UNIVERSITY OF CALIFORNIA

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VIDEOCONFERENCE OF THE ASSEMBLY OF THE ACADEMIC SENATE

Wednesday, December 9, 2020
10:00 am - 12:30 pm

X.   UNIVERSITY AND FACULTY WELFARE REPORT [NONE]

XI.   REPORTS ON SPECIAL COMMITTEES [NONE]

XII.   PETITIONS OF STUDENTS [NONE]

XIII. UNFINISHED BUSINESS [NONE]

XIV. NEW BUSINESS

I. Roll Call

2020-21 Assembly Roll Call December 9, 2020

President of the University:
Michael Drake

Academic Council Members:
Mary Gauvain, Chair
Robert Horwitz, Vice Chair
Jennifer Johnson-Hanks, Chair, UCB
Richard Tucker, Chair, UCD
Jeffrey Barrett, Chair, UCI
Shane White, UCLA Chair
Robin DeLugan, Chair, UCM
Jason Stajich, Chair, UCR
Steven Constable, Chair, UCSD
Sharmila Majumdar, Chair, UCSF
Susannah Scott, Chair, UCSB
David Brundage, Chair, UCSC
Eddie Comeaux, Chair, BOARS
Amr El Abbadi, CCGA Chair
F. Javier Arsuaga, Chair, UCAADE
Susan Tapert, Chair, UCAP
Daniel Potter, Chair, UCEP
Shelley Halpain, Chair, UCFW
Richard Desjardins, Chair, UCORP
Sean Malloy, Chair, UCPB

Berkeley (5)
Suzanne Fleiszig
Colleen Lye
Adair Morse
Nathan Sayre
David Wagner

Davis (6)
Joe Chen
Hans-Georg Mueller
Joel Hass
Robert Powell
TBD (2)

Irvine (4)
Elliott Currie
Andrej Luptak
Nancy McLoughlin
Naomi Morrissette

Los Angeles (7)
Hiram Beltran-Sanchez
Nicholas Brecha
Jessica Cattelino
Mansoureh Eghbali
Ann Karagozian
William Marotti
Peter Tontonoz

Merced (1)
Jessica Trounstine

Riverside (2)
Peter Chung
Isgouhi Kaloshian

San Diego (5)
Mariana Cherner
Seana Coulson
Juan Lasheras
Stephanie Mel
Daniel Widener

San Francisco (5)
Marek Brzezinski
Linda Centore
Bo Huang
Jae-Woo Lee
Dyche Mullins

Santa Barbara (3)
Bassam Bamieh
Isabel Bayrakdarian
Yuedong Wang

Santa Cruz (2)
Patricia Gallagher
Judith Habicht-Mauche

Secretary/Parliamentarian
Andrew Dickson

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**

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VIDEOCONFERENCE MEETING OF ASSEMBLY OF THE ACADEMIC SENATE

June 10, 2020

MINUTES OF MEETING

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I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met on Wednesday, June 10, 2020. Academic Senate Chair Kum-Kum Bhavnani presided and called the meeting to order at 10:00 am. Chair Bhavnani called the roll of Assembly members and confirmed a quorum. Attendance is listed in Appendix A of these minutes.

II. MINUTES

ACTION: The Assembly approved the minutes of April 15, 2020.

III. ANNOUNCEMENTS BY SENATE LEADERSHIP
- **Kum-Kum Bhavnani, Chair**
- **Mary Gauvain, Vice Chair**

Call for Action: Chair Bhavnani noted that a national STEM organization has called for a "Day of Shutdown" in academia today, and the cancellation of all meetings, classes, and research, as a statement against systemic racism in academia. Several Assembly members observing this call are not in attendance. The call for action follows the murder by Minneapolis police of George Floyd, an unarmed black man, that inspired nationwide protests against police violence and racism. President Napolitano and Regent Perez released a joint statement about the murder, noting that silence is complicity and committing the University to immediate action to re-examine its own police practices. The Academic Council endorsed a statement calling for a moment of silence and reflection on June 4 that was circulated widely.

Chair Bhavnani invited Assembly members to reflect on the challenge issued by the Day of Shutdown organizers about how academics might "transition into a lifelong commitment of actions to eradicate anti-Black racism in academia and STEM." Chair Bhavnani also invited President Napolitano and Provost Brown to reflect on these questions when they join the meeting later today.

An Assembly member noted that some campuses are discussing the issues in the context of the campuses' relationship with local police departments and other law enforcement agencies. A petition is circulating at UCLA to cease the campus's mutual aid collaborations with the LAPD.

In addition, some campus community members have called for disarming and defunding the UC Police Department (UCPD). Members noted longstanding concerns from campus communities about poor interactions between campus police and students and faculty of color, the militarization of campus police, and excessive and potentially lethal uses of force during campus protests. Faculty want to learn more about campus police training and policies and procedures regarding how campus police can engage people they perceive to be breaking the law. Members questioned whether existing UCPD policies and procedures are outdated and if the UC system would benefit from a systematic examination of best practices grounded in existing research and best practices.

It was noted that several years ago, a UC Irvine task force recommended creating a campus Police Advisory Committee and changing the focus of the UCI Police to public safety. The 2018 report of the Academic Senate Systemwide Public Safety Task Force also recommended the creation of independent Advisory Committees on each UC campus to provide independent oversight and accountability and follow up on complaints from the campus community. The 2019 report of the Presidential Task Force on Universitywide Policing included a recommendation for Advisory Committees.

An Assembly member asked members to reflect on the slow progress to increase representation of students of color and faculty of color, particularly in STEM fields. UC must take underrepresentation more seriously. Recruitment of black faculty has been particularly difficult. It is important that we engage leaders in communities where the campus resides.

Chair Bhavnani asked Assembly members to consider how they might contribute to creating a more welcoming climate for faculty and students of color. She noted that the Senate's Extending Faculty Diversity Task Force has assembled a draft systemwide proposal focused on the retention of diverse UC faculty. In addition, Senate divisions are engaged in conversations about the role and impact of Diversity, Equity, and Inclusion (DEI) statements in the faculty hiring process. Council has asked Senate division chairs to talk with committees and campuses about how DEI statements have changed hiring practices. Finally, Council sent a letter to President Napolitano in support of Assembly Constitutional Amendment 5 which would allow California voters the opportunity to repeal Proposition 209, and its ban on the use of race and other categories in UC admissions and hiring decisions.

Assembly members noted that some campuses have made diversity a factor in the evaluation of deans, which has created positive change. Faculty and administrators must both feel responsible for creating a diverse workforce and an inclusive environment, and be held accountable for diversity outcomes. Members noted that is important or all faculty to understand the perspectives of black students, faculty, and staff who are only 2-3% on some campuses. Members noted the need for anti-racism education and training and a better understanding of the University's role in addressing pipeline issues.

Standardized Testing: Chair Bhavnani noted that the Academic Senate Standardized Testing Task Force (STTF) presented its findings and recommendations at the May 21 Regents meeting. However, the Regents voted unanimously to accept President Napolitano's five-year plan to suspend the SAT/ACT testing requirement through 2024 and eliminate the use of standardized tests for California resident applicants by 2025 unless a better UC-specific admissions test could be developed. The Senate will participate in a feasibility study to determine whether an alternative test more closely aligned with A-G could be designed or modified. Some believe that the Smarter Balanced Assessment could fill that role, although the STTF rejected it as an option.

Task Forces: In addition to the Extending Faculty Diversity Task Force, UCOC is populating an Academic Senate Climate Change Task Force that will begin work in the fall; the Online Undergraduate Degree Task Force is looking at the implications of creating full-time online undergraduate degree programs at the University; and the Teaching Evaluation Task Force is studying current best practices for teaching and teaching evaluation.

<u>Apportionment of 2020-21 Assembly</u>: The apportionment of Assembly representatives for the 2020-21 academic year is enclosed in the agenda. Campus representation did not change relative to 2019-20.

IV. ANNOUNCEMENTS BY THE PRESIDENT AND THE PROVOST
- **Janet Napolitano, President**
- **Michael T. Brown, Provost and Executive Vice President**

Chair Bhavnani welcomed President Napolitano and Provost Brown, and read the last words of George Floyd. President Napolitano noted that the horrifying murder of Mr. Floyd has had a broad impact across the country and raised fundamental questions about racism in the United States. The problem of racism is one that all of us, including the University community, need to acknowledge and address. The President has encouraged all UCOP employees to join in today's call to action to focus attention on eradicating racism in academia and reflect on what anti-racist actions we may take individually and collectively. Ending racism requires reflection but also commitment. We can do better as a country and as a University.

The President has asked campuses to review their implementation of recommendations in the Presidential Task Force on University-wide Policing, and noted that UC would benefit from a specific systemwide policy on the use of force. She said she plans to appoint a Task Force to discuss issues of racism and discrimination as they pertain to workplace climate and employment, and will also challenge the University to consider how to bolster its efforts to educate students about racism. President Napolitano said that racism touches every element in society, including education, employment, housing, and health. She said she hoped the murder of George Floyd would be the predicate for a new ongoing and commitment to study, reflection, and action.

<u>UCM Chancellor</u>: President Napolitano noted that the Regents approved Juan Sánchez Muñoz to be the next chancellor of UC Merced. Dr. Muñoz is a first-generation college graduate who received his PhD from UCLA and spent most of academic life at Texas Tech, before assuming the presidency of the University of Houston-Downtown. He will begin at Merced in early July. Interim Chancellor Brostrom will resume his duties as systemwide CFO by August 1.

<u>Standardized Testing</u>: President Napolitano thanked the faculty for their work and recommendations on standardized testing, but noted that in her view their findings about the value of standardized tests in admissions did not outweigh the effort UC expends to normalize biases. She also believes that the SAT does not align with UC's expectations for preparation as defined by the A-G course pattern. She said she supports a feasibility study to determine whether an alternative test more closely aligned with A-G could be developed. Provost Brown will lead the study in consultation with the faculty, testing experts, state and national leaders, and CSU.

<u>COVID-19</u>: The President noted that she and the chancellors have been consulting deans, department chairs, faculty, and other experts as they work through numerous operational issues related to safely offering in-person residential instruction in fall 2020. UC Health EVP Byington is leading a systemwide Testing and Tracing Task Force to develop a consensus set of threshold standards related to testing, contact tracing, social distancing, and other safety measures campuses will be asked to meet before resuming in person activities. No campus will return fully to pre-COVID activity and dormitory life. The University hopes to achieve a complete and final decision by mid-June. All campuses will begin re-opening research activities during the summer.

Budget: President Napolitano noted that the Governor's May budget revision includes a ten percent reduction in UC's state appropriation. However, the Legislature supports a reduction closer to five percent. UC maintains that it is an essential part of the state's recovery and should be protected from cuts. The University still has difficult workforce decisions to make in response to lower activity on campuses; there will be some curtailments for employees without work. UCOP is looking at the feasibly of borrowing, and will ask the Regents for presidential authority to borrow up to $1.5 billion, if needed.

Title IX: President Napolitano noted that the Department of Education had recently announced new Title IX rules that apply to students, faculty, and staff that must be implemented by August 14. UCOP is analyzing where the new rules deviate from UC's current policies and processes.

➢ An Assembly member encouraged the University to consider ways it might work with other higher education institutions to address systemic racism and other issues.

➢ An Assembly member noted that COVID-19 is disproportionately affecting K-12 public schools. The disparities in access to quality education will eventually become an issue for UC. The Regents should consider how UC can support K-12.

➢ President Napolitano noted that the unequal treatment by law enforcement of people based on race is a stain on the nation and agreed that higher education can and should be a public leader in the fight against racism. She noted that she and Provost Brown have been discussing the challenges facing K-12 with the Superintendent of Public Schools and the President of the State Board of Education. She agreed that social support for public education is not where it should be and the condition of K-12 in California reflects fundamental elements of inequality.

Provost Brown noted that the murder of George Floyd highlighted the failure of the police involved in the incident to recognize Mr. Floyd's basic humanity. The tragedy is an opportunity for each of us to reflect on how we treat other people, to recognize that we are all brothers and sisters, and to work toward a better tomorrow. Provost Brown added that he looks forward to receiving feedback from the Senate on the revised NAGPRA policy, which honors and prioritizes requests for repatriation of Native American remains and cultural items. Rich and broad consultation with tribal communities throughout CAlifonria.

Chair Bhavnani summarized President Napolitano's background and accomplishments as UC President. She praised the President's strong support for DACA and undocumented students, thanked her for her leadership and commitment to the University, and lauded her support for shared governance and respect for the Academic Senate. Individual Assembly members also expressed their appreciation for the President's leadership

V.   REPORTS OF STANDING COMMITTEES

A. Academic Council

1. Election of the UCOC Vice Chair

ACTION: The Assembly elected Professor Jennifer R. Nájera (UC Riverside) 2020-21 UCOC Vice Chair by unanimous consent.

2. Report on Remote Instruction and Learning Survey

UCEP Chair John Serences (UCSD) presented preliminary results from a draft report on UC instructor and student experiences with remote instruction during the COVID-19 emergency. The report is a collaboration between the systemwide Academic Senate and the UC Office of Institutional Research and Academic Planning (IRAP). It includes data from a Senate survey to instructors about their experience with remote instruction in the second half of the spring semester/quarter, and also data drawn from this year's UC Undergraduate Experience Survey (UCUES), which included new questions to students, suggested by the Senate, about their experience with remote instruction. The Senate survey yielded 4,800 responses; UCCUES 33,000 responses.

Chair Serences highlighted the following results: 32% of undergraduate respondents reported being concerned or very concerned about having reliable access to the internet, and 60% reported being concerned or very concerned about having access to an appropriate, quiet study space. 60% of instructor respondents perceived that undergraduates learned less in both synchronous and asynchronous remote/online courses compared to in-person courses, and 73% reported that their workload was higher or much higher compared to in-person instruction. 85% of undergraduates somewhat to strongly agreed that remote instruction was more difficult than in-person instruction, and 70% were more or much more concerned about the quality and amount of interaction with others students in online classes. 67% of instructors reported lower or much lower student participation.

The instructor survey provided space for open-ended comments, and a number of instructor comments highlighted concerns about maintaining academic integrity and the need for better exam proctoring services, how the lack of a physical learning space affects student engagement; and how the online format makes it more difficult to identify and help struggling students.

VI.   UNIVERSITY AND FACULTY WELFARE REPORT
- **Jean-Daniel Saphores, UCFW Chair**

Clinical X and In-Residence Faculty: Some Health Sciences Senate faculty have struggled to maintain full-time effort during COVID-19 and risk losing their Senate status. The Academic Council endorsed a UCFW letter recommending that Clinical X and In-Residence Senate faculty who need to reduce effort and who desire to be re-appointed in those series at less than 100% effort be given an easier path to keep their Senate membership and privileges.

Work Flexibility: UCFW understands that faculty and staff who belong to groups at-risk for COVID-19 may be concerned about returning to campuses before a vaccine is widely available. The committee is asking campuses to involve faculty and staff in planning for re-opening campuses and to provide flexible telecommuting and remote teaching options for staff and faculty during the fall quarter/semester.

Transparency in UC investments: In 2019, the Senate petitioned the Regents to divest UC's endowment of all investments in the 200 publicly traded fossil fuel companies with the largest carbon reserves. The Regents recently announced that they had done so as part of a "de-risking" process; however, UCFW wants UC to commit to long term divestment, not simply de-risking. UCFW and several other committees have put forward a joint statement asking the University to be transparent about future investments in order to reassure the public that it remains fossil free.

Financial Concerns: UCFW developed a set of principles to guide UC through the financial crisis, and a table summarizing the pros and cons of various actions to address revenue shortfalls. UCFW also agreed with UCPB on a common list of principles that will be discussed by Academic Council. The principles emphasize the need for UC to draw on the foundation of shared governance; to use all means to avoid catastrophic, long-term damage to its ability to deliver a quality education and serve as an engine of innovation; to maintain a stable employee base and hire faculty strategically; to implement cuts progressively, and only after all other options have been exhausted; to maintain commitments to retirees and avoid cuts to benefits; and to emphasize stewardship over expansion.

Policing: In 2018, the UCFW Systemwide Public Safety Task Force released a report recommending best practices for all UC campus police departments, and changes to the UC Police Policies and Administrative Procedures manual (the "Gold Book") that would increase transparency and consistency and align policies and practices with public safety best practices appropriate to a university. The report also recommended the creation of independent Public Safety Advisory Committees on each UC campus to serve as an interface between the campus community and campus police, provide oversight and accountability, gather feedback, and handle complaints. All campuses now have public safety advisory committees. There has been progress, but problems still exist, including incidents where minorities are unfairly targeted. UCFW supports a thoughtful consideration of changes to reporting mechanisms, use-of-force policies, and policies around armed campus police.

Systemic Discrimination: UCFW is investigating examples of systemic discrimination affecting faculty and students of color, including inadequate institutional support for less prepared students, unequal access to the faculty downpayment assistance benefit, inadequate retention efforts for highly coveted minority faculty, and a lack of transparency on measures taken by administrators to address inclusion and fairness.

➤ An Assembly member noted the critical need to protect the teaching function of the University, including Teaching Assistants, faculty, and associated staff.

VII.   NEW BUSINESS [None]

VIII. SPECIAL ORDERS [None]
    A. Consent Calendar

IX.   REPORTS ON SPECIAL COMMITTEES [None]

X.   PETITIONS OF STUDENTS [None]

XI.   UNFINISHED BUSINESS [None]

The meeting adjourned at 1:10 pm
Minutes Prepared by: Michael LaBriola, Assistant Director, Academic Senate
Attest: Kum-Kum Bhavnani, Academic Senate Chair

Attachments: Appendix A – Assembly Attendance Record, Meeting of June 10, 2020

Appendix A – 2019-2020 Assembly Attendance Record, Meeting of June 10, 2020

President of the University:
Janet Napolitano

Academic Council Members:
Kum-Kum Bhavnani, Chair
Mary Gauvain, Vice Chair
Oliver O'Reilly, Chair, UCB
Kristin Lagattuta, Chair, UCD
James Steintrager, Chair, UCI
Michael Meranze, UCLA Chair
Thomas Hansford, Chair, UCM
Dylan Rodriguez, Chair, UCR (absent)
Maripat Corr, Chair, UCSD
Sharmila Majumdar, Chair, UCSF (absent)
Henning Bohn, Chair, UCSB
Kimberly Lau, Chair, UCSC (absent)
Eddie Comeaux, Chair, BOARS (absent)
Ramesh Balasubramaniam, CCGA Chair
Mona Lynch, Chair, UCAADE (absent)
John Gilbert, Chair, UCAP
John Serences, Chair, UCEP
Jean-Daniel Saphores, Chair, UCFW
Andrew Baird, Chair, UCORP
Sean Malloy, Chair, UCPB (absent)

Berkeley (5)
Cathryn Carson
Fai Ma
Jennifer Johnson Hanks
Suzanne Fleiszig
Mark Stacey (alt for Daniel Boyarin)

Davis (6)
Anne Britt
Richard Grotjahn
Joel Hass
George Mattay
Jeffrey Williams
TBD

Irvine (4)
Martha Mecartney (alt for Jacob Avery)
Elliott Currie
Andrej Luptak
Yuri Shirman (alt for Nancy McLoughlin)

Los Angeles (7)
Hiram Beltran-Sanchez
Nicholas Brecha
Jessica Cattelino
Mansoureh Eghbali
Kym F. Faull
William Marotti
Peter Tontonoz

Merced (1)
Josue Medellin-Azuara

Riverside (2)
Thomas Cogswell
Isgouhi Kaloshian

San Diego (5)
Seana Coulson
Igor Grant (absent)
Tara Javidi
Stephanie Mel
Nancy G. Postero

San Francisco (5)
Marek Brzezinski
Linda Centore
Steven Cheung
Bo Huang
Jacqueline Leung

Santa Barbara (3)
Charles Akemann
Claudio Fogu (absent)
Isabel Bayrakdarian

Santa Cruz (2)
Janette Dinishak (absent)
David Brundage (absent)

Secretary/Parliamentarian
Andrew Dickson

III.   ANNOUNCEMENTS BY THE CHAIR
- **Mary Gauvain**

IV. REPORTS OF STANDING COMMITTEES
   A. Academic Council
- **Mary Gauvain, Chair**

1. Revisions to Senate Bylaw 160 (Editorial Committee)

Background and Justification: At its September 23, 2020 meeting, the Academic Council approved a request from the Editorial Committee to align its members' term of service with other systemwide Senate committees. Currently Bylaw 160 specifies the term as July 1 to June 30. In practice, like other Senate committees, the Editorial Committee uses September 1 to August 31 as the service period. It is important for the functioning of the Editorial Committee to extend appointments through the summer and end on August 31, because the work of the Press continues over the summer. The Academic Council approved the amendment at its September 23, 2020 meeting and recommends Assembly approval.

ACTION REQUESTED: The Assembly is asked to endorse the Council recommendation.

160. Editorial
   A. Membership shall consist of: twenty members, with at least one, but not more than four, from each Division, Divisional representation not otherwise being a criterion for appointment. A Chair and a Vice Chair, normally one from a northern Division and one from a southern Division, shall be appointed to serve one year terms. The Vice Chair shall normally succeed the Chair subject to the approval of the University Committee on Committees. The Committee on Committees shall annually consult with the current Chair, Vice Chair, and the Director of the University of California Press in regard to appointment of members of the Editorial Committee. ~~The term of service of~~ ~~m~~Members of this committee ~~normally shall be from July 1 to June 30 of the following year,~~may serve for up to five consecutive years ~~of continuous service being the maximum~~. The Director of the University of California Press shall be ex officio Secretary without a vote. (Am 20 Nov 90: Am 28 May 2003)
   B. Duties. The Committee shall (EC 28 May 2003)
   1. Review manuscripts as well as associated documents bearing on the quality and significance of material proposed for publication. (EC 28 May 2003)
   2. Be consulted on policies governing the UC Press consistent with Bylaw 40. (En 28 May 2003)
   3. Have the sole authority to allow use of the University imprints, "University of California Press, Berkeley, Los Angeles, and London." (Am 16 Mar 70, 4 Mar 86; EC 28 May 2003)

2. Revisions to Senate Bylaw 125.B.14

Background and Justification:
In 2018, the Board Regents accepted a request from the Academic Senate chair to amend the previous requirement that the Senate representative to the Board of Regents Committee on Health Services hold a clinical appointment at a UC "School of Medicine" to "health sciences school." The change recognizes that in considering appointments of Senate members to the Committee, the Academic Council may identify highly qualified individuals from other health sciences professional schools who would be excellent contributors to the Committee's work. The revision to Senate Bylaw 125.B.14 aligns with the amended Charter of the Health Services Committee. Please see under clause (B) "Membership": https://regents.universityofcalifornia.edu/governance/committee%20charters/appendix-e.html.
The Academic Council approved the amendment at its November 23, 2020 meeting and recommends Assembly approval.

ACTION REQUESTED: The Assembly is asked to endorse the Council recommendation.

125. Academic Council
    A. Membership. The Academic Council shall consist of the following members:
        1. The Chair of the Assembly, who is the Chair of the Academic Council;
        2. The Vice Chair of the Assembly, who is the Vice Chair of the Academic Council;
        3. The Chairs of the Divisions; (Am 4 May 89)
        4. The Chairs of the following University Standing Committees:
- Academic Personnel
- Affirmative Action, Diversity, and Equity (Am 09 May 2007)
- Board of Admissions and Relations with Schools
- Educational Policy
- Faculty Welfare
- Graduate Affairs
- Planning and Budget
- Research Policy (Am 28 May 2003)

In the absence or disability of the Chair of a Division or Standing Committee the Vice Chair of that Division or Standing Committee shall serve on the Council with full privileges. In the absence or disability of both the Chair and Vice Chair of a Division or Standing Committee, the appropriate Committee on Committees shall appoint a replacement, who shall have full privileges, for the specified meeting(s) of the Council. (Am 2 Dec 81; Am 4 May 89)

    B. Authority and Duties [See Legislative Ruling 2.86]
        1. The Academic Council shall serve as the Executive Committee of the Assembly (Am 12 May 2004)
        2. The Academic Council normally shall advise the President of the University on behalf of the Assembly. [See Bylaw 115.E]
        3. The Academic Council shall have the continuing responsibility to request committees of the Senate to investigate and report to the Council or to the Assembly on matters of Universitywide concern.
        4. The Academic Council shall appoint two Senate members to serve on the Advisory Board of the University of California Retirement System. (En 4 May 89; CC 28 May 2003)
        5. The Academic Council shall have the authority to consider proposals for Divisional status, and to recommend to the Assembly that Divisional status be conferred. (En 9 March 05)

6. If a proposed Divisional Regulation, which has been submitted to the Assembly of the Academic Senate for approval, is at variance with Universitywide Regulations and cannot be included in the agenda of a regular Assembly meeting to be held within sixty calendar days after Divisional action, the Academic Council, with the advice of the appropriate University Senate committees, is authorized to approve provisionally such proposed Regulations. Such approval is effective until the end of the next following term in which a regular Assembly meeting is held. Such approval must be reported to the Assembly. [See Bylaw 115.F and Bylaw 206.D] (CC 9 March 05)

7. The Coordinating Committee on Graduate Affairs shall submit to the Academic Council for final action on behalf of the Assembly proposals for the establishment of new graduate degrees submitted in accordance with Bylaw 180.B.5 when such proposals cannot be included in the agenda of a regular Assembly meeting to be held within thirty calendar days after Committee action. (Am 10 Dec 2014; Am 7 Jun 72)

8. In accordance with Bylaw 65 the Academic Council shall act upon appeals of curricular decisions by Universitywide Senate committees.

9. In accordance with Bylaws 110.A.3.b and 110.A.3.e the Academic Council shall be consulted by the Chair of the Assembly concerning the schedule of, the setting of agendas for, and the cancellation of regular meetings of the Assembly.

10. With the concurrence of a majority of the Academic Council an emergency meeting of the Assembly may be called by the Chair of the Assembly or, in the Chair's absence or disability, by the Vice Chair, as specified in Bylaw 110.A.3.d .

11. Special meetings may be called as specified in Bylaw 110.A.3.c .

12. Any action item, other than a Bylaw amendment, noticed for a meeting of the Assembly that does not achieve quorum, may be acted upon by the Academic Council. Such action must be reported to the Assembly in the Call of the next regular or special meeting of the Assembly. (En 12 May 2004)

13. The Academic Council is empowered to establish Special Committees. (En 12 May 2004; CC 9 March 2005)

14. The Academic Council shall nominate to the President an Academic Senate member who holds a clinical appointment at a UC ~~School of Medicine~~ health sciences school to serve on the Health Services Committee of the Board of Regents. The member serving in this role shall also be an ex-officio member of the University Committee on Faculty Welfare Task Force on the Future of UC Health Care Plans. (En 8 Feb 2017)

V. ANNOUNCEMENTS BY THE PRESIDENT
- **Michael Drake**

VI. ANNOUNCEMENTS BY THE PROVOST
- **Michael T. Brown**

VII. STATUS OF THE UNIVERSITY BUDGET
- **Nathan Brostrom, Executive Vice President and Chief Financial Officer**

VIII. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]

IX. SPECIAL ORDERS
A. **Consent Calendar [NONE]**
B. **Annual Reports [2019-20]**

X. SPECIAL ORDERS [NONE]
      A. Consent Calendar

XI.   REPORTS ON SPECIAL COMMITTEES [NONE]

XII.   PETITIONS OF STUDENTS [NONE]

XIII.   UNFINISHED BUSINESS [NONE]

XIV.   NEW BUSINESS

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Academic Council is the executive committee of the Assembly of the Academic Senate. It acts on behalf of the Assembly on non-legislative matters, advises the President on behalf of the Assembly, and has the continuing responsibility through its committee structure to investigate and report to the Assembly on matters of University-wide concern.

