON FACULTY WELFARE

Yihsu Chen

Christopher Connery (*F, W*)

Tsim Schneider (*F, S*)

Gustavo Vasquez

Su-hua Wang

Judith Habicht Mauche *ex officio*

Nico Orlandi, Chair

August 15, 2022

Differential Salary between UCSC and 9-campus (REG+BEE)

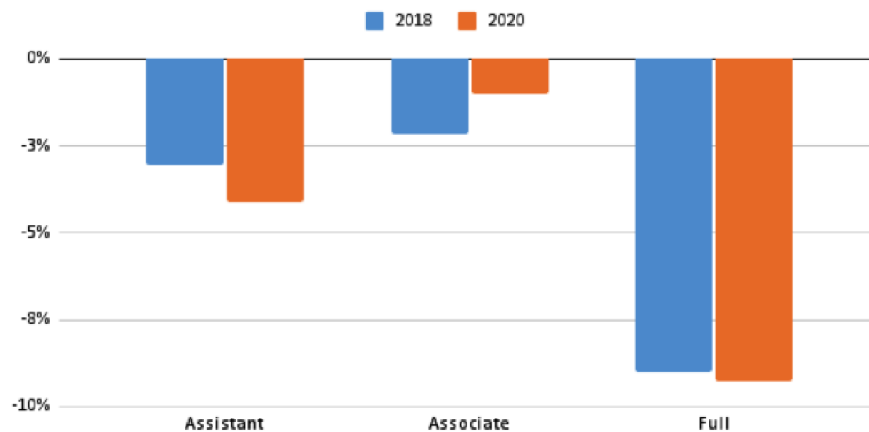


Figure 1: UCSC faculty salaries are behind the rest of UC campuses. Relative difference in percent between median salary of UCSC faculty and that of the faculty in other UC campuses is shown. Comparison group includes all UC campuses except for UCSF. The data for 2018 and 2020 are shown. 2018 is the first year after the SSP was modified. 2020 is the last year for which we have data. The comparison has been done separately for the three Professor series ranks.

Difference between UCSC and 9-campus yearly salary growth (positive: UCSC salaries grow faster than 9-campus average)

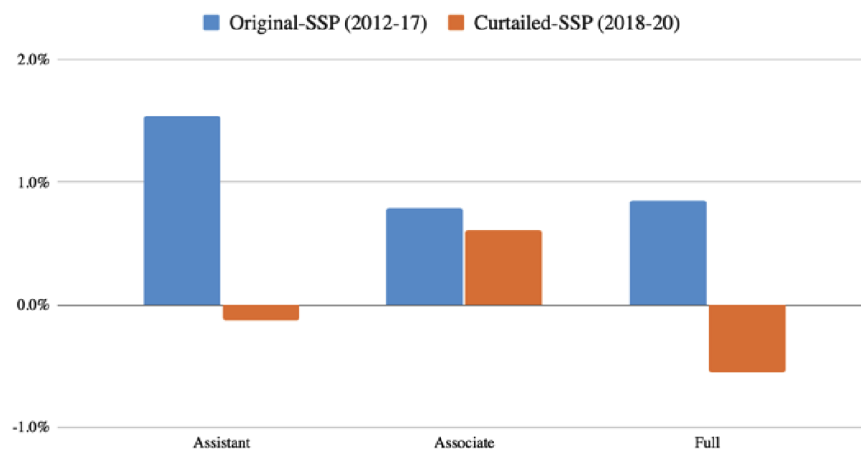


Figure 2: UCSC salaries are falling behind the rest of UC campuses. Difference between the relative rate of salary growth in the UC campuses and UCSC is shown. Positive and negative differences correspond to the higher and slower salary growth rate at UCSC respectively. UCSC salaries increased faster between 2012 and 2017 when the original SSP was in place. That trend was reversed after the SSP was modified in 2017. Comparison group includes all UC campuses except for UCSF. The comparison has been done separately for the three Professor series ranks.

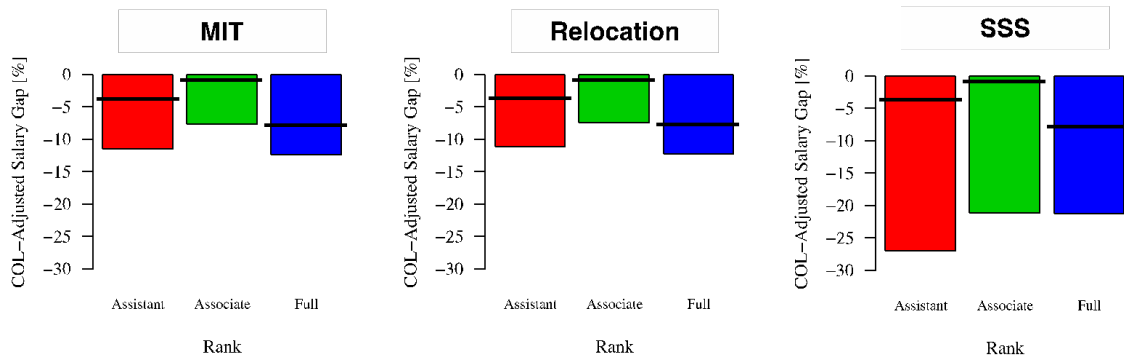


Figure 3: Cost of Living Adjustment exacerbates the gap between UCSC faculty salaries and those of the rest of UC campuses. Relative difference in percent between median salary of UCSC faculty and that of the faculty in other UC campuses is shown. The salaries were adjusted for the cost of living differences between locations of the campuses. Specific cost of living calculators used are: **(MIT)** Living Wage Calculator developed by the Department of Urban Studies and Planning at the Massachusetts Institute of Technology; **(Relocation)** www.relocation.com; **(SSS)** Self Sufficiency Standard developed at University of Washington. Horizontal black bars on each panel show the salary gap without adjustments. Comparison group includes all UC campuses except for UCSC and UCSF. The comparison has been done separately for the three Professor series ranks.