The 2019-20 year was a year like no other for UC and the Senate. A Presidential Search, a Chancellor Search, the Regents' decision on standardized testing, DEI and policing matters, the amendment of Regents Policy 7102 (Appointment of a Chancellor), and the COVID-19 crisis, all conspired to shape Council's work, sometimes with unexpected outcomes. Council meetings moved to a videoconference format in March 2020. In addition to 11 regularly scheduled meetings, Academic Council held at least 15 additional informal videoconferences to consider the epidemiological impact of the global pandemic, and address other matters relating to teaching, research, service, the budget, and faculty welfare. Council's final recommendations and reports may be found on the Academic Senate website. Matters of particular importance for the year are summarized below.

COVID-19 RESPONSES

In response to the COVID-19 emergency and the University's decision to move to remote instruction, Council issued temporary policy modifications and other recommendations to campuses and administrators related to undergraduate admissions, undergraduate and preparatory education, academic personnel, graduate students, and faculty welfare. The Senate office established a COVID-19 resources and responses website where these actions are compiled. They included a UCEP letter supporting divisional flexibility for grading options during winter and spring 2020; BOARS letters recommending flexibility in freshman and transfer admissions requirements, including the temporary suspension of certain undergraduate admission requirements; UCOPE letters regarding grading options for the Entry Level Writing Requirement; UCAP guidelines emphasizing the need for flexibility in applying academic review processes during the crisis; a CCGA request to extend normative time-to-degree and funding limits for graduate students; a UCEP statement emphasizing that copyright of course materials developed for remote teaching during COVID-19 inheres in the faculty member; recommendations from UCAADE and UCORP for mitigating the negative effects of COVID-19 on equity, diversity, and inclusion; and UCFW letters encouraging flexible telecommuting and remote teaching options for staff and faculty, and recommending a simplified process for maintaining Senate membership for In-Residence and Clinical X faculty.

Student/Faculty Survey about Remote Learning: UCEP initiated a Senate survey to instructors and students about their experiences with remote instruction in the second half of the spring semester/quarter. Following Senate's distribution of the survey to instructors, and to students via the UC Office of Institutional Research and Academic Planning (IRAP) UC Undergraduate Experience Survey (UCUES), Senate and IRAP collaborated on a report about student and faculty experiences with remote instruction during the Covid-19 crisis. The report drew on data from the Senate survey to instructors (close to 5,000 responses), and data from the 2020 UC Undergraduate Experience Survey (~50,000 responses). Council sent the report to campuses for distribution in July and to the Board of Regents at their request.

Budget Principles: In June, Council endorsed a set of principles drafted by UCPB and UCFW to guide management of the COVID-19 financial crisis. The principles asked the University to use all

possible means to avoid long-term damage to UC's ability to deliver a quality education and to serve as the state's essential source of original research. They emphasized the need to draw on shared governance; to affirm that UC is one university; to rely on established processes; to maintain a stable employee base and hire faculty strategically; and to emphasize stewardship over expansion.

Council was particularly concerned about the pandemic's multiple effects on University finances—not only from the downturn in state funding, but also from disruptions to enrollment, medical center profits, and auxiliary revenues. It was argued that any cuts would harm the UC educational and research mission, and that the upcoming crisis had the potential to be deeper than the 2009 recession; such cuts posed a serious threat to the heart of the University. Members also repeatedly conveyed more general campus concerns about overcrowded classrooms, increasing wait lists, and deteriorating facilities. They urged UC officials to resist unrealistic enrollment mandates, to inform State officials about the importance of maintaining access to a quality degree. Members also sought reinvestment in quality through measures such as reducing the student-faculty ratio and providing competitive faculty salaries; increasing graduate student support, and maintaining research excellence. They urged UCOP to resist strongly any suggestions that UC should respond to State funding cuts with new efficiencies or that the UC is doing fine with less funding from the State.

Lessons Learned: Council reviewed a document in April 2020 written by former Senate and UCFW chairs which summarized lessons from previous budget reductions that could be applied to UC budget cuts expected in 2020-2022.

DIVERSITY AND EQUITY

DEI Statements: Council discussed campus concerns about the February 2019 recommendations for the use of Statements on Contributions to Diversity, Equity, and Inclusion (DEI) for UC academic positions, particularly in instances in which local interpretation and implementation may have been inconsistent with the intent of the Contributions to DEI recommendations, and with APM 210-1-d. In April, Chair Bhavnani asked divisional chairs to gather data about how the recommendations had been implemented. Individual campuses noted that consideration of DEI statements in hiring was consistent with the UC mission to promote diversity and equal opportunity. They expressed support for the use of statements as part of a holistic evaluation, in conjunction with evidence of research and teaching excellence. Individual campuses also conveyed concerns about requiring applicants to achieve a cutoff score on their statement based on rubrics developed by the administration, and noted that any rubrics should be developed by faculty and be meaningfully connected to the needs of the hiring unit.

ACA-5: In June, Council passed a motion asking the President to support proposed State Assembly Constitutional Amendment 5 (ACA-5) and the repeal of Proposition 209. In July, Council sent the President a letter expressing appreciation for the University's support for ACA-5, and its wish to work with UCOP and the Regents on the many upcoming challenges facing the University.

Extending Faculty Diversity Task Force: The EFDTF led by UCSC Chair Lau submitted its first-year report, which outlined a draft systemwide proposal focused on the retention of diverse UC faculty through a network of interlocking programs that collectively offer opportunities for cross-campus intellectual engagement on the part of faculty, leadership development and institutional change, and self-determination and self-efficacy through creative writing and related work. Council voted to extend the Task Force for two additional years.

Immigration and Visa Regulations: In April, Council endorsed a letter from the chairs and vice chairs of CCGA, UCORP, and UCFW that asked President Napolitano to work with California's elected

representatives to oppose recent new restrictions on immigration during the COVID-19 crisis. Council also issued a [statement](#) in July that condemned new federal policies on international student visas. In June, Council sent President Napolitano a [letter](#) that celebrated the Supreme Court decision to uphold the DACA program and that expressed appreciation for the President's role in the decision.

Police Violence Moment of Silence and Reflection: In June, nationwide protests against police violence and racism in response to the murder of a black man, George Floyd, by Minneapolis police, led Council to issue a widely circulated [statement](#) that successfully called for a moment of silence and reflection on June 4, at the same time as the start of the memorial for George Floyd in Milwaukee.

Recommendations for UC Policing: In June, Council approved a [statement and recommendations](#) for restructuring UC's security and safety infrastructure. The recommendations called on UC to substantially defund general campus police, and redistribute resources to the study and development of alternative modes of campus safety and to campus services that promote mental and physical well-being of the campus community; to ban firearms as standard equipment for campus police; dissolve existing partnerships or cooperation agreements with non-UC law enforcement agencies; and to assemble groups to discuss the recommendations and their implementation within three years.

LEADERSHIP SEARCHES

Presidential Search: Following President Napolitano's announcement that she would step down in August 2020, the Academic Council, per Regents Policy 7101, appointed an Academic Advisory Committee (AAC) to assist the Regents' Special Committee screen candidates. In October, Council submitted proposed [amendments](#) to the presidential search criteria to the Special Committee, which recommended increasing the search criteria's emphasis on diversity, and requested transparency in the search.

Statement on Presidential Search: In January, Council endorsed a [UCPB letter](#) recommending that the search process be as open and transparent as possible, and urged the Regents Special Committee to allow the chair of the AAC to attend deliberations of the Special Committee, as had been done in previous Presidential Searches.

AAC Report: In July, Council sent the Regents, requesting circulation to all Board members, the AAC *Report on the Activities and Procedures for Appointing a New UC President*. In the report's [cover letter](#), Council expressed significant concerns about a lack of shared governance in the search.

UCM Chancellor: Chair Bhavnani was a member of the search committee advising the President on the selection of the new UC Merced chancellor, announced in May 2020.

Regents Working Group Report: In July, Council sent a letter expressing [concerns](#) about the report and recommendations of the Regents' Working Group on Chancellor Search and Selection.

UNDERGRADUATE ADMISSIONS

Standardized Testing: On April 1, Council endorsed the report and recommendations of the Academic Council Standardized Testing Task Force (STTF), which spent a year interviewing experts and conducting original analyses of data. Council also endorsed BOARS' recommendation to eliminate the SAT Essay and ACT Writing requirement for undergraduate admission. STTF co-chairs Henry Sanchez and Eddie Comeaux (BOARS Chair) joined individual STTF members to discuss the report and recommendations at the January Council meeting, and at the February and April Assembly meetings. The Assembly sent its final [recommendations](#) to the President in April, and Senate leaders discussed the recommendation at the May Regents meeting. The President and the Regents adopted an alternative set of recommendations for standardized testing at that meeting. In June, Council sent

the President [recommendations](#) for the composition and scope of a Feasibility Study Working Group to implement the Regents' decision to consider a new content-based admissions assessment for fall 2025 UC applicants.

Area D: In January, Council approved a set of [recommendations](#) related to the Area D ("Laboratory Science") requirement for freshman admission, including maintaining the Area D requirement at two years of science, and recommending three years. The recommendations followed a PPIC report that examined how the Senate's February 2018 proposal to increase the number of required Area D courses could affect the eligibility of students in high schools that do not offer three science courses. The Assembly accepted the recommendations at its February meeting.

Transfer: In September, administrators briefed Council on the implementation of the UC Pathways Plus transfer admission guarantee for California Community College students approved by the Senate last year. In May, Vice Chair Gauvain and former Senate Chair Chalfant (special assistant to Provost Brown for Transfers) briefed Council on faculty efforts to further align UC Transfer Pathway courses across UC campuses, and their alignment with the Associate Degrees for Transfer offered by the CCC for admission to CSU. along with review of communication and promotional efforts for the guarantee.

A by E Guidelines: Council endorsed BOARS' proposed revisions to the Admission by Exception (A by E) [guidelines](#) that clarify the interpretation of existing policy in response to an internal audit of UC undergraduate admission.

BOARS Reports: BOARS issued its [Annual Report](#) on Undergraduate Admissions Requirements and Comprehensive Review, and its [2019 Compare Favorably Report](#).

UNDERGRADUATE EDUCATION

Online Degree Task Force: UCEP Chair Serences led Council's Online Undergraduate Degree Task Force (OUDTF), which discussed the feasibility and desirability of offering fully online degree programs and possible mechanisms for doing so. The Task Force report provided three distinct policy options with the strengths and weaknesses of each. The report will be circulated for systemwide Senate review in fall 2020.

Teaching Evaluation Task Force: The chairs of UCEP, UCAP, UCAADE, and CCGA led the Teaching Evaluation Task Force, which had been charged to discuss reliability, validity, and bias in student course evaluations, determine the scope of any problems, and recommend possible remedies. Council [endorsed](#) the task force's report and six recommendations in July.

*Student Fees Beyond Tuition***:** In April, Council [endorsed](#) a UCEP letter offering guidance to divisions over the use of student fees outside the required campus Course Materials and Services fees required by campuses.

Incarcerated Students: In June, Council [approved](#) a UCEP policy paper outlining principles to guide UC in developing educational programs for incarcerated students.

Online Education: In April, Council asked UCOP to distribute to campuses [letters from UCEP and UCRJ](#) concerning "good standing" language in Senate Regulation 544, in order to facilitate flexibility in freshmen and transfer enrollment in ILTI's cross campus courses. Council also issued a UCEP [letter](#) to campuses that noted concerns about the long term implications of a proposal from the ILTI to make online course packages available for use by instructors at other campuses.

GRADUATE EDUCATION

Degree and School Approvals: Following recommendations from CCGA, UCPB, and UCEP, Council approved the following degree programs and Schools and name changes. CCGA was responsive and efficient in its reviews, and worked closely with the campuses, prior to approval, to hone and strengthen the proposals to ensure they met UC standards for educational excellence.

- [UCSB Master of Environmental Data Science](#) (9/20)
- [UCLA Master of Applied Geospatial Information Systems and Technologies](#) (11/19)
- [UCI Master of Data Science](#) (1/20)
- [UCI Master of English SSGPDP Conversion](#) (1/20)
- [UCLA Dual degree Master's in Urban and Regional Planning](#) (5/20)
- [Simple Name Change for UCLA Graduate School of Education and Information Studies](#) (7/20)
- [UCLA Master of Healthcare Administration](#) (7/20)
- [UCB Master of Development Engineering](#) (7/20)
- [UCI Pre-Proposal for a School of Pharmacy and Pharmaceutical Sciences](#) (12/19)
- [UCI School of Pharmacy and Pharmaceutical Sciences and Doctor of Pharmacy](#) (7/20)

Letter on Graduate Student Funding: The Teaching Assistant wildcat strike highlighted structural issues affecting the financial security of UC graduate students and the UC graduate education and research mission. In April, Council approved a [UCPB statement of principles](#) for supporting graduate students that described conditions contributing to the crisis such as high housing costs, a lack of adequate state support, and over-enrollment. It emphasized that graduate students lack access to Cal Grants and other forms of financial aid; that attracting and retaining high quality students would support research, campus rankings, and UC's teacher training mission; and that full funding of graduate students is crucial to UC's undergraduate education mission, and its diversity goals.

UC BUDGET

Monthly Budget Briefings: The President, Provost, Chief Operating Officer, and other senior UC leaders updated Council each month on the development of the 2020-21 University budget plan and state budget, a proposed cohort approach to undergraduate tuition, the progress of budget negotiations and advocacy efforts, state legislation affecting UC, and related issues. Several Council members participated in monthly budget briefing videoconferences for faculty and senior administrators hosted by the Provost. Council Chair Bhavnani and Immediate Past Chair May were members of the President's UCOP Executive Budget Committee.

The onset of the COVID-19 pandemic in March upended the University's budget plans and Council agendas. Council meetings moved to a videoconference format, with discussions pivoting to the economic impact of campus shutdowns, the emerging state budget crisis, and expected cuts to the University's budget. UCOP administrators updated Council on revenue loses at the campuses and medical centers, and contingency planning based on best-and worst-case scenarios for state funding and enrollment. The Senate received regular UCOP budget updates for Senate leadership to keep Senate informed about financial developments.

RESEARCH

MRU Reviews: Council approved five-year reviews for two Multicampus Research Units: The [Bioengineering Institute of California](#) (BIC), and the [UC Observatories](#) (UCO). The reviews were performed by a Joint Senate Review Committee, led by UCORP with input from UCPB and CCGA.

Openness in Research: In January, UCOP briefed Council on a draft of the (mis-named) "Openness in Research" policy being prepared for systemwide review. The policy would now permit campuses

the ability to accept publication and/or citizenship restrictions when receiving federal research grants, including restrictions imposed by the federal government for national security reasons.

Other Concerns: Council members frequently encouraged administrators to emphasize the centrality of UC's graduate education and research missions to the Board of Regents. They also urged against implementing changes to UC's open research environment, in relation to xenophobia and in which discrimination against foreign national faculty would be acceptable

FACULTY WELFARE ISSUES

UCRP: In September, Council discussed the Regents' approval of revised actuarial assumptions for UCRP, a 3% increase to the employer contribution rate, and their request to UCOP to model options for an increase in employee contribution rates. In October, Council endorsed a UCFW letter opposing any increase of employee contributions to UCRP. The letter emphasized that increasing employee contributions beyond the 3% employer increase did not have a strong financial justification, would impose additional burdens on lower-paid employees, and would undo the recent progress on faculty total remuneration. The letter also urged UC to consider other alternatives for decreasing the unfunded liability, including borrowing, before implementing employee increases.

Working Group on Comprehensive Access (WGCA) Report: Following a systemwide Senate review, Council issued comments on the WGCA chair's report. Council found that "Option 2" in the report, which recommended that UC avoid affiliations with non-UC health entities whose values conflict with UC's public mission and values, aligned with principles expressed in the 2018 UCFW Non-Discrimination in Healthcare Task Force Report. Council also observed that an absolute prohibition on affiliations could adversely affect access to care; and that the standard for approving affiliations with healthcare entities that restrict certain services should be higher than an arrangement to include Dignity-affiliated hospitals within the UC health insurance network.

Child Care Access: In April, Council endorsed a UCFW letter asking UC to provide more equitable options for affordable child care on or close to campuses. Council also regularly encouraged administrators to consider the challenges facing faculty who teach remotely during COVID-19 without access to child care and noted that they disproportionately affect women and junior faculty.

QLACs: In April, Council endorsed a UCFW recommendation to support a proposal from the Office of the Chief Investment Officer to add qualified longevity annuity contracts (QLACs) to the UC Retirement Savings Program Pathway fund.

LABOR ISSUES

Wildcat Strike: In February, Council issued two statements to President Napolitano about the UCSC graduate student wildcat strike. The first asked the University to address graduate students' concerns about housing and food security and refrain from punitive action against striking students, some of whom were withholding grades. The second asked the University to roll back and demilitarize the police presence at the strike. On several other occasions, Council would express concern that treating the strike in a heavy-handed way could worsen the situation, and encouraged the administration to be more flexible in considering alternatives.

Unit 18: In January, Council released a statement expressing support for a fair, living wage for Lecturers.

SVSH POLICY

Task Force on Sanctioning Guidelines: A joint Task Force co-chaired by Chair Bhavnani and UCLA Chancellor Block met between November and July 2020 to develop guidelines for chancellors when assigning discipline for SVSH cases involving faculty respondents who are considered to have violated the Faculty Code of Conduct. Council reviewed the draft guidelines.

SVSH in a Clinical Setting: In December, the systemwide Title IX Coordinator and UCPT Chair briefed Council on guidelines developed by a joint subcommittee related to improving systemwide practices for preventing, detecting, and responding to sexual misconduct in the clinical setting.

New Federal Regulations on SVSH: New regulations from the U.S. Department of Education governing campus sexual misconduct required campuses to implement by August 14 new SVSH grievance procedures and to use the same standard of evidence for determining guilt in cases involving faculty, staff, and students. A working group that included current and former UCPT chairs worked through the issues in detail. UCPT Chair Webster briefed Council in July about UCPT's work with with UCOP on guidelines that provide immediate policy compliance by August 14.

CLIMATE CHANGE AND SUSTAINABILITY

Climate Change Principles: In November, Council endorsed recommendations proposed by UCORP to guide UC's response to the climate change challenge. The principles asked the Senate to support UC's lead in working towards carbon neutrality and de-carbonization; prioritize the objectives of the UC 2025 Carbon Neutrality Initiative (CNI); deploy faculty expertise; support and coordinate faculty engagement in developing alternative approaches to climate change; and mobilize diverse multi-, cross-, and trans-disciplinary teams to communicate the urgency of the goals.

Climate Change Working Group: A Senate working group, guided by Academic Council's November 2019 Principles and Recommendations, created a charge for a task force to lead the Senate response to climate change,. The Working group issued a Charge letter in May 2020, along with its strong recommendation that a Climate Crisis Task Force be formed immediately.

Fossil Fuel Divestment: In February, CIO Bachher and Council discussed the University's response to the 2019 Senate memorial calling on the Regents to divest the UC endowment of fossil fuel investments. CIO Bachher characterized UC's strategy to reduce fossil fuel investments as "de-risking." Council encouraged the CIO to accelerate the strategy, noting that the memorial's intent was a permanent commitment to avoid fossil fuel investments, even if they prove to be less risky in the future. In June, Council endorsed a letter from UCORP, UCFW, UCPB, and UCEP, asking the University to implement transparency and oversight measures that would allow the Senate and the Regents to review the status of fossil fuel investments in the endowment and retirement plan, to assure the public that UC is, and remains, free of fossil fuel investments.

Fossil Fuel Investments in UCRS: In July, Council endorsed a letter from UCFW requesting that the Chief Investment Officer remove fossil fuel investments from core UC-managed funds in the UC Retirement Savings Plan, including the 403b and 457b Plans, the Defined Contribution Plan, and the pathway/target date funds. Council acknowledged the need for a consultation process, by the office of the CIO, with other University constituencies, has to occur before such decisions could be made.

ESG Principles for Commercial Banking Vendors: In July, Council supported a resolution proposed by UCFW and UCPB asking the UC Chief Investment Officer to include a criterion when issuing an RFP for new commercial banking vendors that vendors adhere to Environment, Social and Governance (ESG) principles.

STUDENTS IN ATHLETICS

Fair Pay to Play: In November, Council endorsed a statement in support of California Senate Bill 206, which allows student athletes to earn income, without losing eligibility for competitions or scholarships, from endorsements and the commercial use of their name, image, and likeness.

Statement on PAC-12 Players' Safety Protections: In August, Council endorsed a letter (not a unanimous vote) that expressed support for students in PAC-12 athletics who issued the #WeAreUnited Statement. Council's statement urged athletic administrators to provide during COVID-19 more robust protections for athletes, many of whom are Black.

OPEN ACCESS

Elsevier Negotiations: In September, members of the UC Publisher Negotiating Team joined Council to discuss the status of negotiations with Elsevier, and alternative paths to journal access supported by the UC Libraries. Chair Bhavnani also reported, in October, on her invitation to attend the OA2020 conference in Berlin, an international meeting on Open Access, where the UC was held up as a model of how to move forward. This model, where faculty strongly support their negotiating teams, has been successfully emulated at a number of other universities around the world.

Unspent Subscription Money: In February, Council endorsed a UCOLASC request that any budget savings from the lapsed contract between UC and Elsevier be preserved in library budgets to support a future Elsevier contract, and/or reinvested in open access publishing and the free dissemination of UC scholarship.

Support for Zero Embargo Policy: In February, Council endorsed a UCOLASC statement in support of proposed changes to White House policy related to the embargo period for making published federally-funded research available in open access repositories.

OTHER BRIEFINGS

Senior Managers: President Napolitano and Provost Brown joined Council each month to exchange views with Council on budget issues, faculty diversity, health care and benefits, Regents agenda items and presentations, the battle over DACA and efforts to protect undocumented students; the reorganization of UCOP; diversity and inclusion; labor relations, standardized testing, COVID-19 impacts and campus reopening plans. In November, Council's meeting with UC's new Executive Vice President for UC Health Carrie Byington touched on health care access and affordability, UC Care, nondiscrimination in healthcare, and the work environment for clinicians. In April, Council and UC's new Vice President for Research and Innovation Theresa Maldonado discussed how COVID-19 was affecting the research enterprise, plans for leveraging UC research facilities to build testing capacity, and the need for more community engagement in the UC research enterprise.

Chair and Vice Chair of the Regents: In November, Board of Regents Chair John Pérez joined Council to discuss the presidential search; challenges facing the University related to state funding and relations with the legislature; common aspirations and goals for access, affordability, diversity, and the long-term success of UC graduates; the importance of the University's research and graduate education mission, infrastructure problems on campuses; and shared governance. Council's meeting with Vice Chair Estolano in January touched on similar topics.

Admissions Audit: In September and January, administrators from the Office of Ethics, Compliance, and Audit Services (ECAS) briefed Council on an internal and external audit of local policies, processes, and controls around Admission by Exception, Athletics, and Special Admissions.

Statement on Academic Freedom: In October, UCAF Chair Schneewind joined Council to discuss UCAF's proposed Statement on Defense of Academic Freedom, addressing contemporary academic freedom threats. Council asked UCAF to consider a reformulated statement.

UCACC Chair: UCACC Chair Anthony Joseph joined Council in November to discuss new cybersecurity measures implemented by the University and a planned audit of electronic communications by the systemwide Chief Compliance and Audit Officer.

Human Rights Watch: In November, Human Rights Watch China Director Sophie Richardson and Board member Victoria Riskin briefed Council on academic freedom threats to Chinese students and scholars visiting the UC.

Implicit Bias: UCI Dean of Law, L. Song Richardson, joined Council in January to discuss how race, gender, socioeconomic status, and other categories of inequality can influence human behavior and judgments, often without explicit intent. She also described interventions that help mitigate negative effects of those behaviors and judgments.

Contact Tracing: UCSF Professor of Epidemiology & Biostatistics George Rutherford, the principal investigator on the State of California's COVID-19 contact tracing program, joined Council in May to discuss the program and its relation to UC. This followed an earlier briefing by Professor Robert (Chip) Schooley at one of Council's extra meetings, on the epidemiological implications for the UC and its campuses of the corona virus pandemic.

COVID-19 and the Navajo Nation: In July, Council met with Professor Sriram Shamasunder, an associate professor of medicine at UCSF and co-founder and faculty director of HEAL (Health, Equity, Action and Leadership), to discuss HEAL's efforts to trains health professionals to work with underserved populations in the Navajo Nation and nine underserved countries around the world.

President-Designate Drake: In July, incoming UC President Dr. Michael Drake met with Council to discuss some of his initial concerns and priorities when he takes the helm on August 15.

OTHER ISSUES

Oliver Johnson Award: Council voted to name Professors Manuela Martins Green of UC Riverside and Robert Powell of UC Davis recipients of the [2020 Oliver Johnson Award](#).

SYSTEMWIDE REVIEWS

In addition to those already mentioned, Council sent comments on the following policies and policy revisions circulated for systemwide Senate review:

- ➢ [Final Revised Presidential Policy on Copyright Ownership](#) (7/20)
  - ○ [Revised Presidential Policy on Copyright Ownership](#) (12/19)
- ➢ [Final Policy on Native American Cultural Affiliation and Repatriation](#) 6/20)
  - ○ [Revised Policy on Native American Cultural Affiliation and Repatriation](#) (11/19)
- ➢ [Revised Presidential Policy on UC Seismic Safety](#) (7/20)
- ➢ [Presidential Policy on Protection of Human Subjects in Research](#) (6/20)
- ➢ [Revised Travel Regulations Policy](#) (5/20)
- ➢ [Presidential Policy on Gender Recognition and Lived Name](#) (5/20)
- ➢ [UC Washington Center Current State Assessment Report](#) (3/20)
- ➢ [Revised APM 240 (Deans) and 246 (Faculty administrators)](#) (3/20)
- ➢ [Revised APM 120 (Emerita/Emeritus Titles)](#) (2/20)
- ➢ [Revised APM 230 (Visiting Appointments)](#) (10/19)

RELATIONS WITH OTHER GOVERNING BODIES

Board of Regents: The Council Chair and Vice Chair executed their roles as faculty representatives to the Regents throughout the year, acting in that capacity on Regents' Standing Committees, and to the Committee of the Whole. Chair Bhavnani delivered remarks to the Regents at each meeting; these can be found on the Senate website.

ICAS: The Council Chair, Vice Chair and the chairs of BOARS, UCOPE, and UCEP attended meetings of the Intersegmental Committee of the Academic Senates, which represents the faculty Senates of the three segments of California public higher education.

*Health Services***:** Council selected Professor Bindman of UCSF as its nominee for Academic Senate Representative to Regents Committee on Health Services, to serve from July 2020.

UCRS Advisory Board: Council selected Professor Terrence Hendershott of UCB to be one of two Senate representatives to the UCRS Advisory Board for a four-year term beginning July 1.

ACKNOWLEDGEMENTS

We express our gratitude to all members of UCOP for their hard work and productive collaboration with the Senate over the past year. In particular, we thank the senior UC managers who as consultants to the Academic Council were vital to our meetings: President Napolitano; Provost and Executive Vice President Brown; Interim Chief Financial Officer Jenny; Chief Operating Officer Nava; Executive Vice President Byington; Vice Provost for Academic Personnel Carlson and Deputy Peterson; Chief Investment Officer Bachher; Vice Provost for Diversity and Engagement Gullatt and Associate Vice Provost Halimah; Vice President for Research and Innovation Maldonado; Associate Vice President for Budget Analysis and Planning Alcocer; Title IX Director Taylor and Deputy Director Fox-Davis; Diversity, Labor, & Employee Relations Director Lee; Principal Counsel Auriti; Senior Counsel Yap; Deputy General Counsel Nosowsky; Senior Vice President Bustamante and Deputy Systemwide Audit Officer Hicks; TFIR Chair Brownstone; Admissions Director Yoon-Wu; Academic Preparation and Relations with Schools Director Lin; Academic Policy and Compensation Director Grant; and Research Policy Analysis and Coordination DeMattos.

Respectfully submitted:

UNIVERSITY COMMITTEE
ON
ACADEMIC COMPUTING AND COMMUNICATIONS

ANNUAL REPORT 2019-2020

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Computing and Communications (UCACC) is charged in Senate Bylaw 155 to represent the Senate in all matters involving the uses and impact of computing and communications technology and advise the President concerning the acquisition, usage and support of computing and communications technology and related policy issues. UCACC held three in-person meetings and one videoconference during the academic year. UCACC's last meeting was impacted by the shutdown of in-person operations due to the Covid-19 pandemic. This report highlights the committee's activities in 2019-20.

CYBERSECURITY

Office of Ethics, Compliance, and Audit Services (ECAS) Senior Vice President Alexander Bustamante updated UCACC on a threat detection and identification (TDI) audit to assess the systemwide implementation of FireEye, including the volume and nature of apprehended threats, the value of a systemwide approach, total cost, and return on investment. As part of the process, Systemwide Cybersecurity Audit Director Greg Loge met with CIOs and CISOs on each campus. UCACC members suggested informing the broader UC community about the oversight and review process, and assuring faculty, in particular, that FireEye data has never been used in disciplinary actions and UCACC has been assured that it will not be used in that way. Faculty have expressed concerns about cybersecurity costs eventually being shifted to campuses, and the appropriate allocation of resources between FireEye and other security and IT needs.

UCACC felt that Office of Ethics, Compliance, and Audit Services (ECAS) was responsive to the committee's request last year for additional information on the audit's scope, purpose, and timeframe.

HEALTH DATA GOVERNANCE

UC's new Chief Health Data Officer Cora Han joined the December UCACC meeting to update the committee on the outcomes of the President's Ad Hoc Task Force on Health Data Governance, which was completed in January 2018. The report issued three foundational recommendations:

1. Pioneer a patient-informed, justice-based model of Health Data use, and demonstrate the need for and benefits of more active data use.
2. Establish a System-level Health Data Office to identify and accelerate projects and partnerships to realize the public benefits of collaborations to analyze Health Data.
3. Develop criteria and a process for evaluating projects and transactions involving access to UC Health Data by outside parties.

In response to the recommendations, UC created the Center for Data-driven Insights and Innovation (CDI2), which oversees the UC Health Data Warehouse. UC must balance its duty to safeguard patient health data with the emerging imperative to collect, analyze, and share data on a large scale. Risk assessments for data security of the warehouse will be ongoing. UCACC

members were interested in data de-identification, validation, and encoding. Members also wanted to know about documentation, whether and how the data was being made available to UC researchers, and how researchers could get more information about the warehouse. UCACC members noted that it was important to be open, transparent, and engaged with patients whose data will be used, and recommended including patient advocates in any oversight structures.

UC DATA MANAGEMENT

At the beginning of the year, John Chodacki and Catherine Nancarrow from UC's California Digital Library joined a UCACC meeting to update the committee about UC's new partnership with Dryad, a curated digital data repository that allows data to be discoverable, reusable, and citable. Dryad is open source and non-profit; it was developed by researchers to host data connected with peer reviewed articles and to be easily embedded in research workflows. Submissions are preserved for the foreseeable future with the backing of UC's Merritt digital preservation repository. Information about the publishing and data management services offered by UC is available via campus library services (in person and online).

FACULTY IT SATISFACTION

An ongoing topic for UCACC has been faculty satisfaction with IT services. In February, UC Santa Cruz member Hamid Sadjadpour told the committee about the UC Santa Cruz Faculty IT Satisfaction Survey that was conducted in 2018 by the campus Office of Institutional Research with significant faculty input. The results of the survey were provided to UCSC's incoming Vice Chancellor for Information Technology to help foster an awareness of the university's responsibility to provide computing and related services. UCACC members discussed the possibility of all campuses conducting IT surveys at the same time with common questions that could be compared and assessed across the system. Four areas were mentioned: instruction, research, business applications, and clinical. The committee also talked about how to establish objectives for IT surveys and to make sure they address local problems, with the understanding that faculty need to feel that their responses will have an impact and that change is possible.

SYSTEMWIDE IT PROCUREMENT

In December and February, UCACC learned about systemwide procurement for IT goods and services. Associate Director for IT Strategic Sourcing Thomas Trappler joined the meeting to talk about the UC IT Strategic Sourcing Center of Excellence. The Center's goals are to reduce cost and risk and improve IT services within UC. There are currently 65 systemwide agreements, including licenses for security tools, telecommunication infrastructure, and electronic signature management systems, as well as printers and copiers. These are not systemwide purchases, but rather agreements that can be used to manage costs throughout UC. The four-person strategic sourcing team partners with campuses to determine priorities. Trappler would like additional faculty input, and suggested that faculty could be part of an evaluation team that is formed to assess each proposed purchase. UCACC members suggested that the committee be consulted when there is a new procurement process underway in order to help determine faculty involvement on a case-by-case basis.

RESEARCH INFORMATION MANAGEMENT SYSTEMS (RIMS)

As a result of a report last year from the chairs of UCACC and UCOLASC (Committee on Library and Scholarly Communications) that was endorsed by the Academic Council, UC Provost Michael Brown convened a Working Group to oversee a systemwide collection of information about Research Information Management Systems (RIMS) and their use at UC. The Working Group has representation from UCACC, UCOLASC, and UCORP. Research

information systems are generally used to assess and promote the research outputs of an institution, and some universities may use them for personnel reviews. UCACC received updates about the Working Group via Interim CIO Mark Cianca and UCACC representative Susan Cochran (UCLA) throughout the year.

CONSULTATION WITH SYSTEMWIDE INFORMATION TECHNOLOGY SERVICES (ITS)

- *Electronic Information Security Policy (IS-3)*

UCACC completed its review of the nine standards for the new Electronic Information Security Policy (IS-3) last spring. The Information Technology Leadership Council – the CIOs from each location – approved the policy on Oct. 3, 2019. The intention of the policy is to give as much local control to the campuses as possible. The expectation is that CIOs and Chief Information Security Officers will consult widely. UCACC expressed concern about liability and the extra responsibility that falls to faculty, and discussed how to inform faculty about all of the aspects of computer security that they need to know. IT administrators and staff handle many aspects of security via automated or pushed updates and other protections.

- *Continuity Planning and Disaster Recover Policy (IS-12)*

UCACC Chair Anthony Joseph is one of the sponsors for the revision of UC's Continuity Planning and Disaster Recover Policy (IS-12). UCACC was asked to review the revised IS-12 policy requirements and has been kept informed about the policy development. Implementation will be based on the Gartner model, which will allow UC locations to decide which business functions and units fall within the scope of the policy. The policy uses a risk-based approach with tiered recovery levels (1=low, 5=high). Each location's designated Cyber-risk Responsible Executive (CRE) will be the senior person responsible for key elements and exceptions. The formal approval process will start in the fall.

- *CMMC (Cybersecurity Capability Maturity Model Certification)*

UCACC received an introduction to new standards for cybersecurity certification from the Department of Defense that will likely have an impact on UC funding. The new classification system will mean that more types of research would need additional security certification. There is a five-year phase-in and UCACC will continue to monitor the situation as UC consults broadly both within the university and with higher education organizations.

ADDITIONAL BUSINESS

Impacts of Covid-19: UCACC's last meeting of the year was April 28, just over a month into the Covid-19 pandemic shutdown. Committee members discussed the issues arising from online-only instruction, including the extra work for instructors and concerns about testing and evaluation. Remote proctoring for exams is particularly fraught, bringing up issues of security, privacy, and academic dishonesty. Appropriate assessment of student learning for online courses will continue to be a major topic. Other issues were around the recording of courses and lectures for asynchronous learning and helping instructors with technology for large classes.

Machine learning and artificial intelligence: As part of an information-gathering process by the Office of Ethics, Compliance, and Audit Services (ECAS), UCACC was asked for input regarding concerns around machine learning and artificial intelligence. UCOP is considering a plan to issue guidance and/or a planning process from the university at the systemwide level.

Electronic Communication User Etiquette: At the suggestion of a UCACC member, the committee began discussing best practices for electronic communication etiquette, with the intention of minimizing the psychological strain of information overload and expectations for work to be done outside of regular hours. The Covid-19 pandemic shutdown brought up additional related issues such as appropriate behavior and acceptable use standards for videoconferences. UCACC members thought that institutional guidelines would be useful.

UCPath: UCACC learned about the UCPath system as it has been rolled out to the campuses. UCPath combines UC's 11 payroll and human resources systems into one centralized system, including hiring, managing, payroll, and benefits. The home office is in Riverside (not on the campus). In making the transition to the new system, there were technological as well as policy issues that continue to be worked out.

Information Technology Leadership Council (ITLC) update: Interim CIO Mark Cianca provided regular updates on the concerns of the IT Leadership Council. In addition, Chair Anthony Joseph participated in ITLC meetings as an ex-officio member. In February, Cianca talked about the concerns of the CIOs in balancing systemwide initiatives with local projects. Decisions made at the systemwide level can have significant work implications for campus IT staff. Other big issues are workforce recruitment and retention in a competitive environment and the ongoing education and training of the IT workforce.

Systemwide and campus updates: UCACC devoted part of each regular meeting to discussing systemwide issues as reported by Academic Senate leadership and reports from campus representatives on individual campus activities and concerns.

REPRESENTATION

UCACC Chair Anthony Joseph, served as a faculty representative to the Information Technology Leadership Council (ITLC) and as an *ex officio* member of the University Committee on Library and Scholarly Communications. Chair Joseph and Vice Chair David Robinowitz served as Senate representatives on the Cyber-Risk Governance Committee (CRGC). UCLA member Susan Cochran served on the Provost's Research Information Management Systems (RIMS) Working Group.

ACKNOWLEDGEMENTS

UCACC is grateful for the contributions made by the consultants and guests who attended meetings in 2019-20, including:

- Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer
- Mark Cianca, Interim UC CIO
- John Chodacki, Director, UC Curation Center (CDL)
- Cora Han, Chief Health Data Officer
- Shanda Hunt, Research Compliance Manager
- Greg Loge, Systemwide Cybersecurity Audit Director
- Catherine Nancarrow, UC3 Associate Director (CDL)
- David Rusting, Chief Information Security Officer, UCOP
- Robert Smith, IT Policy Director, UCOP
- Thomas Trappler Associate Director, IT Strategic Sourcing, UC Procurement Services

RESPECTFULLY SUBMITTED,

Anthony Joseph, Chair
David Robinowitz, Vice Chair
Ethan Ligon (B)
Matt Bishop (D)
Feng Liu (I)
Susan Cochran (LA)
Michael Spivey (M)
Weifeng Gu (R)
Ian Galton (SD)
Aaron Neinstein (SF)
Lisa Jevbratt (SB)
Hamid Sadjadpour (SC)
Kum-Kum Bhavnani, Chair, Academic Senate *(Ex Officio)*
Mary Gauvain, Vice Chair, Academic Senate *(Ex Officio)*
Amr El Abbadi, CCGA Vice Chair *(Ex Officio)*
John Serences, UCEP Chair *(Ex Officio)*
Dennis Ventry, UCOLASC Chair *(Ex Officio)*
Joanne Miller, Committee Analyst

ACADEMIC COUNCIL SPECIAL COMMITTEE ON LAB ISSUES
ANNUAL REPORT 2019-20

TO THE MEMBERS OF THE ACADEMIC COUNCIL:

The Academic Council Special Committee on Lab Issues (ACSCOLI) was established by the Academic Council to provide broad-based Senate oversight of UC's relationship with the National Laboratories – Los Alamos National Laboratory (LANL), Lawrence Livermore National Laboratory (LLNL), and Lawrence Berkeley National Laboratory (LBNL, also called the Berkeley Lab). ACSCOLI advises the President and Regents on general policies relating to the National Laboratories, which includes the dispersal of UC's share of net fee monies, policies that affect the lab science management, and the quality of science being performed at the labs. ACSCOLI is also concerned with evaluating the benefits of UC's continued participation in the management of the labs and has been charged by the Academic Council with stimulating closer connections between the lab staff, faculty, and students.

UC is the prime contractor for the management and operation of Lawrence Berkeley National Laboratory (LBNL). The University is also a partner in the Lawrence Livermore National Security, LLC, (LLNS) that manages Lawrence Livermore National Laboratory (LLNL) and in Triad National Security, LLC, the partnership that manages Los Alamos National Laboratory (LANL). LLNS and LANS are overseen by the National Nuclear Security Administration (NNSA), an agency within the U.S. Department of Energy.

ACSCOLI met three times during 2019-2020 academic year (AY), with the last meeting held via videoconference due to the Covid-19 pandemic. A summary of the committee's discussions is below.

UC Office of the National Laboratories Updates
Last June after a brief tenure as Associate Vice President under VP Kim Budil, Craig Leasure was selected to replace Budil as the new Vice President for the UC National Laboratories (UCNL). ACSCOLI Chair Michael Todd had represented ACSCOLI on that Search Committee. At each meeting UCNL staff used the checklist developed by ACSCOLI to provide updates on the status of the three national laboratories. In May, June Yu, who was serving as acting Associate Vice President, was appointed as Associate Vice President for the UC National Laboratories. UCNL will hire a new executive director for programs.

As UCNL explores future opportunities, ACSCOLI members are clear that laboratory management should focus on UC's goals for public service, scientific research integrity (including the history with LANL), and education, both at the labs and on campuses.

National Laboratories Updates
Los Alamos
ACSCOLI was updated on the Triad National Security oversight and management of Los Alamos, which began in November, 2018. Although a member of the UC Board of Regents previously chaired the combined board for LANL and LLNL, the Regents appointed a non-

Regent, Michael Anastasio, former director of Los Alamos National Laboratory and Lawrence Livermore National Laboratory, to Chair the Triad Board of Directors. (A Board of Regents member, Charlene Zettel, chairs the LLNL Governing Board.) When the Covid-19 crisis hit, LANL managers were pleased that most employees were able to work from home. Although the NNSA has confirmed that LANL workers are considered essential, all labs will have some portion of the workforce working from home for some time to come. Like the campuses, the labs will need a plan for what to do when someone tests positive, and for doing testing and contact tracing.

In January, Chuck Farrar, co-Director of the UCSD-LANL Engineering Institute joined the ACSCOLI meeting to talk about the Institute and metrics used to evaluate its success. ACSCOLI is interested in how the Institute's success could be scaled up or used as a model for more programs.

Lawrence Livermore
ACSCOLI continued to receive updates on the effort to revitalize the Hertz Hall complex at Lawrence Livermore National Lab to create a small conference center for researchers and K-12 engagement. Work has also begun to develop a Southern California "hub" for laboratory-related work, similar to the plan for Hertz Hall.

Scientists from both LANL and LLNL have contributed to Covid-19 responses through research innovation and design.

Berkeley Lab
This year there continued to be new construction at the Lawrence Berkeley National Lab, including the Integrative Genomics Building, and dispersed offices are now consolidating on the hill. After dealing with PG&E shutdowns during the fire season, the lab has been working on a power sustainability plan with alternate energy sources as backup. LBNL continues to focus on energy storage, biology, and computing sciences. Berkeley Lab Director Michael Witherell joined the ACSCOLI meeting in May to provide an update on the work of the Lab's Covid-19 response, capital projects, hiring, and budget.

UC Lab Fees Research Program
ACSCOLI continued to talk about the strategic reinvestment of lab fee income and funding for the UC Lab Fees Research Program. The program was restructured a few years ago to better meet its goals for investing in academic research, and ACSCOLI would like to see more metrics to understand how the effectiveness of the program is evaluated.

Joint Appointments
Joint appointments between UC and the labs has been discussed over the years by ACSCOLI and other Academic Senate committees. This year, ACSCOLI tried to follow-up on the framework for joint appointments that was approved at UCOP and sent to LLNL and LANL for approval. However, due to the vacancy in the Vice President for Research position, information was difficult to get. ACSCOLI will continue to follow-up next year now that a new VP for Research has been appointed.

In May, LANL's David Clark joined the meeting to talk about LANL's joint appointments, which are seen as a tool for retention of scientists at the lab, as well as fostering connections. Clark is a director of LANL's National Security Education Center, which has partnerships with institutions in New Mexico and Alaska, and that would like to expand and take advantage of its relationship with UC. There are many details that have to be worked out (e.g., salary, course buy-out, intellectual property), but potential agreements in development with UCLA and UCSD could help lay the groundwork and move the process forward.

Senate Leadership and Other Updates
ACSCOLI was briefed regularly on the search for a new Vice President for Research and the reorganization of the Office of Research and Graduate Studies (ORGS). In May, Theresa Maldonado, the new UC Vice President for Research & Innovation, was able to join the ACSCOLI meeting to introduce herself and update the committee on her work with the Vice Chancellors for Research on addressing the Covid-19 crisis from the point of view of researchers and UC's research enterprise.

ACSCOLI members do not report back to a corresponding campus committee, but the committee received Senate leadership updates at each meeting. The regular updates to committees help all faculty members have a broader view of the university.

At each meeting, UC Davis Professor Robert Powell, Chair of the Science, Technology, and Engineering Committees for the two NNSA labs, provided updates from his perspective as Faculty Observer to LANL and LLNL Boards. UCSB Professor Ram Seshadri serves on the LBNL Advisory Board on behalf of the Academic Senate and also provided the committee with updates about the Berkeley Lab.

REPRESENTATION
This year, Chair Michael Todd served on the search committee for the Associate Vice President of the National Labs.

ACKNOWLEDGEMENTS
ACSCOLI wishes to acknowledge the contributions of its consultants and guests:
- Bart Aoki, Executive Director, Research Grants Program Office (UCOP)
- David Clark, Laboratory Fellow, National Security Education Center, Los Alamos National Laboratory
- Kathleen Erwin, Director of UC Research Initiatives (UCOP)
- Chuck Farrar, LANL-UCSD Engineering Institute Co-Director
- Brent Henrikson, Governance Director and Chief of Staff, UCNL
- Craig Leasure, Vice President for the National Laboratories
- Theresa Maldonado, UC Vice President for Research & Innovation
- Christopher Spitzer, UC Research Initiatives Program Officer (UCOP)
- Michael Witherell, Director, Lawrence Berkeley National Laboratory
- June Yu, Associate VP for the National Laboratories

Respectfully submitted,
2019-20 ACSCOLI members:

Michael Todd, Chair (UCSD)
Kum-Kum Bhavnani, Academic Council Chair
Mary Gauvain, Academic Council Vice Chair
Robert May, Academic Senate Past Chair, 2018-19
Andrew Baird, UCORP Chair
Bruce Schumm, UCPB Vice Chair
Eric Mjolsness, UCI
William Newman, UCLA
Peggy O'Day, UCM
Ivan Schuller, UCSD
Susannah Scott, UCSB
Ram Seshadri, UCSB
Joanne Miller, Academic Senate Committee Analyst

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Freedom (UCAF) met three times by videoconference (including one informal meeting) in Academic Year 2019-2020 to conduct business with respect to its duties as outlined in Senate Bylaw 130. Highlights of the Committee's activities and accomplishments are noted in this report.

PROPOSED DEFENSE OF ACADEMIC FREEDOM STATEMENT

UCAF's 2015 statement about civility was prompted by President Napolitano's call for civility which the committee feared would stifle vigorous debate. By Fall 2019 the statement was outdated and did not adequately address the current pressures on academic freedom. The committee arduously crafted a new statement in defense of academic freedom, listing current threats from opposite political sides to clarify their shared dangers, but Council voted it down. Opinions then varied about the best way to proceed. One possibility is a yearly newsletter on current academic freedom issues, to stimulate conversation at the campuses. The newsletter could be posted on UCAF's website with the clarification that it reflects the committee's view and is not endorsed by Council. Another strategy is for each CAF to issue annual statements on current threats that are disseminated through each divisional Council, CAF websites or town halls. The committee may pursue the idea of a newsletter in the coming year.

ACADEMIC FREEDOM EDUCATION FOR THE UC COMMUNITY

In addition to bringing attention to pressing academic freedom issues, UCAF considered methods for actively educating members of the UC community about academic freedom. CAF websites should have resources related to academic freedom, and some do have very good ones, but websites speak only to those who go looking. It is important to widely publicize their availability. UCSF's CAF received a small amount of funding from the chancellor to support annual town halls focused on increasing awareness of academic freedom issues and resources; other campuses might follow suit. Additional ideas include providing academic freedom information in orientation packages for new faculty hires, and incorporating statements on academic freedom into classroom codes of conduct and on the syllabuses. UCAF prepared a brief, practical document about academic freedom to serve as a basis for stimulate discussion among small groups of students, faculty, administrators, and staff. Such discussions should be held annually in each department, even if for only 15-20 minutes. The statement was informally shared by UCAF members with relevant committees at their campuses and it was also sent to systemwide Academic Council in April.

STANDARD PROCEDURES FOR VIOLATIONS OF ACADEMIC FREEDOM

The UC system lacks standard procedures and mechanisms for faculty and others who want to report academic freedom violations. Currently, faculty can complain to campus CAFs, but this rarely occurs, and CAFs are powerless. The UCSD office for Prevention of Harassment and Discrimination has knowledgeable staff who might take on academic freedom, and this model could be replicated at the other campuses. Alternatively, a separate office could be set up on each campus for tracking and addressing academic freedom issues along the OPHD model. Another possibility: Each campus has an ombudsman familiar with the available resources and UCAF members were encouraged to explore how these offices might be involved with academic freedom complaints. Once these offices are in place, academic freedom violations can be better tracked, contributing to serious education efforts.

THREATS FROM THE GOVERNMENT OF THE PEOPLE'S REPUBLIC OF CHINA

In March, UCAF was joined by the chair of the Coordinating Committee on Graduate Affairs (CCGA) to discuss concerns about threats from the People's Republic of China. CCGA had received a report from Human Rights Watch (HRW) about unsettling events happening in US classrooms, including at UC

campuses. HRW reported that Chinese students who have spoken in class about "sensitive" issues such as Taiwan, Tibet, the Uighur genocide, etc. have reported that their families in China were subsequently visited by the Party. Such intimidation is hardly unique to the Chinese government, as a Middle Eastern colleague pointed out. But the large number of Chinese students on our campuses who may be afraid to speak freely means that the PRC's increasing attacks on academic freedom at home constitute an unprecedented threat to academic freedom in the UC. The Chinese government is present on our campuses through the Confucius Institutes and Chinese Students and Scholars Associations. In response to these concerns, the UCAF chair completed a long report on the issue, concluding that the Confucius Institutes of the UC operate independently of the PRC government (which is not true on all campuses across the US) and that the CSSA at UCSD, at least, is also doing no harm. Each CAF should stay in touch with both organizations where they exist to be sure that that continues to be so as control tightens domestically in the PRC, and should use those contacts to reach students directly with the message that the UC is a place for open, active discussion, and to encourage concerned students to talk to CAF about any related problems they face.

OTHER ISSUES AND ADDITIONAL BUSINESS
In response to requests for formal comment from the Academic Council, UCAF also issued views on the following:

- Proposed Revised Presidential Policy on Native American Cultural Affiliation and Repatriation
- Proposed Revised APM 120 - Emerita/Emeritus Titles
- UC Washington Center Review
- The Report from the Working Group on Comprehensive Access
- Systemwide Review of the Report of the Academic Council's Standardized Testing Task Force
- Systemwide Review of BOARS Recommendation to Eliminate the ACT/SAT Essay Requirement
- The Requirement of Diversity, Equity, and Inclusion Statements for Applicants to Faculty Positions
- Statement on Grading, Online Teaching, and Shared Governance in Time of Crisis
- Systemwide Review of Proposed Presidential Policy Protection of Human Subjects in Research

Additionally, UCAF devoted part of each regular meeting to reports on issues facing local committees, including controversial speakers on campus, and resources on academic freedom.

Respectfully submitted,

Sarah Schneewind, Chair (SD)   Brian Soucek, Vice Chair (D)
Ty Alper (B)   Benjamin Highton (D)
Mei Zhan (I)   Moira Inkelas (LA)
Caroline Frank (M)   Devra Weber (R)
Farrell Ackerman (SD)   Stella Bialous (SF)
Leda Cosmides SB)   Jessica Taft (SC)
Valeria Orue (Graduate Student)   Frances Osran (Undergraduate Student-B)

Kum-Kum Bhavnani ((SB); Chair, Academic Senate, *Ex Officio*)
Mary Gauvain ((I); Vice Chair, Academic Senate, *Ex Officio*)
Brenda Abrams, Principal Analyst

UNIVERSITY COMMITTEE ON
ACADEMIC PERSONNEL

2019-2020
ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Academic Personnel (UCAP) had four meetings during the Academic Year 2019-2020 (one at UCOP and three by videoconference) to conduct business with respect to its duties as outlined in Senate Bylaw 135, which are to consider general policy on academic personnel, including salary scales, appointments and promotions, and related matters. The issues that UCAP considered this year are described briefly as follows:

CAP EVALUATIONS OF FACULTY IN THE HEALTH SCIENCES

This year, UCAP dedicated time during each meeting to discuss CAP evaluations of Senate health sciences faculty. A number of health sciences faculty who had served on CAP joined the committee to discuss what is working well or not for these faculty in the personnel review process, transparency about the criteria used for evaluation, and expectations related to service. UCAP learned that every campus has a different mechanism for handling the evaluations of these faculty, including UCLA's use of a dedicated Clinical CAP subcommittee. A common theme to emerge is that CAPs may find it challenging to understand the guidelines and expectations for faculty in the health sciences. CAPs also have difficulty identifying what constitutes creative activity and it can be hard to quantify service and teaching in the medical schools.