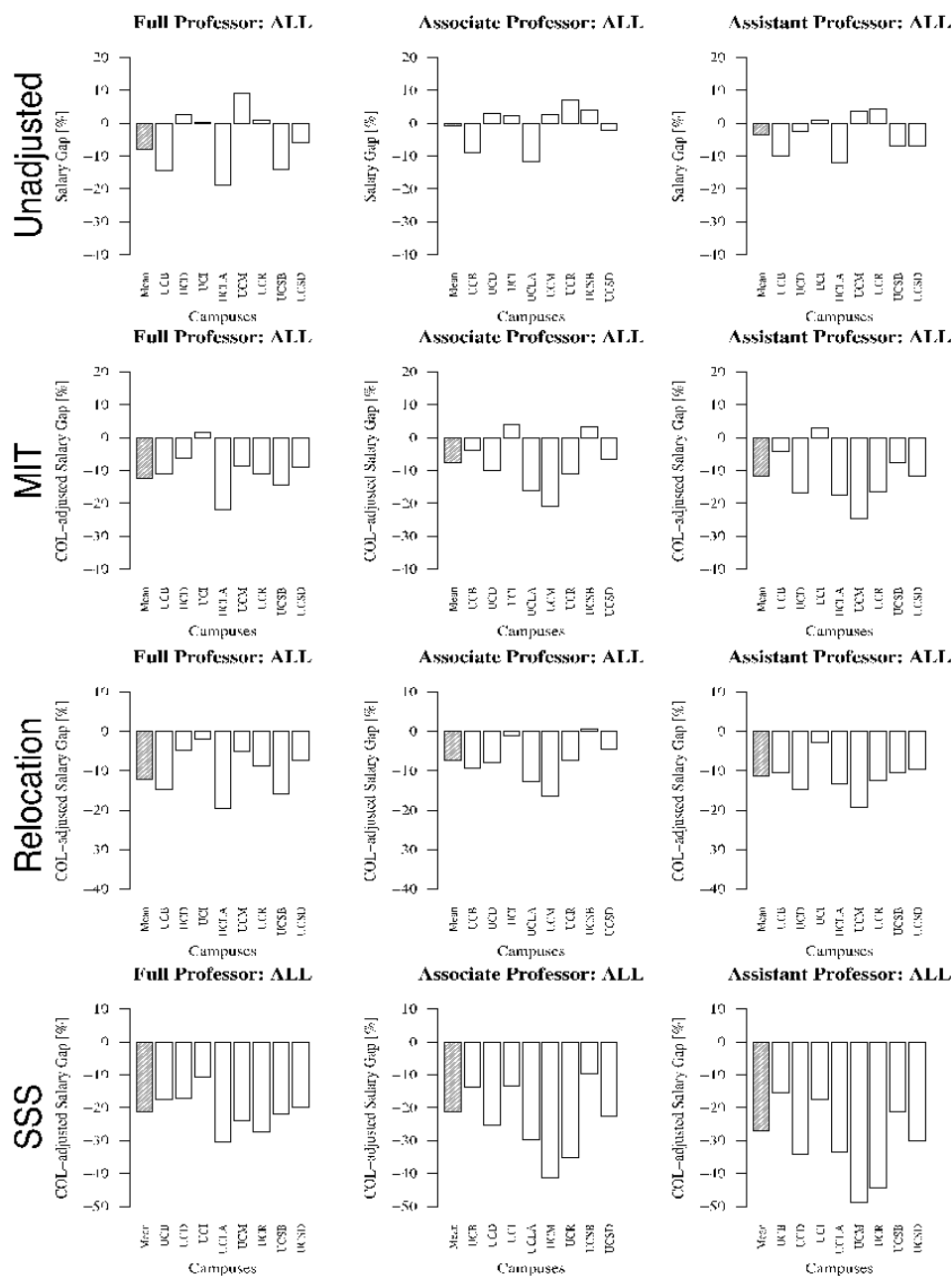


Figure 4: UCSC faculty salaries are below each of the UC campuses when adjusted for the cost of living. Relative difference in percent between median salary of UCSC faculty and that of the faculty in each of the other UC campuses is shown. The salaries were adjusted for the cost of living differences between locations of the campuses. Specific cost of living calculators used are: **(MIT)** Living Wage Calculator developed by the Department of Urban Studies and Planning at the Massachusetts Institute of Technology; **(Relocation)** www.relocation.com; **(SSS)** Self Sufficiency Standard developed at University of Washington. The comparison has been done separately for the three Professor series ranks. Note that while UCI is located in an area with expensive housing, it also has an efficient faculty housing program not taken into account in the adjustments.

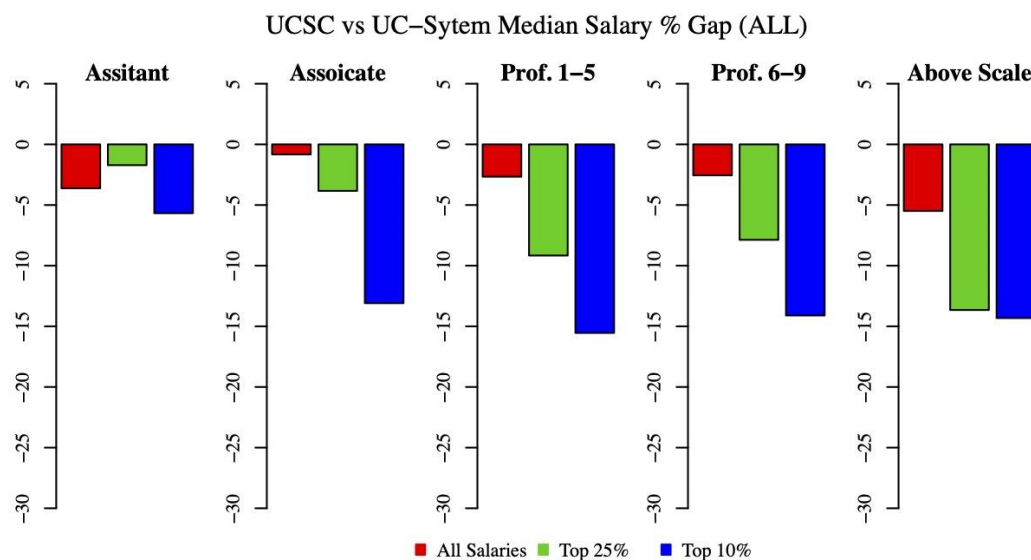


Figure 5: High earners at UCSC lag behind their UC peers. Relative difference in percent between median salary of UCSC faculty and that of the faculty in other UC campuses is shown for different Professor series ranks. The comparison is done separately for all faculty (red bars), faculty within the top 25% (green bars) and within the top 10% (red bars) of the salaries. Comparison group includes all UC campuses except for UCSC and UCSF.