Based on these discussions, UCAP concluded that having clear criteria enables CAPs to evaluate faculty in the health sciences but that it is not the role of UCAP or CAPs to dictate a set of homogenized expectations. Instead, UCAP will signal that more communication and understanding between CAPs and medical centers is needed. A small team of UCAP members will prepare a memo describing these discussions and providing examples of where more communication and clarity would be helpful. The memo, to be sent to vice chancellors of personnel for distribution to departments, will include the recommendation that each medical center, unit, school, or campus delineate its expectations and the criteria for advancement.

TEACHING EVALUATIONS TASK FORCE

UCAP Chair Gilbert represented the committee on Council's 2019-2020 Teaching Evaluation Task Force. Last year, the Council chair asked UCAP, the Coordinating Committee on Graduate Affairs (CCGA), the Committee on Educational Policy, the Committee on Affirmative Action, Diversity and Equity and the Committee on Faculty Welfare to consider issues related to bias and inappropriate comments in student course evaluations. The final charge of the task force was broadened to encompass issues surrounding the evaluation of teaching overall. The task force was able to capitalize on in-depth work by UC Centers for Teaching and Learning and separate divisional Senate efforts which recommended a variety of best practices. The task force's report to Council was endorsed in July and subsequently transmitted to divisional Senate's for consideration. UCAP will continue to monitor campus efforts to improve their approaches to evaluating teaching.

STUDENT MENTORING

UCAP met with the chair of the CCGA, Ramesh Balasubramaniam, in March to discuss recognition for mentoring students, a conversation which began last year. Mentoring is an important part of what faculty do, however many faculty who mentor students and junior faculty do not receive any credit for this activity. This is a problem that is more pronounced in social sciences because faculty in the Science, Technology, Engineering and Mathematics fields typically report their work with graduate students, and

women and faculty from underrepresented groups do significant mentoring without any credit. Mentoring is mentioned in APM 210.1.d but CCGA's goal is to make it more prominent. Although UCAP did not support making mentoring its own category for review and is concerned that an emphasis on mentoring could privilege some disciplines over others, there was consensus that mentoring should be documented in concrete and visible ways. The committee concluded that renaming the Teaching category in the Criteria for Appointment, Promotion, and Appraisal section to "Teaching and Mentoring" would be the best way to ensure that mentoring is recognized. UCAP and CCGA will transmit a recommendation to Academic Council in the fall.

OPEN ACCESS PUBLICATIONS AND CAP EVALUATIONS
In May, UCAP was joined by the chair of the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), Gregg Camfield, Executive Vice Chancellor/Provost of UC Merced, to discuss issues related to open access and personnel evaluations. Various publishers have cost UC significant amounts of money with increasingly higher priced journals even as faculty provided free content and services. The University's desire for open access is at odds with the traditional perception that some journals have prestige in their own right, and it also conflicts with junior faculty in some disciplines being advised that publishing in certain journals is necessary to attain tenure. SLASIAC approached UCAP to discuss how to reinforce that the focus of personnel reviews is the quality of the faculty members' work. The committee readily agreed to collaborate with SLASIAC to identify and implement promotion, tenure, and advancement practices that can be used to support UC's fundamental values of scholarly information exchange. An immediate concern for UCAP is how UC will ensure that access for funds to publish in open access journals is equitable for faculty across all disciplines, especially those in disciplines with little grant funding. The committee plans to consider this complex issue in the year ahead.

OHER ISSUES AND ADDITIONAL BUSINESS
In response to requests for formal comments from the Academic Council, UCAP submitted views on the following:
- Proposed revisions to APM - 120, Emerita/Emeritus Titles.

CAMPUS REPORTS
UCAP devoted part of each regular meeting to a discussion of issues facing local committees including extraordinary service compensating for deficiencies in scholarship; Diversity, Equity and Inclusion statements; and potential impacts of the COVID-19 pandemic on faculty and how the consequences of the pandemic on faculty productivity will be calibrated in personnel reviews.

UCAP REPRESENTATION
UCAP Chair Gilbert represented the committee at meetings of the Academic Council and the Assembly of the Academic Senate, and served on the Provost's Academic Planning Council.

COMMITTEE CONSULTATIONS AND ACKNOWLEDGMENTS
UCAP benefited from regular consultation and reports from Susan Carlson, Vice Provost, Academic Personnel; Pamela Peterson, Executive Director and Deputy to the Vice Provost, Academic Personnel and Programs; and Kimberly Grant, Director, Academic Policy & Compensation, Academic Personnel and Programs. UCAP occasionally consulted the Academic Senate Chair Kum-Kum Bhavnani and Vice Chair Mary Gauvain about issues facing the Senate and UC.

Respectfully submitted,
John Gilbert, Chair (SB)   Susan Tapert, Vice Chair (SD)
John Kuriyan (B)   Lisa Tell (D)
Diane Papzian (LA)   Ali Behdad (LA - alternate)
Nella Van Dyke (M)   Howard Judelson (R)

Guillermo Algaze (SD)   Mallory Johnson (SF- fall)
Margaret Wallhagen (SF – winter/spring)   Francis Dunn (SB)
Marilyn Westerkamp (SC)

Kum-Kum Bhavnani (Chair, Academic Senate, *Ex Officio,* (SB))
Mary Gauvain (Vice Chair, Academic Senate, *Ex Officio,* (I))
Brenda Abrams, Principal Policy Analyst

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

Annual Report 2019-20

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Affirmative Action, Diversity, and Equity (UCAADE) met four times during the 2019-20 academic year. The last meeting was held via videoconference due to the Covid-19 pandemic shut-down. In accordance with its duties as outlined in Senate Bylaw 140, UCAADE consulted on policies bearing on affirmative action, diversity, and equity for academic personnel, students, and academic programs. Highlights of the committee's discussions and actions are described below.

Statements on Contributions to Diversity, Equity, and Inclusion
UCAADE spent some time this year discussing DEI (Diversity, Equity and Inclusion) statements and the backlash that was occurring on some campuses and in the media. Last year, UCAADE's "Recommendations for Statements on Contributions to Diversity, Equity and Inclusion" (jointly authored by the systemwide EEO/AA/Diversity Administrators' Group) was endorsed by the Academic Council and distributed to the Provost and Academic Senate division chairs.[1] Provost Michael Brown subsequently forwarded the recommendations to EVCs, Vice Provosts for Academic Personnel, and Chief Diversity Officers. In December, an opinion column by a UC Davis professor that was critical of DEI statements was published in the Wall Street Journal. The column was widely reported on and reprinted, and eventually led to a vote on the UC Davis campus on two resolutions regarding whether to continue using the statements. Some faculty at UC Berkeley were also speaking out against the use of DEI statements for hiring new faculty and in merit reviews. UCAADE members discussed whether and how to respond to the situation. In May, the Academic Council conducted a review of the use of DEI statements, and Academic Council Chair Kum-Kum Bhavnani suggested that any statement from UCAADE wait until the Divisions reported back to her request for information. UCAADE members agreed on the foundational idea that the ability to work with and support a diverse student body is a key competency for faculty at all UC campuses.

Advancing Faculty Diversity Initiative
At each meeting UCAADE members were updated on the Advancing Faculty Diversity (AFD) program, which is now in its fourth year. $2 million has been provided each year by the California State legislature to support efforts to increase faculty diversity. This year, the state increased its funding to $2.5 million and President Napolitano allocated $3 million in ongoing funding. (Due to the Covid-19 crisis, funding from the State is still to be determined.) Past years' funding has been used for faculty recruitment projects that were expected to yield the greatest results and show progress in the one-year timeframe. Last year, the program expanded to include retention and climate efforts, and six campuses were awarded small grants for retention projects. This year, the timeline for projects was extended to two years. UCAADE was given the opportunity to review a draft of this year's RFP before it was sent to the campuses in March. UCAADE members offered suggestions for promoting the AFD funding opportunity more

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[1] https://senate.universityofcalifornia.edu/_files/reports/rm-mb-divchairs-use-of-dei-statements.pdf

widely, and recommended that the Office of Personnel and Programs consider applications from multiple channels from each campus. Members also discussed broadening the scope of the programs that are funded, including focusing on the graduate student pipeline.

Chief Diversity Officers and Faculty Equity Advisor Programs

UCAADE is concerned about the lack of consistency in the roles and responsibilities of the campus Chief Diversity Officers and is interested in how the CDO can play a role in advancing faculty diversity and retention. At some campuses, the CDO's office manages the campus Faculty Equity Advisor (FEA) program. Last year, UCAADE issued recommendations for FEA programs.[2] In following up on the investigation into the role of CDOs and its recommendations for FEA programs, UCAADE members were asked to report back to the committee on the role and responsibilities of their campus CDO and on the status of faculty equity advisors. The subsequent discussion illustrated the variety among campus structures. This will be an ongoing topic for UCAADE as CDO roles become clearer and FEA programs expand and mature.

President's Postdoctoral Fellowship Program Initiative (PPFP)

Last year, UCAADE learned that President Napolitano was dedicating an additional $2 million from the Office of the President for the President's Postdoctoral Fellowship Program. The funding will be used primarily to fund new fellows, bringing the number of awards up to approximately 26 per year, or a total of 50 supported fellows. The program now receives over 1,000 applications per year. This year, UCAADE learned that President Napolitano was providing $1.3 million to augment start-up funds for PPFP and Chancellors' Fellows Program (CFP) fellows who are hired into UC ladder-rank faculty positions. With the additional funding and elimination of the cap on the number of PPFP hiring incentive awards, more fellows are being hired into UC ladder-rank positions. The next area of focus for PPFP will be to provide additional early-career support.

Food Insecurity and Student Basic Needs Challenges

Throughout the year, UCAADE discussed basic needs challenges, especially for students, and whether these needs can be addressed in a more systematic and inclusive way. UC, CSU, and the California Community College system have joined together to form the California Higher Education Basic Needs Alliance (CHEBNA) to facilitate coordination and share best practices among the three segments for addressing students' basic needs. UCAADE learned that In January, 2019, the UC Board of Regents formed a Special Committee on Basic Needs that meets regularly and reports to the full board. UCAADE members were surprised at survey results that showed upwards of 40 percent of students have food insecurity issues.

In March, Vice Provost and Chief Outreach Officer Yvette Gullatt joined the UCAADE meeting to talk about student basic needs and food insecurity. Gullatt reported that $2.5 million is distributed to campuses based on need. There are efforts systemwide to make sure that students who are in need can learn about the programs available to them. UCAADE members mentioned scholarships or donations, but these often end up reducing financial aid. Gullatt also said that tuition is not generally the problem; housing and food are the big expenses and may not be fully covered by financial aid. UC is developing a survey to gather more accurate data.

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[2] https://senate.universityofcalifornia.edu/_files/reports/rm-mb-recommendations-for-equity-advisor-programs.pdf

Extending Faculty Diversity Task Force

Elizabeth Abrams served as UCAADE liaison to a new Extending Faculty Diversity Task Force. The Task Force was proposed by Academic Council members to take a deeper look into campus diversity efforts, including how multi-campus efforts could compete for funding from the Advancing Faculty Diversity initiative. The Task Force was extended for two years to enable it to develop a formal proposal for the AFD. A liaison with UCAADE will be needed next year.

Graduate Student Strike and Funding for Graduate Students

UCAADE spent some time talking about the "wildcat" strike by graduate students at UC Santa Cruz that started in January. Graduate student instructors who did not release grades for their classes were fired as instructors. Graduate student education is not funded by the State, and with dramatic increases in the cost of housing, the situation is untenable for many.

Covid-19 Crisis

When the Covid-19 pandemic hit, UCAADE discussed the significant challenges with remote learning for people with fewer technological and situational resources. The committee wrote a letter to the Academic Council about its concerns regarding the how the crisis is differentially affecting members of the UC community in ways that negatively impact equity, diversity, and inclusion, and asked that these issues be kept on the Academic Senate's agenda. UCAADE offered recommendations in each of five areas: 1) Food and housing insecurity among our undergraduate and graduate students, 2) Unequal challenges in participating in coursework and in delivering instruction, 3) Interruptions to doctoral student and postdoctoral scholar progress and funding, 4) Career-shaping disruptions for faculty that disproportionately impact women, especially those who have very young children, and 5) Interruption to UC's efforts to diversify faculty. The letter was unanimously endorsed by Council and distributed to the Office of the President and to campuses.

Racism & Policing on UC Campuses

Following the national response to George Floyd's murder by the Minneapolis police, the chair of UCAADE collaborated with several Academic Council members to draft a set of recommendations for UC policing, in part by drawing on campus groups' accounts of issues and demands for changes. UCAADE members collected relevant campus documents and statements that were reflected in the final set of Academic Council recommendations.

Additional Funding for Diversity

President Napolitano has pledged ongoing annual funding of $7 million for projects focused directly on faculty diversity or "pipeline." $2 million goes to the President's Postdoctoral Fellowship Program and $2 million goes to programs for recruiting from HBCU (historically black colleges and universities) and Hispanic-serving institutions (HSIs) – including UCs. The remainder is to be used for Advancing Faculty Diversity Initiatives.

Joint program on anti-bias training

UC received funding from the state for a joint program with CSU to produce anti-bias training. There are currently 1,600 students, administrators, and faculty leaders who are being trained in "disrupting bias" and responses to micro-aggressions. The initial cohort will train others. (UCAADE provided feedback on the proposal last year.)

Systemwide issues and campus reports

UCAADE devoted part of each meeting to member reports from each campus and from the student representatives. UCAADE was also informed about and discussed systemwide issues as provided by Academic Senate leadership.

REPORTS AND RECOMMENDATIONS

To the Academic Council:
- Feedback on Revised Policy and Procedures on Curation and Repatriation of Human Remains and Cultural Items (October 16, 2019)
- Recommendations regarding the UC presidential search process (October 22, 2019)
- Comments on the Proposed Revisions to Academic Personnel Manual (APM), Section 120, Emerita/Emeritus Titles (February 19, 2020)
- Comments on Report on the Working Group on Comprehensive Access (February 19, 2020)
- Comments on BOARS Recommendation to Eliminate the ACT/SAT Essay Requirement (March 20, 2020)
- Comments on the Report of the Academic Council's Standardized Testing Task Force (STTF) (March 23, 2020)
- Comments on the Proposed Presidential Policy Gender Recognition and Lived Name (April 23, 2020)
- Concerns about COVID-19 Impacts (June 16, 2020)

To the Teaching Evaluation Task Force:
- Comments on the draft "Recommendations for Evaluating Teaching Effectiveness" from the UC Teaching and Learning Group and input on the work of the Teaching Evaluation Task Force (May 7, 2020)

To the UC Berkeley Vice Chancellor for Research:
- Concerns about the Proposed Closure of the UC Berkeley Institute for the Study of Societal Issues (July 13, 2020)

REPRESENTATION

UCAADE Chair Mona Lynch and Vice Chair Javier Arsuaga served on the Advancing Faculty Diversity selection committee. Chair Lynch served on the Academic Council's Standardized Testing Task Force, the Teaching Evaluations Task Force, the Hispanic Serving Institutions Doctoral Diversity Initiative selection committee, and the organizing committee for a systemwide meeting of Faculty Equity Advisors. UC Merced representative Asmeret Berhe served on an Interim Working Group that developed a charge and recommended members for a Climate Crisis Task Force. UC Santa Cruz representative Elizabeth Abrams served on the Extending Faculty Diversity Task Force.

ACKNOWLEDGEMENTS

UCAADE is grateful to have had valuable input from and exchange with the following UCOP and campus consultants and guests over the past year: Vice Provost Susan Carlson, Deputy to the Vice Provost Pamela Peterson, Academic Programs Director Patricia Osorio-O'Dea, PPFP Director Mark Lawson, and Vice Provost Yvette Gullatt. The committee also thanks the faculty members who served as alternates during the year.

Respectfully submitted,

Mona Lynch, Chair
Javier Arsuaga. Vice Chair
Susan Schweik (B)
Jose Torres (D)
Louis DeSipio (I)
José Luiz Passos (winter), Antoinette Gomes (spring) (LA)
Asmeret Berhe (M)
Xuan Liu (R)
Michael Trigilio (SD)
Errol Lobo (SF)
Melissa Morgan Consoli (SB)
Elizabeth Abrams (SC)
Caleb Dawson, Graduate Student Representative
Natalie Lopez, Undergraduate Student Representative
Kum-Kum Bhavnani, Chair, Academic Senate *(Ex Officio)*
Mary Gauvain, Vice Chair, Academic Senate *(Ex Officio)*
Joanne Miller, Committee Analyst

BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)
ANNUAL REPORT 2019-20

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Board of Admissions and Relations with Schools (BOARS) met eleven times in Academic Year 2019-20 to conduct business with respect to its duties as outlined in Senate Bylaw 145: to advise the President and Senate agencies on the admission of undergraduate students and the criteria for undergraduate status. The major activities of BOARS and the issues it addressed this year are outlined briefly, as follows:

ANNUAL REPORT TO THE REGENTS ON UNDERGRADUATE ADMISSIONS REQUIREMENTS AND COMPREHENSIVE REVIEW

BOARS' annual *Report to the Regents on Undergraduate Admissions Requirements and Comprehensive Review* discusses freshman and transfer application, admission, and enrollee outcomes under comprehensive review for the years 2014–2019; first-year UC performance outcomes for students who entered UC in fall 2018; efforts by BOARS to enhance the transfer admission path and to ensure that admitted nonresidents compare favorably to California residents; diversity outcomes; a summary of each UC campus's comprehensive review process; and challenges associated with the future of the referral guarantee. The report notes BOARS' concern that annually increasing enrollment expectations from the state, absent funding for additional academic facilities, could have deleterious educational outcomes in the long run.

- *Policy on Augmented Review in Undergraduate Admissions*

Regents Policy 2110 outlines guidelines and criteria for an additional review of select applicants who fall in the margins for admission, but whose initial application yields an incomplete picture of their qualifications or presents extraordinary circumstances that invite further comment. It outlines three types of supplemental information a campus may request from up to 15% of applicants in a given admissions review cycle: 1) a questionnaire inviting the candidate to elaborate on special talents, accomplishments, extraordinary circumstances, and their school/home environment; 2) 7th semester grades; and 3) up to two letters of recommendation. The policy states that campuses may solicit letters only from applicants selected for augmented review, applicants considered for admission by exception, or applicants given a special review in other specific situations.

BOARS received reports from the campuses that utilized augmented review, and encouraged those campuses to look closely at the information requested and perhaps find other ways of deriving that information, such as an additional or revised Personal Insight question or another dimension of comprehensive review.

NONRESIDENT ADMISSION

- *Annual Systemwide Compare Favorably Report*

BOARS issued its annual "Compare Favorably" report on 2019 nonresident admissions. The annual report summarizes systemwide and campus outcomes for the policy, focusing on comparisons of high school GPA, SAT score, and first-year UC GPA and persistence for residents, domestic nonresidents, and international nonresidents for each campus. The report notes that based

on those limited measures, the University is largely meeting the standard on a systemwide basis, although outcomes vary on specific campuses. The report emphasizes that GPA and test scores are narrow, imperfect measures for the assessment, given campuses' use of 14 comprehensive review factors. Further, in light of the Regents' decision to phase out standardized tests pending development of a new one, how to demonstrate that non-residents Compare Favorably is the subject of new scrutiny.

COVID-19 RESPONSES

In response to the COVID-19 pandemic, BOARS approved several interim actions designed to promote flexibility in admissions procedures this fall. Guidance included how to assess Pass/No Pass or "Credit" grades in GPA evaluations, deadline flexibility, recognition that some documents may not be available, and similar recommendations for transfer applicants.

AREA D WORK GROUP AND PROPOSED REVISIONS TO SENATE REGULATION 424

In January 2017, BOARS charged a UC faculty work group with proposing revisions to the area "d" (laboratory science) requirement for freshman admission (Senate Regulation 424.A.3.d), to better align UC's expectations for high school science preparation with the expectations for high school science curricula based on California's adoption of the Next Generation Science Standards (NGSS) for K-12.

In February 2018, BOARS proposed the following policy revisions:

1. Rename the area D requirement from "Laboratory Science" to "Science."
2. Broaden options for science disciplines that fulfill the third year area D requirement, including (but not limited to) earth and space sciences, interdisciplinary sciences, computer science, engineering, and applied sciences.
3. Increase the course requirements for science from 2+1 recommended, to 3, in keeping with the NGSS.

In October 2018, after the Provost's Office response to the proposed area D revisions, several, the Assembly eventually approved the three items in separate motions in April 2019:

1. Rename the area D requirement from "Laboratory Science" to "Science."
2. Endorse the expanded course list approved by BOARS.
3. Encourage the administration to increase the course requirements from 2+1 recommended, to 3, in keeping with the NGSS.

The systemwide review conducted in 2018 and the 2019 UC commissioned study by the Public Policy Institute of California (PPIC) revealed some areas of concern relating to access and equity for under-represented groups. Although both the PPIC report and UC data findings provide useful insight and guidance, additional empirical research is necessary before any increase to the area D subject requirement is made, including examining the effects of BOARS' January 2019 action to expand the range of science disciplines, as well as the role or impact that K-12 education and outreach can play.

TRANSFER ADMISSIONS

BOARS helped lead the University's response to create pathways that better prepare CCC transfers for success at UC.

- *Transfer Guarantee*

In spring of 2018, President Napolitano and CCC Chancellor Ortiz Oakley signed an MOU obligating UC to expand its transfer pathways and accept more CCC transfer students. Many in the Academic Senate raised significant objections to the lack of shared governance in the process that led to the MOU. Nevertheless, BOARS and the Senate agreed to work to realize the goals of the MOU. A joint administration-Senate task force was formed, and BOARS evaluated their recommendations in the fall. After extensive discussion focusing on academic preparation and student success, enrollment management, admissions staff workloads, and impacts to specific majors, BOARS recommended an expansion of the Transfer Admission Guarantee (TAG) program. The Academic Council endorsed the recommendation, which then received systemwide support through normal review procedures. The University will have the guarantee structure—named Pathways+ (Pathways Plus)—in place by Fall 2020 to accommodate entering CCC students who plan to transfer in Fall 2021.

- *Pathways+*

Under the Pathways+ program, prospective CCC transfers who complete the specified courses in one of the UC Transfer Pathway majors with a satisfactory GPA, and who submit a Transfer Admission Guarantee (TAG) agreement to one of the six TAG-participating campuses (Davis, Irvine, Merced, Riverside, Santa Barbara, Santa Cruz) will be guaranteed admission in the Transfer Pathway major at the TAG campus. CCC transfer students may also apply for non-guaranteed admissions to any other UC campus offering their intended Transfer Pathways major.

JOINT MEETINGS WITH THE UC ADMISSIONS DIRECTORS

The Admissions Directors and Associate Vice Chancellors for Admissions and Enrollment Management joined BOARS by videoconference in November 2019 to discuss the "Compare Favorably" policy implementation, augmented review implementation, and transfer issues. BOARS and the campus Admissions Directors also held their annual half-day joint meeting in June to discuss outcomes from the 2019 admissions cycle; issues and challenges associated with nonresident admission; continuing transfer admissions issues, including achieving the 2:1 freshman-to-transfer enrollment ratio, transfer access to impacted majors, and the role of the UC Transfer Pathways in comprehensive review; implementation of the Augmented Review policy; strategies for expanding student diversity in the context of increasing selectivity; new tools for transfer students, such as UC ASSIST; COVID-19 planning; and the future use of standardized tests.

STANDARDIZED TESTING

Last spring, the Academic Council empaneled a task force of subject matter experts to evaluate UC's use of standardized tests in the admission process. At the time, President Napolitano lauded the effort, and subsequent high-profile public scandals underlined the timeliness and goals of the effort. Former BOARS chair Henry Sánchez co-chaired the task force with current BOARS Chair Comeaux. UCSF Representative Hasenstaub also served on the task force as a BOARS representative. The task force was charged with evaluating undergraduate admissions

only, and to support any recommendations with compelling data. The task force's recommendations were issued over the winter, and the systemwide Senate evaluated them on an expedited basis, advancing them with the additional request to repeat the analysis using identical metrics in a few years. President Napolitano, however, submitted her own recommendations to the Regents; her recommendations went further than those of the task force, calling for elimination of the standardized testing requirement in admission decisions in 4 years unless UC could develop and deploy a better assessment during that time. The Regents unanimously adopted the President's recommendations. The Provost will soon convene a group to study the feasibility of creating new assessments that can be implemented beginning with fall 2025 admissions. BOARS, meanwhile, developed and shared with the campuses additional guidance for implementing a test-optional or test-blind approach to admissions for the short-term.

ADMISSION AUDITS

BOARS, like the rest of the University, was taken aback by the admission scandal that broke nationwide during 2019. Multiple UC campuses were implicated by federal officials, and both the Office of the President and the state announced audits of UC admission procedures. BOARS encouraged campuses to increase transparency in Admission by Exception (ABE) processes, and standardize practices as much as possible. Recommendations from the Office of the President were met with some skepticism since workloads do not seem to have been considered. The state audit is still pending, but BOARS will carefully scrutinize their findings and recommendations when available.

OTHER BUSINESS AND BRIEFINGS

Campus Reports: BOARS set aside a portion of each meeting for updates from faculty representatives about issues being discussed on their admissions committees and campuses. These briefings touched on a wide range of topics, including local holistic review processes; best practices for increasing diversity and enhancing outreach to underrepresented populations; individual campus strategies for meeting the 2:1 freshman:transfer enrollment ratio; strategies for addressing impaction in majors and boosting enrollment in under-enrolled majors; the effects of the ongoing enrollment surge on campus infrastructure and faculty workload; local analyses of student success factors; the effect of potential new federal immigration policies on undocumented students; strategies to ensure strong English language skills in international admits; the role of athletics admissions committees and admission-by-exception; application fee usage policies; admissions staff turnover; and over-enrollment in STEM fields.

Senate Leadership Briefings: The Academic Council chair and vice chair attended a portion of each BOARS meeting to brief the committee on business from Council and Regents meetings, and other systemwide issues of particular interest to BOARS or of general interest to the faculty. These briefings included the status of negotiations with the state around the budget and enrollment funding; proposed legislation affecting the University; the Regents' nonresident enrollment policy; and the impacts of the State and internal audits of UCOP and UC admissions.

Graduate, Undergraduate, and Equity Affairs: The Office of Student Affairs was re-organized into a new administrative unit, now called Graduate, Undergraduate, and Equity Affairs. Consultants from that unit provided regular briefings throughout the admissions cycle on application, admissions, and SIR outcomes for freshman and transfer students from different demographic groups and residency categories. They also provided valuable information to

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BOARS about transfer policies, initiatives, and legislation; admissions messaging; feedback from counselor conferences; high school and online A-G course accreditation issues; the Next Generation Science Standards; recruitment programs targeting the ELC cohort and other specific populations; the status of UC campus implementation of the UC Transfer Pathways; California high school accreditation; and other topics.

OTHER REPORTS AND RECOMMENDATIONS

In addition to the above, BOARS issued recommendations and opinions on other topics of interest, including changes to Open Access for Theses and Dissertations and revised Sexual Violence/Sexual Harassment policies.

BOARS REPRESENTATION

BOARS Chair Comeaux represented the committee at meetings of the Academic Council, the Assembly of the Academic Senate and the Intersegmental Committee of Academic Senates (ICAS), and UCLA Representative Knowlton served on the ICAS IGETC Standards Subcommittee. Chair Comeaux and UCSF Representative Hasenstaub represented BOARS on the Standardized Testing Task Force (STTF), and BOARS Vice Chair Sorapure served as liaison to the University Committee on Preparatory Education.

ACKNOWLEDGEMENTS

BOARS collaborated closely with UCOP and benefited from regular consultations with Executive Director of Undergraduate Admissions Han Mi Yoon-Wu, and Director of A-G and Transfer Policy Analysis & Coordination Monica Lin. BOARS also received valuable support and advice from Institutional Research Coordinator Tongshan Chang and Institutional Research and Planning Analyst Matt Reed, who provided the committee with critical analyses and data related to the Report to the Regents and the Compare Favorably analyses.

Respectfully submitted,

Eddie Comeaux, Chair (R)	Skip Pomeroy (SD)
Madeleine Sorapure, Vice Chair (SB)	Andrea Hasenstaub (SF)
Jabari Mahiri (B)	Mike Gordon (SB)
Deborah Swenson (D)	Juan Poblete (SC)
Susan Cohen Cory (I)	Alexis Zaragoza, Undergraduate Student
Barbara Knowlton (LA)	Carlos Galan, Graduate Student
Matt Hibbing (M)	
Sheldon Tan (R)	Kenneth Feer, Principal Analyst

<u>**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**</u>

Per Senate bylaw 180, the Coordinating Committee on Graduate Affairs (CCGA) advises/ the University President and all agencies of the Senate on matters regarding research and learning related to graduate education. One of CCGA's chief responsibilities, as delegated by the Regents, is the authority to review and evaluate campus proposals for new graduate programs and schools that require approval of the President. In addition, CCGA establishes basic policies and procedures for coordinating the work of the various graduate councils and divisions, recommends to the Assembly minimum standards of admission for graduate students, reviews policies applied by graduate councils, reviews policies concerning relations with educational and research agencies, and approves UC graduate courses as system-wide courses to be listed in divisional catalogs.

<u>**Review of Proposed Graduate Degree Programs**</u>

During the 2019-20 Academic year, CCGA approved 14 program proposals, and declined one. Seven of the approved proposals were Self-Supporting Graduate Degree Programs (SSGPDPs), and one proposal was a PDST (Professional Degree Supplemental Tuition). Three proposals are currently under review and will carry over to the 2019-20 year.

Programs Decided Upon During the 2019-20 Year

Campus	Program	Date Received	Date Approved	SSGPDP?
UCB	Master of Development Engineering	3/2/20	6/3/20	Yes
UCI	Master of Data Science	2/13/19	12/4/2019	Yes
UCI	Master of English	3/27/19	12/4/19	Yes
UCI	PhD in Global Studies	4/5/19	11/6/19	No
UCI	School of Pharmacy (Preproposal)	6/25/19	11/6/19	No
UCI	Addition of MS to Existing MD	12/23/19	2/5/20	No
UCI	School of Pharmacy (Full Proposal)	3/10/20	6/3/20	No
UCI	Pharm D	3/10/20	6/3/20	No
UCLA	Master of Applied Geospatial Information Systems and Technologies	5/14/19	11/6/19	Yes
UCLA	Dual Master of Financial Engineering – Asia Pacific	12/20/19	5/6/20 (rejected)	Yes
UCLA	Master of Urban Planning	2/28/20	5/6/20	No
UCLA	Master in Healthcare Administration	3/2/20	7/8/20	Yes
UCLA	Convert Master of Engineering	3/2/20	5/6/20	Yes
UCM	MS in Cognitive and Information Sciences	11/25/19	2/21/20	No
UCSC	Master of Human Computer Interaction	3/21/19	10/2/19	No

The committee worked diligently with campuses and faculty throughout the year to help them craft and improve proposals that would meet the University's expectations of excellence.

Campus	Program	Date Received	Status	SSGPDP?
UCR	Master of Science in Business Analytics	3/3/20	Under Review	Yes
UCSD	MS in Health Informatics	5/29/20	Under Review	Yes
UCSD	Master of Science in Computational Social Science	6/10/20	Under Review	Yes

Topics of Note During the 2019-20 Year

Disruptions COVID-19 and the Murder of George Floyd

Nearly each of the topics mentioned below was interrupted by the advent of COVID-19 and the transition to working and learning from home. While the committee continued to meet via Zoom, progress on areas other than program approvals were largely sidelined. The murder of George Floyd and the national reaction also pulled considerable focus and energy from the committee at the June meeting.

Mentoring and Teaching Evaluations

In 2018-19, the Council of Graduate Deans initiated the idea that Mentoring should be considered an integral part of Teaching Evaluations of Faculty during promotion and merit processes. CCGA agreed in principle and discussed various rewordings of APM 210, which were shared with UCAP. UCAP expressed concerns about the specifics proposed. In 2019-2020, CCGA in coordination with UCAP proposed renaming the teaching category in APM 210.1.d to "Teaching and Mentoring", thus capturing the spirit that teaching and mentorship are all-inclusive activities that faculty conduct in diverse ways. A memo was sent to the Academic Council to be presented in its September 23rd meeting.

Concerns about UCOP Restructuring

CCGA raised concerns regarding the "housing" of graduate education in the new structural reorganization of the UCOP top administration positions. The committee invited the Provost to its November meeting to discuss several issues in that regard. The provost assured CCGA that Graduate Education and Research are paramount to the UC mission, and that the new Vice President for Research and Innovation would be integral to this graduate mission and would be an academic. Indeed, in March 2020 Dr. Theresa A. Maldonado was appointed Vice President for Research & Innovation. She has participated in many CCGA meetings and has been very supportive and responsive.

SSGPDPs

The committee had UCPB Chair Malloy in to talk about SSGPDPs. He said he was surprised at how much time was spent on SSGPDPs the previous year. The Committee is concerned about the sheer volume of SSGPDPs it has seen over the past few years. Campuses are increasingly turning to these, and there needs to be a study about how the campuses have come to rely on these. Chair Balasubramaniam said that CCGA shared a lot of these concerns is equally concerned about their growth and the possibility that they could be becoming parasitic. That said, state-supported programs are not getting more money to function. Mr. Malloy said that the money that is generated by these seems to be going into the dean's office and not being tracked. Also use of space and student services are not being tracked.

Mr. Malloy suggested the creation a smaller subgroup with reps from UCPB and CCGA to brainstorm some of these larger issues and report back on ways to tweak the process and think about the big picture and then report back to the committees. Each committee (UCPB and CCGA) identified 2-3 people who formed a study subgroup to report back to the committees. The work of this subgroup was interrupted by COVID-19.

Dual Degree Programs

Committee member Smith (UCSC) explained that there are very few dual degree programs in the UC system. Dual degree programs exist when an existing degree at UC partners with an external institution. A student who matriculated in to the dual degree pathway would earn two graduate degrees. Very little guidance for these types of proposals exists. WASC has some policies on dual degree programs, but those guidelines are very minimal. One of the things that needs close attention is the controlling of admissions There were a lot of questions about how open and accessible this would be to students in California and whether there would be open and fair access and equal accessibility in the program. UCLA had to push for separate admissions policies at each university. The committee discussed the concept. Also clarified was the issue of Joint versus Dual Degree – one has two degrees offered, the other just has one degree offered. The committee asked if explicit language should be added to the Handbook for these degree proposals with a memo to the graduate councils. Chair Balasubramaniam and Professor Smith had planned to discuss this, but the progress was stopped with the advent of COVID-19.

Discussion about the GRE

Committee members shared their campus experiences and thoughts about the efficacy of using GREs. Many departments had voted not to use the GREs and students were getting mixed messages. There was also discussion about holistic review, the factors that go into it, and if it, too, can be considered biased. The Committee had some input from experts from UCSF: Dean Silva and Professor Huang. They expressed belief that the GRE and school of origin did not figure into student performance. The extent of research experience, personal and research statements, and letters of recommendation were much more relevant factors. Letters of recommendation that are strong include examples and details of student work and achievement. The primary letter of recommendation is the best indicator of performance. In the letter of recommendation instructions it asks writers to address the students' independence, persistence, and work ethic.

Further discussion of the GRE and its use was disrupted by COVID-19.

UCSC Graduate Student Strike

Professor Smith (UCSC) said that the graduate students at UCSC filed some demands for COL increase, but the administration was unable to enter any negotiation because the graduate students are under contract with UAW. As a result, the students moved forward and initiated a formal strike. Some students who were working as TAs withheld grades in response. The administration announced two new plans to improve stability of graduate support, effective fall 2020. They were i) guaranteed support packages for all new incoming and current grads for five years support (five years doctoral students, two years MFA students) at a minimum TA level for three quarters, and ii) a need-based $2500 annual housing supplement to be administered through the financial aid office, available to all doctoral and MFA students. Graduate student strike leaders, who overlap with the GSA leadership, are committed to their demands for a $1412 per month COLA, to be achieved through re-negotiation of the UAW contract. Graduate students that have withheld or deleted grades received, as appropriate, letters of warning (grades withheld) or conduct summons (grades deleted from Canvas).

The strike largely was dissembled due to the shelter-in-place orders.

Emergency Covid-19 Extensions for Graduate Students

At its May 6 meeting, the Committee voted 11-0-0 to request that the period covering winter 2020 through spring 2021 be excluded from the 18 quarter/12 semester limits in APM 420-17 (for Readers, TA-ships, and Fellowships), due to the COVID-19 crisis. The committee asked that the Senate transmit this request to the Provost. Council approved CCGA's motion for the 18/12 limit. The Provost issued a temporary extension of the chancellors' authority under APM – 410, Teaching Assistants and Graduate Student Instructors and APM – 420, Readers, to grant a seventh-year extension (a maximum of 21 quarters/14 semesters) to the total length of service rendered in any one or any combination of the titles.

As for the Normative Time to Degree, there is no system wide normative time policy. CCGA encouraged all campuses to offer as much flexibility in light of COVID-19.

International Students
President Trump issued an executive order about Chinese students with ties to the Chinese military academic complex. The chairs of CCGA, UCFW and UCRP wrote a letter to the President and the Vice President of Research and Innovation asking that they take it up with UCDC to see what can be done.

CCGA also discussed an order by US Immigration and Customs Enforcement to bar international students from attending any all on-line courses of study. The order was eventually rescinded in part.

Respectfully submitted,

Ramesh Balasubramaniam, Chair (UCM)   LeRoy Westerling (UCM)
Amr El Abbadi, Vice Chair (UCSB)   Erith Jaffe-Berg (UCR)
Mark Wilson (UCB)   Partho Ghosh (UCSD)
Carlson Arnett (UCD)   Bjoern Schwer (UCSF)
Linda Cohen (UCI)   Divyakant Agrawal (UCSB)
Andrea Kasko (UCLA)   Donald Smith (UCSC)

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Responsibilities and Duties
Pursuant to Senate Bylaw 150, the University Committee on Committees (UCOC) oversees the appointment of chairs and vice chairs for each of the standing committees of the Assembly; oversees the nomination of Senate members to serve on ad hoc or ongoing joint Senate-Administration committees and task forces, and sends letters of appointment to all appointees specifying term of the appointment and committee charge. UCOC met three times in person and twice by videoconference in 2019-20. Major issues and accomplishments are reported below.

Appointment of Chairs and Vice Chairs of the Senate's Standing Committees
While being mindful of balance and representation among campuses, UCOC reviewed and approved chairs and vice chairs for standing committees for 2020-21. The vice chair of one committee (UCOPE) will be finalized in the fall.

As a result of questions from members, UCOC discussed the process for choosing the UCOC vice chair. The UCOC vice chair selection is handled much like the process for the other standing committees, but with an additional step of a committee vote (up or down) on the selected vice chair. In April, UCOC members discussed having a more formal and transparent process where members can self-nominate. It was decided that the process for selecting a new UCOC vice chair would include an announcement in the winter UCOC meeting to let members know that they can nominate themselves.

Appointment of members of Standing Committees
The ten divisional Committees on Committees nominated divisional representatives to standing committees and to the Assembly. Subsequently, UCOC issued appointment letters, which specified the term of appointment and the committee's charge.

Appointment of members of Senate committees, subcommittees, or task forces that report to the Assembly
- Editorial Committee – UCOC appointed four new members.
- University Committee on Rules and Jurisdiction (UCRJ) – UCOC appointed a new chair and a new ex-officio member. Three members were re-appointed.
- Academic Council Special Committee on Lab Issues (ACSCOLI) –Three members were reappointed including the designated chair of the committee.

Appointment of Senate Representatives to Special Committees & Task Forces, Search Committees, and Joint Senate/Administrative Task Forces and Committees
UCOC is responsible for appointing Senate representatives to various groups that are proposed by the President, Provost, and/or other senior administrators, including search committees of senior executives and chancellors. UCOC nominated and appointed representatives to serve on a number of joint Administration-Senate task forces and other groups. These included:
- UC Irvine Chancellor Ad Hoc Review Committee
- Academic Advisory Committee for the UC President Search
- Online Undergraduate Degree Task Force
- Systemwide Library and Scholarly Information Advisory Committee
- Shared Library Facilities Board

UCOC nominated and forwarded Senate representatives for the following councils:
- Alianza UCMX
- Global Climate Leadership Council
- UC Washington Center (UCDC) Academic Advisory Committee

UCOC was asked to suggest members for and/or consulted upon the following:
- Academic Council Extending Diversity Task Force
- Climate Crisis Task Force
- California Air Resources Board (CARB) Scientific Review Panel – Three subject matter experts in each of three categories: 1) epidemiology, 2) occupational medicine, and 3) toxicology
- Systemwide Native American Repatriation Implementation and Oversight Committee ("Systemwide Committee") and six Campus Native American Graves Protection and Repatriation Act Implementation Committees ("Campus Committees")
- University Committee on Planning and Budget (UCPB) Task Force on Agriculture and Natural Resources (TF ANR)
- Feasibility Study Work Group to determine the viability of developing a new UC standardized admissions test for use in freshman admission and selection

Oliver Johnson Award

Based on nominations from Divisions, UCOC recommended Robert Powell (UC Davis) and Manuela Martins-Green (UC Riverside) as Oliver Johnson award recipients for 2020. The Academic Council subsequently approved both nominations for the Oliver Johnson Award.

Other UCOC Discussions
- UCOC recommended a review of the stipends provided to systemwide committee chairs.
- Staff members from the UCOP Office of Research and Graduate Studies joined a UCOC meeting to explain UC's legal requirement to nominate a minimum number of representatives to state-level review panels. This is part of UC's service to the State, and the state relies on these expert committees.
- UCOC heard concerns about the effectiveness of UCOPE (the Committee on Preparatory Education), which monitors academic preparation and remedial education, including the Analytical Writing Placement Exam. The issues should be followed up to see whether improvements can be made.
- UCOC recommended a review of the Task Forces and subcommittees for consistency in appointment processes, lengths and renewals.
- UCOC members shared practices employed by their campuses for expanding participation in Senate service and increasing leadership diversity.
- UCOC received regular updates from the Academic Senate leadership about the important issues facing the faculty and the university.

Respectfully submitted:

Pamela Ling, UCOC Chair
Cynthia Passmore, UCOC Vice Chair
Ula Taylor/Candace Yano (UCB)
Judy Van de Water (UCD)
Carole Uhlaner/Rahul Warrior (UCI)

Vickie Mays (UCLA)
Linda Hirst (UCM)
Jennifer Nájera (UCR)
Lei Liang (UCSD)
Janice Tsoh (UCSF)
Lisa Hajjar (UCSB)
Micah Perks (UCSC)
Kum-Kum Bhavnani (Council Chair, ex-officio)
Mary Gauvain (Council Vice Chair, ex-officio)
Joanne Miller (Committee Analyst)

UNIVERSITY COMMITTEE
ON
EDUCATIONAL POLICY

2019-2020 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
The University Committee on Educational Policy (UCEP) met eleven times in Academic Year 2019-2020 (including seven regularly scheduled videoconferences and two emergency videoconferences) to conduct business with respect to its duties as outlined in Senate Bylaw 170 and in the Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (the "Compendium"). The major activities of the committee and the issues it addressed this year are outlined briefly, as follows.

INNOVATIVE LEARNING TECHNOLOGY INITIATIVE (ILTI)
The ongoing discussions with ILTI about campus and systemwide policies and practices that may sometimes hinder student access to online courses focused on Senate Regulation 544 this academic year. SR544 sets rules governing cross-campus enrollments with the goal of facilitating access and the transfer of credits between campuses. Last revised in 1999 to apply to online courses as well as traditional face-to-face courses, the committee debated the merits of possible changes to the Regulation that might facilitate greater access. As a result of extensive consultation with ILTI directors, UCEP identified and agreed upon a set of revisions related to the type of credit granted, the definition of good standing, non-home campus enrollment limits, and equivalency. The proposed revisions were transmitted to Academic Council in late March and they will be sent out for systemwide review in the fall.

STUDENTS WHO ARE INCARCERATED OR FORMERLY INCARCERATED
Following last year's initial exploration of the challenges facing students who are incarcerated or formerly incarcerated, a small team of UCEP members developed a series of principles to inform future work with these populations. The principles are grounded in the University's public mission to strive to provide access to education to all those who seek and are eligible for a UC education. The committee was also motivated by the need for four-year undergraduate degree programs within California prisons as well as the lack of transitional programs for individuals being released from prison. In June, Council endorsed the principles which were subsequently submitted to the Office of the President. Going forward, UCEP will encourage UC to advocate for state funding to support the creation of undergraduate degree programs for individuals who are incarcerated. The committee will also look at systemwide Senate regulations and policies that should be reconsidered to accommodate working with these students. In addition, the Provost's Office has notified the Senate that, next year, the joint Administration/Senate Academic Planning Council will discuss next steps for working with students who are incarcerated or formerly incarcerated.

STUDENT FEES BEYOND TUITION/COSTS OF COURSE MATERIALS
UCEP took up the issue of student fees for course materials after reviewing a set of recommendations issued by a UCI task force in 2019. The committee focused on transparency, ensuring that fees can be included in financial aid packages, and avoiding conflicts of interest, basing the discussion around the UCI guidelines as well as on system-wide guidelines that were already in place. Finding that existing policies establish clear guidance for faculty, the committee agreed that any additional regulations could stifle innovation and may impinge on academic freedom. Instead, in an April memo to Council, UCEP suggested that divisions should review local oversight via their Course Materials and Service Fees Committees (or similar) to ensure that issues surrounding transparency, financial aid, and conflicts of interest are receiving adequate review and consideration.

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LIVED NAMES ON DIPLOMAS

In April, UCEP responded to the proposed Presidential Policy on Gender Recognition and Lived Name. The committee expressed support for proposed policy in general but recommended greater clarity about when a legal versus lived name would be used on documents or in UC information systems. Noting that the presidential policy indicated that policy changes regarding academic documents such as transcripts and diplomas are recommended by the Academic Senate, UCEP provided a separate memo to Council endorsing the use of lived names on diplomas. The committee outlined potential next steps, including clarification of Regents' Standing order 110.3.c. which is subject to different interpretations.

RESPONSES TO THE COVID-19 PANDEMIC

The committee had been considering campus closure policies following wildfires that impacted the delivery of instruction in 2018. UCEP deliberated over the types of policies and procedures that might be needed in the event natural disasters, but the committee and the UC system did not anticipate and were unprepared for the worldwide COVID-19 pandemic which resulted in the closure of all campuses in mid-March and an abrupt shift to remote instruction for students and faculty.

Senate Regulations

UCEP was quick to recognize the need to adjust a number of divisional and systemwide Senate Regulations in an effort to support students in concrete and meaningful ways during this public health crisis. In addition, feedback from divisional Educational Policy/Undergraduate Committees made it clear that systemwide guidance from UCEP in certain areas would be helpful. The committee offered the following recommendations, which were each endorsed by the Council:

1) In a March memo, UCEP recommended that all divisions be allowed to set local grading policies flexibly, especially regarding the use of Pass/No Pass grading for the 2020 winter quarter and spring quarter/semester. This was followed by a memo in May recommending extending the flexibility to use Pass/No Pass grading for summer sessions.
2) To facilitate the access of all students to the online cross-campus course offerings, UCEP encouraged campus registrars and academic advisors to take a broad approach when defining "good standing" in SR544. In April, Council transmitted a memo from UCEP to the Provost's Office which included recent clarification from the Committee on Rules and Jurisdiction that students who are enrolled in their first quarter/semester at the UC are, by default, in "good standing".

The process of reviewing the systemwide Senate Regulations revealed a number of contradictory, inconsistent, or outdated policies which the committee discussed in June. This effort may also involve identifying how the Regulations could be adapted to address short and long term suspensions of normal instruction. Members agreed to begin the long-term project of revising problematic Regulations in Academic Year 2020-2021, beginning with the changes that will most benefit students. One of the Regulations most relevant to the current situation is SR610 in Article I on Residence.

Remote Instruction Surveys for Students and Faculty

The unplanned and hurried move to remote instruction during the COVID-19 emergency was an opportunity to find out about the experiences of students and the approximately 20k instructors teaching at the time of the campus closures. In a collaboration with Institutional Research and Academic Planning led by Vice President Pamela Brown, UCEP Chair John Serences steered the development of a set of survey questions added to the 2020 UC Undergraduate Experience Survey. The Senate also designed and disseminated a survey for instructors and a draft summary of the report was shared with the divisional Council chairs. The complete report is available here.

OTHER ISSUES AND ADDITIONAL BUSINESS

In response to requests for formal comment from the Academic Council, UCEP issued views on the following:

- Current State Assessment Report and Proposal for Future State for the UC Washington Center
- UC Irvine School of Pharmacy Proposal and Pharmaceutical Sciences
- Report and Recommendations of the Academic Council Standardized Testing Task Force
- Proposal from the Board of Admissions and Relations with Schools to eliminate the SAT Essay/ACT Writing Test requirement for undergraduate admission

UCEP touched on a variety of other issues related to the business of the Academic Council, Academic Assembly, the Intersegmental Committee of the Academic Senates, and the work of campus Committees on Educational Policy/Undergraduate Councils.

UCEP REPRESENTATION
UCEP Chair Serences represented the committee on the Council's 2019-2020 Teaching Evaluation Task Force. This Task Force's report to Council was endorsed in July and subsequently transmitted to divisional Senate's for consideration. Chair Serences was also responsible for chairing the Council's 2019-2020 Online Undergraduate Degree Task Force, which included UCEP Vice Chair Dan Potter and the Merced representative to UCEP, Jay Sharping. The Online Undergraduate Degree Task Force's report was submitted to Council in July and the report will undergo systemwide review in the fall. Both task forces have fulfilled their respective charges from Council.

Chair Serences represented the committee at meetings of the Academic Council and the Academic Assembly. Chair Serences also participated on the Provost's monthly budget briefing teleconferences and the Academic Planning Council. Finally, UCEP was represented by Chair Serences on the Office of the President's Education Financing Model Steering Committee and by Vice Chair Potter on the UC Education Abroad Program Advisory. Due to scheduling conflicts, no UCEP representative participated on the UC Washington Center's Academic Advisory Council.

COMMITTEE CONSULTATIONS AND ACKNOWLEDGEMENTS
UCEP benefited from consultation and reports from; Todd Greenspan, Director, Academic Planning Institutional Research and Academic Planning (IRAP); Ethan Savage, Analyst, Academic Planning, IRAP; Ellen Osmundson, ILTI Director, UCOP; Mary-Ellen Kreher, ILTI Course Development Director; and Paul Montoya, ILTI CFO and Marketing Director, UCOP.

In addition, UCEP consulted the Academic Senate chair and vice-chair, who updated the committee on issues facing the Academic Council and Senate.

Respectfully submitted,

John Serences, Chair (SD)   Daniel Potter, Vice Chair (D)
Tony Keaveny (B)   Katheryn Russ (D)
Charles Smith (I)   Lene Levy-Storms (LA)
Jay Sharping (M)   Owen Long (R)
Paul Goldstein (SD)   Mary Lynch (SF)
Ted Bennet (SB)   Onuttom Narayan (SC)
Idalys Perez (Undergraduate Student-B)   Ann Marie Martin (Graduate Student-R)

Kum-Kum Bhavnani ((SB), Chair, Academic Senate, *Ex Officio)*
Mary Gauvain ((R), Vice Chair, Academic Senate, *Ex Officio)*
Brenda Abrams, Principal Policy Analyst

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UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
2019-20 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Under Senate Bylaw 175, the University Committee on Faculty Welfare (UCFW) considers and reports on matters concerning the economic welfare of the faculty, including salaries, benefits, insurance, retirement, housing, and conditions of employment. UCFW met ten times during the 2019-20 academic year, and the major actions and discussions of ongoing issues are highlighted in this report.

UCFW has two semi-permanent task forces with separate memberships and with particular expertise in: (1) the University of California Retirement System (UCRS) including its policies and its investments (the Task Force on Investment and Retirement, TFIR); and (2) the University's health plans for employees and retirees (the Health Care Task Force, HCTF). These task forces monitor developments and carry out detailed analyses of questions and issues in their respective areas and report back to UCFW for further action. UCFW is indebted to the extraordinary commitment and skills of our task force leadership, David Brownstone (TFIR) and Mark Peterson (HCTF). These two task forces spend a great deal of time in consultation with systemwide Human Resources (HR). Many of these consultants, along with Academic Personnel and Programs and others from the Office of the President, also regularly attend UCFW meetings and lend their expertise to our discussions. We are indebted to these consultants, and they are individually acknowledged at the end of this Report.

COVID-19 AND STRAINS ON UC FINANCES
In order to help UC navigate the financial crisis created by the Covid-19 pandemic, UCFW leveraged the extensive expertise and institutional knowledge of its past members and Chairs, a number of whom also went on to serve as Academic Council Chairs, to create working groups on how to engage the administration to preserve the welfare of faculty and staff and allow UC to emerge stronger from the current crisis. Past UCFW and Council Chairs Jim Chalfant and Dan Hare, and the 2020-21 Council Chair, Mary Gauvain, took a leading role in this work, with assistance from former UCFW and Council Chairs Robert May and Shane White. These working groups reflected on lessons learned from past crises, proposed principles on how to engage the administration, and created a glossary of terms (e.g., furlough) to clarify potential discussions with divisional administrators. One of the working groups also proposed principles on how to deal fairly with the financial crisis affecting UC faculty employed in UC medical centers. It is hoped that all this work will be helpful to the incoming Senate leadership.

FACULTY WELFARE
Housing: UCFW met with the Chief Financial Officer and the Office of Loan Programs to discuss housing issues at many campuses. A lack of affordable housing proximate to UC campuses is pricing many employees out of working for the university, and it is straining the finances of many faculty, especially in expensive housing markets. Planned projects at some campuses will open slowly and not fully address the needs.

Affordable student housing is a similar issue. UCFW proposed offering lower income faculty a housing allowance when they are recruited that would cover the down payment for a financially sustainable loan that would allow them to buy a house. Although open to all, UCFW members felt that such a measure would be especially supportive of Black and Latinx faculty, who have historically suffered from discrimination in the housing market.

Climate Change: UCFW made a concerted effort to frame discussions and responses through the lens of global climate change. Student mental health is being negatively impacted by existential dread. Faculty and staff increasingly recognize that incremental steps are inadequate. Travel and investment policies that continue "business as usual" were met with increasing skepticism. Several changes to investment and banking practices were approved and advanced to the Academic Council. In particular, UCFW urged Senate members to replace in-person with Zoom meetings whenever possible in order to reduce our emissions of greenhouse gases.

Policing: UCFW met twice with the co-chairs of the President's Task Force on University Policing, as well as with faculty experts. The well-publicized murders by the police of Black unarmed civilians in the spring and summer of 2020 led to in-depth evaluation of UC policies and practices. The impacts of recent policy changes is unknown, and assessing their efficacy will be more difficult due to COVID impacts. How far and how fast reform should progress are still the subjects of much discussion. UCFW unsuccessfully urged the Council to open an extensive dialog to bring to light systemic discrimination in the UC system and discuss ways to overcome it. UCFW also urged the Academic Council to engage the administration during the negotiation of the police contracts, highlighted the role of police unions in the state as an impediment to change, and advocated for a re-thinking of policing on UC campuses.

Diversity and Equity: A task force reporting to the Academic Council focused on retention, and UCFW focused on the use of diversity, equity, and inclusion (DEI) statements during recruitment and selection. Inconsistent inter- and intra-campus practices, including pilot programs and differential use by department, have led to confusion on many fronts. Some divisions have reported smooth implementation and positive outcomes, while others have reported frustration and questioned outcomes. UCFW highlighted that some of the recommendations previously adopted by the Academic Council had not been appropriately conveyed to the administration. UCFW urged the Academic Council to start a more comprehensive dialog about the use of DEI statements. UCFW will continue to review guidance in this area and encourage consistent practices.

Retirement Transition: Software changes and staffing shortages have led to chronic unresolved concerns with the Retirement Administration Service Center (RASC), and the COVID crisis has only exacerbated these concerns since it highlighted RASC limitations. Redress of these concerns has been hampered by personnel issues in the Office of the President. Additionally, although some campuses have created retirement transition advisor positions, others rely upon UCOP counselors. Some have called for UC to open retirement processes a month earlier in hopes of smoothing the workload. UCFW has repeatedly highlighted these issues to the administration and is hoping for an improvement.

Child Care: UCFW has collected information about the hardships to faculty, staff, and students with families resulting from the high cost and the lack of child care options. UCFW members collected information about child care costs and waiting times on UC campuses, looked at available alternatives at CSU and other California Universities, to

come up with practical solutions. UCFW wrote a letter to the Academic Council with suggestions to consider public-private partnerships and to mobilize donors to address the chronically unfilled child care needs on UC campuses.

Administrative Burden: UCFW met with representatives from the Office of Ethics, Compliance, and Audit Services to highlight the importance of implementing best practices for reducing unnecessary administrative procedures on campuses. UCFW also started working with UCORP on this issue, but this effort was cut short by the Covid-19 pandemic. It is hoped that this effort will be picked up by future UCFW members.

CASH COMPENSATION

The current multi-year salary plan designed to close the gap with the Comparison 8, met the goals of the first year (2018), but in 2019, the plan was scaled back following underinvestment by the state and other budgetary concerns. In light of COVID impacts, it is now expected that the plan to close the salary gap will be extended by several years. UCFW worked with Academic Personnel and Programs to develop a model for a market-based salary schema.

Members of the Health Sciences Compensation Plan (HSCP), especially those in "soft money" positions, continue to be under additional stress to secure external funding for both salary and research. A planned task force to assess HSCP did not launch due to COVID, but UCFW will continue to press for reevaluation of the policy and its impacts.

UCFW engaged with Vice Provost Susan Carlson's group, who at UCFW's request, created a multi-year plan to bring UC faculty salaries to market levels. Although the specifics of this plan will need to be revisited once UC's financial situation allows salary adjustments, UCFW believes that the principles used to craft this plan have lasting value. In addition, UCFW discussions highlighted the value to UC's excellence of transparent and equitable salary scales.

HEALTH AND WELFARE BENEFITS

UCFW and HCTF continued to monitor the operations of UC Care. Issues surrounding pharmacy formulary changes and billing transparency were the most common concerns.

The Health Benefits Advisory Committee is charged to assess the University's entire insurance portfolio and how well it meets employees' needs. Part of their work will include surveying the employee base, and the Senate has scrutinized both the recruitment of external parties as well as the efficacy of the proposed survey. The Senate successfully lobbied the administration to allow faculty academic and methodological oversight of internal and external surveys targeting the entire UC population. HCTF will closely monitor HBAC's work and findings in the coming year.

A Working Group on Comprehensive Access was formed following public consternation regarding proposed partnerships between UC medical centers and religiously-affiliated hospitals and provider groups. The Academic Senate opposed such partnerships. The Working Group was unable to reach consensus, and no official report was issued. The Senate will continue to monitor actions in this area.

RETIREMENT ISSUES

TFIR continued its close work with the administration to make more user-friendly the Fidelity brokerage window investment options, an effort led by the Office of the Chief Investment Officer, in conjunction with Human Resources. TFIR also supported an OCIO initiative to investigate adding Roth 403(b)s, which carry certain tax advantages for those with projected income growth, and Qualified Longevity Annuity Contracts (QLACs) to the investment window.

TFIR engaged with OCIO to better understand the vetting their office conducts prior to investing in new stocks. OCIO regularly eschews investing in, for example, gun manufacturers and corporate prisons, in addition to Regentally mandated exclusions of companies that conduct business with Sudan and tobacco companies. UCFW encouraged OCIO to make these processes more apparent and to go still further in its "de-risking" divestment of University holdings from leading carbon-extraction corporations. UCFW and TFIR also sent a request to the Academic Council, urging UC to conduct banking only with environmentally responsible banks.

To offset the actuarial growth in the unfunded liability following changes to the plan assumptions adopted by the Regents, it was proposed that both the employer and the employees increase contributions to the pension plan. While a gradual increase in employer contributions was adopted, changes to the employee contribution rate were tabled pending further investigation. The COVID crisis prevented reconsideration of the matter.

OTHER POLICY ISSUES AND SYSTEMWIDE REVIEWS:

Academic Personnel Manual Revisions: Several sections of the APM were up for review, and some new sections were proposed. UCFW opined on or discussed each of the following:

- 120 (Emeritus/Emerita Status)
- 240 (Deans) and 246 (Faculty Administrators)

CORRESPONDENCE:

Beyond submitting opinions and recommendations on the topics above, UCFW opined on the following matters of systemwide import:

- Gender Recognition and Lived Name
- Seismic Safety. UCFW urged the Council to ask the administration to organize regular earthquake drills to prepare students, staff and faculty to safely deal with earthquake emergencies on campuses.

ACKNOWLEDGEMENTS:

UCFW is indebted to its consultants and guests, without whom the committee's work could not be done:

Academic Affairs: Provost Michael Brown;

Academic Personnel and Programs: Vice Provost Susan Carlson, Executive Director Pamela Peterson, and Academic Policy and Compensation Data Analyst Gregory Sykes;

UC Health: Executive Vice President Carrie Byington; Executive Director of UC Self-Funded Health Plans Laura Tauber;

Human Resources: COO Rachael Nava, Executive Director of Retirement Programs and Services Gary Schlimgen, Executive Director of Benefits Programs and Strategy Michael Baptista, and Senior Director of Health and Welfare Benefits Susan Pon-Gee;

Office of the Chief Investment Officer: CIO Jagdeep Bachher, Associate CIO Arthur Guimaraes, and Director of Defined Contributions Products Marco Merz;

External consultants from Mercer, Deloitte, and Segal.

We are particularly grateful for the involvement, support and guidance from the Senate leadership, Chair Kum-Kum Bhavnani and Vice Chair Mary Gauvain, as well as the advice and perspective provided by Senate Executive Director Hilary Baxter. Finally, the committee is indebted to Kenneth Feer who has provided able staff support.

Respectfully yours, UCFW 2019-20
    Jean-Daniel Saphores, Chair
    Shelley Halpain, Vice Chair
    David Steigmann, UCB
    Moradewun Adejunmobi, UCD
    Ken Chew, UCI
    Tzung Hsiai, UCLA
    Jayson Beaster-Jones, UCM
    Abhi Ghosh, UCR
    Adam Aron, UCSD
    Jill Hollenbach, UCSF
    Cynthia Skenazi, UCSB
    Grant McGuire, UCSC
    David Brownstone, TFIR Chair
    Mark Peterson, HCTF Chair
    Caroline Kane, CUCEA Chair (ex officio)
    Henning Bohn, UCRS Advisory Board Faculty Representative (ex officio)

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Charge of the Committee

According to Academic Senate Bylaw 182, the University Committee on International Education (UCIE) should fulfil the following roles in systemwide governance:

1. Consider and report, in consultation with other Academic Senate committees, on matters of international education and engagement referred to the Committee by the President of the University, the Academic Council, the Assembly, a Divisional or any Senate Committee.
   a. Report to the Academic Council and other agencies of the Senate and confer with and advise the President and agencies of the University Administration on matters concerning international engagement.
   b. Initiate policy recommendations regarding international engagement programs and the status and welfare of international students and scholars at UC.
   c. Evaluate and advise on UC's international service learning or experiential learning programs, except programs whose authorization and supervision is performed independently by the campuses.
2. Provide Continuing review of the Education Abroad Program and its policies.
   a. Consult with the University Office of Education Abroad Program on future program development, including modification of the programs of existing Study Centers, establishment of new Study Centers, and disestablishment of UCEAP Programs.
   b. Represent the Senate in the selection of Study Center Directors.
   c. Maintain liaison with the Council of Campus Directors.
   d. Advise the University Office of Education Abroad Program Director on all matters of international education.
   e. Have the responsibility for the final academic review of new Study Centers and Programs after the first three years, and for regular reviews of all centers and programs every ten years or as conditions may require.
   f. Authorize and supervise all courses and curricula in the Education Abroad Program.

New UCEAP Programs Reviewed in 2019-20

Math in Rome – *Approved*
Summer Internship in Prague – *Approved*
Summer Research at Vilnius University – *Rejected; asked for more information*
Field Studies in Volcanology – *Approved*
Social Entrepreneurship in Latin America – *Rejected; sent back for more clarity on the stability of the local region and safety for students*

Program Review Reports/Reviews

Follow-Up Report for the 2017-18 Dominican Republic Three Year Review
One-Year Follow-Up Report for 2017-18 Brazil and Chile 10-Year Review
2018-19 Barbados 10-Year Review – *Approved*
2018-19 Singapore 10-Year Review - *Approved*
2018-19 Spain Three-Year Review – *Approved*
2019-20 Mexico Three-Year Review – *Approved*
2019-20 Israel Three-Year Review – *Approved*
2019-20 Taiwan 10-Year Review – *Approved*
2019-20 Europe Multi-Site Review – *Approved*
2019-20 India Three-Year Review - *Approved*
2019-20 Hong Kong Three-Year Review – *Approved*

Program Discontinuances/Closures
National Taiwan Normal University
Hitotsuabashi University
A*Star in Singapore
University of the Arts, London
Thai Studies, Thammasat University
Engineering for Sustainability, Munich University of Applied Sciences
Russian Area Studies Summer, CIEE St. Petersburg
When in Rome, UC Study Center
Contemporary Argentina, National University of Tres de Febrero
Spanish in Buenos Aires, Torcuato Di Tella University of Cádiz
MBA Studies, Chinese University of Hong Kong
Summer + Fall International Christian University, Japan
Graduate Studies, International Relations, University of Tokyo
Summer in Singapore, National University of Singapore
Global Leadership Fellows Program (GLFP), Waseda University, Japan
Information and Communication Technologies Program, Pompeu Fabra University
Exploring Andalucía, University of Cordoba
European Transformations, UC Center Madrid and UC Center Rome
University of Granada Immersion and Iberian Studies Al Andalus, Granada
Spanish in Cadiz
Global Summer Internship, Hong Kong
Explore Senegal
Grand Budapest

Program Reestablishments
University of Canterbury

New Program Offerings
Summer Internship Program at Thammasat University

Topics of Note During the 2019-20 Year

As of fall 2019 (before COVID-19 hit), the UCEAP Director stated that UCEAP hoped that CSU students would be able to enroll into some of the UC construct programs. This will help keep the price point down while providing access for CSU students. In terms of enrollment projections, even with a small dip in fall enrollment, UCEAP is going to exceed 6000 students going abroad. The trend toward shorter programs (summer) is increasing; year-long trips are not as strong. Semester and quarter programs are still strong, but about one-third of UCEAP students are summer students.

UCEAP rolled out a new student information system last year which was much anticipated and very important. The system will be fully rolled out in its initial form by the end of this year. UCEAP has also debuted a new, mobile-friendly website; the old website was unwieldy and overwhelming with lots of redundancies. The program has completed a new Viewbook which features testimonials from students, as well as photos taken by them from their time abroad. (She shared the Viewbook with the committee.) Both the Viewbook and the website stress that students can afford to study abroad.

The Director remarked that the trend is toward fewer faculty directors, mostly due to changing faculty demographics not allowing for the two-year commitment. Instead, the program looked to provide shorter term faculty-in-residence for two-week periods. This would give faculty an opportunity to participate in education abroad, and would give the partner institutions an enhanced experience with UC. In addition, it is much more economically viable

Proposed Changes to the New Program Process
UCEAP Director of Academic Development Abraham told the committee that new program proposals go through a two-step review process, which adds to the already long time UCEAP proposals take to prepare.

She suggested that one thing that might help accelerate the process is approving proposals in a single meeting. The proposals could then go to a second meeting if there are questions/problems. Another option might be to send proposals under separate cover before the meeting date.

UCIE members discussed UCEAP's request and concluded the following: The committee would need UCEAP to send the initial program information via email two months before the UCIE meeting at which they expect the program review to be initiated. Then, at this initial UCIE meeting, the committee will discuss the program and decide if it needs further review and a second meeting. If more discussion is not needed, the committee will vote at the initial meeting.

COVID Disruption
UCEAP suspended all of its summer programming as of the March meeting. That represented about 20 percent of its programming and a $7.5M hit to program revenue.

Only US citizens and permanent residents were allowed back into the country. UCEAP tracked international students who were studying abroad; their visas might have become invalid if they were not registered as students. Not that many American students stayed abroad; most returned.

The program suspensions began cascading in February. There were study abroad personnel on some of the campuses and some of the senior international officers who were concerned that everyone was not pulled home. Most of the pushback came from quarter campuses. But a great many students were actually semester students. They were facing the loss of academic credit, and possibly the loss of financial aid. There was also conflicting advice from UCOP regarding the definition of essential and non-essential travel, as UCOP statements about travel did not specifically address study abroad. UCEAP also needed guidance from its partners as to whether they were moving to remote instruction. UCEAP and the registrars at the campuses tried to maximize students' academic benefit and minimize their financial load. The Director said that her staff in Santa Barbara and abroad worked very hard to assuage the fears of parents, who had - at times - treated staff very harshly during their anxious phone calls that began immediately after the US travel restrictions were announced. UCEAP had 978 students who were lined up for summer programming in physics who were also making anxious phone calls because their programs were suspended.

Students ran into issues with housing deposits they have made. ACCENT international agreed to split the cost of non-refundable deposits; in some instances students had other non-recoverable costs. If they travelled within seven days of the suspension, they would be covered on ticket funds up to $200 above the original cost. The Department of Education issued new guidelines and allowed reciprocity students to take online courses. There were students who were unable to get home from China who were allowed to take courses through ILTI. She said that UCEAP's processes have always been good as they have a lot of emergency response experience, however they have been really put to the test in the current situation. The program has waived all withdrawal fees.

In fall 2020, a very few number of programs will run and those will be under very special circumstances. UCEAP planned to notify the campuses about programs it is sure are not happening. Students who are already in-country somewhere asked if they can stay there. The program allowed students to stay at Fudan. There were also about a half dozen students who stayed in New Zealand. Students who are in Taiwan possibly were allowed to stay. Locations were evaluated on a case-by-case basis. ACCENT is running their programs as hybrid starting online and then to less than 90 days in-country. All of the suspension decisions are predicated on knowing that students can still register on their home campuses.

Finances – UCEAP modeled a $0 summer and $0 fall and potentially a very light spring. The suspension of programs in summer and fall represented about 70 percent of UCEAP income. Although UCEAP is self-funded, it followed whatever guidelines UCSB is offering in terms of furloughs, hiring freezes, etc. The program has frozen hiring except for replacing program directors who retired. UCEAP decided to use the summer to review its programs.

Supporting International Students on Campuses

Campuses reported some difficulty with synchronous and asynchronous teaching, particularly with larger classes. Most campuses reported working in "triage mode" and coping to the best of their abilities. Campuses tried to accommodate students in need through loaner laptops and loaner hotspots. Food and housing insecurity continue to be issues for some students. No issues of xenophobia have been reported with the exception of a "challenge" that was not campus-based but reported by the committee member. A number of students who were in the UCSC wildcat strike were international students and have been fired or not renewed.

Members remarked that campuses have a lot of international students who come from Asian countries which will likely be largely COVID-free in fall 2020. Family concerns, travel restrictions, as well as ability to obtain visas in time for fall 2020 may impact students from Asian countries being able to travel to the US. There was a high degree of uncertainty. Campuses tried to make everything available asynchronously, and international students were reassured as best as possible that there would be remote access to classes. That said, office hours could not be offered asynchronously. Some faculty offered international student office hours. Another issue was how to administer exams remotely.

Students were feeling disconnected. They also felt that their classes were inconsistent and that created a lot of anxiety. They requested more meeting rooms for discussion and for instruction.

Overall, faculty expressed overwhelming concern and ambiguity about how things would resolve in the fall. There was a feeling that there was little to be done because so much was yet to be determined. The Chair suggested a summer meeting, which members agreed to hold. It was hoped that more of the uncertainty would be addressed by that point and the committee could better determine what it can do to help students. There was considerable conversation about different plans the campuses are envisioning for reopening and how they were all very much in flux because of the uncertainty as to how the pandemic will play out in the months ahead and what will be feasible. Students were not happy about spending the same amount of money and not getting the same experience. There will be a financial impact on the University if students take quarters or semesters off. Members discussed possible strategies that had been put forward for reopening the campuses in the fall. It was agreed that hybrid instruction places a higher burden on faculty.

Initiative to Recognize International Activities and Engagement in Merit, Tenure, and Promotion
UC Davis Associate Vice Provost of Academic Programs Michael Lazzara and UC Davis Vice Provost and Chancellor of Global Affairs Joanna Regulska brought forward a proposal to recognize international activities in merit, tenure and promotion. The members took the proposal back to their campuses for review and discussion. Most of the campuses were favorable to the proposal. The Davis Vice Provost and Associate Vice Provost said they were hoping UCIE would take it forward with the Senate Chair if they thought it had merit. The Senate Chair said that fall might be a better time to bring this forward because the campus CAPs are busy at this time with merit and promotions in the COVID-19 environment.

International Student Visa Issue
President Trump issued an executive order about Chinese students with ties to the Chinese military academic complex.. The chairs of CCGA, UCFW and UCRP wrote a letter to the President and the Vice President of Research and Innovation asking that they take it up with UCDC to see what can be done. The order was eventually rescinded. However, before it was, it resulted in a great deal of work and anxiety on the part of the campuses and the students.

UCEP Question
UCEP sent UCIE a letter about grading in UCEAP courses. Usually the study center directors oversee grading. Since the grading scale can vary from country to country and from university to university, they questioned if UCIE reviewing and approving the way grades are converted. The Chair said that UCIE doesn't want to micromanage grade conversions. The Chair talked to Associate Dean Ho and Director Nyitray and there is a lot of variation. Ms. Ho said that that the study center director is in charge of the grades. The study center scales do not get modified except when a new director comes in or when there is a programmatic change. There is an academic over sight document which shows that grading scale changes don't happen frequently.

<u>Acknowledgements</u>

Respectfully submitted,

Sathya Guruswamy, Chair	Michelle Leslie(UCM)
Julian Schroeder, Vice Chair	Nicole Zur Nieden (UCR)
Richard Kern (UCB)	Maureen Feeley (UCSD)
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Zuzana Bic/Victoria Bernal (UCI)	Javier Birchenall (UCSB)
Jesse Clark (UCLA)	Jeremy Hourigan (UCSC)

UNIVERSITY COMMITTEE ON
LIBRARY AND SCHOLARLY COMMUNICATION

2019-20 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

According to Senate Bylaw 185, the University Committee on Library and Scholarly Communication (UCOLASC) shall:

1. Advise the President concerning the administration of the libraries of the University in accordance with the Standing Orders of The Regents and issues related to innovations in forms of scholarly communication. (Am 9 May 2003; Am 9 May 2007)
2. Perform such other appropriate duties as may be committed to the Academic Senate by proper authority.

Springer Nature Agreement
In June, UC reached an open access agreement with Springer Nature. This was the result of considerable time in negotiations. It is the first open access agreement Springer Nature has in the United States, and the largest one in North America. The agreement will enable UC authors who publish with Springer Nature to make their research freely available to the world to read, and will also expand UC's access to Springer Nature's subscription journals.

There are four recent open access agreements in various stages of implementation: Cambridge University Press, ACM, PLoS, and JMIR. PTWG is working on assessing the implementation of these agreements and indicators of success. The University has put together a comprehensive assessment plan with helpful information on the OSC website (which has undergone a successful redesign) pertaining to these agreements. UC is also working very actively with publishers on the workflow design associated with each of the agreements.

Elsevier Negotiations
UC and Elsevier have not returned to the negotiation table, though the UC negotiation team remains hard at work to determine a productive and sustainable path forward.

The 2018/2019 funds allocated for the Elsevier agreement were carried forward by the campus libraries and California Digital Library (CDL). The goal was to negotiate an agreement with Elsevier and reinvest any resulting savings into other open access activities. Some libraries were put at-risk of their 2018/2019 carry-forward and/or their 2019/2020 Elsevier allocation being swept back if unspent by the end of this fiscal year.

The committee voted unanimously that it would like to address a letter to the Council saying that it would like to make sure that the library funds are safeguarded for access backfill (if needed) and for Open Access. The Chair agreed to draft a letter and said he would circulate it for committee review and then would submit it to the Academic Council.

Alternative Access due to COVID-19

HathiTrust Emergency Temporary Access Service
When the UC libraries closed in response to COVID in March, providing access to collections became a high priority. ETAS (Emergency Temporary Access Service) has allowed access to the physical materials that have been digitized; 161 out of 164 HathiTrust libraries were activated. HathiTrust is a large-scale

digital repository that includes over 17M volumes, with shared by a community of over 150 academic and research libraries. Some materials are not yet available due to copyright restrictions. All UC campuses have access to HathiTrust's digitized materials, which are provided based on fair–use, which, in turn, means the library cannot provide digital access to materials to which it does not have physical access. Thus, HathiTrust is providing temporary access to in-copyright items under certain restrictions.

National Emergency Library

The Internet Archives is a non-profit library founded in 1996, comprised of 1.5M books as well as movies, music, and other media. As of April 1, the Internet Archive loosened its lending policies for the short-term, and created the National Emergency Library (NEL). In so doing, it eliminated its waitlist to allow more than one user to access the same material at a time; in other words, it did not adhere to the one-copy/one-access rule that HathiTrust employs.

Systemwide ILS Project

This is an integrated library system that manages all the physical and digital collections of the library. Until now, all of the UC libraries have had 10 independent ILSs, and that no longer makes sense – it would be better to have a single system for all 10 campuses. It has been a sizable project but not very visible because the team is putting all the things in place behind the scenes to be able to launch. OP has approved a multi-year funding package of support. It is planned to be implemented and launched to all of the campuses in August 2021.

The libraries have contributed over 60 staff to the project right now, and that will grow to 110 as UC moves into systems implementation. It is enormously exciting and is very forward-looking. CSU has already done it and UC has the opportunity to learn from their experience

Consultation with the California Digital Library

OSTP Policy

In late December, publishers heard that OSTP was thinking of building on a policy that came out of the Obama administration. There were two policies put in place at that time; one was a memo from OSTP and the other was an Executive Order. They were geared toward ensuring that any research that the government funds is immediately publicly accessible. During this year, there was a conversation within OSTP about how to accomplish that goal. The Europeans have done a lot of work in this area. They are very prescriptive about what OA means. The active discussion is around building on what has been done in the US to date, including a zero embargo for authors' accepted manuscripts. The publishers lobbied against such an outcome, and they issued a dissenting letter towards the end of December with signatories from societies and society publishers. CDL and other pro-OA organizations responded to the letter. Subsequently, many of the societies recanted.

OSTP has scheduled a series of meetings. There was a meeting of librarians and VCs of Research recommending the zero-embargo path. OSTP consulted further with society and commercial publishers. OSTP also issued an RFI through the federal register and CoUL agreed that they would coordinate a systemwide response under the Office of the Research and Graduate Studies, with individual campuses issuing separate responses. Chair Ventry drafted a letter on behalf of UCOLASC.

OA Tipping Point (OATIP) Workshop

The OATIP Workshop was co-sponsored by the UC Academic Senate and the UC Libraries. In addition to 16 universities and consortia, four European guests attended to discuss their prior, current, and planned transformative work. Participating institutions brought two attendees each: a faculty member and a university librarian or library leader. The workshop went incredibly well.

Project Transform Working Group

The goal of Project Transform is to transform academic publishing from "pay to read" to "pay to publish" with full and perpetual OA upon publication. If the University is successful, everyone will be signing publishing agreements, all scientific publications will be open access, and everything will be open and pay-to-publish. The strategic plan – Pathways to Open Access – was developed from 2016-2018 and was intended to bring all 10 campuses and CDL together on shared strategies and objectives. Moreover, it was accomplished in collaboration with faculty, largely through UCOLASC. Meanwhile, UCOLASC developed its Declaration of Rights and Responsibilities published in 2018. For its part, SLASIAC published a Call to Action charging the libraries and faculty to negotiate a new set of contracts – that effort has been named Project Transform.

Most of the agreements of the sort UC is looking for have been consummated by European consortia with a combination of publishing- and reading-intensive institutions. UC, as a publishing-intensive institution, has been in discussions with CSU, a reading-intensive institution, since fall 2019. These talks have been very productive – both sides see big advantages in working together, and would make a UC-CSU partnership more like a European consortia. SCELC is another consortium of primarily private institutions located (overwhelmingly) in California that is interested in joining forces and broadening the coalition still further.

Some of the major publishers have very high-prestige journals – e.g., Nature, Science, Cell, Lancet – with considerably different business models than most academic journals. For example, they publish a lot non-peer-reviewed material, they do their own writing, and they have paid editors and thus have higher costs. Turning those journals into a pay-to-publish journals – at least without disaggregating the front material from the research material – is close to a deal-breaker at the price UC is willing to pay. The publishers' default is simply to exclude those journals from transformative agreements, and continue publishing them as subscription journals. The UC Negotiation Team is working hard to break that impulse, and to put these journals (and publishers) onto a pay-to-publish path.

New Publishing Models Supported by CDL

CDL is developing exciting new publishing models within the eScholarship publishing program, the open access publishing platform for researchers at all UC campuses. Currently, the platform holds over 220K items, all of which are open access and which have enjoyed over 70M views. CDL publishes 85 UC-affiliated journals in eScholarship. CDL's new projects include: (i) efforts by researchers at the UC Davis Medical Center to create a field guide for the proper use of ultrasound equipment with videos being converted to animated gifs organized by anatomical category and published in real time. CDL has advanced this break-through project with the help of the Manifold team, a Mellon-funded project; and (ii) a partnership with Earth ArXiv to support and host its pre-print service, a platform that is playing an increasingly important role in scholarly communication.

Acknowledgements

Thanks to Academic Council Chair Kum-Kum Bhavnani, Vice Chair Mary Gauvain, and Senate Executive Director Hilary Baxter. Thanks also to the consultants who provided indispensable expertise and contributed so much of their valuable time to helping UCOLASC fulfill its mission.

Respectfully submitted:

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TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) met ten times in Academic Year 2019-20 to conduct business pursuant to its duties to advise the President and other University agencies on policy regarding planning, budget, and resource allocation as outlined in Senate Bylaw 190 and in the *University-wide Review Processes for Academic Programs, Academic Units, and Research Units* (the "Compendium"). The major activities of UCPB and the issues it addressed this year are outlined briefly, as follows:

BUDGET, ENROLLMENT, STATE RELATIONS, AND ADVOCACY

The University's Chief Financial Officer, Associate Vice President for Budget Analysis and Planning, Associate Director of State Government Relations, and other senior administrators, joined UCPB each month to discuss the development of the 2020-21 University budget plan, the State budget, and the progress of budget negotiations and advocacy in Sacramento. UCOP leaders also carved out time to brief UCPB on UC's cost structure and cost drivers, trends in state support, and UCOP's method for allocating funds to campuses. UCPB Chair Malloy supplemented these updates with in- and between-meeting summaries of business from Academic Council and UC Regents meetings, and the monthly budget calls hosted by the UC Provost.

The onset of the COVID-19 pandemic in March upended the University's budget plans and UCPB agendas. Committee meetings moved to a videoconference format, and discussions pivoted to the economic impact of campus shutdowns, the emerging state budget crisis, and expected cuts to the University's budget. UCOP administrators who began the year by emphasizing the University's plans to achieve a more sustainable funding partnership with the state, turned to updates on revenue loses at the campuses and medical centers; and contingency planning based on best-and worst-case scenarios for state funding and enrollment. The Senate also arranged for regular UCOP budget updates for the UCPB chair and Senate leadership to keep the Senate informed about developments.

Throughout the year, both before and after the onset of COVID, UCPB members urged UCOP administrators to challenge any suggestion that UC had responded successfully to past state funding cuts with new efficiencies, and was managing well with less funding. UCPB emphasized the gap between current State support and the real cost of providing a quality education to a diverse student body; observed that any new efficiencies paled in comparison to the loss of state funding; and noted that UC would be unable to maintain quality, access, and affordability without sufficient state support. UCPB also lamented the effect of past unfunded state enrollment mandates, and urged the University to reject anything less than marginal cost funding for new enrollments. Committee members asked administrators to speak honestly about how budget cuts have affected quality; and to communicate in quantitative terms the negative effects of past cuts, such as the elimination of upper division electives, senior seminars and theses; an increasing number of (larger) lecture classes; reduced opportunities for individualized contact with faculty; and thinning syllabi for lower division courses. UCPB advised administrators to develop metrics that showed how UC's unique mission as a Research I University helped drive the state economy; to engage faculty in developing stronger messages on these themes; and to involve them in budget planning discussions at both the campus and systemwide level.

THE COVID-19 CRISIS AND BUDGET PRINCIPLES

UCPB understood that the pandemic would have far-reaching effects on the University related to campus budgets and deficits; enrollment and tuition revenue; medical and health operations; cash holdings; faculty research, hiring, and salaries; student health and education; UCRP funding, health benefits and employee costs; and staff support and pay. UCPB assumed that any cuts would harm the UC educational and research mission and believed the upcoming crisis had the potential to be deeper than the 2009 recession with multiple revenue impacts—not only from the downturn in state funding, but also from disruptions to enrollment, medical center profits, and auxiliary revenues. It sought to establish principles that could guide fiscal decision-making during the crisis and frame the difficult choices the University must make in the coming months.

In May, the UCFW chair joined UCPB to discuss a document written by former Senate and UCFW chairs summarizing their views on lessons learned from previous budget crises that could be applied to budget cuts expected in 2020-2022. The document informed a UCPB subgroup—Professors Newfield (Chair), Grandis, LiWang, Schumm, and Tom—who drafted a set of principles and processes to guide COVID-19 related budget issues. These principles evolved into a set of joint UCPB-UCFW principles ultimately endorsed by the Academic Council in June. The principles asked the University to use all possible means to avoid long-term damage to UC's ability to deliver a quality education and to serve as the state's essential source of original research. They emphasized the need to draw on the foundation of shared governance; to affirm that UC is one university; to rely on established processes; to maintain a stable employee base and hire faculty strategically; and to emphasize stewardship over expansion.

UCPB was disappointed by the immediate 8% cut to UC imposed in the final state budget bill. And while the Committee was hopeful about a potential federal bailout, it did not count on such a bail-out to save the University, given that federal support would be short term and insufficient to address years of state disinvestment. By the end of the 2019-20 year, UCPB was unsure exactly what the future held, but had no doubt that recessionary forces were gathering and posed a serious threat to the very nature of the University. It was also sure that the University would need to approach difficult choices consciously and continue to emphasize UC as an educational, economic, health, and research engine that could help solve the state's problems.

CAPITAL ISSUES

Throughout the year, UCPB encouraged the University to work with the Senate on plans for addressing the University's $20 billion deferred maintenance liability that used clear metrics for prioritizing needs and specific progress milestones.

Proposition 13: UCPB followed the progress of a bill that became Proposition 13, a $15 billion public education facilities General Obligation bond that would have provided UC with $2 billion for construction and facilities modernization. The measure appeared on the March 10 ballot, but failed, a huge disappointment given the campuses' dire needs around infrastructure and deferred maintenance.

Liabilities Working Group: President Napolitano and the Chair of the Board of Regents charged a Working Group on Long-Term Liabilities to explore revenue strategies for addressing campus budget and infrastructure challenges, options for resolving accounting liabilities such as those related to UCRP, and liabilities related to campus deferred maintenance and seismic deficiencies. UCPB Chair Malloy and TFIR Chair Brownstone were members of the Working Group, which was asked to report to the Regents in September.

INVESTMENT AND RETIREMENT ISSUES

Consultation with TFIR Chair: UCPB instituted a new practice of inviting the chair of the UCFW Task Force on Investments and Retirement (TFIR) to each meeting, and agreed that the TFIR chair would be a regular committee consultant going forward. TFIR Chair Brownstone briefed UCPB on a variety of investment and retirement topics, including the status of UCRP funding and employee/employer contributions, UCRP's market performance, and the benefits of borrowing to support fiscal health.

UCRP: UCPB discussed a UCRP "experience study" that resulted in recommended changes to the actuarial assumptions for UCRP, and led the Regents to approve a plan to increase the employer contribution rate from 14% to 17% over six years, and an increase to the employee contribution rate from 7% to 8% over four years beginning in July 2022. Chair Malloy and TFIR members met with UCOP to review preliminary models for the employee increase. UCPB found that the financial justification for increased employee contributions was not strong, and questioned the push toward a 100% funded ratio. (The Academic Council formally opposed the increase.) UCPB also encouraged UCOP to seek state funding for UCRP, noting that UC had a strong case for additional Proposition 2 funding, given state support for CalPers and CalSTRs.

Borrowing: UCPB encouraged the University to consider borrowing to help spread recessionary effects over a longer period. Members reasoned that cuts could damage core operations immediately and in ways that would be harder to recover from compared to the burden of loan repayment, while borrowing could help stabilize campus revenues and bridge the long-term impact of cuts. UCPB also acknowledged that borrowing was not a perfect solution, but felt that the alternative – cuts impacting the delivery of education and research, and harming UC faculty and staff well-being – would be worse. UCPB also agreed that UC would not be able to borrow its way out of the crisis, and should combine borrowing with other options and strategies for stabilizing revenues. UCPB discussed a specific borrowing proposal co-authored by TFIR Chair Brownstone, but the proposal was withdrawn from consideration after the University issued bonds totaling $3 billion in July.

GRADUATE STUDENT FUNDING AND SUPPORT

The graduate student TA wildcat strike highlighted for UCPB structural issues that threaten the financial security of UC graduate students and the UC graduate education and research mission. In March, UCPB sent the Council chair a statement of principles for supporting graduate students that described conditions contributing to the crisis such as high housing costs, a lack of adequate state support, and over-enrollment. The statement emphasized that graduate students lack access to Cal Grants and other forms of financial aid, and that attracting and retaining high quality students would support research, campus rankings, and UC's mission of training the next generation of scholars. It also noted that full funding of graduate students is crucial to UC's undergraduate education mission, and its diversity goals. The letter also suggested a longer-term study about these issues. Council approved the letter in April. Provost Brown also joined UCPB to discuss common goals around graduate education funding and strategies for changing UC's dynamic with the Legislature to inspire more support for graduate education and graduate students.

COHORT TUITION

UCPB discussed models for cohort-based tuition pricing that would guarantee entering undergraduates a tuition level for the duration of their enrollment. UCPB understood the benefits of the cohort model to be increased cost predictability for students and families and increased revenue predictability for campuses. However, UCPB also understood that the sustainability of the model would depend on stable state funding, and was concerned about tying the Regents' hands if state funding fell dramatically. UCPB supported the cohort approach in principle, but did not endorse it

outright. UCOP brought the issue of cohort tuition to the Regents, who delayed discussion and then dropped the proposal following the onset of COVID-19. UCPB's graduate student representative also emphasized the gaps in UC's financial aid model that do not address the total cost of attendance, of which non-tuition/fees costs are becoming a bigger share for students.

FINANCE POLICY

UCOP leaders briefed UCPB on asset optimization initiatives and capital strategies that help UC maximize returns on working capital, manage liabilities, reduce administrative expenses, and generate additional unrestricted revenues for the campuses. UCOP also discussed UC's use of systemwide debt to finance capital projects, its efforts to restructure debt to achieve cash flow savings, and its use of Limited Project Revenue Bonds and public-private partnerships to fund new housing projects.

UC PATH AND COMPOSITE BENEFIT RATES

UC Path leadership and the systemwide Controller joined UCPB in November to provide perspectives on several issues identified by UCPB members about Composite Benefit Rates and UC Path. These included paycheck discrepancies for graduate students paid from multiple sources; incorrect benefit cost charges for existing faculty grants; issues for UC employees working internationally; and communication problems across UC Path, campus staff, and UCOP administrators. UCOP leaders described processes in place to identify and correct the technical and business problems identified; preventative measures to inform subsequent UC Path deployments; and improvements to programming and operations that have improved pay accuracy, communication, and customer service. UCPB members acknowledged that the current UC Path leadership inherited an engineering, organizational, and public relations problem; however, they expressed concerned that problems were lingering too long into implementation. UCPB will continue to monitor the progress of UC Path implementation next year.

CLIMATE CHANGE AND SUSTAINABILITY

Climate Change Principles: In November, UCPB endorsed a set of principles proposed by UCORP to guide UC's response to the climate change challenge. The principles asked the Senate to support UC's lead in working towards carbon neutrality and de-carbonization; prioritize the objectives of the UC 2025 Carbon Neutrality Initiative (CNI); deploy faculty expertise; support and coordinate faculty engagement in developing alternative approaches to climate change; and mobilize diverse multi-, cross-, and trans-disciplinary teams to communicate the urgency of the goals.

Commercial Banking Resolution: In July, UCPB supported a request to the UC Chief Investment Officer to issue an RFP for new commercial banking vendors that would require vendors to adhere to Environment, Social and Governance (ESG) principles.

Fossil Fuel Industry-Funded Research: UCPB also discussed, but did not act on, a proposed systemwide policy that would require special procedures for the submission of research funding proposals to fossil fuel companies and affiliates.

Climate Change Working Group: Vice Chair Schumm participated on a Senate working group that created a charge for a Senate task force to lead the Senate response to climate change, guided by Academic Council's November 2019 principles.

SELF-SUPPORTING GRADUATE PROFESSIONAL DEGREE PROGRAMS (SSGPDPS)

REVIEW OF INDIVIDUAL SSGPDPS: Per the Compendium, CCGA leads the main systemwide review of proposed SSGPDPs, while UCPB provides financial analysis to CCGA after assigning a lead reviewer to assess the business plan and market analysis. UCPB reviewed six SSGPDPs this academic year.

- ➢ UCB Master of Development Engineering
- ➢ UCLA UCI Master of Applied Geospatial Information Systems and Technologies
- ➢ UCLA Master of Engineering
- ➢ UCLA Master of Financial Engineering – Asia Pacific
- ➢ UCLA Master of Healthcare Administration
- ➢ UCR Master of Science in Business Analytics

Most UCPB members served as lead reviewer for one SSGPDP. Lead reviewers were guided by a revised UCPB review template that addressed multiple topics including the financial viability of the SSGPDP, the proposed IDC rate and how it was determined; the planned use of net revenues; and the disposition and compensation of faculty serving the program. Reviewers also considered factors that could prevent the program from achieving UC quality; the extent to which SSGPDPs could divert resources – including space, services, and faculty effort – away from state-supported programs; their financial aid plan, and other factors that could affect accessibility to diverse and underserved student populations.

UCPB's lead reviewers noted when SSGPDP proposals included strong academic and market justifications, and well-documented academic, business, and facilities usage plans. When appropriate, they asked programs to clarify issues around the accuracy of and support for the market analysis; contingency plans for enrollment shortfalls; the accounting of IDC to the campus for facilities usage; the teaching obligations of ladder rank faculty and the sustainability of overload teaching; return-to-aid and financial accessibility plans; and mechanisms for ensuring the separation of the state-funded and self-supporting components of mixed enrollment courses.

UCPB was concerned that it has no way to assess the financial performance of SSGPDPs after they are established. Data on fiscal outcomes of approved SSGPDPs relative to projections would help inform UCPB about what comprises a realistic budget model. UCPB was also concerned that the high cost of SSGPDPs makes them less accessible to underprivileged populations and was skeptical about the ethics of charging high tuition rates for reproductions of existing state programs. It encouraged programs to monitor access and diversity trends through an ongoing analysis of data on the socioeconomic, gender, and racial composition of SSGPDP applicants and enrollees. Finally, UCPB was concerned that the reliance of individual programs on external vendors for course design and program management and the significant fees paid to those vendors was inappropriate, diluted the UC brand, and threatened UC faculty ownership over course materials.

SSPGDP Program Subcommittee: A CCGA and UCPB subcommittee met to discuss next steps and develop recommendations for improving the review of new SSGPDPs and increasing the accountability of existing SSGPDPs. The subcommittee drafted an initial set of guidelines for the Senate review of SSGPDPs both at the proposal stage and during periodic post-approval evaluations. The committees will continue and complete their review in the new academic year.

REVIEWS OF MULTI-CAMPUS RESEARCH UNITS (MRUs)

UCPB participated in the five-year reviews of two Multi-campus Research Units: the Bioengineering Institute of California (BIC), and the UC Observatories (UCO). Following procedures outlined in the Compendium, the reviews were performed by a Joint Senate Review

Committee, led by UCORP with input from UCPB and CCGA. Patricia LiWang represented UCPB on the BIC review subcommittee. Harry Tom represented UCPB on the UCO review subcommittee.

UCPB Task Force on Agriculture and Natural Resources (TF-ANR)

Eleanor Kaufman chaired TF-ANR, which met three times by videoconference. In November, TF-ANR met with two of the three Agricultural Extension Station deans (Dillard of UCD and Uhrich of UCR), who repeated the budget presentations they made in September to the ANR Governing Council. TF-ANR devoted the February meeting to issues related to Cooperative Extension (CE) Specialists. Six CE Specialists joined as guests and discussed issues such as research funding, relations with home departments, working with graduate students, and Senate membership. TF-ANR considered how best to support concerns Specialists expressed about feeling like "second-class UC citizens" without a strong support structure or full Senate rights and privileges. Some of the Specialists asked TF-ANR to revisit the longstanding issue of extending Senate membership to CE Specialists, though members did not reach consensus on this topic. In April, TF-ANR met with ANR Vice President Humiston, who discussed ANR's response to the COVID-19 crisis, and the long-term implications of the crisis on the ANR budget, strategic planning, and priorities. The task force also met with Senate Vice Chair Gauvain, who chaired the 2011-12 Academic Council Special Committee on ANR, and served as Senate representative to the 2018 UC ANR Advisory Committee. Finally, UCPB approved changes to TF-ANR's membership for next year to promote more diversity and representation from AES campuses, and UCOC assisted.

Other Briefings and Issues

National Laboratories: In December, the Executive Director of UC National Laboratories Programs briefed UCPB on the history, role, and mission of the three UC-managed laboratories, their funding structure and budgets, and the fiduciary roles of the UC Office of National Laboratories (UCNL), including UCNL's management of the Laboratory Fees Research Program.

Faculty Housing and Home Ownership: In December, the Director of UC Home Loan Programs briefed UCPB on the function and financial status of the Mortgage Origination Program, the Supplemental Home Loan program, and other University efforts to assist in homeownership for faculty.

Faculty Salaries: In December, the Office of Academic Personnel joined UCPB to discuss data on faculty salary scale increases in the professional ranks and efforts to close the UC faculty pay gap with the Comparison 8 institutions. They returned in February to update UCPB on the work of the joint Faculty Salary Scales Task Force that had been charged with reviewing the role and meaning of the UC faculty salary scales.

Working Group on Comprehensives Access (WGCA): In February, past Senate Chair May joined UCPB to discuss the WGCA Chair's Report, which had been released for public comment. UCPB expressed support for the report's "Option 2," which recommended that UC avoid affiliations with entities whose values conflict with UC's public mission and values. UCPB also observed that there was no "one-size-fits-all" solution and an absolute prohibition on affiliations could adversely affect access to care, including through the Veterans Affairs hospitals.

UC-ANR: In June, UC ANR Vice President Humiston discussed the mission and role of UC-ANR, the Agricultural Experiment Station, and Cooperative Extension; ANR's work to address nutrition, climate change, drought, food safety, pests, supply chain disruptions, and other challenges facing rural California; the sources of ANR funding and the status of the ANR budget.

UC Health: In June, Executive Vice President for UC Health Carrie Byington briefed UCPB on

COVID-related costs and loses at the medical centers; UC Health's role in battling the pandemic; and the work of the systemwide task force she led that made recommendations for campus-based testing, tracing, and safety procedures.

APM 120: UCPB responded to the systemwide [Senate review](#) of APM 120 by recommending that faculty in Health Sciences titles such as "in Residence" and "Clinical X," as well as LSOE and Teaching Professor titles have access to the automatic conferral of emerita/emeritus status.

Statement on Presidential Search: UCPB [wrote to the Council chair](#) in January, urging that the presidential search process be as open and transparent as possible, and that the Regents Special Committee allow the chair of the Academic Advisory Committee to attend Special Committee deliberations.

UCI School of Pharmacy: UCPB endorsed a [pre-proposal](#), and later the [full proposal](#), for a new School of Pharmacy and Pharmaceutical Sciences at UC Irvine. Professor Jennifer Grandis (UCSF) led both reviews.

ACSCOLI: Vice Chair Schumm represented UCPB on the Academic Council Special Committee on Laboratory Issues, and briefed UCPB on relevant issues from those meetings.

Campus Reports: UCPB set aside a portion of each meeting for updates from members about issues under discussion on campuses and local budget and planning committees. These briefings touched on a wide range of topics, including: responses to COVID-19; faculty participation in budget and academic planning; the status of campus structural deficits; campus experiences with Responsibility Center Management budget models; the graduate student wildcat strikes. local academic and space planning issues; the implementation of UC Path; staff workload, morale, and compensation; and struggles adjusting to the new normal of underfunding.

Senate Leadership Briefings: The Academic Council chair and vice chair attended a portion of each UCPB meeting to brief the committee on business from Academic Council and Board of Regents meetings, and other systemwide issues of interest to UCPB or of general interest to faculty, including news about Senate and University responses to COVID-19; the status of the UC Presidential search; the work of various Senate task forces; and the University's response to nationwide protests against police violence.

Student Representatives: UCPB's undergraduate and graduate student representatives were active participants in a wide range of committee discussions. They effectively conveyed their personal views and concerns, as well as those of their student peers and colleagues. They were particularly vocal in discussions about tuition, financial aid. and the importance of preserving affordability and educational quality, graduate student support.

UCPB REPRESENTATION

Chair Sean Malloy represented UCPB at meetings of the Academic Council, the Assembly of the Academic Senate, the Academic Planning Council, the UCFW Task Force on Investment and Retirement, and the Provost's monthly budget Zoom meeting. He was also a member of the Academic Advisory Committee for the Presidential Search, the Joint Task Force on the Faculty Salary Scales, and the Joint Working Group on Liabilities and Funding Gaps. Vice Chair Schumm represented UCPB on the Academic Council Special Committee on Laboratory Issues. Christopher Newfield represented UCPB on the UC Education Abroad Program Advisory Committee; and Eleanor Kaufman led the Task Force on Agriculture and Natural Resources.

Sean Malloy, Chair (UCM)	Jennifer Grandis (UCSF)
Bruce Schumm, Vice Chair (UCSC)	Christopher Newfield (UCSB)
Richard Stanton (UCB)	Nirvikar Singh (UCSC)
Ahmet Palazoglu (UCD)	Navjit Sidhu (Undergraduate Student)
Donald Senear (UCI)	Jazz Kiang (Graduate Student)
Kathleen McGarry (UCLA)	Eleanor Kaufman (TF-ANR chair), *ex officio*
Patricia LiWang (UCM)	Kum-Kum Bhavnani, *ex officio*
Harry Tom (UCR)	Mary Gauvain, *ex officio*
Karen Oegema (UCSD)	Michael LaBriola, Committee Analyst

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**
UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION
ANNUAL REPORT 2019-2020

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
During the 2019-2020 Academic Year, the University Committee on Preparatory Education (UCOPE) held one in-person meeting and three videoconferences and UCOPE's English for Multilingual Students Advisory Group met once. Both groups considered matters in accordance with their duties as set forth in Senate Bylaw 192, which states that UCOPE shall advise the President on matters relating to preparatory and remedial education (including the language needs of students from diverse linguistic backgrounds); monitor and conduct periodic reviews and evaluations of preparatory and remedial education; supervise the University of California Entry Level Writing Requirement (ELWR); monitor the development and use of placement examinations in mathematics; and work with the Board of Admissions and Relations with Schools to communicate these standards to all high schools and colleges in California.

A summary of the committee's activities and accomplishments follows below:

RESPONSE TO COVID-19 PANDEMIC
The worldwide COVID-19 pandemic resulted in the closure of all UC campuses and stay at home orders in mid-March. As a result of this abrupt upheaval, Undergraduate Admissions at UCOP quickly began to explore shifting the systemwide Analytical Writing Placement Exam (AWPE) from the usual in-person session in May to an online administration. Uncertainty about whether the systemwide Exam would be available online prompted UCOPE to submit a request to Academic Council for a one-time waiver of Senate Regulation 636.C to allow campuses to utilize an alternative placement mechanism and this request was endorsed. In an effort to support students, Council endorsed UCOPE's recommendation to allow the non-letter-grade option of Pass (or equivalent Pass/Fail grade option) in a division-approved course or program of study to fulfill the ELWR during the spring and summer. Council also endorsed the recommendation to temporarily modify the passing requirement in Senate Regulation (SR) 636.C to allow a C- grade or above to satisfy the ELWR for the spring and summer.

With assistance from the Innovative Learning Technology Initiative at UCOP, Undergraduate Admissions was able to line up the technical components needed to administer the AWPE online. The development process proceeded very rapidly, compressing a yearlong project into a few weeks. Approximately 9k domestic U.S. students took advantage of the first-ever online administration of the systemwide Exam on June 20, which was not proctored. The exception to SR 636.C enabled the Writing programs at Davis, Irvine, Santa Barbara and Santa Cruz to utilize locally designed placement processes for students enrolling at their campuses. UCOPE received overviews of these processes during the committee's April and June videoconferences.

REDEFINING THE ENTRY LEVEL WRITING REQUIREMENT
In May, the Board of Regents unanimously approved the suspension of the standardized test requirement (ACT/SAT) for all California freshman applicants until fall 2024. The Regents also approved the elimination of the SAT Essay/ACT Writing Test as a requirement for UC undergraduate admissions effective for fall 2021 admissions. These changes will impact how students are able to satisfy the ELWR before matriculation, which prompted UCOPE to consider the value of writing, the importance of the ELWR in the context of current student demographics, and the practicality of continuing to maintain a UC-wide standard. The committee is also interested in honoring campus autonomy, culture and expertise. Several steps were taken this year to begin a broad discussion about how the ELWR is defined and operationalized.

Chair Francis joined the informal yearly meeting of UC Writing Program Administrators (WPAs) in April to hear their perspectives about the ELWR and the AWPE. The WPA discussion made it clear that there is consensus about the importance of the Requirement but there are different ideas about how students should be able to fulfill it. Some WPAs are concerned that the ELWR could be eliminated by administrators. In June, Chair Francis and Vice Chair Gagnon convened forty Administrators and other Writing Program instructors to discuss how to engage with the campuses on updating or amending the existing senate regulations related to Entry Level Writing. UCOPE leadership also wanted to discuss the idea of threshold exams and/or competencies, and whether there is a collective understanding that the AWPE is a threshold exam.

During this videoconference, WPAs from UCD, UCI, UCSB, and UCSC presented a joint statement on priorities and principles at this juncture. They wanted to reaffirm, fortify and update the ELWR. To do that, they believed that the ELWR needs to: 1) better align with UC's stance on standardized tests and placement validity; 2) ensure alignment with local contexts; 3) design placement processes and tools that reflect current research on equitable best practices in writing placement. They believed the best way to honor these priorities is to enable local control of writing placement, and that revising SR 636 in 2021 is needed to achieve and honor these priorities.

WPAs from UCB, UCR, UCM, UCLA and UCSD also affirmed their commitment to the ELWR expressed support for fortifying and updating the ELWR. However, these representatives also expressed support for the AWPE as a systemwide placement mechanism for their campuses, sharing that this placement tool is effectively placing students into the proper classes on their campuses. They want to maintain a systemwide approach to writing placement and communicated that they lack the resources to implement local placement of students on their respective campuses. The WPAs are interested in working with UCOPE to set up a working group/task force that could further clarify and strengthen the language around this requirement as it is written in SR 636. In August, UCOPE leadership met with current and incoming systemwide Senate leadership to discuss establishing a task force to examine the ELWR. Senate leadership agreed that UCOPE should submit a proposal for a task force to Academic Council in the fall.

EMS ADVISORY GROUP
The impact of the COVID-19 pandemic was the focus of the April meeting of the English for Multilingual Students Advisory Group. In addition to the standard reports about issues related to enrollment numbers, placement and budget, the Advisory Group discussed how the transition to remote instruction is impacting the work with international and multilingual students.

OHER ISSUES AND ADDITIONAL BUSINESS
In response to requests for formal comments from the Academic Council, UCOPE submitted views on the following:
- Systemwide Review of the Report of the Academic Council's Standardized Testing Task Force

UCOPE REPRESENTATION
UCOPE Chair Francis represented the committee at meetings of the Intersegmental Committee of Academic Senates and on the Standardized Testing Task Force.

ACKNOWLEDGEMENTS
UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: AWPE Committee Chair and Chief Reader Jon Lang; EMS Advisory Group Chair Paul Beehler and all members of the EMS Advisory Group; AWPE Coordinator Julie Lind; Associate Director, Undergraduate Admissions Laura Hardy; Interim Associate Vice President and Director of Undergraduate Admissions Han Mi Yoon-Wu; Institutional Research Analyst Matt Reed; and Tongshan Chang, Director,

Institutional Research and Academic Planning. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCOPE meetings this year.

Respectfully submitted,

Darlene Francis, Chair (B)	Jeff Gagnon, Vice Chair (SD)
Brandi Catanese (B)	Matthew Stratton (D)
Daniel Gross (I)	Robert Cooper (LA)
Jesus Sandoval-Hernandez (M)	Jingsong Zhang (R)
Phoebe Bronstein (SD)	VyVy Young (SF)
Mary Brenner (SB)	Tonya Ritola (SC)
Madeleine Sorapure (BOARS Representative)	Elena Koslova (Graduate Student)
Aria Ghafouri (Undergraduate Student)	

Kum-Kum Bhavnano (Chair, Academic Senate, *Ex Officio*, (SB))
Mary Gauvain (Vice Chair, Academic Senate, *Ex Officio,* (SB))
Brenda Abrams, Principal Policy Analyst

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UNIVERSITY COMMITTEE ON PRIVILEGE AND TENURE
2019-20 Annual Report

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TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Under Senate Bylaw 195, the University Committee on Privilege and Tenure Met three times in 2019-20.

A. Membership shall be determined in accordance with Bylaw 128. The Vice Chair shall be chosen in accordance with Bylaw 128.D. (Am 28 May 2003)
B. Duties. Consistent with Bylaw 40 the committee shall: (Am 23 May 01; Am 28 May 2003)
   1. Advise the President, the Academic Senate and its Divisions, and the Divisional Privilege and Tenure Committees on general policies involving academic privileges and tenure [see Bylaw 334]. (Am 25 May 76; EC 28 May 2003)
   2. Constitute special Hearing Committees as provided for in Bylaw 336.A. (EC 28 May 2003)
   3. Maintain statistical records of the grievance, disciplinary, and early termination cases taking place on each of the campuses, as specified in Bylaw 334.B . (EC 28 May 2003)

Topics of Note During the 2019-20 Year

Senate Bylaw 336 Implementation
Bylaw 336 was reviewed last year in the winter and spring, the Senate adopted the changes, and then it was implemented. There was concern on the part of the Senate and on the campuses that the stated timelines would be challenging and that a good faith effort toward meeting them needed to be carefully and assiduously documented. Care also needed to be shown to ensure due process.

A small Bylaw 336 workgroup determined that the best way to support the campuses with the implementation of the bylaw is to have two FTE analysts in the Office of the General Counsel. They will work with the campuses and the OGC attorneys to help support all of the logistics and the steps involved when P&T hearings need to be scheduled. The strategy in placing the analysts at OP is that that they can provide a systemwide resource that can promote consistency, can help with the tracking of cases, and can provide expertise and institutional memory for all campuses.

New APM 011 Policy
There is a new APM 011 policy, which extends academic freedom to non-faculty explicitly for the first time. There is concern about the role P&T would play in this process and whether this would be a substantial workload or not. The effect of this policy will be assessed in three years to see how many cases were filed, what the workload was, and whether there needs to be some adjustment in the policy. P&T would receive a grievance if a non–faculty academic appointee thought that his/her academic freedom had been abridged in something related to teaching or research. If it were found not to be under the umbrella of academic freedom, but under the language of 011, then it would go through the APM 140 process.

SVSH in a Clinical Setting
A working group was convened last May on this topic; it was comprised of people from all different aspects of academic life and healthcare institutions.

The UC was an early leader in having an SVSH policy but it was very focused on the University's identity as an educational institution; the circumstances that surround a patient care environment were not adequately covered. The President therefore commissioned a large working group to develop UC's own formal policy for SVSH in the clinical setting.

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The administration was initially concerned about physician-on-patient transgressions, but that many forms of SVSH can take place in the clinical setting. If there is a reported transgression, the Title IX office and the senior medical center official would establish an incident response team. There will be an initial assessment done by the Title IX Office to see if there is an immediate concern about patient safety – if there is, there can be non-contact orders, the physician can be removed from the clinic, etc. In the case of a SVSH claim, physicians can be placed on temporary administrative reassignments. Guidelines and clinical directives have been finalized for implementation by the UC healthcare systems.

Evidentiary Standards
On May 6, 2020, the U.S. Department of Education issued new Title IX regulations requiring schools around the country use the same evidentiary standard in all sexual violence and sexual harassment cases covered by the regulations regardless of the respondent's affiliation with the University (i.e., student, faculty or staff). August 14, 2020, is the effective date of the regulations.

The regulation creates a conflict in evidentiary standards in the University's adjudication of sexual harassment cases. The Academic Senate in Bylaw 336 requires the Chancellor or Chancellor's designee to prove the allegations by "clear and convincing evidence" in faculty privilege and tenure disciplinary hearings. On the other hand, in Title IX sexual violence arena the preponderance standard is used in all cases during the investigation/determination of responsibility phases and stage, and is also used at the adjudication stage in matters involving student respondents. California law requires this standard for students.

In order to adhere to the Senate Bylaw while also conforming with institutional policies and in recognition of both California and Federal law, the UC Privilege and Tenure Committee advised that Divisional P&T hearing committees should implement the following procedures for sexual harassment cases covered by the Department of Education's regulations:

1. In its Bylaw 336.F.2 prehearing notification to the parties, the chair of the hearing committee should advise the parties that evidence presented will be weighed under both the "clear and convincing" and "preponderance of the evidence" standards.
2. In its consideration of the case and deliberations, the hearing committee should evaluate the evidence under both the "clear and convincing" and "preponderance of the evidence" standards.
3. In its findings of fact, conclusions, statement of reasons, evidence and recommendation, the hearing committee should write its report with analysis under both under both the "clear and convincing" and "preponderance of the evidence" standards. However, if the hearing committee determines that the clear and convincing standard is satisfied, a separate analysis under the preponderance standard is not necessary. Rather, the hearing committee can simply indicate that since the clear and convincing standard is met, the preponderance standard is necessarily satisfied.

By applying both standards of proof in its deliberations and recommendations, the hearing committee's recommendations (whether in favor or against discipline, and with regard to the proposed sanctions) will facilitate the Chancellor's final decision making process, and will be in accordance with UC policy and applicable laws.

Acknowledgements
UCPT is grateful to have had valuable input from - and exchange with- these UCOP and campus consultants and guests over the past year: Vice Provost Susan Carlson, Associate Vice Provost Pamela Peterson, Senior Counsel Mark Morodomi, Senior Counsel Chad Pimentel, and Systemwide Title IX Coordinator Suzanne Taylor. Special thanks to Academic Council Chair Kum-Kum Bhavnani, Vice Chair Mary Gauvain, and Senate Executive Director Hilary Baxter.

Respectfully submitted,

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Nicholas Webster, Chair (UCSD)
Jorge Hankamer, Vice Chair (UCSC)
Samuel Otter (UCB)
Julia Simon (UCD)
Irene Tucker (UCI)
Vilma Ortiz(UCLA)

Lin Tian (UCM)
Luca Ferrero (UCR)
James W. Posakony (UCSD)
Victor Reus (UCSF)
Eckart Meiburg (UCSB)
Julie Guthman (UCSC)

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University Committee on Research Policy

Annual Report 2019-20

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research; formulating, coordinating, and revising general research policies and procedures; and advising the President on research. UCORP met nine times during the 2019-20 academic year. Due to the Covid-19 pandemic and shutdown, the last four meetings of the year were held via videoconference This report summarizes the committee's activities during the year.

COVID-19

2019-20 was marked by the Covid-19 pandemic, which caused the university to shut down campuses, including most laboratories, in mid-March. UCORP members gathered and shared communication from the campuses. Beginning in April, UCORP received updates from the newly-appointed Vice President for Research and Innovation, Theresa Maldonado. When she started at UC on March 10, VP Maldonado immediately began hosting regular – at first daily – calls with the Vice Chancellors for Research. The VC-Rs, along with representatives from State and Federal Government Relations offices and UC Health, shared information about campus shutdowns, processes for continuing to operate remotely, and then the longer process and phased approach for opening up. UCORP drafted a letter to Academic Council expressing members' concerns about the long-term impact of the shutdown on research productivity and the careers of young faculty members, postdocs, and graduate students.

MRU REVIEWS – BIOENGINEERING INSTITUTE OF CALIFORNIA (BIC) AND UC OBSERVATORIES (UCO)

In 2019-20 UCORP led two five-year reviews for the Academic Senate. The committee split into two groups and, per the 2014 Compendium's "Guidelines for Five-Year Reviews of Multicampus Research Units," representatives from CCGA and UCPB joined the Review Committees to conduct reviews of the Bioengineering Institute of California (BIC) and the UC Observatories (UCO). In February, leaders from the BIC and UCO joined the UCORP meeting for in-person discussion. The two MRU Review Reports were completed in May and sent to the Academic Council for approval and transmittal to the Vice President for Research and Innovation. At its June 24, 2020, meeting, the Academic Council approved the Five-Year Reviews.

The Review Committee for the Bioengineering Institute of California (BIC) concluded that the MRU was successful in terms of fostering intercampus collaborations among faculty and students and exploiting synergies among the unique strengths and profiles of campus bioengineering departments. Its activities have exposed students to education, training, and mentoring through co-advising and industry networking events that exceed what is possible at some individual campuses. BIC has been successful in promoting active industry participation including securing modest financial support for the annual systemwide Bioengineering Symposium. The intercampus interactions during the annual

symposium play a positive role in fostering collaborative research and joint grants. The Review Committee found that there is untapped potential associated with BIC, and offered recommendations for developing a research agenda that is more systematic and visible to strengthen the MRU and attract sustainable funding.

The Review Committee for the UC Observatories found that UCO is a major asset of the UC system and that its stellar reputation has enabled UC to expand its impact in astronomy and related sciences. UCO provides resources that ensure UC astronomers have preferred access to world-leading facilities into the future. UCO runs a vigorous public outreach program at Lick Observatory, located outside of San Jose, California, and helps to facilitate campus-based and public outreach in astronomy across the state. While UCB, UCSC and UCLA have historically dominated telescope work at the observatory, its resources are available and used systemwide. UCO has done a great deal to support the development of astronomy as a discipline across the UC system, and at the highest level of excellence. The Review Committee offered some recommendations for improvement of UCO's budget presentation, governance structure, and accountability to the University, but overall fully supported the continuation of UCO as an MRU.

CLIMATE CRISIS

In November, UCORP sent a letter[1] to Academic Council Chair Kum-Kum Bhavnani with steps that the Academic Senate could take to get the faculty to assume a leadership role in promoting climate change solutions. The letter was based on a resolution underway at the UC Merced Academic Senate and noted that UC faculty are ideally suited to help: (1) implement ongoing efforts towards carbon neutrality (2) formulate new approaches to mitigate the effects of climate change and (3) devise innovative directions in research, education, and outreach for lasting and sustained impact. UCORP's recommendations were revised by the Academic Council and forwarded to President Napolitano, who responded[2] with support and suggestions for increased faculty involvement with ongoing UC efforts.

In December, UCSD climate champion Adam Aron (who is also a member of UCPB) joined a UCORP meeting to talk about the latest climate crisis-related activities on the UC San Diego campus. Professor Aron believes that UC, as an academic and research institution, has the ability to make significant changes with serious effort from the administration in de-carbonization, research, and teaching, at the scale and intensity of a Manhattan Project, with associated accountability.

For the third year in a row, UCORP invited UC climate crisis experts to share more about the university's climate change mitigation efforts. In March, UCORP hosted UC Irvine Professor Ken Janda, the co-chair of the UC Global Climate Leadership Council's Applied Research Work Group (ARWG). Janda, a Professor of Chemistry Emeritus and former Dean of Physical Sciences at UCI, described the work of the group and asked UCORP members for input on potential strategies for broadening faculty engagement.

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[1] https://senate.universityofcalifornia.edu/_files/reports/kkb-jn-climate-change-principles.pdf
[2] https://senate.universityofcalifornia.edu/_files/reports/jn-to-bhavnani-climate-12-13-2019.pdf

UCORP will continue to explore how campus CORs could allocate resources to climate research and whether systemwide funding used for MRPI/MRUs could be used to encourage more research related to the climate crisis. Ideally, current efforts could be coordinated and leveraged to attract new money for the university.

CANCER RESEARCH COORDINATING COMMITTEE

The Cancer Research Coordinating Committee is a systemwide faculty-led granting agency administered by the Research Grants Program Office at UCOP. A total of $2 million comes from bequests, donations, and a California voluntary tax form contribution, and is awarded as grants of $75,000 to individual researchers who are generally early in their careers and represent a broad range of cancer expertise, including technology and basic research. Early in the year, UCORP discussed whether CCRC money could be used to promote more partnering among campuses. UCORP members drafted a proposal and will continue to discuss options next year.

COR SURVEY

At the beginning of the year, members gathered information on their campus committees, including each COR's involvement in in the process of faculty research award funding. Members hoped that comparisons would help those campuses with less funding to request increased support locally. Some campus CORs are more policy centered, while others are more focused on research award assessment and funding.

ADMINISTRATIVE BURDENS ON FACULTY

UCORP discussed signing on to a letter from UCWF about the increase in administrative burden being placed on faculty, and especially on medical and research faculty. The letter offered specific suggestions, including ideas for increasing efficiency, reducing reimbursement requirements, and streamlining processes. [Note that this was prior to the Covid-19 crisis.]

OFFICE OF RESEARCH AND GRADUATE STUDIES – UPDATES AND CONSULTATION

As consultants to the committee, members of the Office of Research & Innovation (formerly the Office of Research and Graduate Studies) joined UCORP each month to provide updates and solicit feedback.

Covid-19 – The Research Grants Program Office provided $2.1 million in emergency seed funding for Covid-19-related research, in grants of $25,000 each. The funds were redirected from other statewide programs. In addition, block grants of $50,000 from the Laboratory Fees Research Program were distributed to each of the campuses at the beginning of the shutdown.

Foreign Influence – UCORP was updated on Conflict of Interest/Conflict of Commitment reporting, requirements from the Department of Energy for prior approvals for foreign nationals, and Higher Education Act Section 117 reporting of all funding of over $250,000 from a single foreign source. The primary takeaway is the need for proper reporting and disclosure. UC is joining with other higher education institutions in responding to RFIs and new legislation in an attempt to maintain the fundamental research exception.

UC Laboratory Fees Research Program – The UC Laboratory Fees Research Program is funded by a portion of the payment that the University receives for its management of the Los Alamos and Lawrence Livermore National Labs. Grants are used for enhancing collaboration, supporting undergraduate research opportunities, and promoting science and research at the labs. In 2019, the Lab Fees Research Program (LFRP) In-Residence Graduate Fellowship program selected six students to receive the awards. There were six awardees of Collaborative Research and Training (CRT) funding in the three targeted topic areas selected last year. Each panel yielded a 20-22% success rate. For the 2020 award cycle, the funding opportunity for In-Residence Graduate Fellowships was announced in April, with letters of intent due in June and full proposals in September. The CRT award is offered every two years.

Multicampus Research and Programs and Initiatives (MRPI) – UCORP was consulted on whether the 2020 Multicampus Research Program Initiative (MRPI) award competition should use a Letter of Intent review panel to help filter proposals. Applications for the program, which provides two-year planning/pilot awards and four-year awards for larger collaborative projects (new or established), have increased in recent years. UCORP received updates on the RPF process, including the extension of the LOI deadline due to the Covid-19 crisis.

CARE Fellowship – UCORP members were informed about the new CARE-UC Innovation Fellowship, a pilot partnership research and training opportunity intended to grow the workforce pipeline and strengthen expertise in alleviating poverty and improving human conditions locally, nationally and internationally. The six-month graduate fellowship includes a summer placement and $9,000 stipend, plus travel allowance. Applications were received from twenty students.

Policies:
NAGPRA – UCORP reviewed the revised proposed Presidential Policy on Native American Cultural Affiliation and Repatriation and some members sent names of faculty on their campuses who might be interested in providing feedback or participating on one of the requisite committees.

New UC Data Policy – UCORP was asked to contribute to the direction of a new draft data policy, which will be refined and sent out for formal systemwide review in the fall.

Openness in Research Policy – UCORP was informed about a renewed effort to develop an "Openness in Research Policy" for UC. The policy aggregates UC statements about accepting funding that comes with citizenship and publication restrictions, and describes any exceptions (for example, national security). Some researchers are hitting barriers due to these restrictions, while others feel there are no circumstances when UC should accept restrictions.

Proposed Revised Presidential Policy on Protection of Human Subjects in Research – UCORP reviewed the proposed revisions and did not comment.

AGRICULTURE AND NATURAL RESOURCES (ANR)

Associate Vice President for ANR Wendy Powers joined UCORP in January to provide updates on the latest work of the Division of Agriculture and Natural Resources and the new Governing Council that was convened last spring. Chaired by UC Riverside Chancellor Kim Wilcox, the Governing Council was an outcome of a Presidential Advisory Committee formed to assess the governance, funding, and reporting structures of ANR. Charged with advising the UC President on the work of ANR, the Council includes Academic Senate representatives and members from every campus except UCSF.

Eleanor Kaufman, the Chair of the Academic Senate's Task Force on ANR, joined two UCORP meetings to provide updates on the issues discussed by the Task Force, including the thorny issue of Senate status and tenure for Cooperative Extension Specialists. TFANR is gathering information from ANR researchers and trying to determine how to connect the research goals of ANR and the wider university. UCORP's relationship with ANR in recent years has focused on finding ways for increased interactions between ANR and Senate faculty, especially on non-AES campuses.

SYSTEMWIDE ISSUES AND CAMPUS REPORTS

UCORP devoted part of each regular meeting to discussing systemwide issues as reported by Academic Senate leadership and reports from members on campus COR issues.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT

- UCORP's recommendations for faculty action and response to the climate crisis. Letter to Academic Council, November 14, 2019.
- UCORP's comments re: UC Washington Center Assessment Report and Proposal for Future State. February 19, 2020.
- UCORP's comments re: Working Group on Comprehensive Access Report. February 19, 2020.
- UCORP comments re: Revised UC Travel Policy. May 20, 2020.
- UCORP sent recommendations to the UCOP administration for software programs and services that UC should consider for systemwide licenses to facilitate remote research for faculty and graduate students. June 3, 2020.
- UCORP's recommendations regarding Covid-19 Impacts on Researchers. Letter to Academic Council, June 17, 2020 (revised July 8, 2020).
- As a follow-up to the Academic Council Memorial to the Board of Regents last year, UCORP Chair Andrew Baird co-signed on a letter from multiple committee chairs to Academic Council Chair Kum-Kum Bhavnani requesting increased transparency from UC on its holdings in companies that have substantial fossil fuel reserves. June 17, 2020.[3]

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[3] https://senate.universityofcalifornia.edu/_files/reports/kkb-jn-jb-fossil-fuels-divestment-transparency.pdf

UCORP REPRESENTATION

As Chair of UCORP, Andrew Baird served on the Assembly of the Academic Senate, Academic Council, Academic Planning Council, and on the search committee for a new VP for Research and Innovation. Chair Baird also represented UCORP on the Academic Council Special Committee on Lab Issues (ACSCOLI), the UCPB Task Force on Agriculture & Natural Resources (TFANR), and the Research Information Management Systems (RIMS) Working Group.

ACKNOWLEDGEMENTS

UCORP is grateful to its regular consultants who have provided invaluable information and perspective to the committee:
- Theresa Maldonado, Vice President for Research & Innovation
- Bart Aoki, Executive Director, Research Grants Program Office
- Kathleen Erwin, Director, UC Research Initiatives
- Janna Tom, Director, Research Policy Analysis and Coordination
- Lourdes DeMattos, Associate Director, Research Grants Program Office
- Emily Rader, Portfolio Manager
- Wendy Powers, ANR Associate Vice President

UCORP also wishes to thank its invited guests and campus alternates for their participation and support throughout the year, as well as colleagues across the system who brought to the attention of the committee research-related issues of concern.

Respectfully submitted, UCORP 2019-20:
 Andrew Baird, Chair
 Richard Desjardins, Vice Chair
 Irina Conboy, UCB
 Karen Bales, UCD
 Lee Bardwell, UCI
 Kathrin Plath, UCLA
 Michael Scheibner, UCM
 Kelly Jeong, UCR
 Tannishtha Reya, UCSD
 Stuart Gansky, UCSF
 Liming Zhang, UCSB
 Paul Roth, UCSC
 Jeanmarie Gonzales, Graduate Student Representative
 Atreyi Mitra, Undergraduate Student Representative
 Kum-Kum Bhavnani, Chair, Academic Senate, *Ex Officio*
 Mary Gauvain, Vice Chair, Academic Senate, *Ex Officio*
 Joanne Miller, Committee Analyst

UNIVERSITY COMMITTEE ON RULES AND JURISDICTION (UCRJ)
ANNUAL REPORT 2019-20

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

Responsibilities and Duties

Pursuant to [Senate Bylaw 205](#), the University Committee on Rules and Jurisdiction (UCRJ) is responsible for:
- examining and supervising all changes and additions, both substantive and editorial, in the Senate Bylaws and Regulations;
- examining all Divisional legislation that affects the system Bylaws and Regulations;
- preparing and reporting to the Assembly or to any of the Divisions such changes and additions to the Bylaws and Regulations as may seem to it advisable; and
- making editorial and conforming non-substantive changes in the Bylaws and Regulations with regard to numbering, headings, cross-references, organizational titles, details of style, and similar items.

Pursuant to Senate Bylaw 206, UCR&J shall respond to informal requests from Senate members for information concerning the *Code of the Academic Senate*, and shall file with the Secretary/Parliamentarian of the Senate, and summarize in its annual committee report, all correspondence containing committee response to such requests.

UCRJ conducted business over videoconference and email, and major actions are reported below.

Legislative Ruling

None.

Variance

None.

Evaluation of Proposed Bylaw Changes

None.

Advice to Divisions and Committees
- The Santa Cruz division asked whether Senate Regulation 750.B. "allows a division (or its authorized committee/s) to impose restrictions on appointments to teach lower division courses," or whether the rule should be "understood to mean that no conditions may be placed on "persons holding other instructional titles" teaching lower division courses by divisional committees, since no conditions have been placed by the systemwide Senate."

- The Davis division asked about a proposed, new program to satisfy the UC Entry Level Writing Requirement.
- The Santa Cruz division asked about the need for in-person proceedings in the context of hearings pursuant to Senate Bylaws 335 and 336.
- UCEP asked about campus discretion to decide whether to disqualify students from further instruction under Senate Regulation 900(A)(2).
- The Academic Council asked about succession to the chair of the Academic Advisory Committee (AAC) that plays a role in selection of the president of the University, pursuant to Regents Policy 7101(B).
- The Academic Council asked whether UC's Board of Admissions and Relations with Schools (BOARS) may suspend certain admissions requirements in response to the COVID-19 pandemic.
- The Academic Council asked about the ability of Divisions to shift to pass/fail or satisfactory/unsatisfactory grading, either across the board or selectively, in response to the COVID-19 pandemic.
- The Academic Council asked whether formal legislative action is needed to enable UC responses to future emergency situations that might necessitate the remote delivery of instruction for an extended period.
- UCOPE asked whether Senate Regulation 636(C) provides any leeway for divisions to utilize an instrument other than the Analytical Writing Placement Exam for satisfaction of the AWPE subsequent to enrollment or if a variance would need to be granted.
- UCEP asked for clarification about whether a new UC student is automatically considered in good standing in light of SR 544.
- The San Diego division asked whether a systemwide variance is required for a division to amend its regulations to allow grades received in Extension classes to be taken into account in calculating a student's University GPA, or whether such a change could be decided at the Divisional level.
- The Santa Cruz division asked whether an emeritus/a faculty member continues to have tenure post-retirement.
- UCEP asked whether Regent's Bylaw 40.1 confers on UCEP the authority to recommend that the president of the University grant a degree to a particular student and, relatedly, whether a divisional CEP has similar authority.
- The Irvine division asked if a divisional CEP may grant a former undergraduate a Bachelor of Science degree in engineering.
- The San Diego division asked if a systemwide variance is required before a Division can amend its Regulations to allow courses taken through Extension's concurrent enrollment program of study to be included in the UC GPA.
- The Santa Cruz division asked for clarification of the meaning of "actual attendance" in Senate Regulations 610 and 688.
- The Academic Council asked if formally extending academic freedom protections beyond members of the Academic Senate was consistent with the Manual (proposed APM 011).

This UCR&J annual report was drafted by Principal Analyst Kenneth Feer.

Respectfully submitted,

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